The Faculty Handbook is produced by the Office of the Provost and Dean of Faculty. Additional information concerning student graduation and degree requirements and student academic and social conduct may be found in the College Catalogue and the Student Handbook. Additional policies applicable to staff may be found in the Staff Handbook or by contacting the Human Resources office.
# TABLE OF CONTENTS

**Preface**

**Introduction**

Bylaws of the President and Trustees of Colby College ................................................................. 1
Faculty Personnel Procedures .................................................................................................................. 11
Faculty Contract Categories .................................................................................................................. 11
Other Faculty Members ......................................................................................................................... 12
Non-Faculty Contract and Appointment Categories .............................................................................. 12
Statement of Terms of Faculty Appointments ....................................................................................... 12
Hiring Procedures for New Faculty .................................................................................................... 14
Procedures for Reappointment, Sixth-Semester Review, Promotion and Tenure ............................... 16
Adjunct Faculty (Category II): Initial Review, Sixth Semester Review, Contract Renewal, and Promotion ............................................................ 29
Continuing Part-Time Faculty (Category III): Appointment, Reappointment and Promotion ........... 33
Special Procedures ............................................................................................................................... 33
Promotion of Administrators or Staff Members with Academic Titles ............................................... 33
Performance Evaluation, Merit Review, and Salary Determination ..................................................... 34
Leaves .................................................................................................................................................. 35
Termination, Dismissal, Suspension ................................................................................................... 40

Colby College Policy Statements ....................................................................................................... 46
1940 AAUP Statement of Principles on Academic Freedom and Tenure ........................................... 46
Policy Statement on Non-Discrimination and Affirmative Action ....................................................... 47
Employee Code of Conduct .................................................................................................................. 47
Policy on Consensual Relationships with Students ............................................................................... 47
Policy Statements on Open Access ..................................................................................................... 48
Harassment Policy and Complaint Procedures .................................................................................... 49
Policy Statement on Drug/Alcohol Abuse ............................................................................................. 51
Policy Statements on Conflict of Interest for Trustees, Officers, and Employees ............................. 51
Colby College Statement on AIDS ........................................................................................................ 55

Administrative Organization of the College ....................................................................................... 56
Government of the College .................................................................................................................... 56
Administrative Structure ......................................................................................................................... 56
Departments and Programs of Study ..................................................................................................... 56
Academic Divisions ............................................................................................................................... 57
Overseers Visiting Committees ............................................................................................................. 58
Committees of the College and of the Faculty: Function and Membership ......................................... 58

Faculty Rights and Responsibilities ....................................................................................................... 68
Academic Freedom and Tenure .............................................................................................................. 68
Advising ............................................................................................................................................... 68
Faculty Teaching Responsibilities ......................................................................................................... 68
Political Activities of Faculty Members ............................................................................................... 68
Retirement .......................................................................................................................................... 68
Subsidiary (Outside) Employment ......................................................................................................... 68
Academic Year Employment Responsibilities ....................................................................................... 68
Redress of Grievance ............................................................................................................................ 69
Indemnification Procedures ................................................................................................................ 69

Faculty Participation in the Government and Ceremonial Functions of the College ......................... 71
Departmental and Interdisciplinary Program Participation ................................................................. 71
Faculty Meetings .................................................................................................................................. 71
Faculty Committees .............................................................................................................................. 71
Faculty Representation on the Board of Trustees ................................................................................ 72
Ceremonies .......................................................................................................................................... 72
Personal and Extracurricular Use of College Facilities ........................................ 104
Animals on Campus ........................................................................................................ 104
Personal Property Located on Campus ........................................................................ 104
Use of Personal Vehicles on College Business ............................................................. 104

Appendix I: Colby College Values ................................................................................. 105
Appendix II: Two Policy Statements on Tenure .............................................................. 107
Appendix IV: 2014-15 Promotion Review Schedule ....................................................... 109
Appendix V: Athletics Faculty Reappointment and Promotion Criteria .............................. 110
Appendix VI: Colby's Statement Concerning Student Projects Involving Human Participants .......................................................................................................................... 112
Appendix VII: Policies for Missed Class Time Due to Athletic Contests ......................... 115
Appendix VIII: Academic Department/Program Secretary Guidelines ........................... 116
PREFACE

Colby College is dedicated to undergraduate education. The education of our students is our central unifying principle and mission. For Colby’s faculty, this focus means that teaching is our paramount activity, with a high standard of teaching and advising effectiveness. Faculty members are also expected to be involved in scholarly, creative, artistic, or other endeavors that are recognized by their larger professional communities. Each member of the faculty is expected to participate in the work of academic departments and in college governance that is essential to the life of the College. Colby faculty members are expected to uphold appropriate standards of respectful and professional interaction with all members of the campus community.

September 1, 2014

Lori G. Kletzer
Provost and Dean of Faculty
INTRODUCTION


Every attempt has been made to insure the accuracy of the material herein. To be certain of the latest description of policies and benefits, a faculty member should check with the Office of the Provost and Dean of Faculty or Human Resources. The College reserves the right to change any provision after appropriate consultative procedures have been observed. Revisions to the Faculty Handbook normally will be published annually in September by the Office of the Provost and Dean of Faculty.

September 1, 2014
BYLAWS OF THE PRESIDENT AND TRUSTEES OF COLBY COLLEGE

ARTICLE I

The Corporation

1. **Name.** As provided in the charter, the name of this corporation is "The President and Trustees of Colby College." The corporation may also be known as Colby College.

2. **Membership.** The corporation shall consist of the President for the time being and not fewer than twenty-four nor more than thirty-five other Trustees. Not fewer than six nor more than nine of said Trustees shall be elected by the Colby College Alumni Association in such manner, with such conditions for eligibility, and for such terms as the Alumni Association shall determine consistent with the charter of this corporation. The corporation shall elect the additional Trustees and may elect any such additional Trustees at any meeting of the corporation to fill any vacancy then existing or which will occur on or before the next following Commencement Day. The term of office of each Trustee elected by the corporation to fill any vacancy existing at the time of such person's election shall begin when elected, and in all other cases shall begin at noon of the next following Commencement Day. The term of office of any Trustee elected by the corporation shall expire at noon of the fourth Commencement Day after the Commencement Day on which the term began, except that if the term began on a day other than Commencement Day, the term of office shall expire at noon on the fifth Commencement Day following the date on which the term began. Any person who has been a Trustee for two full or partial consecutive terms, whether elected by the corporation or the Alumni Association, shall be ineligible to be re-elected a Trustee until one year after such person ceased to be a Trustee, except that this limitation shall not apply to a person who has served as Chair or President. Any member of the corporation may be removed from office, for cause, at any meeting of the corporation by affirmative vote of two-thirds of the members present, provided that notice of such intended action shall have been mailed by the Secretary to each member of the corporation at least ten days in advance of the meeting.

3. **Meetings.** There shall be three regular meetings of the corporation annually, known as the Fall, the Winter, and the Spring Meetings. Meetings shall be held on a day during the fall, winter and spring, respectively, and at such places within or without the State of Maine, as may be designated by any two of the Chair, the President, and the Secretary. Special meetings may be held at the call of any two of the Chair, the President, and the Secretary; and it shall be the duty of the Chair or the Secretary to call a special meeting on the written request of five Trustees, setting forth the objects of the meeting. Written notices of all meetings shall be mailed to the members of the corporation by the Secretary or, in the event of his or her death, disability, or absence, by the Chair at least ten days before the date of meeting. Recommendations of the Executive Committee and Committee on Nominations for the office of Chair, Vice Chair, and Secretary shall be contained in the notice for the Spring Meeting. In the case of special meetings, the notice shall state the objects of the meeting; and no business shall be transacted at such meeting that does not relate to the objects stated except by a unanimous vote of the members present. The faculty may elect two of its members as representatives to attend meetings of the corporation, but not as voting members. Students may also elect two students at the College as representatives to attend meetings of the corporation, but not as voting members.

4. **Quorum and Mail Ballots.** Thirteen voting members of the corporation shall constitute a quorum, but a lesser number may adjourn to another time or place. The corporation may act by mail, e-mail, or facsimile ballots, but in such case an affirmative vote of a majority of the members of the corporation will be required.
ARTICLE II

Overseers and Honorary Life Members

1. The corporation shall elect Colby Overseers who shall serve as an Advisory Council to the President and the corporation. They shall be elected to renewable four-year terms and shall be drawn from distinguished alumni, parents, and other friends of the College who can provide the kind of supplementary advice and support necessary to insure the quality of Colby's programs. Any person who has been an Overseer for two full or partial consecutive terms shall be ineligible to be re-elected an Overseer until one year after such person ceased to be an Overseer.

2. Each Overseer will be expected to serve as a member of an Overseer Visiting Committee at least once during a four-year term. In addition, Overseers will be invited to meet annually with the Trustees.

3. The corporation may also elect Honorary Life Members of the corporation who shall be entitled to participate fully in all meetings of the corporation, except they shall not have a vote nor shall they be counted for purposes of the membership limits specified in Article I, Section 2. The corporation may also elect Life Overseers whose terms of service are not subject to the restrictions specified in Article II, Section 1.

4. All Overseers and Honorary Life Members shall be entitled to the on-campus courtesies and privileges normally extended to Trustees and will be given a special place of honor at Commencement and at other College convocations.

ARTICLE III

Chair, Vice Chair, Secretary, and Assistant Secretary:

Tenure and Duties of their Offices

1. Officers. In addition to the officers specified in Article V, there shall be a Chair, a Vice Chair, and a Secretary. The Chair and Vice Chair shall be elected by and from the Trustees, and the Secretary shall be elected by, but not necessarily from, the Trustees. The corporation may also elect an Assistant Secretary.

2. Election of Chair, Vice Chair, and Secretary. The Chair, Vice Chair, and Secretary shall be elected annually at the Spring Meeting of the corporation and shall hold office until the next Spring Meeting and until their successors are elected and qualified, but they may be removed by the corporation at any regular meeting or a special meeting provided notice of such proposed action was given as specified in Section 3 of Article I. A vacancy in either of said offices may be filled at any meeting. The Chair may not hold such office for more than eight one-year terms.

3. Duties of Chair and Vice Chair. The Chair shall preside at all meetings of the corporation, shall have a right to vote on all questions, and shall appoint all committees, except in any special case where the corporation decides to elect the members of a committee. In the absence of the Chair, the Vice Chair shall perform the duties of the Chair.

4. Duties of Secretary. The Secretary shall keep a record of all actions at meetings of the corporation and of the Executive Committee and shall notify each member of all meetings of the corporation at least ten days before the appointed time thereof. The Secretary shall keep a record of the appointment of all committees of the corporation. The Secretary shall serve as Secretary to the Committee on Nominations and the Committee on Communications. Any of the duties or powers of the Secretary may be performed by an Assistant Secretary, who shall be responsible to and report to the Secretary.
ARTICLE IV

Committees

1. **Organization.** Besides such special committees as the corporation or the Chair may from time to time establish for the discharge of particular duties, there shall be the standing committees specified in this article. Members of standing committees shall be appointed by the Chair annually following the Spring Meeting of the corporation and shall continue as members of such committees, so long as they remain Trustees, until their successors have been appointed. The Chair and the President shall be ex officio members of all committees and each standing committee shall include at least three additional Trustees. Additional members, including Overseers and other persons who are not members of the corporation, may be appointed. The chair of each standing committee shall be a Trustee. The corporation may at any time discontinue any of its standing committees for such time as it may determine, and the duties of any committee so discontinued shall be performed during such discontinuance by the Executive Committee. One-third of the members of a committee shall constitute a quorum, except as otherwise specified in these bylaws. Standing committees may elect to meet electronically and/or telephonically between regular meetings of the Board to conduct such committee business as deemed appropriate by the committee chair and vice chair and so long as one-third of the members participate.

2. **Executive Committee.** The Executive Committee shall include the President, Chair, Vice Chair, and immediate past Chair, as well as those chairs of standing committees and other trustees selected at the discretion of the Chair. The Chair shall be Chair of the Executive Committee. Any Trustee shall be entitled to be present at any meeting of the Executive Committee but without vote. One-third of the members of the Committee shall constitute a quorum, and meetings shall be called by the Chair or any two members of the Committee. Between meetings of the corporation, subject at all times to the control of the corporation, the Executive Committee shall have general supervision of the administration and property of the College, except that unless specifically empowered by the corporation to do so it may not alter bylaws, locate permanent buildings on tax-exempt property held for College purposes, or appoint officers or members of the faculty, except that it may make original appointments upon nomination of the President. The Executive Committee may act by mailed, emailed, or facsimile ballots, but in such case an affirmative vote of a majority of the members of the Executive Committee will be required. It may lease any real estate belonging to the College and sell any real estate not used for College purposes and authorize the execution of such leases, deeds, and other instruments as may be appropriate to carry out this power and cause the seal to be affixed thereto. It shall seek out, consider and recommend to the corporation nominations for the office of Chair and Vice Chair.

3. **Educational Policy.** The Committee on Educational Policy shall, in cooperation with the President, study, appraise, and make recommendations regarding the structure and quality of the academic program; review the reports of the Overseer Visiting Committees to academic programs; measure the program relative to other comparable institutions in terms of teaching load, class size, student-faculty ratios, instructional expenses, research programs, and other factors; formulate desirable short- and long-range enrollment goals; advise the Committee on Budget and Finance on the specifications and requirements for financing the academic program; and recommend actions and policies concerning academic personnel.

4. **Budget and Finance.** The Committee on Budget and Finance shall review annual operating and capital budgets prepared and presented under the direction of the President and recommend changes and approval by the corporation, review major financial transactions not provided for in the budget and approve proposed variances and report thereon to the corporation. It shall approve permanent additions to the number of faculty and staff positions and report thereon to the corporation. The Committee itself, or if it chooses, through a subcommittee with a majority membership from the Committee, shall recommend the designation of the auditor for the corporation and shall cause to be prepared and submitted to the corporation at its Fall Meeting an audited statement of the financial condition of the corporation as of the close of the previous fiscal year and of the receipts and expenditures for such year. It shall meet with the auditor to appraise the system of financial control and accounting of the College, shall recommend suitable changes, and shall report its findings annually to the corporation. The Committee shall also itself or through a subcommittee with a
majority membership from the Committee and the Chair of the Educational Policy Committee, together with the Provost and Dean of Faculty, review compensation budgets and recommend compensation policies.

5. Development. The Committee on Development shall have oversight of the College’s fund raising, alumni relations, and communications activities. It shall develop, review, and lead fundraising programs, and report to the corporation on fundraising progress and estimates of income to be received therefrom.

6. Investment. The Committee on Investment, subject to the control of the corporation, shall have charge of the investment of all funds of the College, including the sale or exchange of securities and investment of the proceeds. The Committee may employ investment counsel and may delegate authority to purchase or sell securities for the account of the corporation subject to such limitations as the Committee may impose. The Committee shall report changes in investments to the corporation at least annually.

7. Physical Plant. The Committee on Physical Plant shall review and analyze maintenance and operations policies, recommend improvements, review and recommend approval of plans and cost estimates for new facilities, regularly review and make recommendations on growth and changes in the College’s information technology services, and regularly review and make recommendations on capital budget projects of the College.

8. Student Affairs. The Committee on Student Affairs shall review matters affecting students of the College, other than those relating to the academic program, consider proposals on such matters, and report and make recommendations thereon to the corporation.

9. Nominations. The Committee on Nominations shall seek out, consider, and recommend to the corporation nominations for Trustees and Overseers to be elected by the corporation and for the office of Secretary. The Committee shall consider and recommend to the corporation suitable candidates for honorary degrees to be bestowed by the College. No honorary degree shall be conferred except on the recommendation of this Committee and then only by ballot on the affirmative vote of at least two-thirds of the members of the corporation.

10. Admissions and Financial Aid. The Committee on Admissions and Financial Aid shall review matters pertaining to the recruitment and admission of students to the College and report and make recommendations thereon to the corporation.

11. Communications. The Committee on Communications shall review the marketing and communications programs of the College and make recommendations thereon to the corporation.

ARTICLE V

Government of the College

1. General Provisions. The immediate government of the College shall be under the direction of the President assisted by the officers specified in this article and such other administrators as the corporation or the President may from time to time elect or appoint. All members of the teaching and administrative staff shall be responsible to the President for the performance of their duties. Subject to law and to the other provisions of these bylaws, each officer shall have, in addition to the duties and powers herein set forth, such duties and powers as are commonly incident to such office and such duties and powers as the corporation or the President may from time to time designate; and no person or corporation dealing with any of them shall be bound to inquire or to ascertain whether or not any requisite approval or assent to such officer's action has been obtained. Except as the corporation may generally or in particular cases authorize the execution thereof in some other manner, all deeds, leases, transfers, contracts, bonds, notes, checks, drafts, and other obligations made, accepted, or endorsed by the corporation shall be signed by the President, or by one of the vice presidents, or by the Treasurer.
2. **President.** There shall be a President of the College, elected by the corporation, who shall serve at the pleasure of the corporation. The President shall have general charge of the administration of the College; prepare and recommend objectives, policies, and long-range plans for the future development of the College, including budgets; organize the administration by laying out functional areas of responsibility and authority; coordinate administrative and academic affairs; recommend all faculty appointments including deans (other than associate or assistant deans) and other administrative positions for which faculty membership is provided under Article V, promotions, tenure, leave, and major personnel policies; participate in fund-raising; and generally represent the College. The President shall be an ex officio member of all corporation, faculty, and College committees other than the Faculty Grievance Committee and the Faculty Hearing Committee for Dismissal Proceedings. In addition to such duties and powers as usually appertain to this office and as may be delegated by these bylaws, the President is authorized to fill vacancies in the faculty and administrative positions requiring approval by the corporation for terms not exceeding one year and except as otherwise provided to appoint all staff who are not members of the faculty. All administrative and staff appointments shall be for a maximum of one academic or calendar year but shall be renewable. Vice-presidents, deans and other administrators and staff shall serve at the pleasure of the President. The President shall preside at meetings of the faculty and at Commencement and shall make an annual report of the state of the College. Unless otherwise provided by the corporation, in the absence or disability of the President, the Vice President for Academic Affairs, or in the absence or disability of the Vice President for Academic Affairs, the Administrative Vice President, shall perform the duties of the President.

3. **Vice President for Academic Affairs.** There shall be a Vice President for Academic Affairs elected by the corporation, who, subject to the direction of the President, shall act as Dean of the Faculty and be responsible for the administration of the academic affairs of the College, including matters relating to the faculty, curriculum, education policies, academic counseling, and preparation of the academic budget. The Vice President for Academic Affairs shall serve as an ex officio member of all faculty and College committees other than the Faculty Grievance Committee and the Faculty Hearing Committee for Dismissal Proceedings and shall serve as Secretary to the Educational Policy Committee and advise the Budget & Finance Committee.

4. **Administrative Vice President.** There shall be a Vice President for Administration elected by the corporation, who, subject to the direction of the President, shall be responsible for the administration of the business affairs of the College, including the planning, construction, maintenance, and operation of buildings, grounds, facilities and services, and the preparation of budgets. The Vice President for Administration shall advise and consult with the Committee on Investments, and serve as Secretary of the Committees on Budget and Finance and Physical Plant.

5. **Treasurer.** There shall be a Treasurer elected by the corporation, who shall be the financial officer of the College; shall have charge of and be responsible for all funds, properties, and securities of the College; disburse the funds of the College as authorized by the Corporation or by the Executive Committee; and shall render to the Corporation at its regular meetings, or whenever it may request, an account of the financial condition of the College. The Treasurer shall keep all deeds, securities, promissory notes, and other valuable papers of the College in such depository or depositories as may be designated for the purpose. Access to such depositories shall be had only by any two of the Treasurer, Associate Treasurer, or the Administrative Vice President, or by any of them accompanied by a member or members of the corporation. Any of the duties of the Treasurer may be performed by an Associate Treasurer, who shall be responsible to and report to the Treasurer.

6. **Vice President for Development and Alumni Relations.** There shall be a Vice President for Development and Alumni Relations elected by the corporation, who shall, subject to the direction of the President, be responsible for oversight and leadership of the College's alumni relations and fundraising programs. The Vice President for Development and Alumni Relations shall assist the President in developing and carrying out immediate and long-range plans for raising funds for current use, endowment, and plant and shall serve as Secretary to the Committee on Development.

7. **Vice President for Student Affairs.** There shall be a Vice President for Student Affairs and, together or separately, a Dean of Students, whose appointment shall be approved by the corporation on the recommendation of the President and who, subject to the direction of the President, shall be
responsible for the administration of student life and related programs. The Vice President for Student Affairs shall serve as Secretary to the Student Affairs Committee.

8. **Deans.** There shall be a Dean of Admissions and Financial Aid and such other or different deans as shall from time to time be approved by the corporation on the recommendation of the President. Each dean shall have such duties as are assigned by the President. The Dean of Admissions and Financial Aid shall serve as Secretary to the Committee on Admissions and Financial Aid.

**ARTICLE VI**

**Faculty**

1. **Membership.** The faculty shall consist of the President, the vice presidents, deans (other than associate or assistant deans), and two groups: members with academic rank, including those with adjunct status, and members without academic rank. Appointments with academic rank shall be limited to persons who teach full- or part-time in the academic divisions of the College and such administrators who either were previously appointed to the faculty with academic rank while engaged in teaching at the College or have teaching credentials and have been designated as members of the faculty by the President with the approval of the corporation. Members of the faculty without academic rank may include professional librarians, curators, and such other administrators as are designated from time to time by the President with the approval of the corporation.

2. **Method of Appointment.** Appointments to full- or part-time positions in the academic divisions shall be made with the academic rank of lecturer, instructor, faculty fellow, assistant professor, associate professor, or professor. Except in the case of appointments for a term of not more than one year, all appointments to the faculty shall be made by the corporation upon nomination by the President. Nomination for any appointment with continuous tenure shall be submitted to the members of the corporation at least 30 days prior to action by the corporation. All appointments without continuous tenure shall be made for a definite term, normally not exceeding three years. Appointments to coaching and other non-tenurable adjunct teaching positions shall be made with the academic rank of adjunct lecturer, adjunct instructor, adjunct assistant professor, adjunct associate professor, or adjunct professor. Except in the case of appointments for a term of not more than one year, all such appointments shall be made by the corporation upon nomination by the President. Such appointments shall be made for a definite term, normally not exceeding three years. Faculty with adjunct rank shall not be eligible for appointment to continuous tenure, but may be re-appointed for successive terms which in total exceed seven years.

3. **Meetings and Committees.** Subject to the direction of the President and the approval of the corporation, the faculty shall establish policies relating to academic matters. The faculty shall hold regular meetings for the purpose of mutual consultation and for transacting any business which shall come to its attention. The President or the Vice President for Academic Affairs may call special meetings. The faculty or the President is empowered to create such standing and special committees of its members as may seem appropriate.

4. **Academic Freedom.** The College adopts the principles of academic freedom set forth in the American Association of University Professors' 1940 Statement of Principles on Academic Freedom and Tenure.

5. **Continuous Tenure.** After the expiration of a probationary period normally not exceeding seven years at the College, full-time teachers in tenure-track positions shall be appointed to continuous tenure and their service shall be terminated only for adequate cause or under extraordinary circumstances because of financial exigencies. Persons appointed to the faculty as administrators shall serve in such positions at the pleasure of the President, provided that faculty members with continuous tenure shall not be deprived of rank or tenure by reason of appointment to a non-teaching position.

6. **Shared Appointments.** Two persons of similar qualifications may be appointed as a pair to share the equivalent of one full-time teaching position or more. Any appointment of a pair shall be
made in accordance with Section 2 of this article and the provisions of this section. Allocation of the responsibilities of the shared position shall be agreed upon by the members of the pair with the approval of the department chairs and the Dean of the Faculty prior to the original appointment and may be modified thereafter in the same manner. Each member of the pair shall be eligible for continuous tenure and shall be considered separately under normal College criteria for salary determinations, reappointment, promotions, and tenure. If an appointment of only one member of the pair terminates for any reason, including denial of tenure, or one member of the pair becomes incapacitated, the other member of the pair shall assume the entire responsibilities of a full-time position or may resign.

ARTICLE VII

Academic Divisions and Departments of Study

The President, subject to the approval of the corporation, shall establish Academic Divisions, Departments of Study, and Interdisciplinary Programs within the College and, with the advice of the Vice President for Academic Affairs, shall appoint a chair for each department and a director for each program. Chairs of Academic Divisions shall be elected by faculty members of that division. The chair or director of each department or program shall call meetings of those members of the faculty in the department or program and shall present all questions that may be submitted by the President or other properly constituted authority of the College. Each chair and director shall make an annual report to the Vice President for Academic Affairs on the conditions and needs of the department or program and shall be responsible for the coordination of the work of the department or program with that of other departments and programs. Chairs and directors normally shall not serve more than two consecutive three-year terms.

ARTICLE VIII

Academic Council – (Reserved)

ARTICLE IX

Degrees

1. **Degrees in Course.** Degrees in Course shall be conferred by the corporation upon recommendation by the President and faculty under conditions approved by the corporation and published in the College Catalogue. Such degrees shall be conferred publicly at the College Commencement.

2. **Honorary Degrees Ex Officio.** The honorary degree of Master of Arts shall be conferred, ex officio and without public presentation, upon any person who is elected a member of the corporation or appointed professor in the College. Members of the corporation shall be entitled during their term of office to wear the Doctor’s gown or any special costume which the corporation may authorize.

3. **Honorary Degrees.** Honorary degrees shall be conferred by the corporation upon recommendation of the Nominating Committee Subcommittee on Honorary Degrees. The honorary degrees of Doctor of Divinity, Doctor of Science, Doctor of Music, Doctor of Letters, Doctor of Fine Arts, Doctor of Laws, and Doctor of Humane Letters are awarded in recognition of creative work, eminent scholarship, or distinguished public service in the several fields named. The honorary degree of Doctor of Humane Letters is also awarded for distinctive service in the field of public education. The honorary degree of Doctor of Laws is not restricted to any one pursuit or calling but is usually conferred for eminent distinction and public service in the fields of law, politics, education, and business. The College may confer any other appropriate degrees. Candidates for honorary degrees shall appear in person to receive their degrees at the College Commencement or at other formal convocations and shall be presented by the President.
ARTICLE X

Indemnification

Each Trustee and officer of the College, and each employee or other agent of the College acting within the scope of his or her employment in good faith and in a manner reasonably believed by such person to be lawful and in the best interest of the College, shall, in accordance with the provisions of Section 714 of Title 13-B of the Maine Revised Statutes as in effect on January 1, 1989, be indemnified against all expenses, including attorneys’ fees, judgments, fines and amounts paid in settlement, actually and necessarily incurred by such Trustee, officer, employee or agent in connection with the defense of any action, suit or proceeding to which he or she has been made a party by reason of being or having been such Trustee, officer, employee or agent. This indemnification policy shall be for the benefit of the persons described herein while serving in the capacity described, as well as after the termination of such service, with respect to actions taken while serving in such capacity and shall extend to their heirs and to their personal representatives.

The provisions of this bylaw with respect to employees and agents shall be subject to procedures and conditions established by the corporation and published in the Faculty and Staff Handbooks.

ARTICLE XI

Conflicts of Interest and Reportable Transactions Policy

I. Conflicts of Interest

A Trustee or Officer of the College shall be considered to have a conflict of interest if:

(A) She or he has an existing or potential direct or indirect financial or other interest which impairs or might reasonably appear to impair her or his independent, unbiased judgment in the discharge of her or his responsibilities to the College, including without limitation such an interest in an organization or business relationship with an organization; or

(B) She or he is aware that a member of her or his family or any organization in which any such person is an officer, director, employee, member, partner, trustee, or substantial stockholder, has an existing or potential financial or other direct or indirect interest, which impairs or might reasonably appear to impair such Trustee’s or officer’s independent, unbiased judgment in the discharge of her or his responsibilities to the College, including without limitation such an interest in an organization or business relationship with an organization.

Service as a director, officer, trustee or general partner of such an organization shall be considered to be an indirect interest for purposes of (A) and (B) above.

All Trustees and officers shall disclose to the College any possible conflict of interest at the earliest practicable time in accordance with such policy statement on conflicts of interest which the corporation may adopt. No Trustee shall vote on any matter under consideration at a meeting of the corporation or any committee in which such Trustee has a conflict of interest. The minutes of such meeting shall reflect that a disclosure was made and that the Trustee having a conflict of interest abstained from voting. Any Trustee who is uncertain whether a conflict of interest may exist in any matter may request the corporation to resolve the questions by majority vote.

II. Reportable Transactions

Current and Former Trustees, Officers or Key Employees of the College shall report to the College any known transaction in which:

(A) She or he has a family or business relationship with a Current or Former Trustee, Officer or Key Employee, or Interested Persons.
(B) There are any outstanding loans between the College and such Trustee, Officer, Key Employee or an Interested Person;

(C) She, he or an Interested Person has received a grant or other assistance (including the provision of goods, services, or use of facilities), regardless of amount, provided by the College at any time. Examples of grants include scholarships, fellowships, internships, prizes and awards.

(D) She, he or an Interested Person has had any business transactions with the College. Business transactions include, but are not limited to, contracts of sale, lease, license, joint ventures and performance of services.

(E) For purposes of this section, the certain terms will be defined as follows:

(i) A Trustee is a member of the College’s governing body, but only if the member has voting rights. A Current Trustee is a trustee that served at any time during the College’s most recently completed tax year. A Former Trustee is any individual who held such position during one or more of the five prior tax years who received more than $10,000 of reportable compensation from the College and any related organization in the capacity as a former trustee.

(ii) An Interested Person is:
   (a) a family member (including a spouse, ancestors, children, grandchildren, great-grandchildren, siblings, and the spouses of children, grandchildren, great-grandchildren, and siblings) of a Current or Former Officer, Trustee, or Key Employee
   (b) an entity more than 35% owned, directly or indirectly, individually or collectively, by (1) one or more Current or Former Officers, Trustees or Key Employees or (2) their family members.
   (c) an entity (other than a tax-exempt organization under section 501(c)) of which a Current or Former Officer, Trustee or Key Employee serves as (1) an officer, (2) director, (3) trustee, (4) a key employee, (5) a partner or member with an ownership interest in excess of 5% (including ownership by a family member) if the entity is treated as a partnership, or (6) a shareholder with an ownership interest in excess of 5% (including ownership by a family member) if the entity is a professional corporation.

(iii) A Key Employee shall be defined as an individual, other than an Officer or Trustee, who:
   (a) receives reportable compensation from the College and all relate organizations in excess of $150,000 for the calendar year;
   (b) has responsibilities, powers or influence over the organization as a whole that is similar to those of officers, trustees, or manages a discrete segment or activity of the organization that represents 10% or more of the activities, assets, income or expenses of the College, as compared to the College in whole; or has or shares authority to control or determine 10% or more of the organizations capital expenditures, operating budget or compensation for employees; and
   (c) is one of the 20 employees with the highest reportable compensation from the College and related organizations for the calendar year.

A Current Key Employee is any individual who met these criteria for the most recently completed calendar year. A Former Key Employee is any individual who meet these criteria in any of the five prior calendar years.

(iv) An Officer is a person elected or appointed to manage the College’s daily operations, such as a President, Vice President, Secretary or Treasurer.
Regardless of their title, the following individuals shall also be considered an Officer: (a) any person who has ultimate responsibility for implementing the decisions of the governing body or for supervising the management, administration, or operation of the College; (b) any person who has ultimate responsibility for managing the College’s finances. If the ultimate responsibility for managing the daily operations or finances of the College resides with two or more individuals, then all such individuals shall be considered Officers. A Current Officer is any individual who served in such role during the College’s most recently completed tax year. A Former Officer in an individual who served in such role during any one of the five prior tax years and received more than $100,000 in reportable compensation.

All Current and Former Officers, Trustees, and Key Employees shall disclose such transactions and relationships to the College by completing an annual Reportable Transaction Questionnaire and Certificate of Compliance, and shall provide any additional information as is needed by the College in order to comply with Internal Revenue Service filing requirements. The College shall provide a list of Current and Former Trustees, Officers and Key Employees with the Questionnaire and Certificate of Compliance.

ARTICLE XII

Amendment or Repeal of Bylaws

These bylaws may be amended or repealed at any meeting of the corporation or via mail, e-mail, or facsimile ballot by two-thirds vote of the members, provided that notice of such intended action, giving in full the text proposed to be repealed or adopted, shall have been sent by the Secretary to each member of the corporation at least ten days in advance of the vote.

ARTICLE XIII

Dissolution Contingency Clause

In the event of the liquidation or dissolution of the corporation, all of the assets remaining after the corporation’s obligations are paid and discharged in full shall be transferred to some other organization exempt under section 501 (c) (3) of the Internal Revenue Code, as amended, or to the United States or an instrumentality thereof for exclusively public purposes, or to the State of Maine or a political subdivision thereof for exclusively public purposes.
FACULTY PERSONNEL PROCEDURES

These procedures are an elaboration of, and in conformity with, the Bylaws of Colby College. The provisions of Article VI most specifically refer to the faculty.

The President and Trustees of Colby College may amend its Bylaws and these regulations at any time, but no such amendment shall impair the obligations of contracts previously made. No College employee is authorized to enter into contracts contrary to these regulations.

Faculty members should address any questions of changes since the publication of the Handbook to the Office of the Provost and Dean of Faculty. Annual revisions are published in September.

I. Faculty Contract Categories

**Category I**: Faculty members who are on tenure-track, probationary appointments, or have been granted tenure; they are normally full-time teachers. They are entitled to all the rights and benefits of faculty status.

**Category II**: Faculty members who hold full-time positions not eligible for tenure and who comprise two groups, those teaching courses for academic credit in departments and programs that offer one or more majors and/or one or more minors, and those who serve as coaches in the Department of Athletics. The former group teach courses in areas such as debate and speech, and theater and dance. They carry adjunct rank and are employed under renewable one- to three-year contracts. They are entitled to all the rights and benefits of faculty status, except tenure.

The latter group (full-time coaches) does not teach courses for academic credit, but rather have major responsibility for the coaching and recruitment of players for a team or teams. They carry adjunct rank and are employed under renewable one- to three-year contracts. They are entitled to all of the rights and benefits of faculty status, except tenure. Because those in this category do not teach courses for academic credit as their major responsibility, certain aspects of benefits (e.g., sabbatical leaves, family leaves) differ from those of the academic faculty in Categories I, II and III for whom such benefits are defined with regard to courses taught.

**Category III**: Faculty members who fill established part-time or full-time positions not eligible for tenure. If full-time in this category, a faculty member may serve no more than six years, inclusive of full-time years in any other category. If annual employment equals or exceeds 50% of a full load, these faculty members are entitled to all of the rights and benefits of faculty status, except tenure, the tuition subsidy, and the mortgage program, though, in accord with College policy, some benefits may be available only on a pro rata basis for those whose employment is part-time. They carry the standard faculty ranks and are employed under renewable one- to three-year contracts.

**Category IV**: Faculty members with term (non-continuing) appointments employed by the College on term contracts. This category is composed principally of leave replacements, holders of named lectureships, and those employed as need arises to help absorb departmental overload. Normally, faculty in this category, except those serving in named lectureships and as Faculty Fellows, shall be accorded a title that begins with the designation “Visiting.” All faculty ranks may be represented in Category IV. If annual employment equals or exceeds 50% of a full load, faculty in this category are eligible for all rights and benefits of faculty status except tenure, tuition subsidy, mortgage programs, divisional grants, and leaves. In accordance with College policies, entitlement to benefits may be on a pro rata basis for part-time employees.

A Faculty Fellow (Category IV appointment) holds a one-year, term appointment; normally the Fellow is a person early in his or her career (just completing or just having completed the Ph.D. or equivalent). The Fellow can expect mentoring to help him/her develop as a teacher
and to give support for his/her work on the dissertation or the early stages of post-dissertation research. Faculty Fellows on year-long appointments will teach four courses (i.e., one course less than a normal full-time teaching load) at a salary pro rata to the normal visiting assistant professor's salary. One-semester Faculty Fellow positions are also possible, obligating the holder to teach two or three courses at a proportional salary.

II. Other Faculty Members
As specified in Article VI, Section 1 of the Bylaws, this group consists of administrators who are designated as faculty, with or without rank. Employees of the College not already designated as faculty but who are fully responsible for teaching a course for academic credit shall be considered temporary members of the faculty during the academic year in which they are teaching. (For more information on administrative appointments, see the Administrative/Staff Handbook.)

III. Non-Faculty Contract and Appointment Categories
Teaching Assistants and Associates; Laboratory Assistants

Teaching Assistants and Associates, although not members of the faculty, work closely with faculty and students to provide important instructional and technical support.

Research Associates and Research Scientists

Research associates and research scientists are appointed by the Provost and Dean of Faculty for a specified term. Although not members of the faculty, they receive a mailbox for their use within the department or program of appointment, and may use the name of the College and their department or program affiliation for grant proposals and professional communications. These positions are uncompensated (no salary or benefits).

IV. Statement of Terms of Faculty Appointments

The terms (contract category, rank, salary, length of appointment, and tenure status) of every faculty appointment will be stated in writing only by the President or the Provost and Dean of Faculty to the faculty member. No other person is authorized to offer an appointment or to enter into a contract. Any subsequent extensions or modifications of an appointment, and any special understandings, or any notices incumbent upon either party to provide, will be stated or confirmed in writing, and a copy will be given to the faculty member. Faculty members on tenure-track probationary appointments (Category I) will be informed each year in writing of the length of probationary status. These annual notifications will be contained in the spring salary letters. (See A. 1. below).

A. Tenure-track, Category I Appointments

1. Category I, full-time, tenure-track probationary appointments may be for a year, or for other stated periods, subject to renewal. Initial appointments are normally for one year. The probationary period at Colby for faculty members shall be no more than seven years of full-time teaching unless a faculty member has been granted a year of family leave that does not count toward the probationary period (see Section XI.D.3.). Subject to individual written agreements between incoming faculty members and the College at the time of initial appointment, some prior full-time teaching service at other institutions of higher education may be credited against the seven-year probationary period. With the exception of leaves for political activity (see pg. 68, D.), time spent on leave of absence or sabbatical leave will count as probationary period service, unless the individual and the College agree to the contrary at the time leave is granted.

2. Written notice that a tenure-track probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as follows: (a) not later than March 1 of the first academic year of service if the
appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination; (b) not later than January 15 of the second academic year of service if the appointment expires at the end of the year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of the termination; (c) by June 30 of the academic year preceding the expiration of an appointment after two or more years of service to the institution.

B. Renewable, Non-Tenure Track, Category II and III Appointments

1. Category II and III appointments are for one, two, or three years, subject to renewal. Initial appointments are normally for one year.

2. Written notice that a renewable Category II or III appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as follows: (a) not later than March 1 of the first academic year of service if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination; (b) not later than January 15 of the second academic year of service if the appointment expires at the end of the year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of the termination; (c) by June 30 of the academic year preceding the expiration of an appointment after two or more years of service to the institution.

C. Term, Category IV Appointments

Term appointments are for a fixed duration of one academic year or less, for full- or part-time faculty members. These are never tenure-track appointments. Term appointments are non-renewable; in subsequent years, subject to College need, another term appointment may be offered.

D. Appointments with Tenure

Only those faculty members who are initially appointed to tenure-track positions or whose appointments are subsequently converted to tenure track are eligible for tenure. Tenure may be awarded only to full-time teachers, including those who share a full-time appointment in Category I. Tenured faculty members may, with the approval of their department chair or program director and the Dean of Faculty, reduce their appointment to part-time without relinquishing tenure. Resumption of full-time service also requires the approval of the chair/director and the Dean of Faculty.

E. Normal Contract Sequence

1. Full-time

It is desirable that some flexibility be permitted the College and its departments in determining contractual arrangements with individual faculty members.

Normally, however, and assuming satisfactory performance, probationary faculty members in Category I will receive an initial one-year contract to be followed by renewal on one of the following patterns:

\[
\text{initial year + 3 years + 3 years} \\
\text{or} \\
\text{initial year + 1 year + 2 years + 3 years}
\]

For faculty members in Category II, contracts will normally be awarded in the following pattern:

\[
\text{1 year + 1 year + 1 year + 3 years} \\
+ \text{subsequent renewals for 3 years}
\]
2. **Part-time**
   For faculty members in Category III, contracts will normally be awarded in the following pattern:

   3 years and subsequent renewals for 3 years

V. **Hiring Procedures for New Faculty**

   A. **Search Sequence and Procedures: Full-Time and Category III, Part-Time Faculty Positions**

   1. Before any search can be conducted—whether for a newly authorized position, an existing slot, or for a leave replacement—approval must be obtained from the Dean of Faculty, who will appoint a search committee. An Academic Department/Program Search Plan must be submitted. The most recent guidance on conducting job searches and submitting search plans can be found on the Dean of Faculty’s website (under “Search Guidelines”). The search committee will consist of at least two departmental members plus at least one member from another department or program appointed by the Dean of Faculty. At a point of governance and consistent with the College’s commitment to a proactive policy of recruitment to increase the diversity of all applicant pools, diversity in each search committee is required. Departments should involve student majors in the search process, although students should not be included on search committees nor should students have access to confidential job applicant files.

   2. From time to time, the Director of Equal Employment Opportunity and the Office of the Dean of Faculty will prepare a "fact sheet" that will indicate the proportion of Ph.D.s in the field who are women or members of a under-represented groups as well as the same proportions for the department or program concerned. If possible, this document will report on the number of women and underrepresented group members who are likely to receive Ph.D.s and enter the job market during the cycle. This document is meant to inform the search process.

   3. The Dean of Faculty must approve all announcements of position openings and a deadline for applications must be specified.

   4. Departmental committees should send the Dean of Faculty a list of publications in which announcements and advertisements will be placed by the Office of the Dean.

   5. The Office of the Provost and Dean of Faculty will transmit copies of the announcement to the appropriate Affirmative Action agencies or officers. The announcement will be posted on the Colby website, at the Human Resources page. The Office of the Provost and Dean of Faculty will circulate a full listing of faculty searches at the beginning of the academic year, so that colleagues from other departments may contact their associates and make suggestions to the search committee.

   6. In accordance with its Policy Statement on Non-Discrimination and Affirmative Action, whereby the College declares that it will employ persons solely on the basis of ability, the employment of close relatives in the same or different departments of the College shall not be prohibited or restricted in any way, except that normally no person shall be in a supervisory role of a close relative. (See Statement on Conflicts of Interest, Article XI.I.).

   7. After the stated deadline, the search committee will review applications and arrive at a list of semi-final candidates. Semi-finalists are often interviewed at national/regional meetings. A group of finalists will be brought to campus for interviews and a presentation open to the public. The set of campus finalists must be approved by the Dean of Faculty, prior to the search committee chair extending the
invitation. The search committee chair will provide to the Dean of Faculty the names and CVs of recommended campus finalists. That presentation will be widely announced so that interested faculty may attend. If there are no women and/or members of under-represented groups in the group of finalists, the committee chair must account for that fact to the Dean of Faculty and the Director of Equal Employment Opportunity (EEO). The recruitment and hiring of members of under-represented groups is an independent goal. Circumstances alter cases about the number of finalists to be brought to campus; that number will usually be three and should never be fewer than two and rarely more than four.

8. Candidates for tenure-track positions, and for continuing three-year positions, normally will be interviewed by the Dean of Faculty (half-hour appointment). The Office of the Dean of Faculty should be provided with the names of candidates brought to campus under any circumstances so that the payment of expenses can be authorized.

9. The search committee chair will recommend to the Dean of Faculty the person to whom the position will be offered. After a tentative agreement has been reached with the candidate, the department chair/program director will send a written recommendation to the Dean of Faculty. After the Dean and the Director of Equal Employment Opportunity are satisfied as to both the quality and conduct of the search, a contract letter will be sent by the Dean. This means that there will often be a short delay between the preliminary offer tendered by the search committee chair and the official letter sent by the Dean. However, the search committee chair may wish to delay the preliminary offer until the Dean and the Director of Equal Employment Opportunity have completed their analysis. Every effort will be made to proceed rapidly. Most candidates are willing to accept a short delay so that the College's procedures are thorough and fair. This process requires close coordination among the chair/director, the Dean, and the Director of Equal Employment Opportunity.

10. A final EEO Report must be completed by the search committee chair and sent to the Director of Equal Employment Opportunity at the completion of each search.

11. All recruiting bills dealing with faculty positions must be submitted to the office of the Dean of Faculty for approval.

12. If a leave replacement is to be considered for another term appointment, e.g., Professor X replaces Professor A in 2014-15 and wishes to apply for the position vacated by Professor B in 2015-16, the following obtains:

   a. The candidate is qualified as to field and discipline.
   b. There was a national search in the first instance.
   c. Teaching performance is superior, based on an analysis of the course evaluation forms (and peer review(s) of teaching, if available).

If the department and Dean are satisfied that all three of these conditions have been met, a new national search is unnecessary.

If any of the conditions is not met, a new national search should be conducted. The "in house" candidate may apply. Consideration of the application should include an evaluation of teaching (as in c. above); otherwise, the applicants should be considered in as uniform a fashion as possible and sensible.

The Dean of Faculty must approve exceptions to the policy outlined above.
B. Search Procedures: Part-Time Faculty, Assistant Coaches, and Support Positions

It is often impractical and prohibitively expensive to advertise widely for occasional part-time positions such as graders, section leaders, discussion leaders, music teachers, theatre teachers, instructors of Jan Plan courses, part-time coaches, and assistant coaches. Nevertheless, our commitment to equal opportunity and affirmative action requires that we provide notice of job openings as they occur. Our notification obligation can be satisfied in one of two ways:

1. A posting on the Colby website for a minimum of seven (7) days, with the advance approval of the Dean of Faculty. Department chairs, program directors, head coaches and other faculty who know of individuals locally who may be appropriate candidates for occasional, part-time positions may encourage them to apply as indicated in the job posting.

2. If a part-time position is likely to continue for more than one semester or academic year, it should be advertised and a modified version of the search procedures outlined in (A) above should be followed.

All positions, even one-course replacements, normally are advertised. This means that anyone hired into a part-time position will have been part of a search process that includes the posting of a position so that all interested candidates, in and outside of the College community, have had the opportunity to apply. However, it is possible, under certain circumstances, to rehire a person who has previously been successful in a part-time position without conducting another search. The Dean of Faculty must be consulted in advance regarding this possibility; no offer of re-hire may be made without the explicit permission of the Dean.

VI. Procedures for Reappointments, Sixth-Semester Review, Promotion and Tenure

Colby academic faculty members contribute to the mission of the College through their teaching and advising, scholarship and creative research, and service. These three areas constitute the relevant areas for assessment in personnel reviews, including reappointment, sixth-semester review, tenure and promotion.

Evidence required for a review dossier will vary, depending on the nature of the review. Evidence of scholarship and/or creative research is often dependent on field and/or discipline and candidates should consult with chairs and directors and the Dean of Faculty.

Peer review of teaching is a common component of dossiers for many types of review dossiers. To qualify as peer review of teaching, for the purposes of personnel review, such a review shall be based on classroom observation, involving substantial contact over time through team teaching, auditing, extensive classroom observation (e.g., several times per semester or for an entire course unit), or other cooperative association with a candidate. At the end of each series of evaluative visits, the evaluator will prepare a written report. After the candidate has reviewed this report, he/she may elect to write a response. The report and the response (if any) will be placed in the candidate's file (in the case of jointly appointed faculty, in both files), and will be included in the review dossier. If the candidate does not wish his/her response to be included in the dossier, it will be omitted. Evaluations derived from such activities should be included in the "peer review" section of a candidate's dossier. Impressions based on occasional classroom visitations or on a few visitations conducted just prior to a personnel action should not be part of the peer review system.

The director(s) or chair(s) of the relevant interdisciplinary program(s) and/or department(s) should, well ahead of the time of contract renewal, tenure consideration, or promotion, meet with the candidate to lay out a schedule of peer reviews leading toward the review. Peer reviews should be predictable and planned over the course of the
candidate's career. The chair(s) and/or director(s) should agree on the frequency of visitation, and decide upon who would likely be visiting what courses in which semesters. Where appropriate the interdisciplinary program director (or appointee) would review the courses or portion of courses central to the interdisciplinary major. Faculty who are making evaluative classroom visits should arrange the dates of the visits with the candidate, and the candidate should be given the opportunity to respond to the proposed schedule of visitations. The candidate always has the option to request additional peer reviews if he or she feels it is appropriate. In the case of jointly appointed faculty, coordination between the chair(s) and/or director(s) is required. Every effort should be made to resist doubling up on peer visitations by both the department chair and the interdisciplinary program director so as not to burden disproportionately the joint appointee with sometimes stressful peer visitations.

Informal classroom visitations to aid an instructor's development as a teacher should be encouraged but not required. When they occur, they should be by invitation of the instructor and will not result in formal reports for the dossier.

Each department and program will develop a written peer evaluation policy that reflects the above guidelines. Departments and programs that have jointly appointed faculty should also develop guidelines for peer review in such cases and should share them with the other department or program as well as with the person holding such an appointment.

A. Nomination Procedures. The office of the Provost and Dean of Faculty will inform faculty members, in writing (including by email), of the timing of reappointment and tenure review. Department chairs/program directors will be included in that notification. Every nomination shall be acted upon by a committee according to the procedures outlined below.

All discussions and communications within committees and between the committee and the Dean of Faculty and the President will be strictly confidential.

The following procedures are not to be construed as implying that every eligible faculty member has a right to reappointment, tenure, and promotion, but that every faculty member holding a Category I, II or III position has a right to be considered for reappointment, promotion, and for Category I faculty, tenure. For Category III faculty members, evaluators are reminded to assess the quantity of service on a pro rata basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members.

B. Reappointment

1. Committee Membership. All those of higher rank in the department or program in which the candidate is appointed are eligible to serve on a committee, under the leadership of the department/program chair/director, to decide upon the recommendation of a candidate's reappointment. When department chairs and program directors lack appropriate rank, the department/program committee shall select its own chair. Such department chairs/program directors may serve on and be eligible to chair reappointment committees if so desired by the candidate. If such chairs/directors do not serve on the committee and wish to submit an evaluation of the candidate, they must contribute that evaluation to the candidate's dossier before it is considered by the departmental committee.

Reappointment committees shall consist of at least three members, including at least one member of appropriate rank from outside the department or program in which the candidate is appointed. Upon the recommendation of the candidate and in consultation with the committee chair, the Dean of Faculty shall appoint committee members. All members of the department or program may submit materials to the committee.
For candidates with joint appointments, the reappointment committee shall include equal representation of faculty from both departments/programs involved whenever possible. The committee shall elect its own chair.

When a candidate has been "significantly involved" in an interdisciplinary major or minor, the director of that program should be included in the candidate's review committee. If the candidate is the director of the program or if the director of the program is ineligible, the chair of the Interdisciplinary Studies Division should perform this function.

2. **Dossier.** The reappointment committee shall consider the merits of the candidate based upon a complete and current dossier of information relevant to the candidate's capabilities, qualifications, and performance. It is essential that systematically obtained student evaluations be included in the dossier.

The sources of all statements in the dossier used by the reappointment committee in considering reappointment are not available to the candidate, nor are the written records of the deliberations of the committee. However, the Dean of Faculty will make available to the candidate the substance of statements in the dossier following the submission of the committee's recommendation. The candidate may request that the committee verify the accuracy of the Dean's summary of the substance of the statements in the dossier.

For Category I tenure-track faculty under review for reappointment during the first year, the dossier will include a CV, peer review of teaching, student course evaluations from the first semester and a personal statement that summarizes the candidate's own view about present and future growth as a teacher and scholar. The personal statement offers a venue for responding to the first semester student course evaluations. If a jointly appointed candidate is being reviewed in the first year, the candidate has the right to request a peer evaluation from both programs. The dossier will also include evidence of scholarship. Committee members are reminded that the scholarship evidence may be similar in theme and quantity to the material presented at the time of hiring.

3. **Report.** In those cases in which the committee recommends reappointment, it shall forward a report of its final vote together with the candidate's dossier to the Dean of Faculty. The Dean of Faculty shall inform the candidate of the College's decision on reappointment.

Should the committee recommend reappointment despite significant reservations (e.g. a split vote), a statement containing these reservations as well as the recommendation should be transmitted in writing to the candidate and to the Dean of Faculty by the committee chair. In some cases, the Dean of Faculty may send such a statement to the candidate.

Should the committee decide against favorable action, it shall forward a report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty. The committee shall also inform the candidate of its decision in writing. If reappointment is not recommended, or if reappointment is not granted, the reasons for this decision will be expressed in writing by the Dean of Faculty at the time to the candidate. Candidates may seek redress through the Faculty Grievance Committee only on grounds that the decision resulted from a failure of due process or inadequate consideration, and was, therefore, unfair; or that the candidate's academic freedom was violated; or because of discrimination against him/her based on his/her race, color, sex, sexual orientation, religion, age, parental or marital status, national or ethnic origin, political beliefs, or disability.
4. **Reappointment.** In considering Category III faculty members for reappointment, evaluators are reminded to assess the quantity of service on a pro rata basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members.

C. **Promotion to Assistant Professor**

1. Members of the faculty holding appointments at the rank of instructor who receive terminal degrees in their academic fields will normally be recommended for promotion to the rank of assistant professor by the Dean of Faculty.

   Members of the athletic faculty in Category II appointments who have had full-time appointments for three years at the rank of instructor will normally be recommended for promotion to the rank of assistant professor by the Dean of Faculty with the concurrence of (1) a majority of the professorial members of the department or program, and (2) the Committee on Promotion and Tenure.

2. **Dossier.** For those faculty members identified in the preceding paragraph, the sixth-semester review (see D, below.) shall be the basis for the promotion decision.

   The sources of all statements in the dossier used by the promotion committee in considering promotion are not available to the candidate, nor are the written records of the deliberations of the committee. The substance, however, of statements in the dossier shall be available to the candidate following the submission of the committee's recommendation. The candidate may request that the committee verify the accuracy of the report of the substance of the statements in the dossier.

3. **Report.** Should the committee decide against favorable action, it shall forward a report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty. The committee shall also inform the candidate of its decision in writing. The reasons for this decision will be expressed in writing by the Dean of Faculty if the candidate so requests. If promotion is not recommended, the candidate's dossier should still be forwarded for consideration by the College Committee on Promotion and Tenure unless the candidate, upon being informed of the committee's decision, requests that it not be forwarded.

   In those cases in which the committee recommends promotion, it shall forward a report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty, who shall present to the Committee on Promotion and Tenure all committee recommendations and documentary materials for promotion. The Dean of Faculty shall inform the candidate of the decision and the reasons leading to it.

D. **Sixth-Semester Review.** In addition to previous reviews, department or program committees shall conduct an especially thorough pre-tenure review of all candidates, normally in the sixth semester of their probationary period, in order to acquaint them with College guidelines for tenure, to assess their performance and prospects, to suggest areas of improvement, and indicate the likelihood of an eventual recommendation for tenure by the department or program. This committee will also recommend reappointment or non-reappointment to the Dean of Faculty.

   NB: Tenure-track faculty with normal probationary periods (who complete five consecutive full-time years of teaching prior to being considered for tenure in the fall of their sixth Colby year) should be aware that electing not to count more than one pre-tenure year toward the probationary period, i.e., "stopping the clock" more than once, will necessitate a second pre-tenure contract review (essentially a second sixth-semester review) prior to a tenure consideration. Faculty in other probationary period circumstances should consult directly with the Dean of Faculty regarding the pre-tenure review process.
1. **Committee Membership.** All tenured members of the candidate's department and such other members as the Dean of Faculty judges appropriate in special circumstances, are eligible to serve on the committee, which shall include at least one member who is not affiliated with the candidate's department or, where appropriate, interdisciplinary program. All committees must have at least three members. The "unaffiliated" member(s) will be appointed by the Dean of Faculty upon the recommendation of the candidate and in consultation with the committee chair and shall, if possible, be agreeable to all three.

The department chair or program director will chair the review committee; if the chair/director is untenured, the committee will select its own chair. Untenured chairs may serve on, and be eligible to chair, sixth-semester review committees if so desired by the candidate.

For candidates with joint appointments, the review committee shall include equal representation of faculty from both departments/programs involved when possible. The committee shall elect its own chair.

When a candidate has been "significantly involved" (see Administrative Organization of the College, section C) in an interdisciplinary major or minor, the director of that program should be included in the candidate's departmental review committee. If the candidate is the director of the program or if the director of the program is ineligible, the chair of the Interdisciplinary Studies Division should perform this function.

2. **Dossier.** Before review, the chair of the review committee, in collaboration with the candidate, shall assemble a dossier to serve as the basis for deliberations. This dossier will include:

   a. A chronologically ordered vita that includes all professional and College activities as well as other information.

   b. The candidate's teaching portfolio, i.e., instructional materials produced by the candidate for all courses, such as course syllabi, assignments, examinations, laboratory instructions, and so forth.

   c. All scholarship and/or creative research material published and/or submitted by the candidate and any reviews published of that material.

   d. A concise statement from the candidate that summarizes the candidate's own view of his or her present and future growth and development as a teacher and advisor, accomplishments and promise as a scholar, and contributions to the department, College, and discipline.

   e. Evaluations from individuals who have detailed familiarity with one or more of the following: the candidate's teaching and advising, scholarship, contributions to the College, and professional activities. Such evaluations should be solicited by the chair of the department/program review committee in consultation with the candidate. Evaluations of submitted scholarship by outside referees need not be solicited.

   f. One or more peer reviews of the candidate's teaching using the procedures described in VI. Procedures for Reappointments, Sixth-Semester Review, Promotion and Tenure. It is important to include at least one peer review of teaching conducted in the year of the sixth-semester review.

   g. All official College or department/program student course evaluation forms that have been submitted by students in the candidate's courses, statistical summaries, and any statements that have been submitted by student committees.
h. The committee report from the candidate's first year (reappointment) review.

i. Any additional information or letters that the candidate might wish to submit or that might come to the review committee's attention.

3. Report. The committee will include in its sixth-semester review report a rigorous assessment of the candidate's achievement and promise in teaching, advising, scholarly or creative work, and College service. The report and dossier are normally due in the Office of the Provost and Dean of Faculty on June 1. After obtaining the Dean's approval, a copy of the report will be given to the candidate, subsequent to the submission of the dossier to the Dean's office. The Dean's response to the committee report will be sent to the candidate, and copied to the committee chair, by June 30.

The sixth-semester review committee will also make its recommendation on reappointment to the Dean of Faculty, accompanied by the dossier considered by the committee.

E. Tenure and Promotion to Associate Professor. The granting of tenure and promotion to the rank of Associate Professor will normally occur simultaneously. Any appointment or promotion that confers tenure must be approved by the Board of Trustees. Faculty granted tenure by vote of the Board of Trustees are thereafter considered to be tenured members of the faculty for the purpose of forming department and program review committees.

Assumptions. The College assumes that all candidates who are recommended to the Committee on Promotion and Tenure (P & T) by their department committees are very good candidates who have completed the basic academic qualifications appropriate to their specialty; the Committee on Promotion and Tenure must consider the needs of the department, the division, the interdisciplinary program, and the College in the years ahead. The College has established certain broad criteria that are to be applied to the tenure decision: the candidate's excellence as a teacher and advisor (this is the paramount criterion); accomplishments and/or potential as a scholar; and contributions to the department, College, and discipline.

1. Committee Membership. All tenured members of a department/program are eligible to serve on a committee, under the leadership of the department/program chair/director, to decide upon the recommendation of a candidate's tenure. Normally the department/program chair/director, if eligible, will serve as chair of the committee; however, when the committee feels that it is appropriate, it may choose its own chair. When department/program chairs/directors are not tenured, the department/program committee shall select its own chair. Untenured department/program chairs/directors may serve on and be eligible to chair tenure committees if so desired by the candidate. If untenured chairs/directors do not serve on the committee and wish to submit an evaluation of the candidate, they must contribute that evaluation to the candidate's dossier before it is considered by the committee. The committee shall include at least three members, including at least one tenured faculty member who is not affiliated with the candidate's department or program. The "unaffiliated" member(s) will be appointed by the Dean of Faculty upon the recommendation of the candidate and in consultation with the committee chair and shall, if possible, be agreeable to all three.

For candidates with joint appointments, the tenure committee shall include equal representation of faculty from both departments/programs involved whenever possible. The committee shall elect its own chair.

When a candidate has been "significantly involved" (see Administrative Organization of the College, section C) in an interdisciplinary major or minor, the director of that program should be included in the candidate's review committee. If the candidate is
the director of the program or if the director of the program is ineligible, the chair of the Interdisciplinary Studies Division should perform this function.

The chair of the committee will be invited to appear before the Committee on Promotion and Tenure to answer any questions members may have about the dossier or the department/program committee vote (see #3, Report). When special circumstances warrant, a second member of the committee may accompany the chair on this occasion. Such special circumstances include but are not limited to the following: the candidate is jointly appointed in a second department or program; is significantly involved in an interdisciplinary program; the committee is divided; the department chair, who has a particularly important or well-informed perspective, is not serving as chair of the committee.

2. **Dossier.** The material included in the dossier assembled for the sixth-semester review should be brought up to date for the tenure review. The complete tenure dossier to be submitted to the Committee on Promotion and Tenure via the Dean of Faculty (2014-15 submission deadline of September 3, 2014; 2015-16 submission deadline of September 4, 2015) by the department/program committee should include the following, in separate file folders or sections of three-ring binders:

   a. The committee report containing its recommendation and supporting reasons. The report should be signed by all members of the committee. **In no case does the tenure candidate receive copies of this confidential report.**

   b. A current curriculum vitae including:

      1. Courses taught by semester and year with enrollments
      2. Publications
      3. Presentations, performances, exhibits
      4. Committee and other college and professional service by year
      5. Other activities of note.

   c. A concise statement from the candidate that summarizes the candidate's own view of his or her present and future growth and development as a teacher and advisor, accomplishments and promise as a scholar, and contributions to the department, College, and discipline.

   d. Copies of all correspondence between the departmental committee and the candidate.

   e. The candidate's teaching portfolio, i.e., all instructional materials produced by the candidate for all courses, such as course syllabi, assignments, examinations, laboratory instructions, and so forth.

   f. One or more peer reviews of the candidate's teaching. (See peer review procedures, under VI. Procedures for Reappointments, Sixth-Semester Review, Promotion and Tenure.) At least one peer review of teaching conducted during the year that the tenure dossier is compiled should be included.

   g. Reviews of scholarship from at least four and no more than six external "objective" reviewers.

   An "objective" reviewer has not had extensive personal or professional contact with the candidate. The names of possible reviewers are initially suggested by the candidate, including information on potential reviewers’ professional affiliations and relationship with the candidate. **Former students, former teachers, former colleagues, past and current co-authors and research collaborators, graduate student colleagues, graduate school advisers, should be avoided.** The list from the candidate should include potential reviewers’ full contact information, including email address and phone number. The committee may add to the list so long as the candidate is notified (and is permitted to register objections). By majority vote the committee chooses to whom it will write and this must be done at a meeting of the committee. The Dean of Faculty must
be invited to this meeting for the discussion of the letter writers. Once the list is established, the committee chair will contact the potential letter writers. Communications with potential letter writers should follow standard form. Reviewers should be asked to send copies of their CVs with their completed letters. Reviewers are sent the candidate's CV and all relevant publications, manuscripts, slides, and tapes. The candidate has the option of submitting to the committee chair a personal scholarship statement to go to the external reviewers. This statement should be concise (maximum of 3 pages, single spaced) and it affords the candidate an opportunity to articulate her/his research agenda. The statement is not an advocacy statement and it should be factually based.

If members of the departmental committee or Promotion and Tenure Committee find that the scholarship reviews are not sufficiently substantial or objective, the committee or the Dean will request additional reports.

h. Letters from colleagues on the Colby faculty and outside Colby who are familiar with the candidate's scholarship, contributions to the field and/or profession, including the Director of any interdisciplinary program in which the candidate participates.

NOTE: The candidate suggests colleagues. The committee may decide to solicit letters from others (the candidate is notified in such cases). The standard form letter should be used.

i. Letters solicited from all current and former students.

NOTE: The letter to students should follow standard form, available from the Dean of Faculty website. One standard reminder letter should be sent to all students who did not respond to the first letter. Letters to students presently enrolled in courses taught by the candidate should be held until the end of the semester.

j. Sixth-semester review report and any related correspondence, including the reply from the Dean of Faculty.

k. Copies of each type of letter sent out to reviewers, colleagues, and students.

l. Statistical summaries of course evaluations arranged by semester and year, from oldest to newest.

m. Course evaluations, all-college and (if any) departmental (see Student Evaluation of Instruction); in chronological order; evaluations of team-taught courses should be included with an explanation of the involvement of the candidate. Evaluations should be submitted by student and by question.

n. Copies of all publications, manuscripts, slides of work, tapes of performances, and commercially published software together with reviews published of that material, and all manuscripts or research in progress that the candidate wishes to submit.

o. Other material the candidate wishes to include.

p. Other evaluation material requested by the department/program or the Dean of Faculty may be appropriately included because of special circumstances (the candidate is notified).

q. Material that arrives after the tenure review is complete will be referred to the committee before being placed in the dossier; any response from the committee will also be included in the dossier.

See Appendix III for a schedule for the submission of tenure review materials.

The sources of all statements in the dossier used by the committee in considering tenure are not available to the candidate, nor are the written records of the
deliberations of the committee. On request, the Dean of Faculty will make available to the candidate the substance of statements in the dossier following the submission of the committee's recommendation. The candidate may request that the committee verify the accuracy of the Dean's summary of the substance of the statements in the dossier.

3. **Report.** In those cases in which the committee recommends tenure it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty, who shall present to the Committee on Promotion and Tenure all committee recommendations and documentary materials for tenure. Should the committee recommend tenure with significant reservations, a statement containing these reservations should be transmitted in writing to the Dean of Faculty by the committee chair. The Dean of Faculty will transmit a redacted copy of the dossier, including the committee report, to the candidate, and the candidate will have 14 days to submit a response.

If the committee recommends tenure without significant reservations, the candidate shall be notified by the committee chair that he or she has been recommended for tenure without significant reservations.

Should the committee decide against favorable action, it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty. The committee shall also inform the candidate of its decision in writing. The reasons for this decision will be expressed in writing if the candidate so requests. If tenure is not recommended, the candidate's dossier should still be forwarded for consideration by the College Committee on Promotion and Tenure unless the candidate, upon being informed of the committee's decision, requests that it not be forwarded.

4. **Communications between the Committee on Promotion and Tenure and the President**

   a. **Committee Action.** All discussions and communications within the Committee on Promotion and Tenure and between the committee and the President will be strictly confidential. Each member of the Committee on Promotion and Tenure will complete a written statement for each candidate comprised of the following:

   (1) An evaluation of the candidate's qualifications based on the following three criteria:

   (a) Demonstrated excellence in teaching as judged from student evaluations and from peer evaluations, and an interest in and aptitude for advising students in the variety of settings appropriate at a small liberal arts college.

   (b) Demonstrated continued scholarly activity and professional development and potential for continued growth. Research and/or publication (or other professional activities appropriate to certain disciplines, e.g., musical compositions, sculpture), which provide evidence of a candidate's qualifications, should be judged by peers and by outside reviewers.

   (c) Service to the candidate's department/program, to the College, and to the discipline should be taken into account. At a college with a small and involved faculty, service to the College is expected; but evidence of such service is not in itself sufficient grounds for tenure.

   (2) An overall evaluation of the candidate's qualifications, based on the three criteria above, and of how the candidate's qualifications fit into the overall needs of the College.

   For (1) and (2) above the committee will use the following system:

   **Exceptional:** Equal or superior to the best who have been tenured in recent years.
Outstanding: Equal to those who have been tenured in recent years.

Good: Has fulfilled the normal expectations of a Colby faculty member.

(3) An explanation for each of the judgments arrived at.
Each member shall vote in a written ballot on whether or not the candidate should be tenured. This vote shall be based on the committee member's overall evaluation of the candidate's qualifications and of how the candidate's qualifications fit into the needs of the College.
At a separate meeting, after the committee members have evaluated and voted on each candidate for tenure, the committee will reconsider its tenure votes.

5. Action by the Dean, President, and Board of Trustees. The Dean of Faculty will serve as chair of the Committee on Promotion and Tenure without vote. The Dean will transmit the vote of the committee members, the committee members' evaluations, and the Dean's own evaluations and recommendations to the President. Once the Dean of Faculty and the President have reviewed the recommendations of the Committee on Promotion and Tenure and have formulated their own recommendations, they will convey their recommendations to the Educational Policy Committee (EPC) of the Board of Trustees. It is important to note that the EPC and the full Board are empowered to make their own determination regarding tenure in each case. Following EPC action on the recommendations for tenure at the Winter meeting of the Board of Trustees, each candidate will be notified of the recommendation being made for or against tenure. This notification normally takes place in a phone call from the Dean of Faculty to the candidate following the Winter EPC meeting, at a time determined in advance.

6. Communications between the Dean of Faculty and Department/Program Tenure Committee. The Dean should meet with the committee at one of its first meetings to discuss the following guidelines and other pertinent matters:

   a. The committee should not only recognize present accomplishments but also the potential for continued growth towards professional excellence at Colby.

   b. In reaching its decision, the committee must take into account the needs of the department, the division, the interdisciplinary program, and the College, in the years ahead, as well as the candidate's qualifications.

   c. The committee must adhere to the College's Policy Statement on Non-Discrimination and Affirmative Action.

   d. The committee should recognize the importance of complete confidentiality in these procedures.

In addition, the Dean should remind the committee that the candidate should have completed the basic academic qualifications appropriate to his or her specialty and that the candidate should be judged by the criteria employed by the College committee and specified in E.4.

7A. Reconsideration Request Procedure in Cases of Denial of Tenure. Faculty members denied tenure will have 30 days from the date they receive written notification to file a statement of intent to file a reconsideration request. The formal request for reconsideration must be filed within 45 days from the date written notification of denial of tenure is received. (Note: an early statement of intent is required so that the Reconsideration Request Committee can be formed.) The possible grounds for reconsideration requests are: discrimination, violation of academic freedom, and
procedural irregularity causing inadequate or improper consideration. These categories are to be understood as follows:

1) Discrimination. The faculty member may have been denied tenure because of discrimination against him/her based on his/her race, color, sex, sexual orientation, religion, age, parental or marital status, national or ethnic origin, political beliefs, or disability.

2) Violation of academic freedom. The faculty member's academic freedom, as defined in the Faculty Handbook, (see pg. 43) may have been violated in a manner that led to denial of tenure.

3) Procedural irregularities causing inadequate or improper consideration. Some component or components of the College's procedures for tenure review may not have been followed, leading to inadequate or improper consideration of the candidate's credentials for tenure.

The request is sent to the Dean of Faculty who will constitute a Reconsideration Request Committee consisting of five members: (a) a tenured faculty member chosen by the person filing the request; (b) the three faculty members who concluded service on P & T in the preceding year or their alternates (if the alternate has previously been a member of P & T); and (c) the division chair of the candidate's division. Except for the person chosen by the candidate, no member of the Committee can have been a member of the department/program tenure committee when it made the original tenure recommendation. No member of the Committee may have been a member of P & T when it made the original decision. If any individuals from these categories are not eligible to serve or are not available, the committee will be completed by joint decision of the Dean of Faculty and the chair of the Advisory Committee on Faculty Personnel Policies (ACFPP). The Committee will be completed by choosing, in addition to (a) the tenured faculty member chosen by the person filing the request; (b) former members of P & T so that there is one from each division; and (c) a fifth member who is a tenured member of the candidate's division, and who, preferably, has previously served as a division chair.

The committee will review the request for reconsideration submitted by the faculty member filing the request, the tenure dossier assembled by the department/program committee and used by P & T in its deliberations, the statements written by the members of P & T to the President, plus any other documents and materials the committee deems pertinent. The committee will offer an interview to the faculty member filing the request (who may or may not agree to appear) and may request interviews with any other individual deemed appropriate to the deliberations of the committee, including members of the department/program tenure committee and P & T. The committee will normally have 45 days to make its determination as to whether P & T will reconsider tenure for the candidate who filed the request. The outcome of the committee's deliberations together with the reasons for their determination will be expressed in written form to the Dean of Faculty. A summary, with confidential references omitted, will be given to the faculty member who filed the request. The Reconsideration Request Committee will operate under the same confidentiality rules as department/program tenure committees and P & T, and all conversations, discussions, communications, and materials consulted or created by the committee will be considered strictly confidential.

The committee must not attempt to substitute its judgment for that of P & T on the substantive issue of tenure but must focus on issues raised by the faculty member in his/her formal request for reconsideration, plus any other procedural issue raised by the committee in its deliberations.

At least three votes from the five members of the committee will be required for reconsideration of tenure by P & T.
7B. Reconsideration Procedures for the Promotion and Tenure Committee. If at least three members of the Reconsideration Request Committee vote in favor of reconsideration, P & T will reconsider the tenure of the person who filed the original request. P & T will provide an opportunity for an interview with the person filing the request and may also request interviews with any other individual the committee deems appropriate. In addition to the original tenure dossier, P & T may utilize any other documents and materials it deems appropriate to its reconsideration.

At the conclusion of its reconsideration, each member of P & T Committee will vote for or against tenure and will write a statement addressed to the President explaining his/her vote. A report describing how the reconsideration issues were addressed will be communicated to the President by the Dean of Faculty. A copy of the report will also be provided to members of the Reconsideration Request Committee. The Reconsideration Request Committee may request a meeting within 10 days with the President and P & T to clarify the process that has been followed and the reasons for the outcome. The written statements of P & T members recording their votes for or against tenure on reconsideration will be forwarded to the President by the Dean of Faculty. The President shall then formulate a recommendation for or against tenure. If the President's determination is not to grant tenure, a written notification will be provided to the person who filed the reconsideration request including the report of how the reconsideration request issues were addressed. The Dean of Faculty shall also provide the person who filed the request with a written summary of the reasons given by the members of P & T in individually voting for and against tenure.

8. Promotion to Associate Professor (Category III). Category III assistant professors, while not eligible for tenure, may nonetheless be reviewed for promotion to associate professor, normally after six years in the rank of assistant professor, following the procedures outlined in VI.E. Evaluators are reminded to assess the quantity of service on a pro rata basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members. The submission deadline for 2014-15 is February 6, 2015. Late dossiers will be considered in a subsequent year.

See Appendix IV for a schedule for the submission of promotion review materials.

F. Promotion to Professor. Associate professors will be reviewed for promotion to professor at the recommendation of their department or program, or if they themselves request such a review. It is the responsibility of the Dean of Faculty, department chairs, and program directors to ensure that all associate professors are consulted no later than the tenth year after tenure or the last promotion to determine whether they wish to be considered for promotion to professor, and such consultation should take place annually thereafter.

1. Committee Membership. All members of the department or interdisciplinary program of appointment with the rank of professor shall constitute a committee, under the leadership of the department/program chair/director, to decide on the recommendation regarding a candidate's promotion to professor. Normally the department/program chair/director, if eligible, will serve as chair of the committee; however, when the committee feels that it is appropriate, it may choose to elect its own chair. When chairs/directors lack appropriate rank, the committee will select its own chair. Such department/program chairs/directors, however, may serve on and be eligible to chair the promotion committee if so desired by the candidate. If the department/program chair/director does not serve on the promotion committee and wishes to submit an evaluation of the candidate, such evaluation must be included in the candidate's dossier before it is considered by the committee.

The committee shall consist of at least three members. In any event, upon the recommendation of the candidate and in consultation with the committee chair, the
Dean of Faculty shall appoint to the committee at least one member unaffiliated with the candidate's department or program with the rank of professor.

For candidates with joint appointments, the promotion committee shall include equal representation of faculty from both departments/programs involved whenever possible. The committee shall elect its own chair.

When a candidate has been "significantly involved" (see Administrative Organization of the College) in an interdisciplinary major or minor, the director of that program should be included in the candidate's departmental review committee. If the candidate is the director of the program or if the director of the program lacks appropriate rank, the chair of the Interdisciplinary Studies Division should perform this function if he/she holds appropriate rank. In other instances a professor, mutually agreeable to the candidate and director of the interdisciplinary program, will serve.

2. **Dossier.** Dossiers for candidates for promotion to professor shall be up-to-date versions of their tenure dossiers, including letters from current and former students taught or advised since tenure, and publications and other material produced since tenure. (See VI. Procedures for Reappointments, Sixth-Semester Review, Promotion and Tenure; also note peer review procedures.)

Course evaluations must include all those since tenure as well as those from the year in which the candidate's tenure consideration took place at Colby.

Scholarship relevant to the promotion consideration includes all work completed since the tenure consideration.

The sources of all statements in the dossier used by the committee in considering promotion are not available to the candidate, nor are the written records of the deliberations of the committee. On request, the Dean of Faculty will make available to the candidate the substance of statements in the dossier following the submission of the committee's recommendation. The candidate may request that the committee verify the accuracy of the Dean's summary of the substance of the statements in the dossier. *The submission deadline for 2014-2015 is February 6, 2015. Late dossiers will be considered in a subsequent year.*

3. **Report.** Should the committee decide against favorable action, it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty. The committee shall also inform the candidate of its decision in writing. The reasons for this decision will be expressed in writing if the candidate so requests. If promotion is not recommended, the candidate's dossier should still be forwarded for consideration by the College Committee on Promotion and Tenure unless the candidate, upon being informed of the committee's decision, requests that it not be forwarded.

In those cases in which the committee recommends promotion it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty, who shall present to the Committee on Promotion and Tenure all committee recommendations and documentary materials for promotion.

The Dean of Faculty will serve as chair of the P & T committee without vote. The Dean will transmit the vote of the committee members, the committee members' evaluations, and the Dean's own evaluations and recommendations to the President. The Dean of Faculty shall inform the candidate of the President's recommendation to the Board of Trustees and the reasons leading to it.
Any request for reconsideration in cases of denial of promotion after the case has been presented to the Committee on Promotion and Tenure will follow the same procedures as for denial of tenure.

4. Temporal Guidelines. Normally, tenured faculty members will be considered for promotion to professor after six or more years with the rank of associate professor. Exceptional or outstanding performance in teaching and advising, scholarly or creative achievement, and service will be expected. Faculty members presented for promotion to professor who have not served six years in rank as associate professors will be expected to have performed exceptionally in all areas.

5. Promotion to Professor (Category III). Promotion from associate professor to professor will normally be considered no later than the tenth year after promotion to associate professor. An associate professor may request postponement. Evaluators are reminded to assess the quantity of service on a pro rata basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members. The submission deadline for 2014-15 is February 6, 2015. Late dossiers will be considered in a subsequent year.

See Appendix V for a schedule for the submission of promotion review materials.

VII. Adjunct Faculty (Category II): Initial Reviews, Sixth Semester Reviews, Contract Renewals, and Promotions

For all reviews and promotions, committees are established to prepare and evaluate the dossier of the candidate and to make a recommendation to the Dean of the Faculty.

A. Category IIA Faculty (Full-time Coaching Faculty). Initial reviews take place in the spring semester of the first and second years. For each initial review, the review committee will recommend whether another one-year contract should be awarded to the candidate. For the sixth semester review and subsequent contract reviews, the committee will recommend the length of the contract, up to three years, and any specific conditions. Reappointment and promotion criteria are contained in Appendix V. Procedures and documentation required for all reviews of Category IIA faculty are contained in the Department of Athletics Policies and Procedures Manual, available from the Office of the Director of Athletics.

Candidates are eligible for promotion to Adjunct Associate Professor or Adjunct Professor after six years in rank. The dossier will be submitted to the Dean of the Faculty who will present it to the Committee on Promotion and Tenure. Because Category IIA faculty are in season at different times of the year (fall, winter, spring), specific deadlines for submission of promotion dossiers are arranged in conjunction with the Dean of Faculty, taking into account the spring meeting schedule for the Committee on Promotion and Tenure. Submission deadline arrangements must be made by the Director of Athletics in consultation with the Dean of Faculty by December 1 of the academic year in which a promotion consideration will take place. If arrangements have not been made by this time, the promotion consideration will take place in a subsequent year.

1. Committee Membership. All those of equal or higher rank who have completed their sixth semester review are eligible to serve on each committee (initial review, sixth semester review, contract review, promotion). The Athletic Director is eligible to serve as a full member and normally serves as the chair of the committee. Committees consist of at least four members, the director, at least two additional members of the department, and at least one member of the academic faculty (“unaffiliated” committee member). The academic faculty member(s) will be appointed by the Dean of Faculty upon the recommendation of the candidate and in consultation with the committee chair and shall, if possible, be agreeable to all three.
2. **Dossier.** The reappointment committee shall consider the merits of the candidate based upon a complete and current dossier of information relevant to the candidate’s qualifications, capabilities, and performance. It is essential that systematically obtained student evaluations be included in the dossier.

The sources for all statements in the dossier used by the department-level committee are not available to the candidate, nor are the written records of the deliberations of the committee. On request, the Dean of Faculty will make available to the candidate the substance of statements in the dossier following the submission of the committee’s recommendation. The candidate may request that the department-level committee verify the accuracy of the Dean's summary of the substance of the statements in the dossier.

Because faculty in this category do not teach courses for academic credit as their major responsibility, certain aspects of reappointment and promotion differ from those of faculty in Categories I, IIB and III. The following materials must be included in the review dossier:

a. Initial Reviews
   (1) A current, chronological resume including:
      (a) Teams coached as the head or principal coach by season with the number of players designated.
      (b) Teams coached as an assistant coach by season with number of players designated (if applicable).
      (c) Any administrative duties as assigned.
      (d) Committees and other college and professional service by year.
      (e) Other activities of note.
   (2) The Department of Athletics Annual Assessment Form.
   (3) All Athletic Department student evaluation forms and statistical summaries, arranged in chronological order by season and year.
   (4) The candidate’s coaching portfolio, which should include all instructional materials produced by the candidate for his or her coaching, i.e. sample game plans, practice plans, recruiting calendars, leadership training, strength and conditioning programs, and letters sent to prospective and entering students.
   (5) Peer review of coaching. A peer review should be made according to the following procedures. Peer reviews should be conducted in the year of a reappointment review. Further details are available in the Coach’s Handbook.

   i. The peer reviewer will be a member of the head coaching staff who has successfully completed their sixth semester review plus a subsequent three-year contract renewal. The Athletic Director and the candidate will agree on the selection of the peer reviewer. Peer review should occur throughout the review year and should involve substantial interaction. Attendance by the reviewer at a number of the coach’s practices and contests is required. The reviewer, the candidate, and the chair will agree upon the exact number of practices and contests in advance of the season.

   ii. Reviewers provide a written evaluation of the candidate’s abilities. Areas to be addressed in each written assessment include commitment to the mission of the College, coaching and teaching, recruiting, professional characteristics, administration of the program. The candidate should review this report and may elect to write a response, which also will be included in the dossier.

   iii. Peer reviewers may be a part of the candidate’s review committee if agreed upon by the candidate, reviewer and committee chair.
(6) A review of the candidate’s recruiting activities provided by the Athletic Director. This review is based in part on a list, compiled by the candidate, of all students who were recruited or appeared on rosters during the review period. This list will include indicators, as specified in the Coach’s Handbook, that will be used in evaluating the coach’s effectiveness in recruiting. The review will address knowledge of and adherence to applicable rules and policies, effectiveness of interactions with the Office of Admissions and Financial Aid, ability to communicate the needs of the program, and timeliness in meeting deadlines.

(7) The Admissions Liaison Review. Details are available in the Coach’s Handbook.

(8) Reappointment review reports applicable to the period under review.

(9) Other material the candidate wishes to include (e.g., letters from the faculty liaison, alumni, and/or parents).

b. Sixth Semester Reviews and Contract Renewals

All materials listed in Section VII.A.2.a, complete through the most recent season and listed by year, are included. At least two peer reviews of the candidate's coaching are required, each conducted by a different peer reviewer. Additionally the following documents are to be included:

(1) A concise statement from the candidate that summarizes the candidate's own view of his or her present and future growth as a teacher, accomplishments and promise as a coaching professional, and contributions to the department, College, and discipline or profession.

(2) Letters from individuals who have detailed familiarity with the candidate's coaching and other professional activities. Such evaluations should be solicited by the Athletic Director in consultation with the candidate. The committee may solicit letters from others following notification of the candidate. These letters should include a minimum of one but no more than six letters from colleagues within the College. The standard letter for Category IIA faculty, which is available from the Office of the Dean of Faculty, must be used for the solicitation.

(3) Copies of all correspondence between the departmental committee and the candidate.

c. Promotion to Adjunct Associate Professor and Adjunct Professor

All materials listed in Section VII.A.2.a and b., complete through the most recent season and listed by year, are included. At least two peer reviews of the candidate's coaching are required, each conducted by a different peer reviewer. Additionally the following documents are to be included:

(1) Letters solicited from all current and former students on the relevant teams. The letter to students must follow the standard form for Category IIA faculty, which is available from the Dean of Faculty. One standard reminder letter will be sent to all students who did not respond to the first letter. Current and former students are defined as those students who completed at least one full season with a team.

(2) Letters from individuals who have detailed familiarity with the candidate's coaching and other professional activities. Such evaluations should be
solicited by the Athletic Director in consultation with the candidate. The committee may solicit letters from others following notification of the candidate. These letters should include a minimum of one but no more than six letters from colleagues within the College and a minimum of two but no more than four letters from non-Colby coaches. The standard letter for Category IIA faculty, which is available from the Office of the Dean of Faculty, must be used for the solicitation.

(3) Reappointment review reports applicable to the period under review for promotion consideration.

(4) Copies of each type of letter sent out to colleagues and students.

Other evaluation material requested by the department or the Dean of Faculty may be appropriately included because of special circumstances, following notification of the candidate. Material that arrives after the department-level promotion review is complete will be referred to the committee before being placed in the dossier; any response to new material from the committee will also be included in the dossier.

3. Report. The committee report containing its recommendation and supporting reasons shall be forwarded to the Dean of Faculty. The report should be signed by all members of the committee.

   a. Initial Reviews, Sixth Semester Reviews, and Contract Renewals: The review committee will make its recommendation to the Dean of Faculty, accompanied by the dossier considered by the committee. A copy of the committee report will be given to the candidate when the dossier is submitted to the Dean of Faculty. The committee's vote is recorded and forwarded, separately, to the Dean of Faculty.

   b. Promotions: The committee shall provide a confidential overall evaluation of the candidate's qualifications and how the candidate's qualifications fit into the overall needs of the College, and shall recommend the candidate as exceptional, outstanding, or good (see definitions in Section VI.E.4a). In those cases in which the committee recommends promotion it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty, who shall present to the Committee on Promotion and Tenure all committee recommendations and documentary materials for promotion.

Should the committee decide against favorable action, it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Dean of Faculty. The committee shall also inform the candidate of its decision in writing. The reasons for this decision will be expressed in writing if the candidate so requests. If promotion is not recommended, the candidate's dossier should still be forwarded for consideration by the College Committee on Promotion and Tenure unless the candidate, upon being informed of the committee's decision, requests that it not be forwarded.

The Dean of Faculty will serve as chair of the P & T committee without vote. The Dean will transmit the vote of the committee members, the committee members' evaluations, and the Dean's own evaluations and recommendations to the President. The Dean of Faculty shall inform the candidate of the President's recommendation to the Board of Trustees and the reasons leading to it.

4. The following temporal guidelines shall apply for Category IIA adjunct members of the faculty.

   a. Category IIA faculty who have had full-time appointments for three years at the rank of adjunct instructor will normally be considered for promotion to the rank of adjunct assistant professor at the time of the Sixth Semester Review.
b. Promotion from adjunct assistant professor to adjunct associate professor will normally be considered during the twelfth semester of full-time employment at Colby.

c. Promotion from adjunct associate professor to adjunct professor will normally be considered after six years in rank and no later than the tenth year after promotion to adjunct associate professor. An adjunct associate professor may request postponement.

B. Category IIB Faculty (Full-time Academic Faculty)

1. The policies and procedures of VI. A., B., C., D., E., and F. above (except tenure) shall be followed as closely as possible for nominations, reappointments, and promotions.

2. The following temporal guidelines shall apply for Category IIB adjunct members of the faculty. The 2014-15 dossier submission deadline is February 6, 2015.

   a. Category IIB faculty who have had full-time appointments for three years at the rank of adjunct instructor will normally be recommended for promotion to the rank of adjunct assistant professor by the Dean of Faculty with the concurrence of a majority of the adjunct professorial members of the department/program, and the Committee on Promotion and Tenure.

   b. Promotion from adjunct assistant professor to adjunct associate professor will normally be considered during the twelfth semester of full-time employment at Colby.

   c. Promotion from adjunct associate professor to adjunct professor will normally be considered no later than the tenth year after promotion to adjunct associate professor. An adjunct associate professor may request postponement.

   See Appendix IV for a schedule for the submission of promotion review materials.

C. Reconsideration Request Procedure in Cases of Denial of Promotion for Faculty in Categories IIA, IIB and III

1. Any request for reconsideration in cases of denial of promotion after the case has been presented to the Committee on Promotion and Tenure will follow the same procedures as for denial of tenure.

VIIA. Continuing Part-Time Faculty (Category III): Appointment, Reappointment, and Promotion

The policies and procedures of VI. A., B., C., D., and F. (except tenure) shall be followed as closely as possible for appointments, reappointments, and promotions of Category III faculty.

VIII. Special Procedures

In certain types of faculty personnel actions—e.g., emergency or sabbatical replacements, part-time appointments, appointments of distinguished or visiting professors—it may be impractical to follow all of these provisions. In such cases, these provisions will be followed to the degree possible.

IX. Promotion of Administrators or Staff Members with Academic Titles

A. Assistant Professors, Associate Professors, or Professors of Designated Subjects

   These staff members are those with previously acquired academic credentials connected with the discipline to which their rank is attached. Further, they continue to be actively identified with their discipline and with the corresponding Colby department or program. Procedures for the promotion of such staff members will follow as closely as possible the guidelines for the promotion of teaching faculty members, including consideration by the Committee on Promotion and Tenure.
B. Assistant Professors, Associate Professors, or Professors without Designated Subjects

These staff members are those who do not possess relevant academic credentials, or who have explicitly relinquished disciplinary and departmental identification. Promotion in academic rank of such individuals is an administrative matter, not subject to review by the Committee on Promotion and Tenure.

X. Performance Evaluation, Merit Review, and Salary Determination

A. Evaluations have three purposes. The first is to provide each member of the faculty with a careful and comprehensive assessment of his or her professional activities. The second is to provide a thorough and just means of determining merit salary increases. The third is to review the faculty member's future plans and to discuss what College resources (e.g., sabbatical and other leaves, course relief, research assistants) can be made available to assist that faculty member to develop new courses, to pursue new research interests, or otherwise to strengthen his or her teaching or scholarship. Hence, reviews should often result in collegial advice and concrete assistance.

B. Faculty members in Category I, II, or III will be eligible for merit reviews in their third year of employment in one of these categories at Colby with any related merit salary increases to take effect at the beginning of the fourth year. Thereafter, merit reviews will take place every three years. If the year in which tenure is awarded is not a merit review year, the Dean of Faculty will normally recommend the highest increase at the next performance evaluation and salary determination.

C. No faculty member need be reviewed for a merit salary increase in the applicable merit year. Notice to the Dean of Faculty by December 1 of that year of the faculty member's intention not to participate in the merit salary review will place the faculty members so choosing in the across-the-board category for that year. Participation in the merit salary review is, therefore, at the option of the individual faculty member. However, it is essential that all continuing faculty participate in a process of periodic performance review. These reviews will be designed to foster faculty development (as outlined in A. above) as well as to provide clear and helpful evaluation. Accordingly, those faculty opting not to participate in the merit salary review system will instead be expected to participate once every six years in an individualized faculty review to be conducted by the faculty member in consultation with his or her chair/director, the Dean of Faculty, and one other mutually approved colleague. It is also possible to choose not to be considered during one merit cycle and to be considered for merit review during the next cycle. If a faculty member elects not to be considered for two consecutive cycles, he/she by definition elects to participate in the six-year review. Any review may result in a merit adjustment.

D. In preparation for a merit review, each faculty member will submit a (limited) dossier to the office of the Dean of Faculty. The dossier should include: i) an up-to-date CV, with information on courses taught and enrollments for the period under review; ii) copies of annual reports for the period under review; iii) summaries of student course evaluations for the period under review together with the individual student responses; iv) an optional personal statement that details relevant professional activities during the review period. The dossier is due in the Office of the Provost and Dean of Faculty no later than February 1 of the merit review year. Faculty members for whom contract renewal and/or sixth-semester reviews are scheduled in their merit review year should submit materials in accord with review guidelines. Stated all-College criteria will be followed in merit review: demonstrated excellence in teaching and advising students; demonstrated continued research and scholarship and professional and creative achievement; and service to the department, College, and discipline. In the case of Category III faculty, service will be evaluated on a pro rata basis.

E. The Dean of Faculty will review the dossier and may request supplemental information. The Dean will determine what percentage increase above the across-the-board increase
will be recommended to the President for each faculty member reviewed that year. The Dean's recommendation will be final unless modified by the President.

F. The preparation of an individualized sixth-year review need not follow the procedures or timetables set forth in paragraph D., above. Instead, the faculty member, the chair, and the Dean can agree on some other system that best suits the individual faculty member's needs as long as it occurs at least once every six years.

G. Faculty members who are dissatisfied with their salary increase may petition the Faculty Grievance Committee for review. This petition must reach the chair of the Faculty Grievance Committee no later than ten (10) days after the faculty member has received the salary letter.

H. Every spring, at the conclusion of the process, the Dean will discuss the process and the definitions of standards of evaluation in a meeting with the elected divisional chairs, the ACFPP, and the President.

I. In addition to across-the-board and merit salary changes, faculty will receive the following increases in their base pay when promoted to the following ranks: to assistant professor, $1000; to associate professor, $1500; and to professor, $2000. Adjunct faculty will be entitled to the same increments as tenured and tenure-track faculty, and continuing part-time faculty will be entitled to adjustments on a prorated basis.

J. The President, on the advice of the Administrative Vice President and the Dean of Faculty, will establish salary increments to be recommended to the Board of Trustees. The President will also, on the advice of the Administrative Vice President and the Dean of Faculty, examine the salary structure of the faculty as a whole in an attempt to correct serious inequities.

XI. **Leaves**

As a general guideline but with the exception of family or medical leaves, faculty members will normally be granted no more than two successive leave years and/or years off-campus, and no more than three years of leaves or off-campus assignments in any seven-year period. After returning to campus from a leave, faculty will normally teach at least one full year for each leave year before other leaves or off-campus assignments will be granted.

A. **Sabbatical Leaves**

The purposes of a sabbatical leave are to assist faculty members in furthering their teaching and scholarship and in becoming more effective representatives of their disciplines and members of the College faculty. Because such a leave represents a substantial investment in a faculty member, the College expects each faculty member who takes a sabbatical leave to return to the College for at least one full year immediately following the leave so that students and the College in general may realize the leave's benefits. Should a faculty member choose not to return after a sabbatical leave, the College expects the sabbatical salary and all benefits to be repaid.

Sabbatical leaves are granted by the Board of Trustees on the recommendation of the President of the College. Department chairs and program directors; Division chairs, and the Dean of Faculty advise the President on sabbatical leaves. The number of sabbatical leaves that can be granted in a single academic year may be limited by financial or staffing constraints. As a general guideline, in any group of seven or fewer faculty members in a department or program, only one should be on sabbatical leave in any single academic year.

To be eligible for a sabbatical leave, the faculty member must be: (1) a member of the full-time faculty with academic rank for at least six years, excluding leaves without pay, and already on continuous tenure or to be placed on continuous tenure beginning with the sabbatical leave year; or (2) a member of the full-time faculty without rank or with
adjunct rank at Colby College for at least six years, excluding leaves without pay; or (3) a faculty member with rank whose full-time duties include both teaching and administration after at least six years of service, excluding leaves without pay; or (4) an untenured faculty member who has successfully completed the sixth-semester review (see Section VI.D.); or (5) a continuing part-time faculty member with academic rank (i.e., in Category III) for at least six years, including previous service in Category IV, but excluding leaves without pay, in which case the salary to be received during a sabbatical leave will be based on the faculty member's average course load for the previous three years.

If the application for sabbatical leave of an eligible faculty member is rejected because of financial or staffing constraints, or if a faculty member delays a leave at the request of the College, then eligibility for the next sabbatical leave will be calculated from the date on which the faculty member was originally eligible, not from when the sabbatical leave was actually taken. If a faculty member chooses to delay a sabbatical for reasons of his or her own, then eligibility for the next sabbatical will be calculated from when the sabbatical was actually taken and not the date on which the faculty member was originally eligible prior to deciding to delay the leave. In unusual circumstances, the President may, upon the recommendation of the Dean of Faculty and the Committee on Research, Travel and Sabbatical Leaves, grant an exception and recommend an early sabbatical leave to the Board of Trustees, if a leave is clearly in the interest of the affected department or program and the College. In such a case, eligibility for the next sabbatical leave will be calculated from the date on which the faculty member was normally eligible, not from when the sabbatical leave was actually taken.

Sabbatical leaves may be for the academic year at either 80% of salary or at 50% of salary, or for one semester at full salary. Faculty members choosing the 80% full-year sabbatical option will be expected to teach an additional course during the six-year period before their sabbatical year. The option of year-long sabbaticals at 50% of salary—where no additional course is taught—continues. Faculty members in their initial pre-tenure sabbatical are not expected to teach the additional course, in order to exercise the 80% salary full-year leave option. Specific information and details of procedures regarding salary and fringe benefits may be obtained from the Office of Human Resources. The financial terms and conditions of a sabbatical leave shall be agreed upon in writing before the leave commences. Under the five-course teaching load, a one-semester sabbatical or unpaid leave counts as two of the five courses for the academic year.

Reimbursement of sabbatical travel expenses may be taxable.

1. Sabbaticals of less than 1 year - Expenses for meals, lodging, transportation and other living expenses, while away from Colby, may be reimbursed tax free. The tax code defines the one year period as beginning when the individual has physically left the city or general area of their regular place of business to commence the temporary assignment. The period will end when they have physically returned to that same locale.

2. Sabbaticals of 1 year or more - If an individual's sabbatical is expected to last longer than 12 months or does in fact last longer than 12 months, reimbursement of meals, lodging and other living expenses will be considered additional compensation to the individual and included on their W-2. This is true for expenses incurred during the entire period, not just those incurred after the 12-month period. Transportation expenses (such as airfare, local transportation, etc.) may be reimbursed tax free if the expenses have a bona fide business purpose (i.e. not of a personal nature). It is extremely important that the sabbatical agreements clearly indicate the specific time period covered. General statements such as "1 year sabbatical" will cause the entire sabbatical to be considered one that is expected to last 1 year or more and result in reimbursements being taxable. This is true whether or not the sabbatical actually lasts 1 year or more.

3. Reimbursement of travel expenses while in Waterville area - In order for reimbursement of travel expenses to be considered nontaxable, they must incurred for travel away from the tax home. The tax code defines the tax home as the regular place of
business and includes the entire city or general area in which the business is located. As such, any meals, lodging, personal commuting and other living expenses reimbursed while still in the tax home will be considered personal expenses and treated as additional compensation.

4. Foreign travel - If the sabbatical will involve travel outside the United States in excess of 1 week, the tax free nature of any travel expense reimbursements may be affected by the degree of personal activities. In general, if personal activities will exceed 25% of the total time, the trip will not be considered entirely for business and some proportion of any reimbursement will be taxable. If foreign travel is anticipated, the College's Controller should be contacted to discuss the tax implications.

The information included above will likely not cover all possible circumstances. It is advisable to discuss tax questions with a personal tax consultant.

Sabbatical leave application forms are available at the Dean of Faculty website. Eligible faculty members are to present completed applications to the Dean of Faculty by an announced date in the spring semester. A complete sabbatical leave proposal will include a detailed description of the work to be undertaken, an estimate of its significance, and a description of how the work will serve students and/or the College. Well-constructed and properly documented applications for sabbatical leave from eligible members of the faculty are generally approved. The division chairs and the Dean of Faculty may return to faculty applications that fall short of well-constructed and properly documented.

Chairs of academic departments, or directors of interdisciplinary programs, must supply statements describing allocation of the work load if the leave is granted. General economic conditions dictate careful limits on the hiring of sabbatical replacements. Only under exceptional and extraordinary circumstances will replacements be engaged for one-semester sabbatical leaves.

If the proposed sabbatical project involves employment and remuneration essentially duplicating those at Colby, the presumption shall be that a leave without pay is appropriate.

Upon return from a sabbatical leave, a faculty member shall submit a written report to the Dean of Faculty. These reports are due June 1 of the sabbatical leave year.

B. Early Sabbatical Leaves

1. Untenured faculty members on tenure track appointments and faculty members granted tenure before the end of their third year of full-time teaching are normally eligible for early sabbatical leaves after their sixth semester as full-time members of the faculty. Untenured faculty members with prior full-time service at other institutions of higher learning are normally eligible for early sabbatical leaves at the end of six semesters of full-time teaching, at least four of which must be at Colby. Typically, a favorable pre-tenure review will be completed before an early sabbatical leave application is formally approved.

2. Application for an early sabbatical leave will be made to the Dean of Faculty in the spring semester one full year prior to the proposed leave year (e.g., in spring 2015 for a leave during 2016-2017).

3. An early sabbatical leave will normally consist of one semester at full salary or two semesters at 80% of salary. In cases of early sabbatical leaves, the obligation to teach the extra course is waived.

4. Early sabbatical leaves are intended to permit untenured, Category I faculty members to undertake or complete promising creative or research projects. These leaves may not be used to complete requirements for the terminal degree. A complete early sabbatical leave proposal will include a detailed description of the work to be undertaken and a statement of its significance. Criteria for evaluating early
sabbatical leave proposals will be rigorous, and outside experts may be consulted. The endorsement of the applicant's department chair or program director is required.

5. When early sabbatical leave recipients return to full-time teaching, they will submit detailed reports of their activities during the leave to the Dean of Faculty, by June 1 of the sabbatical leave year.

6. Recipients of early sabbatical leaves are expected to continue full-time service to Colby for at least one year after returning from leave.

7. Faculty members who take early sabbatical leaves will be eligible for regular sabbatical leaves in the seventh year after returning to full-time teaching.

8. The year in which an early sabbatical leave is taken will count as probationary period service unless the individual and the College agree to the contrary at the time the leave is granted.

C. Leaves Without Pay

Leaves without pay, including leaves without pay for political activities, should be requested in sufficient time to allow for evaluation of the request, for reallocation of teaching assignments, or for recruitment of new staff. Applications for leaves without pay are submitted to the Dean of Faculty with the recommendation of the department chair or program director. This application should describe the purpose and value of the leave to the individual and to the College.

Leaves without pay may be granted for no more than two successive academic years except for highly unusual circumstances. Furthermore, if taken in succession with a sabbatical leave, a leave without pay normally will not be granted for more than one year.

Arrangements for paying fringe benefits and for other administrative procedures during the leave period should be made with the Office of Human Resources.

The financial terms and conditions of a leave without pay shall be agreed upon in writing before the leave commences. Under the five-course teaching load, a one-semester unpaid leave counts as two of the five courses for the academic year.

Except for leaves of absence for political activities as defined in the section Faculty Rights and Responsibilities, item D., time spent on a leave without pay will count as probationary period service unless the individual and the College agree to the contrary at the time the leave is granted. Leaves without pay do not count toward eligibility for sabbatical leaves, nor do they substitute for sabbatical leaves. A faculty member, upon returning to the College from a leave without pay, will suffer no loss in salary or fringe benefit adjustments as a consequence of such a leave.

Faculty who have won competitive fellowships (e.g., NEH, NSF, Guggenheim, Fulbright) and are taking unpaid leave from the College for the purpose of pursuing scholarly projects may apply for the following kinds of assistance:

1. Up to 12 months of medical benefits and disability coverage.
2. Up to three trips to professional meetings (under the same guidelines as other faculty).
3. Divisional grant funds.
4. The use of a faculty sabbatical office.

In conformity with the provisions of the federal Family and Medical Leave Act (FMLA), eligible Colby employees are entitled to up to a total of 12 work-weeks of unpaid leave during any 12-month period for one or more of the following reasons: for the birth or placement of a child for adoption or foster care; to care for a spouse, child or parent with a serious health condition; or to take medical leave when the employee is unable to work because of a serious health condition. (See also Sections D. and E. below.)
D. **Family Leaves**

1. On application, a leave without pay of one semester to two years duration can be arranged for family purposes (e.g., birth or adoption of a child, serious illness of spouse, domestic partner, child, or parent) for faculty members on continuing appointment (i.e., Faculty Contract Categories I, II, and III). For the first semester, health and disability insurance will be continued, in accord with federal law.

2. To meet family needs, faculty members on continuing appointments may apply for reduced teaching loads at proportional salary for a specified period. In the case of non-tenured faculty, such an arrangement may be made for a period ranging from one semester through the end of their current contract.

3. Faculty members holding probationary, tenure-track appointments faced with the birth of a child or an analogous family situation requiring an unusual amount of time and/or intensity of attention, may elect not to count toward the seven-year probationary period that academic year in which he or she faces such family needs.

4. Tenured and untenured, full-time faculty with Category I or II appointments, whose major responsibility includes teaching courses for academic credit, may apply for a one-course reduction in teaching load in a semester identified as critical because of the birth of a child or an analogous family situation requiring an unusual amount of time and/or intensity of attention. No more than two such course reductions will ever be granted to any individual faculty member.

5. With specific regard to maternity leave, female employees in Category IIA full-time coaching positions are eligible for paid leave of up to six (6) weeks as a result of disability due to pregnancy or birth of a child. This period of up to six weeks of paid leave will be counted as part of the 12 work-weeks of unpaid leave specified by the FMLA. The individual may take an additional six weeks without pay in accord with the FMLA, i.e., up to 12 weeks total. An extended leave of absence without pay in excess of three months and up to two years may be granted upon the recommendation of the Director of Athletics to the Dean of Faculty, with final approval by the President. During any period of FMLA leave, the College will continue its contributions towards health and disability insurance; employees should consult with the Human Resources Office regarding benefits eligibility and enrollment procedures.

These provisions provide options that faculty members with family needs may exercise upon application to department/program chairs/directors and with the approval of the Dean of Faculty. When a medical leave following childbirth (as provided in E., following) is likely to extend beyond three weeks of classes during the fall or spring semester, a faculty member may apply to have her one course reduction under a family leave (see D.4., above) in conjunction with the medical leave, resulting in a semester without teaching assignment. Such application should be made far enough in advance to permit departments/programs and the Dean of Faculty to make suitable arrangements.

E. **Medical Leaves**

The Office of the Dean of Faculty and the department chair or program director should be informed of any physical or psychological conditions or incapacity requiring absence from a faculty member's duties at the College.

If the condition or incapacity is of long duration, the College will ordinarily continue compensation for the period of absence up to such time as the disability insurance becomes effective, or six months, whichever shall first occur. The College shall be informed by competent medical or psychological authority of the condition of the faculty member and of any significant change in that condition.

If a faculty member holding a probationary, tenure-track appointment is on medical leave for at least a semester in any given academic year, that year will not count toward the seven-year probationary period.
In the event of disagreement between a faculty member and the administration of the College about the faculty member's ability to perform assigned duties for medical or psychological reasons, no action will be taken by the College administration until the matter has been reviewed by the Advisory Committee on Faculty Personnel Policies (ACFPP), which will consider the evidence in strictest confidence. If a majority of the ACFPP agrees that the evidence presented warrants a fuller examination of the situation, then the following procedures will be instituted. A panel of three licensed physicians or licensed clinical psychologists—one selected by the individual, one by the Dean of Faculty, and a third by the other two—shall be called upon to evaluate the individual's ability to perform assigned duties, with the cost borne by the College. The results of such an evaluation shall be transmitted to the individual and to the President and the Dean of Faculty.

If a recommendation is made by the panel that the individual be relieved of assigned duties because of medical or psychological disability, the faculty member shall be given a medical leave with full salary and fringe benefits to continue for the period of the absence up to such time as the disability insurance program becomes effective, or six months, whichever shall first occur.

Before a faculty member resumes duties at the College from a medical leave, the College administration requires assurance from medical or psychological authorities of satisfactory recovery.

XII. Termination, Dismissal, Suspension

A. Termination of Appointment by the Faculty Member

Faculty members may terminate their appointments effective at the end of an academic year, provided they give notice in writing at the earliest possible opportunity, but not later than January 31. Faculty members may properly request a waiver of this requirement of notice in case of hardship or in a situation that would otherwise deny them substantial professional advancement or other opportunity.

B. Termination of Appointments by the Institution

1. Termination of an appointment with continuous tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the institution only for adequate cause, e.g., plagiarism. If termination takes the form of dismissal, it will be pursuant to the procedure specified in Regulation C. (below).

2. Where termination of appointment is based upon financial exigency, or bona fide discontinuance of a program or department of instruction, Regulation C. will not apply, but faculty members shall be able to have the issues reviewed by the Faculty Grievance Committee or other appropriate committees, with ultimate review of all controverted issues by the faculty, the President, and the Board of Trustees. In every case of financial exigency or discontinuance of a program or department of instruction, the faculty member concerned will be given notice as soon as possible, and never less than 12 months notice, or in lieu thereof, severance salary for 12 months. Before terminating an appointment because of the abandonment of a program or department of instruction, the College will attempt to place the affected faculty members in other suitable positions. If an appointment is terminated before the end of the period of appointment, because of financial exigency, or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

3. Before a final decision is made by the Board of Trustees, termination of a tenured, or of a non-tenured or special appointment before the end of the period of appointment, for medical reasons will be based upon a fair preponderance of medical evidence, which shall, if the faculty member so requests, be reviewed by the Faculty Grievance Committee.
C. **Dismissal Procedures**

1. Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member as a teacher or a researcher. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

2. Dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of a specified term, will be preceded by: (a) notice to the faculty member of intent to dismiss; (b) discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement; (c) informal inquiry by the duly elected Faculty Grievance Committee, which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken without its opinion being binding upon the President; (d) a statement of reasons, framed with sufficient particularity by the President or the President's delegate.

3. A dismissal, under the conditions referred to in paragraph 1 above, will be preceded by a statement of reasons, and the individual concerned will have the right to be heard initially by the elected Faculty Hearing Committee for Dismissal Proceedings. This committee shall be chosen from among a panel of 15 full-time teaching faculty members, three each from the Divisions of Humanities, Natural Sciences, and Social Sciences, and six at-large, nominated and elected each for a term of three years, one-third to be elected annually by the faculty. The panel will choose a Faculty Hearing Committee of five members to hear a particular case. Each party will have a maximum of two challenges without stated cause. If a Hearing Committee member is challenged for cause, the remainder of the Hearing Committee will vote on the merits of the challenge; in cases of a tie vote, the challenged member is disqualified. Members of the committee may disqualify themselves from the case, either at the request of the party, or on their own initiative if they deem themselves disqualified for bias or interest. Vacancies on the committee shall be filled from the elected panel. The committee shall elect its own chair. No member of the panel from which the Faculty Hearing Committee for Dismissal Proceedings is chosen may serve on the Faculty Grievance Committee.

   a. The burden of proof that adequate cause exists rests with the institution and shall be satisfied by a fair preponderance of the evidence.
   b. The Hearing Committee will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
   c. The findings of fact and the decision will be based solely on the hearing record. The President and the faculty member will be notified of the Hearing Committee's decision in writing.
   d. Service of notice of hearing with specific reasons in writing will be made at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If a faculty member waives a hearing but, within these 20 days and in writing, denies the validity of the statement of reasons or asserts that the reasons do not support a finding of adequate cause, the Hearing Committee will evaluate all available evidence and rest its recommendations upon the evidence in the record.
   e. The committee, in consultation with the President and faculty member, will exercise its judgment as to whether the hearing should be public or private.
f. During the proceedings the faculty member will be permitted to choose as an advisor an academic colleague and/or legal counsel.

g. At the request of either party or the Hearing Committee, a representative of a responsible professional association in higher education shall be permitted to attend the proceedings as an observer.

h. The hearing or hearings will be recorded, and a typewritten report will be made available to the faculty member and to the President.

i. The Hearing Committee will grant adjournments of specified length to enable either party to investigate evidence as to which a valid claim of surprise is made as determined by the Hearing Committee.

j. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the institution will, insofar as it is possible for it to do so, cooperate in obtaining such witnesses and make available necessary documents and other evidence within its control.

k. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the Hearing Committee determines that the interests of justice require admission of that witness' statement, the Committee will identify the witness, disclose said witness' statement, and if possible provide for interrogatories.

l. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

m. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees of the College.

n. If the Hearing Committee concludes that adequate cause for dismissal has not been established by the evidence in the report, it will so report to the President. If the President rejects the report, reasons for doing so will be stated, in writing, to the Hearing Committee and to the faculty member, and will be provided an opportunity for response before transmitting the President's recommendation to the Board of Trustees. If the Hearing Committee concludes that adequate cause for a dismissal has been established, but that some measure other than dismissal would be more appropriate, it will so recommend, with supporting reasons.

D. Action by the Board of Trustees

If dismissal or other measure is recommended by the President, the record of the case will, either on the President's own initiative or at the request of the faculty member, be transmitted to the Board of Trustees. The Board of Trustees' review shall be based on the argument, oral or written or both, if requested by the faculty member. The proceedings may be returned to the Hearing Committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after a study of the committee's reconsideration.
E. **Suspension**

1. During the interval between notice of intent to dismiss and the final decision on termination of an appointment, a faculty member may be suspended only if immediate harm to self or to others is threatened by continuance. Before suspending a faculty member, the administration must consult with the Faculty Grievance Committee. Suspension is appropriate under this provision only during the interval specified, and full salary will continue during the suspension period.

2. Suspension with or without salary for a stated period may be a legitimate lesser measure than dismissal to be recommended by the Hearing Committee.

3. In cases not referred to in 1. and 2. above, after consultation with the Advisory Committee on Faculty Personnel Policies by the Dean of Faculty or President, a faculty member may be suspended, with continuance of salary, when immediate harm to self or others is threatened by continuance; for example, on account of illness or recovery from illness.

F. **Terminal Salary or Notice**

If an appointment is terminated, that faculty member is entitled to receive salary or notice in accordance with the schedule of notice under Section IV.A.2., or, if tenured, for at least one year. This provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct that justified dismissal involved moral turpitude. On the recommendation of the Faculty Hearing Committee or the President, the Board of Trustees, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

G. **Academic Freedom of Faculty**

The academic freedom of all faculty members must be protected. Any allegation of the violation of this freedom is a grave charge and requires investigation to protect both the individual and the institution.

1. If a charge of violation of academic freedom is brought by a faculty member involved in dismissal proceedings for cause, the Faculty Hearing Committee for Dismissal Proceedings will consider this charge with the rest of the case.

2. If a faculty member on probationary or other non-tenured appointment alleges that consideration violative of academic freedom significantly contributed to a decision not to reappoint him or her (not including denial of tenure, where other procedures obtain), the allegation will be given consideration by the Faculty Grievance Committee, which shall seek to settle the matter by informal means. The burden of proof of the allegation rests with the faculty member, and the allegation should be accompanied by a statement that the faculty member agrees to the presentation for the consideration of the committee of such reasons and evidence that the institution may present in support of its decision. If the difficulty is not resolved informally and if in the judgment of the committee the charges are valid, the committee shall submit a report summarizing the substantiating evidence and setting forth its recommendations to the President of the College and directly to the Board of Trustees. A report of its recommendations shall also be submitted to the faculty. If charges of violation of academic freedom brought by a faculty member before the Faculty Grievance Committee are found to be invalid, a written notice to that effect will be furnished to the faculty member concerned, to the President of the College, and shall be reported orally to the faculty by the chair of the Faculty Grievance Committee.
3. A faculty member may present charges in writing of other alleged violations of academic freedom to the Faculty Grievance Committee. (See section I., below)

H. Administrative Personnel

All of these regulations apply to administrative personnel who hold academic rank, but only in their capacity as faculty members.

I. Faculty Grievance Committee and Grievance Procedure

The faculty shall elect a Faculty Grievance Committee. If any faculty member feels that there is cause for a grievance in matters other than dismissal, tenure, promotion, or harassment, where other review procedures obtain—e.g., discrimination, non-reappointment, propriety of conduct, salaries, assignment of teaching duties, assignment of space or other facilities, personal conflicts with those in decision-making positions—that faculty member may petition the elected Faculty Grievance Committee for redress. Grievances over non-renewal of contract must be filed no later than 30 days after receipt of notice of non-renewal from the Dean of Faculty. In cases other than non-renewal, grievances must be filed no later than May 1 in order to receive consideration before the conclusion of the academic year. Any grievances filed after May 1 may not be heard until the following fall semester. A faculty member may present the same grievance to only one committee (e.g., the Grievance Committee, the Harassment Hearing Board) for formal consideration and report to the President. All matters concerning denial of promotion and tenure are under the purview of the Promotion and Tenure Reconsideration Committee. As is the case with many other procedures, a faculty member may also choose to approach the Dean of Faculty in an attempt to address his/her grievance before petitioning the Grievance Committee. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any factual or other data that the petitioner deems pertinent to the case. All discussions and communications within the committee and between the committee and the President will be strictly confidential.

The Faculty Grievance Committee is charged with the responsibility of assuring individual faculty members that any allegations of impropriety regarding the policies and procedures under its jurisdiction will receive fair and timely considerations. As such, the Committee will have the right to decide whether or not the facts merit a detailed investigation. Submission of a petition will not automatically entail investigation or detailed consideration thereof. If the Committee determines that the petition should be investigated, petitioners to the Faculty Grievance Committee:

1. are entitled to a timely hearing at a mutually agreed upon date, particularly in matters pertaining to non-reappointment.

2. have the right to present their grievance in person before the committee.

3. should be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration of the institution will, consistent with College policies on confidentiality, cooperate in obtaining such witnesses and make available necessary documents and other evidence within its control.

4. should be afforded an opportunity to confront and cross-examine all witnesses. Where a witness cannot or will not appear, but the Grievance Committee determines that the interests of justice require admission of the witness’ statement, the Committee will, if possible, identify the witness, disclose the statement, and provide for interrogatories.

The Committee will seek to bring about a settlement of the issue satisfactory to the parties. If in the opinion of the Committee such a settlement is not possible, or is not appropriate, the committee will report its findings and recommendations to the petitioner.
and to the President, who will respond and whose decision will be final. The Faculty Grievance Committee may refer or report matters under its consideration to College committees or to other bodies as it may itself determine to be appropriate.

The College will make available the services of dispute resolution professionals to faculty members and academic administrators who have some conflict that they have mutually agreed could be helped by a session with a trained mediator.

The College upon application from the faculty members and/or administrators involved will provide payment of reasonable costs of such services. Faculty members wishing mediation may want to find a suitable person on their own or may want to consult the referral list provided by the Maine Association of Mediators (http://www.mainemediators.org/). It is to be understood that participation in mediation or any other form of dispute resolution is an entirely voluntary matter for those involved, and that such sessions will be considered entirely confidential unless the involved parties wish to convey information resulting from such sessions to the Dean of Faculty or the President or other College officials or faculty bodies.

Applications for College support for mediation services should be made in advance to the Office of the Provost and Dean of Faculty. Such applications should include a reasonably accurate estimate of the costs of the mediation services desired.

J. Procedure for Complaints against Faculty Members

Normally, complaints against faculty members other than harassment, which has its own procedures, are handled informally. If direct informal discussions fail to resolve the issue satisfactorily, the assistance of an outside mediator can be secured through the office of the Dean of the Faculty if the parties involved agree.

If a formal complaint (defined to be a written complaint requesting administrative action) about a faculty member's behavior is made to the Dean of Faculty or the President, the Dean of Faculty and/or President will investigate the matter to determine if the complaint has merit. The faculty member who is the subject of the complaint will be notified of the character of the complaint and the disposition of it in all cases. To protect the reputations of all involved, complaints will be handled with the maximum possible discretion and confidentiality.

If the investigation reveals the complaint to be groundless, the person bringing the complaint will be so notified, and the issue dropped with a record retained in the file of the person bringing the complaint.

If the investigation produces insufficient evidence either to declare the complaint groundless or to take disciplinary action, the Dean of Faculty will retain a record of the investigation, which will be attached to any document that contains or accompanies the original complaint. Copies of this information will be placed in the personnel file of the individual bringing the complaint, and in a separate file maintained by the Dean of unresolved complaints.

If, after investigation, any sort of disciplinary action is contemplated because of a complaint, the substance of the complaint and the identity of the person bringing the complaint will be disclosed to the faculty member against whom the complaint was brought. The faculty member will be given the opportunity to answer the charges that have been made, according to the procedures established for Grievance Committee hearings (pg. 46, #1-4, mutatis mutandis). A record of the disposition of the complaint will be retained, with a copy sent to the faculty member. Whatever the outcome, the faculty member may appeal any decision to the President, and may utilize the Grievance Committee as well.
COLBY COLLEGE POLICY STATEMENTS

A. 1940 AAUP STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM AND TENURE

**Academic Freedom** The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

The teacher is entitled to freedom in the classroom in discussing his or her subject, but should be careful not to introduce into teaching controversial matter which has no relation to his or her subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.

The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, the teacher should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As a person of learning and an educational officer, the teacher should remember that the public may judge the teaching profession and the educational institution by the teacher's utterances. Hence the teacher 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 the teacher is not an institutional spokesperson.

**Academic Tenure** After the expiration of a probationary period teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.

2. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that this new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. Notice (written) should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.

3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.

4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the teacher should be informed before the hearing in writing of the accusations, and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment on the case. The accused teacher should be permitted to have an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, not necessarily from the teacher's own institution. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.
5. Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

**NOTE:** The original 1940 AAUP statement was adopted by the Colby College Board of Trustees on April 17, 1971. The version used here has been slightly edited to attain gender neutrality. It is included in this handbook to emphasize Colby College's support for the principles of academic freedom and tenure embodied therein and cited in Article VI, 4 of the Bylaws. Two other current Colby policies modify the original AAUP statement: appointments may be for probationary periods of more than four years when a faculty member has taught full-time at another institution for three or more years, and under the family leave policy, a probationary period could extend to more than seven years of full-time teaching.

**B. POLICY STATEMENT ON NON-DISCRIMINATION**

Colby is a private, coeducational liberal arts college that admits students and makes personnel decisions on the basis of the individual's qualifications to contribute to Colby's educational objectives and institutional needs. Colby College does not discriminate on the basis of race, color, gender, sexual orientation, gender identity or expression, disability, religion, ancestry or national origin, age, marital status, genetic information, or veteran’s status in employment or in our educational programs. Colby is an affirmative action/equal opportunity employer and operates in accordance with federal and state laws regarding non-discrimination.

**C. EMPLOYEE CODE OF CONDUCT**

Colby College is committed to operating lawfully. In addition, we value ethical behavior, individual responsibility, and integrity. All employees are expected to behave responsibly and comply with applicable laws and regulations.

If you encounter or become aware of work-related behavior that is unlawful or you suspect actions are inappropriate, you should alert any of the following people: your supervisor or department head, any member of Human Resources, the Controller, any officer of the College, any member of the Audit Subcommittee of the Budget and Finance Committee of the Board of Trustees. If you are unsure how to make contact, please contact Human Resources or the Office of the President for instructions. You may alert any of these people anonymously.

Retaliation against a staff or faculty member who makes a good faith effort to disclose perceived wrongdoing is prohibited. The College will make every appropriate effort to redress violations of this Code. While "whistle blowing" should not be an outlet for vindictive or malicious charges that have no basis in fact, the College always wants to know if an employee feels she/he is being subjected to illegal treatment; or required to engage in any illegal activity; or is aware of any illegal practice.

**D. POLICY ON CONSENSUAL RELATIONSHIPS WITH STUDENTS**

Faculty-student interactions, and interactions of academic administration and staff with students, lie at the heart of Colby’s educational mission. These relationships vest considerable power and trust in faculty members, academic administrators, and academic staff. It is essential that those in positions of authority neither abuse, nor appear to abuse that power or trust.

Academic faculty, staff, and administrators exercise authority over students in particularly expansive ways in a residential liberal arts college setting. These powers include, but are not limited to: teaching; grading; academic and extra-curricular advising; coaching; hiring; supervising student research and employment; making recommendations for future employment, fellowships, and grants; awarding scholarships and prizes; granting or denying access to educational opportunities; making appointments to committees and other groups and organizations; and considering disciplinary action. Voluntary consent to an amorous or sexual relationship by the student in such a context is suspect, given the fundamentally asymmetrical nature of the relationship. Moreover, such relationships may also limit opportunities for the student’s future.
academic, co-curricular, and extracurricular activities.

Other students may be affected by consensual amorous relationships because these relationships place the faculty member, academic administrator, or academic staff member in a position to favor or advance one student’s interests to the potential detriment of others. These concerns are damaging whether the favoritism is real or perceived. College employees should be aware that what may seem to be a consensual relationship with a student may nevertheless constitute sexual harassment. The power differential in faculty-student relationships may cause the student to be unwilling to express a lack of consent.

For these reasons, it is a violation of College policy for a faculty member (Category I, IIA, IIB, III and IV faculty including faculty fellows and other part-time faculty), academic administrator (e.g., library director, athletics director) or academic staff member (e.g., teaching assistants and associates, librarians, assistant coaches, secretaries, language assistants, applied music associates) to engage in an amorous, dating, or sexual relationship with a student.

A faculty member, academic administrator or academic staff member violating this policy is subject to disciplinary action, up to and including suspension or dismissal from the College.

Possible violations of this policy should be brought to the attention of the dean of faculty, the dean of students, the department chair or program director, and/or the equal opportunity officer.

E. POLICY STATEMENTS ON OPEN ACCESS

1. Access to the Colby campus, including the facilities of the Career Center, shall be open to all groups unless specifically barred from the campus for compelling reasons. In an emergency, the President shall have the authority to bar an individual or a group for a limited period of time until the trustees' next meeting, but in general, no such action will be taken unless specifically approved by the trustees on the recommendation of the President. The President and trustees will at all times maintain Colby's historical commitment to free speech, and will accommodate all points of view to the maximum degree feasible.

Any organization seeking to recruit at Colby must be willing, upon request, to hold a public campus meeting to discuss its policies and practices. Any such meeting will be requested upon receipt of a petition signed by at least 25 students, faculty, or staff. Normally, a request for a public meeting will be made at least three weeks in advance of the scheduled recruiting day.

The above does not apply to the right of the President to bar individual students and groups from the campus for disciplinary reasons.

2. As a matter of College policy, all campus organizations and College-sponsored events are open to the full participation of all members of the Colby community without regard to race, color, gender, sexual orientation, gender identity or expression, disability, religion, ancestry or national origin, age, marital status, genetic information, or veteran's status unrelated to job or course of study requirements. Exceptions to this policy may be granted, for compelling reasons only, by mutual agreement of the Dean of Faculty and the Academic Affairs Committee (AAC), or, in the case of student-sponsored events, by mutual agreement of the Dean of Faculty, the Dean of Students, and the College Affairs Committee.

3. Unauthorized Entry or Occupancy of College Property

Student rooms, faculty and administrative offices, and other employee work places, are private spaces, controlled by the College and the current authorized occupants. Failure of any person to vacate such places upon the request of the occupant(s) or by legitimate College authority is a violation that can lead to disciplinary action. Likewise, unauthorized occupation of any College building or the disruption or unauthorized occupation of teaching spaces will not be tolerated and violators will be subject to disciplinary action.
F. **HARASSMENT POLICY AND COMPLAINT PROCEDURES**

The right of free speech and the open exchange of ideas and views are essential, especially in a learning environment, and Colby College upholds these freedoms vigorously. The College is committed to assuring dignity for all and desires to be welcoming to every member of the campus community. In furtherance of that aim, Colby has developed this policy, which prohibits harassment.

Harassment is defined as unwelcome hostile or intimidating remarks, spoken or written (including, for example, e-mail, text messages, postings on electronic message boards, voicemail messages), or physical gestures directed at a specific person based on that person’s race, color, religion, sex, ancestry, national origin, parental status, marital status, physical or mental disability, age, sexual orientation or gender identity. Sexual harassment is unwelcome conduct of a sexual nature, and it includes sexual advances, sexual violence, requests for sexual favors and other verbal or physical conduct of a sexual nature when this conduct is unwelcome and explicitly or implicitly affects an individual's educational experience or employment, unreasonably interferes with an individual's educational or work performance, or creates an intimidating, hostile, or offensive educational or work environment. Because harassment results in loss of self-esteem for the victim and in the deterioration of the quality of the classroom, social, or workplace environment, the College prohibits harassment, including sexual harassment.

Harassment by any student or by any employee of the College will not be tolerated. It also is a violation of this policy for any person accused of harassment to retaliate against any person who reports an incident of harassment. Students and employees should feel free to report such incidents without fear of reprisal.

Harassment incidents can range from the subtle to the overt. Regardless of the type of harassment, incidents should be addressed promptly by dealing with the incident and/or individual directly, using one of the procedures outlined in this document, or utilizing resources described in the brochure “Harassment Information for the Colby Community” and online at www.colby.edu/administration_cs/eeo/harassment-brochure.cfm. Prompt notification is important because harassment might be difficult to investigate and substantiate long after the incident has occurred. The purpose of making a complaint is to enable the College to investigate incidents of harassment and to permit the College to act promptly to remedy any violation of this policy.

**Persons in Authority**

Those in positions of authority in all sectors of the College community must recognize that there can be an element of power in their relationships with persons having less authority. Faculty members must be aware that they are persons in authority over all students, because faculty can, sometimes unexpectedly, find themselves responsible for the instruction or evaluation of any student at the College. Supervisors are persons in authority over subordinate employees in their departments. It is the responsibility of the person in authority not to abuse that power. Relationships between consenting adults that would otherwise be acceptable can pose problems when one of the two has authority over the other. Such relationships should be avoided. Students or employees who become involved in an unwelcome relationship with a person in a position of authority in which harassment as defined in this policy is occurring are encouraged to report the harassment to the College’s Equal Employment Opportunity Officer, a member of the Harassment Advisory Group, the Dean of Students, Dean of Faculty, or Human Resources. (See also D. Policy on Consensual Relationships with Students.)

**Harassment in the Classroom**

Colby believes that academic freedom is the cornerstone of a college education, and faculty members have wide latitude to conduct classroom sessions in creative and intellectually stimulating ways. A true and valued learning experience may cause discomfort, as students are challenged and exposed to new and perhaps disquieting ways of thinking or living. Nonetheless,
students have the right to participate in the classroom without being subjected to harassment in violation of this policy. It is incumbent on faculty members to balance the demand of rigorous and thought-provoking teaching with the expectation that students will not be personally harassed or singled out in the learning process on the basis of group membership. Instructors have the special responsibility to explain to their students, when necessary, the educational purpose of any classroom technique or practice.

**Campus Resources**

The equal employment opportunity officer is the primary resource to the Colby community for issues regarding harassment. The officer is available to formally investigate complaints and maintain appropriate records in accordance with the College document retention policy, review and recommend policies and procedures, and conduct harassment prevention training. The equal employment opportunity officer also is available informally for impartial advice or assistance regarding conflicts of a harassing nature.

Title IX provides that any member of the faculty or staff who learns that a Colby student has been, or may have been, the victim of sexual misconduct must, by law, make a report to a Title IX Coordinator. If known, the name of the victim and accused are not confidential and must be disclosed. There is a very limited exception to this mandatory reporting requirement: If a faculty or staff member is an ordained member of the clergy, licensed health care provider, or attorney, and if the communication about sexual misconduct is made to that faculty or staff member in his/her capacity as clergy, health care provider, or attorney, then the communication is confidential by statute, and the faculty or staff member is not required to report it.

Paul Johnston, in the Dean of Students office, and Cora Clukey, in the Equal Opportunity office, are the campus Title IX Coordinators.

**Procedures for Harassment Complaints Against a Student**

Harassment by a student of another student, a faculty member, a staff member, or a third party (in circumstances directly affecting the College community) is a disciplinary violation. A complaint of harassment by a student should be made to the Office of the Dean of Students. The Student Disciplinary Procedures set forth in the Colby Student Handbook will apply to the complaint, with any hearing to be heard by a Dean’s Hearing Board. Possible sanctions for a student found responsible for harassment include, but are not limited to, disciplinary probation, community service, suspension, or expulsion.

**Procedures for Harassment Complaints Against a Faculty or Staff Member**

A complaint of harassment against a member of the faculty or staff by a student, faculty member, staff member or third party (in circumstances directly related to the faculty or staff member’s position with the College) should be made to the College’s equal employment opportunity officer. The equal employment opportunity officer will investigate the complaint promptly, either directly or through a designee. The investigator (either the equal employment opportunity officer or designee) will issue a report of the investigation. If the investigator concludes that harassment has occurred, he or she will include in the report the remedial action to be taken, including sanctions against the accused faculty or staff member where appropriate. Except in cases involving sanctions of suspension or dismissal of the accused faculty or staff member, the decision of the investigator is final.

For complaints against a faculty member, if the remedial action includes a sanction of suspension or dismissal of the accused faculty member, the faculty member has the right to a hearing before a Faculty Hearing Committee under Section XII of the Faculty Personnel Procedures set forth in the *Faculty Handbook*.

For complaints against a staff member, if the remedial action includes suspension or dismissal of the accused staff member, the staff member has the right to appeal the decision to the Staff Appeals Board. The appeal will proceed as provided in the Staff Handbook.
G. **POLICY STATEMENT ON DRUG/ALCOHOL ABUSE**

**Controlled Substances/Drugs**

The unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited anywhere on the campus. Under the provisions of the Federal Drug-Free Workplace Act, employees must adhere to this policy and, further, are obligated to notify the College of any criminal drug statute conviction occurring in the workplace. A convicted employee will be subject to disciplinary action that could include termination.

**Alcohol**

Colby seeks to educate the entire College community students, faculty and staff in supporting a "campus culture of responsibility," where alcohol will not be central to campus life. The Board of Trustees assigned the following responsibilities to staff in support of this goal:

- To avoid substance abuse and refuse to tolerate substance abuse and abusive behavior in others.
- To understand Colby's alcohol policy and to be aware of the laws of the State of Maine.
- To be mindful of remarks that might promote an atmosphere of substance abuse.
- To support the goal of providing a civil environment on campus.
- To protect and promote the health and safety of students as well as themselves, and to lend assistance to others in need of help because of a problem relating to alcohol.
- To ensure, when providing social functions that include alcohol, alternate beverages are available and that alcohol is served only to those age 21 and older. Alcohol, when offered, is provided in moderation. Alcohol abuse and abusive behavior will not be tolerated.

The College has designated individuals to assist students and employees in dealing with substance abuse problems and to address abusive behavior. Staff may consult their supervisor, the Director of Human Resources, College physicians and counselors, or a family physician.

H. **POLICY STATEMENTS ON CONFLICT OF INTEREST FOR TRUSTEES, OFFICERS, AND EMPLOYEES**

1. It is the responsibility of the trustees, officers, and employees of Colby College to administer the affairs of the College honestly and economically, exercising their best care, skill, and judgment for the benefit of the College.

Therefore, it is the policy of the Board and the College that:

a) The trustees, officers, and employees of Colby College shall exercise the utmost good faith in all transactions touching upon their duties to the College and its property. In their dealings with and on behalf of the College, they shall be held to a strict rule of honest and fair dealings between themselves and the College. They shall not use their positions or knowledge gained there from in such a way that a conflict might arise between the interest of the College and that of the individual.

b) All acts of such persons shall be for the best interest of the College.

c) Such persons shall not accept any gifts, favors, or hospitality that might influence their decisions or actions affecting the College.

d) Although it is recognized that a degree of duality of interest may exist from time to time, such duality shall not be permitted to influence adversely the decision-making process of the College. To this end, in the event any person subject to this policy shall be called upon
to consider a transaction involving (1) the College and such individual or a member of his or her family or other interested persons, or (2) the College and an organization with which such individual is "affiliated," that individual shall make a full disclosure of all facts concerning any interest or involvement in such transaction and/or such organization before that transaction is consummated. Such individual shall also refrain from participation in the College's consideration of the proposed transaction. A transaction in which a trustee or officer has a conflict of interest may be authorized, approved or ratified by the College only if 1) the material facts of the transaction and the trustee's or officer's interest are disclosed or known to the Trustees or the committee considering the transaction, 2) the transaction is fair and equitable to the College as of the date on which it is authorized, approved or ratified, and 3) the transaction receives the affirmative vote of a majority of the Trustees or the committee considering the transaction who have no direct or indirect interest in the transaction: but no transaction may be approved by a single Trustee or committee member.

e) The following persons shall complete and sign a certificate of compliance in which they disclose all their relationships and business affiliations that reasonably could give rise to a conflict of interest involving the College:

1. Current or Former Trustees, College Officers and Key Employees shall complete a certificate annually; and

2. College administrative staff members and faculty members having administrative responsibilities (including department) shall complete a certificate every third year.

f) In addition, each trustee, College officer, administrative staff member, or faculty member having administrative responsibility shall notify the appropriate official (specified in the final paragraph of this policy statement) immediately if such conflict, real or potential, should arise while said person is affiliated with the College.

g) The President may also require disclosure from time to time from other employees or faculty members when, in the opinion of the President, and by virtue of such persons' respective duties and responsibilities, the College should receive a continuing disclosure of such outside relationship and business affiliations.

h) For purposes of this policy, the individual is affiliated with an organization (including without limitation corporations, limited liability companies, partnerships, and trusts) if he or she or a member of his or her family (i.e., his or her spouse, ancestors, children, grandchildren, great-grandchildren, siblings, and the spouses of children, grandchildren, great-grandchildren, and siblings):

1. is an officer, director, trustee, partner, employee, or agent of such organization; or

2. is either the actual or beneficial owner of more than one percent (1%) of the voting stock or control interest of such organization; or

3. has any other direct or indirect dealings with such organization from which he or she knowingly is materially benefited. For purposes of this subparagraph, it shall be presumed that a person is "materially benefited" if he or she received directly or indirectly cash or other property (exclusive of dividends and interest) in excess of $100 in any year in the aggregate.

i) All disclosures required to be made under this policy by any person other than the College President, Vice Presidents, and Trustees shall be directed in writing to the President. Disclosure of the President, Vice Presidents, and Trustees shall be directed in writing to the Chairman of the Board and the Chair of the Audit Subcommittee of the Budget and Finance Committee. All known violations, disputes and other issues arising out of the application of this policy to all officers and employees (exclusive of the President, Vice Presidents, and Trustees) shall be referred to the President for appropriate action.
2. Examples to illustrate the preceding policy: A potential conflict of interest occurs whenever any person who is performing in an official, institutional capacity has the power of choice among options, at least one of which may affect his or her own welfare, the welfare of a member of his or her own family, or the welfare of a partner.

For example, a potential conflict of interest arises when:

a) a member of a search committee participates in a hiring decision in which one of the job candidates is a spouse, partner, or family member.

b) a faculty member's grant proposal for equipment or summer money is evaluated by a spouse, partner, or family member, or by the faculty member him/herself.

c) a member of the Committee on Promotion and Tenure is married or otherwise related to, or is a non-marital partner of a candidate likely to be considered for promotion or tenure within the next two years; or similarly, when a member of the Committee on Promotion and Tenure is to be a candidate for promotion within the next two years.

d) a department or program head is responsible for evaluating department or program members, one of whom is a spouse, partner, or family member.

e) a faculty member participates in departmental or program committee work or policy discussions that affect a spouse, partner, or family member.

Because it is impossible to anticipate every circumstance in which a potential conflict of interest may arise, no list of remedies can be definitive. In most instances the appropriate cure for potential conflict of interest is recusal from the relevant decision-making process. In circumstances where recusal is not feasible, other remedies must be sought to minimize potential conflict of interest. In each case, the costs to the College of having a person withdraw from the decision-making process must be weighed against the benefits of reducing potential conflicts of interest.

3. In cases where an individual has a potential conflict of interest, he or she should withdraw from the decision-making process until such time as the potential conflict no longer exists. In circumstances when withdrawal from the decision-making process is impossible, he or she should consult with the Dean of Faculty to determine the appropriate remedy. Should an individual decline to withdraw from the decision-making process or disagree that such a conflict exists, he or she may be removed from further involvement with the decision in question by the Dean of Faculty in conjunction with the ACFPP (or the division chairs in the event of a conflict within the ACFPP), or by majority vote of the relevant committee, if any, of which the person is a member. In promotion and tenure cases, if an individual has a potential conflict of interest, he or she should withdraw from participation in departmental or college-wide promotion and tenure decisions for the year in which the conflict exists. A faculty member's recusal or removal from a committee signifies the appearance of a potential conflict of interest, and is in no way meant to reflect on the objectivity of that individual's judgment.

4. For purposes of this policy, the individual is affiliated with an organization (including without limitation corporations, limited liability companies, partnerships, and trusts) if he or she or a member of his or her family (i.e., his or her spouse, ancestors, children, grandchildren, great-grandchildren, siblings, and the spouses of children, grandchildren, great-grandchildren, and siblings):

a) is an officer, director, trustee, partner, employee, or agent of such organization; or

b) is either the actual or beneficial owner of more than one percent (1%) of the voting stock or control interest of such organization; or

c) has any other direct or indirect dealings with such organization from which he or she knowingly is materially benefited. For purposes of this subparagraph, it shall be
presumed that a person is “materially benefited” if he or she received directly or indirectly cash or other property (exclusive of dividends and interest) in excess of $100 in any year in the aggregate.

5. All disclosures required to be made under this policy by any person other than the College President, Vice Presidents, and Trustees shall be directed in writing to the President. Disclosure of the President, Vice Presidents, and Trustees shall be directed in writing to the Chairman of the Board and the Chair of the Audit Subcommittee of the Budget and Finance Committee. All known violations, disputes and other issues arising out of the application of this policy to all officers and employees (exclusive of the President, Vice Presidents, and Trustees) shall be referred to the President for appropriate action.

6. Examples to illustrate the preceding policy: A potential conflict of interest occurs whenever any person who is performing in an official, institutional capacity has the power of choice among options, at least one of which may affect his or her own welfare, the welfare of a member of his or her own family, or the welfare of a partner. For example, a potential conflict of interest arises when:

a) a member of a search committee participates in a hiring decision in which one of the job candidates is a spouse, partner, or family member.

b) a faculty member's grant proposal for equipment or summer money is evaluated by a spouse, partner, or family member, or by the faculty member him/herself.

c) a member of the Committee on Promotion and Tenure is married or otherwise related to, or is a non-marital partner of a candidate likely to be considered for promotion or tenure within the next two years; or similarly, when a member of the Committee on Promotion and Tenure is to be a candidate for promotion within the next two years.

d) a department or program head is responsible for evaluating department or program members, one of whom is a spouse, partner, or family member.

e) a faculty member participates in departmental or program committee work or policy discussions that affect a spouse, partner, or family member.

Because it is impossible to anticipate every circumstance in which a potential conflict of interest may arise, no list of remedies can be definitive. In most instances the appropriate cure for potential conflict of interest is recusal from the relevant decision-making process. In circumstances where recusal is not feasible, other remedies must be sought to minimize potential conflict of interest. In each case, the costs to the College of having a person withdraw from the decision-making process must be weighed against the benefits of reducing potential conflicts of interest.

7. In cases where an individual has a potential conflict of interest, he or she should withdraw from the decision-making process until such time as the potential conflict no longer exists. In circumstances when withdrawal from the decision-making process is impossible, he or she should consult with the Dean of Faculty to determine the appropriate remedy. Should an individual decline to withdraw from the decision-making process or disagree that such a conflict exists, he or she may be removed from further involvement with the decision in question by the Dean of Faculty in conjunction with the ACFPP (or the division heads in the event of a conflict within the ACFPP), or by majority vote of the relevant committee, if any, of which the person is a member. In promotion and tenure cases, if an individual has a potential conflict of interest, he or she should withdraw from participation in departmental or college-wide promotion and tenure decisions for the year in which the conflict exists. A faculty member's recusal or removal from a committee signifies the appearance of a potential conflict of interest, and is in no way meant to reflect on the objectivity of that individual's judgment.
I. COLBY COLLEGE STATEMENT ON AIDS

BACKGROUND

Acquired Immune Deficiency Syndrome (AIDS) is an infectious disease caused by the human immunodeficiency virus (HIV). Persons afflicted with AIDS suffer a severe loss of natural immunity against disease, leaving them vulnerable to opportunistic diseases, which are generally not a threat to other people. Individuals who are infected by the virus may develop AIDS, some lesser manifestation of infection (such as AIDS-related complex), or remain asymptomatic. Colby College recognizes that, currently, the prevention of infection is the only defense against the AIDS epidemic and sees community education as its primary strategy in preventing the spread of HIV.

The HIV virus is not transmitted from infected person to uninfected person through casual contact, but can be transmitted through the exchange of semen, blood, and other body fluids during intimate sexual contact. Transmission also occurs by sharing HIV-contaminated needles, or, much less frequently, through blood or blood products. The virus can be passed from infected mothers to their newborn.

Because of the fragile nature of the virus and the limited routes of transmission, current knowledge indicates that students and employees with AIDS or a positive HIV antibody test do not ordinarily pose a health risk to other students or employees in an academic setting. The United States Public Health Service Center for Disease Control, and the American College Health Association have indicated that there is no risk created by living in the same house as an infected person; attending classes and sharing study facilities and libraries with an infected person; eating food handled by an infected person; being coughed or sneezed upon by an infected person; casual kissing; or swimming in a pool with an infected person.

These facts, derived from the best epidemiological data currently available, are the basis for the following policy statement:

Individuals diagnosed as having AIDS and individuals who have a positive HIV antibody test are allowed to attend work or school at Colby College. The college will not tolerate discrimination against any student, faculty member, or staff member infected with HIV. Consideration of the existence of HIV infection will not be part of any admissions decision for those students applying to Colby College or of the employment decision for those seeking positions at the college.

Members of the Colby College community who are infected with HIV have rights as members of this community. Such persons also have a responsibility to the community and are expected to act in accordance with known medical advice to prevent the spread of infection to others. Individuals infected with HIV are strongly urged to seek expert clinical care from a physician. The Colby College Health Services will protect the privacy of individuals infected with HIV and the confidentiality of that diagnosis. Any recommendations regarding AIDS or HIV infection will be based on guidelines from the United States Public Health Service, the Centers for Disease Control, and the American College Health Association.
ADMINISTRATIVE ORGANIZATION OF THE COLLEGE

A. Government of the College

The immediate government of the College is under the direction of the President assisted by the College officers. All members of the teaching and administrative staffs are responsible to the President for the performance of their duties.

B. Administrative Structure

For the officers and administrative structure of the College, see the current Colby College Catalogue. The seven Vice Presidents serve as an advisory body to the President and meet regularly with the President. This group is known internally as the Senior Staff.

C. Departments and Programs of Study

The President, subject to the approval of the Corporation, establishes departments and programs of study within the College and, with the advice of members of the department or interdisciplinary program and of the Dean of Faculty, appoints a chair of each department and a director of each program. The chair/director, as the presiding officer of a department/program, calls the meetings of those members of the faculty in the department or program and presents all questions that may be submitted by the President or other properly constituted authorities of the College. The chair/director makes an annual report to the Dean of Faculty on the activities, conditions, and needs of the department or program and is responsible for the correlation of the work of the department or program with that of other departments and interdisciplinary programs. Chairs/directors do not normally serve more than two consecutive three-year terms.

Chairs/directors are instrumental in the formation and functioning of faculty review committees that make recommendations on appointment, reappointment, promotion, and the granting of tenure.

For the purposes of review committees, those who qualify as "significantly involved" in interdisciplinary programs are any one of the following:

1. Current Directors

2. Anyone with a full or joint appointment in the program.

3. Anyone who is on the advisory committee AND is teaching a "key course." Key courses are designated by program directors from:
   (a) courses in the core that are not simply prerequisites for other courses
   (b) electives that play a special role in the program because of both content and the number of students in the program who take them.

4. Anyone on the interdisciplinary advisory committee (or for Women's, Gender, and Sexuality Studies, program faculty) who advises students.

5. For Women's, Gender, and Sexuality Studies, the Coordinating Committee.

After course assignments have been made in the spring, the chair of Interdisciplinary Studies will solicit from each of the programs a list of faculty who qualify as "significantly involved" and forward that list to the Dean of Faculty.

Student major committees are elected or selected annually from among students enrolled in the major programs of every academic department or interdisciplinary program, in numbers established by the student majors and faculty members of that department or program. Some student major committees attend department or program meetings and participate in discussion
of both personnel and curricular affairs. In personnel reviews, these student committees may add comments of their own about a candidate's teaching and advising that become part of the candidate's dossier. The faculty member has access to these comments but not to their specific source.

When comments and recommendations by the student major committees are used as part of the nominating procedure for faculty personnel action (appointment, reappointment, promotion, the granting of tenure), department or program chairs/directors will report the result of that action to the student committee as soon as practical after the decision has been made at the College level, within the limits imposed by requirements of confidentiality.

D. **Academic Divisions**

The Departments of Instruction are identified with Divisions of the College, which are as follows:

**The Division of Humanities** including the Departments of

- Art
- Classics
- East Asian Studies
- English including Creative Writing
- French and Italian
- Theater and Dance
- German and Russian
- Music
- Philosophy
- Religious Studies (eff. 9/1/2014)
- Spanish

**The Division of Social Sciences** including the Departments of

- Anthropology
- Economics
- Government
- History
- Psychology
- Sociology

**The Division of Natural Sciences** including the Departments of

- Biology
- Chemistry
- Computer Science
- Geology
- Mathematics and Statistics
- Physics and Astronomy

**The Division of Interdisciplinary Studies** including programs in

- African-American Studies
- American Studies
- Education
- Environmental Studies
- Global Studies (formerly International Studies)
- Jewish Studies
- Latin American Studies
- Science, Technology, and Society
- Women's, Gender, and Sexuality Studies
- Global Studies (formerly International Studies)

Each Division elects a chair for a term of three years, who serves as liaison officer with and advisor to the President and Dean of Faculty, and presides at meetings of the chairs of departments or program directors and/or faculty members of the division to transact such business as may concern the division as a whole. The division chairs also make recommendations to the President and Dean of Faculty regarding allocation of staff resources. The Dean of Faculty meets regularly with the chairs of these divisions to discuss matters of academic and curricular policy as well as College support for research, travel, leaves, faculty and curricular development, and other issues.

**Election of Division Chairs**

Any faculty member holding either a tenure-track or continuing part-time position is eligible for election as division chair; in the case of Interdisciplinary Studies, faculty significantly involved (see
Nominating petitions containing the names of all eligible faculty will be distributed to each faculty member of the division in the semester preceding the academic year in which a new division chair is to take office. Faculty members who do not want their names to appear on the final ballot should contact the current chair of the division to have their names removed. The final ballot will be distributed to all voting members of the division. In the case of Humanities, Social Science and Natural Science divisions, voting members include all faculty on campus at the time of the election. For the Interdisciplinary Studies division, all significantly involved faculty will submit their ballots to their program director. Program directors will forward the preferences as expressed by ballots in their programs to the Interdisciplinary Studies Chair who will tally them based upon a "one-program, one-vote" basis.

E. **Overseers Visiting Committees**

Colby Overseers are elected by the Corporation to serve as an advisory council to the President and Trustees. Drawn from the ranks of distinguished graduates, parents, and friends of the College, the Overseers provide supplementary advice and support for College programs. Overseers serve as members of at least one Visiting Committee during their four-year term.

Visiting Committees are composed of both Overseers and outside experts (normally two overseers and two academic experts), who spend two to three days at Colby, during which time they meet with the staff of the department or program, as well as with representative students and appropriate members of the administration.

The purpose of the Visiting Committees is to (1) assist the department or program in a self-study and to review its future plans; (2) help the College insure the quality and integrity of the program; (3) provide outside counsel to the administration and the Board; and (4) afford an additional outlet for the expression of faculty and student concerns. Visits will be organized by the departments and programs affected in consultation with the Office of the Provost and Dean of Faculty, and background materials will be furnished to members of the committee prior to their on-campus stay.

Under the direction of the Visiting Committee chair, the committee will prepare a written report for the President and the Board of Trustees. The department or program then prepares a written response which, together with the original report, and additional comment by the Dean of Faculty, is forwarded to the appropriate committee of the Board. That committee will discuss the report with the chair of the department or program and with the Visiting Committee, after which the Dean of Faculty or other College officer will, on behalf of the President and Trustees, report to the visitors on the steps Colby plans to take in response to their recommendations.

Committees will normally visit a particular program or department every eighth year. Visits may be scheduled on a shorter cycle, if recommended by the visiting committee, with agreement of the President and Dean of Faculty. Occasionally, a single committee will be asked to visit more than one department or program during its stay at the College.

F. **Committees of the College and of the Faculty: Function and Membership**

Standing committees at Colby College are of two sorts: Committees of the College concerned with matters of interest to all constituencies, and, therefore, including students and sometimes graduates as members in addition to faculty and administrative staff; and Committees of the Faculty, concerned with matters primarily of interest to the faculty itself and drawing membership mainly from the faculty. In addition, there may be task forces appointed to deal with special problems, or subcommittees designated by existing committees for the same purpose. Membership of certain committees requires representatives from the four academic divisions. Membership of subcommittees need not be drawn from the parent committee. Task forces are an efficient means of studying particular problems; task forces should be provided with strict guidelines and expectations as to how their work should be conducted and when their report and recommendations should be submitted (normally within one academic year).
Under the Bylaws, the President and Dean of Faculty are members ex officio of all committees except the Faculty Grievance Committee and the Hearing Committee for Dismissal Proceedings. The President appoints chairs for committees, except where otherwise specified.

Eligibility for Service (with the exception of Promotion and Tenure). Faculty members anticipating leaves should not run for an open position with a term date beginning in the leave year. Faculty members planning leaves beyond the next year should run for positions for the following year, although their term might extend into the sabbatical or leave period. Faculty members, having served a partial term because of leave should advise their committee chair who, in turn, should contact the chair of the Nominating Committee by April of the academic year to fill the unexpired term. One-year replacement positions for the following year will then normally be part of the May ballot. Unanticipated (e.g., medical) leaves will be replaced as necessary.

Leaves and Service on the Committee on Promotion and Tenure. Faculty eligible to serve on the Committee on Promotion and Tenure should stand for election even if they are beginning leaves for the following year. They will be replaced by the runner-up in the election for the sabbatical year.

Example (for non-P&T case)
Professor X Leave Next Year Don't Run
Professor Y Teach Next Year, Leave Following Year Run and be replaced

The Nomination Process

(1) A call for nominations (including self-nominations) normally will be sent by the Dean of Faculty's office via electronic mail to all faculty members 10 days prior to a faculty meeting.

With regard to the Division of Interdisciplinary Studies, the one-person/one-vote rule will apply so that a faculty member cannot run for election representing two different divisions; a faculty member cannot change divisions when he or she is serving a term as an elected divisional representative. For election purposes, a faculty member desiring to change divisional affiliations in future years can do so only at the end of his or her term of service as a divisional representative, and he/she must notify the chairs of both divisions so affected. This transition may take place during a faculty member's last semester of service, so that he/she can be relocated on the ballot for the following year.

The Colby Committee Candidate and Statement pages (formerly known as Preliminary Ballot) will be prepared by the Office of the Provost and Dean of Faculty under instructions from the Nominating Committee. It will appear on the Dean's webpage under the heading "Faculty Elections." The Web page will include a list of those who are candidates for each committee and an optional brief statement by each candidate. This page will be updated periodically by the Office of the Provost and Dean of Faculty as candidates are added or withdrawn. Candidates will be listed under the committee(s) for which they are running.

Candidates may post brief statements (up to approximately 40 words) in electronic format on the Candidate and Statement pages. You may access the "Candidate Statement" link on the Nominating Committee Web page. Access to the "Candidate Statement" is restricted to candidates only. You will be requested to enter your DCE login and password for the system to identify you as a candidate. The committees for which you are a candidate will be displayed. Click on the committee for which you want to create a statement. Key in your statement. When you click on "Submit" the statement should be re-displayed for your review. To verify that your statement has been saved successfully, return to the Colby Committee and Candidate Statement - Supplementary Election page and click on the "Candidate Statement" link for the committee you loaded a statement for. If the statement does not display please contact Cathy Langlais at ext. 4204 or clangla@colby.edu.

The web page will be available during the entire nominating period to reflect the latest committee candidate information, including during the time between the nominating period and the end of the voting period to allow faculty to view the information related to the final ballot.
The preliminary and final ballot of the Committee on Promotion and Tenure will not include candidates' statements.

The final ballot is in the form of a web page. Faculty can access the final ballot and vote through a link from the Dean of Faculty home page between the Monday noon and Wednesday noon prior to the Faculty meeting. The Office of the Provost and Dean of Faculty will send an initial e-mail notice and an e-mail reminder to the faculty when the ballot is final and the process of election starts.

(2) In advance of the May elections, a call for nominations by e-mail will be sent to faculty by the Office of the Provost and Dean of Faculty at least ten days prior to the April faculty meeting. A complete listing of the continuing membership of all committees will appear on the web.

(3) Nominations will be accepted in the Office of the Provost and Dean of Faculty until noon of the Friday prior to the Wednesday on which a faculty meeting is held. Nominations sent to the Office of the Provost and Dean of Faculty must be accompanied by each nominee's confirmation to the Office of the Provost and Dean of Faculty. The final ballot will include only those nominees who have agreed to run for election.

If an election other than a run-off takes place after the first May faculty meeting, a call for nominations will be sent by the Office of the Provost and Dean of Faculty 10 days prior to the meeting, and nominations will be accepted in the Office of the Provost and Dean of Faculty until noon of the Tuesday preceding the second May meeting. The voting period will be Wednesday 11:00 a.m. until Friday 9:00 a.m. before the meeting.

(4) In addition to the electronic call for nominations, members of the Nominating Committee will solicit candidates.

(5) Voting is electronic only: faculty on leave or away from campus are eligible to run for an office and vote.

The Election Process

(1) Final ballots will contain a listing of the current membership of each committee for which a vote is taking place.

(2) Elections for the members of the Committee on Promotion and Tenure will be held after the March faculty meeting in order to allow people elected to the committee the time to rearrange their teaching and committee schedules. Faculty members must be present at the March faculty meeting in order to recuse themselves from service unless unusual circumstances prevent them from attending. Recusants should contact the Dean of Faculty if they are unable to attend. The Preliminary Ballot of the Committee on Promotion and Tenure will be on the web page ten days prior to the March meeting. The Office of the Provost and Dean of Faculty will issue a reminder before the March faculty meeting about the upcoming elections. The final ballot of the Committee on Promotion and Tenure will appear the Friday following the March faculty meeting. The elections will take place on the following Monday noon until Wednesday noon.

(3) The faculty election in May will be held prior to the first faculty meeting of that month.

(4) Voting for committees other than the Committee on Promotion and Tenure will be done electronically, using the Single Transferable Vote (STV) method of voting (also known as the Instant Run-off system). Under this system, if more than two candidates are contesting for a single position, those casting votes will rank the candidates (1 for first choice, 2 for second, etc.). In counting the votes, the first place votes for each candidate will be counted. If no candidate receives a majority, the lowest ranking candidate will be dropped and his/her votes will be redistributed to the candidate each voter ranked second. If a candidate then has a majority, that candidate will be declared elected. If no candidate has a majority, the procedure will be repeated until a majority is attained.
If there is a tie for a position on the Committee on Promotion and Tenure, a run-off will be held prior to the April faculty meeting. The winner of the run-off election will serve on the Committee and the runner-up will serve as first alternate. The second alternate will be the person who was runner-up to the tied candidates from the March election. If there is a tie for the second alternate position, a run-off election will be held.

If there is a tie for first alternate for any position on the Committee on Promotion and Tenure, a run-off election will be held prior to the first May faculty meeting. The winner of the May run-off election will serve as first alternate, and the runner-up will serve as second alternate.

Faculty members on leaves do not serve on committees. They are replaced during their sabbatical term and resume their committee service term upon return.

In case of prolonged network problems, a statement will be issued by the Office of the Provost and Dean of Faculty outlining the new time frame or elections by paper ballots.

By majority vote the faculty can order an election by paper ballot.

When a College or Faculty Committee, excluding the Promotion and Tenure Committee, has a vacancy in an elected faculty position, the Dean of Faculty, in consultation with the Nominating Committee, shall appoint a faculty member meeting the qualifications of the vacant position. Such appointments will terminate at the end of the academic year (by vote of the Faculty, October 2010).

Term Lengths

To provide a measure of continuity, memberships on Committees of the College are for two-year rotating terms. Committees of the Faculty require three-year, rotating terms unless specifically noted otherwise. Appointed members, unless otherwise indicated, serve for one-year terms, as do committee chairs whether elected or appointed. Terms for committee membership begin with the academic year in most cases. Faculty members appointed or elected to committees as replacements during the academic year begin their terms immediately. Membership on newly-created committees, task forces, or subcommittees may begin at times other than with a new academic year. To increase representation, faculty and students will, normally, be asked to only serve one college committee. Each year faculty, students, and administrators will be solicited so that a "volunteer pool" of those interested can be created for assignment to standing committees and task forces.

Committees of the College

Committees of the College are linked with the two anchor committees: Academic Affairs and College Affairs. All have administrator, faculty, and student members. Under "membership" only voting members are listed; others may be regularly invited to meetings and will serve as members without vote. Links between committees are connections of communication and consultation. The chairs of Academic Affairs and of College Affairs will meet at least once each semester with the chairs of each of their linked committees. Occasionally, conference committees from Academic Affairs and College Affairs will be formed.

All voting faculty members of College Committees, including at-large members are elected by the faculty and each committee will elect its own chair, with the exception of the Academic Affairs Committee and the College Affairs Committee; these chairs will be elected annually.

Each committee will designate a vice chair. In the cases of committees in which the chair is appointed by the President, the student vice chair will be selected by the Student Government Association. In the case of committees that elect their chair, if the chair is a student, the vice chair will be a faculty member or administrator elected by the committee and if the chair is a faculty member or administrator, the committee will elect a student as vice chair. The committee may decide to make the vice chair the "co-chair."
Each College committee should determine whether or not it will invite any individual to sit with the committee as guest members. A guest member is any person who is approved by majority vote of the committee, who attends meetings, who is regularly sent Minutes, and who may participate in committee discussions as a resource person. Guests will be permitted to speak on issues under review when called upon by the chair or any other member of the committee. Guests will not vote and may originate committee action only by submitting agenda items to the chair or vice chair.

The decision about who should be invited as a guest member should be determined by the committee without any of the proposed guest members present during the discussion to ensure a full and free exchange of views.

All College committees have administrators as members normally listed by title. Such administrators are considered appointments of the President and if the President wishes to appoint another administrator in place of the person listed, the President has the authority to do so.

The Student Government Association President and Vice President will be considered ex officio, non-voting, members of all College committees.

The Academic Affairs Committee will oversee the curriculum and educational policy. It will also address any issues relating to the Bookstore as necessary. Membership: 5 faculty, 1 elected from each division, 1 elected at-large; 4 students; 1 administrator (the Dean of Faculty, who will chair).

Committees linked to the Academic Affairs Committee:

The Administrative Committee advises the President on administrative matters not primarily involving academic policy; considers and makes recommendations on requests for exemptions from College regulations; periodically reviews the College calendar and functions and structures of the committees of the College and recommends changes to the faculty meeting and to the Student Association; receives reports from the Committee on Academic Standing on their decisions. Membership: 3 faculty, elected at-large for 2-year terms; 3 students; 3 administrators: the President, chair, the Dean of Faculty, the Vice President and Secretary of the College. The Registrar will serve as secretary without vote.

Advisory Committee on Off-Campus Study serves as an advisory committee to the President, Dean of Faculty, and faculty on matters relating to off-campus study; reviews the approval of applications for off-campus study and appeals in cases of denial. The committee conducts periodic reviews of approved off-campus study programs. Membership: 4 faculty, 1 elected per division; 4 students; the Director and Associate Director of Off-Campus Study; the Treasurer of the College; and the Associate Dean of Students for Academic Affairs. The Committee elects its own chair.

Financial Priorities Committee submits to the President its comments and recommendations concerning the adequacy of the College's programs and activities in relation to the College's resources; reviews the budget with the administration before its presentation to the Board. When the Committee deliberates on the budget, Committee members will receive documents to be discussed prior to the meeting. The budget will then be explained during a committee meeting. A one-week layover period will then ensue, making it possible for faculty members to engage in appropriate study and consultation. The Committee will be asked for its non-objection after this one-week period. Membership: 4 faculty, 1 elected from each division; 4 students; 2 administrators; 1 non-voting alumnus/a. The Committee elects its own chair.

The Independent Study Committee reviews and approves applications of students proposing an independent major and receives annual reports from independent majors and advisors; selects qualified students ("Senior Scholars") to pursue independent study in lieu of two or three courses each semester in the senior year. Membership: 4 faculty, 1 elected from each division; 3 students; 1 administrator (the Associate Dean of Students for Academics). The Committee elects its own chair.
The Information Technology Committee (formerly the Computer Committee with its subcommittees) will handle all related computer, communication, and information issues. Membership: 4 faculty, 1 elected from each division; 4 students; 4 administrators: the Director for Information Technology Services, 2 administrative staff appointed by the President, and the Director of the Colby Libraries. The Committee elects its own chair.

The Library Committee advises the Director of the Colby Libraries on matters of policy and regulations governing library use by students and faculty; advises on library purchases. Membership: The Director of the Colby Libraries; 1 other librarian; 4 faculty: 1 elected from each division; 3 students. The Committee elects its own chair.

The College Affairs Committee will oversee the co-curricular program, and will formulate and recommend policies concerning student life to appropriate bodies (e.g., to the Faculty and to the Student Association) except for the curriculum and academic requirements. Membership: 4 faculty, 1 elected from each division; 5 students; 1 administrator (the Dean of Students, who will chair).

Committees communicating with the College Affairs Committee:

The Athletics Advisory Committee provides general oversight and advice and assistance to the Athletic Director in matters of departmental planning, staffing, and policy-making and policy review. Membership: 4 faculty, 1 elected from each division; 4 students; 3 members of the coaching staff (one Associate Director of Athletics, one women's coach, one men's coach); 3 administrators (the Director of Athletics, the Dean of Faculty, and the Executive Assistant to the President). The Committee elects its own chair.

The Cultural Events Committee allocates undesignated College lecture funds together with funds made available by the Student Association and recommends the summer reading for the incoming class (note: Lipman Lecture Committee remains a subcommittee). Membership: 4 elected faculty, 1 elected from each division; 4 students; 1 administrator (the Associate Dean of Students for Residential Life). The Committee elects its own chair.

The Health Care Advisory Committee advises the Medical Director and the Dean of Students on matters related to College health services and health education. Membership: 4 faculty, 1 elected from each division; 4 students, 4 administrators (the Dean of Students, the Director of Women's Services, the Medical Director, and the Director of Counseling Services). The Committee elects its own chair.

The Admissions and Financial Aid Committee recommends and reviews admissions policy and is available to the Office of Admissions for consultation, advice, and support regarding special cases of admission and other issues; recommends and reviews financial aid policy and acts as an advisory group and sounding board to the Director of Financial Aid. Membership: 5 faculty, 1 elected from each division, 1 elected at-large; 4 students; 3 administrators (the Vice President for Administration, the Dean of Admissions and Financial Aid, and the Director of Financial Aid). The Committee elects its own chair.

Committees communicating with both the Academic Affairs Committee and the College Affairs Committee:

The Committee on Multicultural Affairs serves as a vehicle for considering policy, practices and issues of any kind related to, but not limited to, matters of race, gender, ethnicity, religion, sexual orientation, and other multicultural matters including efforts to (1) support and coordinate with existing groups and committees, e.g., the Committee on Race and Racism concerned with campus community multicultural issues and programs (hereinafter "community concerns"); (2) support and sponsor community discussions on campus of community concerns; (3) support programs of the residence hall staff and others in the residence halls on community concerns and intercultural relations in the hope that inevitable tensions can be defused and education and tolerance increased; (4) work with those responsible for the orientation of new students, faculty, and staff to
be certain that community concerns are adequately addressed; (5) recommend appropriate education and training programs for faculty, students, and staff to increase multicultural awareness; (6) work with the Dean of Faculty on ways to increase the effectiveness of our advising system for those with special needs; (7) make recommendations to the administration, to the faculty, and to other relevant committees, e.g., the College Affairs Committee, on ways to strengthen the campus community; (8) hold open forums on topics of general community concern; (9) make recommendations to the faculty, the College Affairs Committee, and to the President's Council with respect to the changes in the College's regulations concerning diversity; (10) work with the Academic Affairs Committee to maintain the integrity and perhaps, recommend revisions in the diversity requirement; (11) review the progress of Colby's affirmative action programs and suggest ways to strengthen them; and (12) address forums of harassment in its purview. The Committee will hold at least one open forum per year on each of the following issues: sexual orientation and homophobia; gender and sexism; ethnicity and ethnic bias; religion and religious discrimination; and social class and socioeconomic bias. The Committee will organize a separate task force on one or more of these issues whenever needed. The Committee distributes its minutes to the members of the Committee on Race and Racism as well as to its own membership.

**Membership:** 3 members elected at large by the faculty (two-year terms); 3 students appointed by the President. Three members of the Committee Multicultural Affairs (1 administrator, 1 faculty member, and 1 student, all chosen by the Committee) will serve as members ex officio, with vote, of the Committee on Race and Racism. The Committee elects its own chair.

The **Committee on Race and Racism** serves as a vehicle for considering policy, practices, and issues of any kind related to, but not limited to, race and racism on the campus; review and suggest strategies (1) for addressing racial harassment; (2) for addressing curricular issues, e.g., the diversity requirement; (3) for hiring and retention of faculty and staff of color, including affirmative action; (4) for recruiting and retaining students of color; (5) regarding policies and practices pertaining to residential life, and campus climate, e.g., racial awareness training initiatives. The Committee will hold open forums on issues of race and racism. The Committee will work in tandem with the Committee on Multicultural Affairs via an exchange of ex officio members, and may choose to work jointly with that committee on matters of mutual interest related to race and racism. The Committee distributes its minutes to the members of the Multicultural Affairs Committee as well as to its own membership. Membership: 2 members elected at large by the faculty (two-year terms); 2 members appointed by the Vice President of the Student Government Association, and 2 administrators appointed by the President. Three members of the Committee on Race and Racism (1 administrator, 1 faculty member, and 1 student, all chosen by the Committee) will serve as members ex officio, with vote, of the Committee on Multicultural Affairs. The Committee elects its own chair.

**Committees of the Faculty**

**Advisory Committee on Faculty Personnel Policies (ACFPP):** Serves as an advisory body to the President, the Dean of Faculty, and the faculty on matters relating to faculty personnel policy. **Membership:** 5 faculty, 4 elected by division and one at-large. Elections are for 3-year rotating terms. The Committee elects its own chair.

**Committee on Promotion and Tenure:** Acts as an advisory committee to the Dean of Faculty and the President on nominations for promotion and tenure; forwards its votes to the President with the reasons for acceptance or rejection of departmental recommendations. **Membership:** the Dean of Faculty as chair, without vote; 9 tenured faculty, 3 from each traditional division, elected for 3-year rotating terms. In any given year, no more than 2 members affiliated with a single department or program may serve on this committee. Election to this Committee is for a 3-year term, no matter how few or many of the years of that term are served by the original electee. When a 3-year term is ended, the original electee can claim one year's hiatus from eligibility for re-election.

**Faculty Course Evaluation Committee:** Oversees the system of student and peer evaluation of faculty and courses and formulates recommendations on policies and procedures to report to the Dean of Faculty and the faculty at large. **Membership:** 4 faculty elected by division; 2 faculty
elected at-large; and 2 appointed non-voting members; one Information Technology Services representative (nonvoting); the Associate Dean of Faculty (nonvoting); the Director of Institutional Research (nonvoting). The Committee elects its own chair.

**Grievance Committee**: Receives petitions from faculty members who feel cause for grievance in matters other than promotion, tenure, dismissal proceedings, or harassment; reports its findings and recommendations to the petioner, to the President, and to such other College bodies as it may itself deem appropriate. **Membership**: 6 faculty: 2 professors, 2 associate professors, and 2 assistant professors, elected at large for 3-year rotating terms. The committee elects its own chair, who shall insure that the committee is fully staffed and ready to act by the end of September of each year. No department chair, program director, or administrative officer may serve on this committee. Members of this committee may not serve on the Hearing Committee for Dismissal Proceedings. (See also pp. 41ff.) Grievances over non-renewal of contract must be filed no later than 30 days after receipt of notice of non-renewal from the Dean of Faculty. In cases other than non-renewal, grievances must be filed no later than May 1 in order to receive consideration before the conclusion of the academic year. Any grievances filed after May 1 may not be heard until the following fall semester.

**Hearing Committee for Dismissal Proceedings**: Hears cases related to dismissal of faculty members under the provisions of Section XII. C. of the Faculty Personnel Procedures. **Membership**: 12 full-time teaching faculty, 3 elected by each division, and 3 full-time teaching faculty elected at-large. Five panel members are elected annually for 3-year rotating terms. Members of this committee may not serve on the Grievance Committee.

**Nominating Committee**: Presents slates of candidates for each elected position to be filled by faculty members, generally at the May faculty meeting. The committee also presents candidates to fill unexpired terms as vacancies occur. **Membership**: the chairs of the Divisions of Humanities, Interdisciplinary Studies, Natural Sciences, and Social Sciences: 2 elected faculty members, 1 tenured professor or associate professor, and 1 untenured assistant professor or instructor. The Committee elects its own chair.

**Research, Travel, and Sabbatical Leaves Committee**: Receives requests and makes recommendations to the Dean of Faculty and President for research grants, for travel allowances to attend professional meetings, and for sabbatical leaves. **Membership**: the Dean of Faculty; the Administrative Vice President; and the chairs of the Divisions of Humanities, Social Sciences, Natural Sciences, and Interdisciplinary Studies. A non-voting member is the Administrative secretary to the Dean of Faculty, who acts as secretary.

**Committee on Academic Standing**: Decides upon dismissal, probationary, or conditional status for students of low academic standing; considers applications for readmission following academic dismissal. **Membership**: the Dean of Faculty; the Dean of Students; the Registrar; 4 faculty, one elected by each division for 6-year rotating terms. Non-voting members include the Dean of Admissions and Financial Aid, the Associate Dean of Faculty, the Associate Dean of Students/Director of Intercultural Affairs, and the Associate Dean of Students for Academics, who acts as secretary. The Committee elects its own chair.

**Other Committees or Councils**

A few bodies, neither Committees of the College nor of the Faculty, have functions similar to standing committees. These generally are not broad policy-making committees but deal with more specialized concerns. Membership on these committees is by appointment, and persons are asked to serve because of their particular interests. Several are listed here.

**Advisory Committee on Investment Responsibility**: Advises the President and the Board of Trustees on matters of social responsibility affecting the Colby investment portfolio. **Membership**: the Vice President for Administration; 2 faculty, 2 students, and 2 alumni appointed by the President.
Appeals Board: The purpose of the Appeals Board is to provide a formally structured panel of appeals to which any student may petition for a review of any case which the student feels the Student Conduct Board has not adjudicated properly. Such cases may be appealed on the basis of new information which could not have been presented at the original hearing or when there is reason to believe that a violation of procedure occurred which could have affected the outcome of the hearing, but may not be appealed on the basis of dissatisfaction with the sanction. The Appeals Board serves as a board of appeal for students disciplined for academic dishonesty by a faculty member or the dean of students or as a hearing board for students accused of academic dishonesty. The Appeals Board serves as a board of appeal in sexual misconduct cases.

The Appeals Board will be composed of four faculty members and four students (except for sexual misconduct cases). Each faculty member of the Appeals Board shall serve one term of three years and may not immediately succeed himself or herself on the board. The student members shall be selected at the end of their sophomore year for a two-year term on the board. The members of the Appeals Board may not be members of the Judicial Board. All members of the Appeals Board will be nominated by the Conduct Board with the final approval and appointment by the president of the College. Nomination and appointment of the new members will take place prior to the end of the spring semester. The president of the College will have the authority to fill any vacancies (either on a temporary or permanent basis) on the Appeals Board after consultation with the Conduct Officer.

Except when the victim and accused student mutually agree, only the faculty members of the Appeals Board will hear cases regarding sexual misconduct. If this agreement is reached, the Student Co-Chair of the Conduct Board will fill this role.

A member of the Appeals Board may be recalled only upon unanimous consent of the president of the College, the Student Co-Chair of the Conduct Board, and two other members of the Appeals Board.

There shall be a chair of the Appeals Board who shall be one of the faculty members with at least one year of service completed in his or her term. If that faculty member is unable to serve, the other faculty member in the second year of his or her term shall become chair.

A quorum of at least five members of the Appeals Board (two students and three faculty) will rehear all cases arising from the second purpose of the Appeals Board.

Only the faculty members of the Appeals Board will hear cases of academic dishonesty that are brought to the board. A quorum will consist of three faculty members.

The decisions (resulting from a simple majority vote) of the Appeals Board shall be final and binding.

Faculty Lounge Committee: Oversees the scheduling and use of the Lovejoy Faculty Lounge for various events. Membership: 3 appointed faculty; 1 administrator.

Graduate Scholarship/Fellowship and Professional Preparation Committees: Committees of advisors for students preparing to enter graduate and certain professional schools: e.g., medicine and dentistry, law, theology, etc. Review and prepare qualified candidates who are recommended for various national and international competitions. Administrative support is provided by the Director of Career Services. Membership: faculty members are appointed by the President.

Institutional Animal Care and Use Committee: Serves as Colby's animal care committee in compliance with federal guidelines for humane treatment and care of research animals; oversees those facilities housing research animals and procedures used in animal research. Membership: a doctor of veterinary medicine as alumni representative, and 4 faculty appointed by the President.

Institutional Biohazard Safety Committee: This body ensures safety in activities involving recombinant DNA molecules. It sees that members of the faculty adhere to the specific details and to the intent of the Guidelines for Research Involving Recombinant DNA Molecules.
Membership: 4 members of the Natural Science division who have expertise in recombinant DNA technology or with expertise in assessment of safety issues and understanding potential risks to public health and environment; 2 outside members that represent the interests of the Waterville community with respect to health and protection of the environment.

Institutional Review Board: Human Participants: Reviews projects involving human participants and is responsible for recommending policies and procedures that will insure that the rights of participants in research at Colby are protected (see Appendix VII). Membership: 5 faculty appointed by the President.

Interdisciplinary Studies Council: This body coordinates interdisciplinary academic activities, which combine the offerings of two or more traditional departments (see list pg. 60). Membership: the Director or other representative from each of the interdisciplinary areas; and 3 students in the programs. Each of the separate areas named above has its own advisory committee. The chair of the council is the chair of the Interdisciplinary Studies Division.

Judicial Board: Presides over cases involving nonacademic wrongdoing and recommends specific action to the Dean of Students. The Judicial Board schedule is determined as cases are brought before the board. Membership: 12 students and 2 faculty members. (See Student Handbook for selection procedure.)

Radiation Safety Committee: This group provides for the protection of students, staff, and the general public against radiation hazards associated with the College's possession, use, transportation, and disposal of radioactive materials. It also ensures the College's compliance with applicable regulations of federal, state, and local agencies. Membership: faculty and staff are appointed by the President.

Student Conduct Board: The Student Conduct Board determines if matriculated or enrolled students on or off campus, singly or acting as a group, have violated the College Code of Student Conduct, and, if so, what action should be taken. Depending on the type of violation, the Conduct Officer will convene one of three types of hearing: A) College Standards Hearing; B) Sexual Misconduct Hearing; or C) Organization Misconduct Hearing.

The Student Conduct Board is composed of fifteen members: the Conduct Officer, who serves as Chair of the Board (non-voting); nine (9) students (two seniors, two juniors, and two sophomores, and two at-large) balanced by gender; four (4) members of the faculty; one administrator at-large (not a member of the Dean of Students staff, appointed by the VicePresident/Dean of Students); one member of the Dean of Students staff (appointed by the VP/Dean of Students).

A quorum for the Student Conduct Board hearings shall consist of nine persons with at least one student, one faculty member, and either the Conduct Officer or the Dean of Students representative. (If the Conduct Officer is absent, the Dean of Students representative chairs the hearing.) In the absence of a quorum, the hearing will be rescheduled.

The configuration of the hearing body for an individual case will depend on the type of violation.

Faculty members are elected by the faculty, student members are appointed by the Student Government Association (SGA), and administrators are appointed by the Vice President of Student Affairs/Dean of Students. Terms for faculty and administrators (other than the Conduct Officer and the Dean of Students representative) are three years; students serve for one year. Students must have completed at least two terms at Colby before they are eligible to serve on the Board. Student members must be in good academic standing, and students who have been found responsible for violating the Code of Student Conduct are not eligible to serve as Board members.

The accused student has the right to be accompanied at the hearing by an advisor. The advisor must be chosen from among current students, faculty, staff or administrators at Colby, but must not be a parent or guardian or an attorney. The advisor may consult with the accused student but may not speak on behalf of that student, unless he/she is directed to answer questions raised by the Board members.
Student Conduct Board and Appeals Board hearings shall be recorded by current means of technology (e.g. digital audio, etc.). For more information, see the Student Handbook.

FACULTY RIGHTS AND RESPONSIBILITIES

A. **Academic Freedom and Tenure**

The 1940 AAUP Statement of Principles on Academic Freedom and Tenure has been adopted by the Board of Trustees as official College policy. This Statement is provided in full on pp. 46-47.

B. **Advising**

All continuing faculty members will serve as advisors to first-year students. Exceptions may be granted by the Dean of Faculty for those who face unusually heavy major advising commitments (e.g., faculty who advise 25 or more students in traditional and/or interdisciplinary majors). Faculty members are expected to advise majors in their departments and sometimes in interdisciplinary programs in which they are significantly involved.

C. **Faculty Teaching Responsibilities**

A faculty member with a "full teaching load" has responsibility for five courses or their equivalent during an academic year. Equivalence is a variable concept, established by the Dean of Faculty in consultation with department chairs or program directors and faculty members themselves, taking into account such activities as are related to the curricula of departments or programs or particular professional concerns of individual faculty members. These may include, for example, supervising laboratory sections, directing dramatic or artistic performances, conducting musical groups, etc. Calculation of equivalence must be approximate, with a certain degree of flexibility and variation to be expected in individual cases.

D. **Political Activities of Faculty Members**

Faculty members, as citizens, are free to engage in political activities. Leaves of absence may be given for the duration of an election campaign or a term of office, on timely application, and for a reasonable period of time. The terms of such leaves of absence shall 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 leaves will not count as probationary service unless otherwise agreed to.

E. **Retirement**

When faculty members are considering retirement, or need general information about retirement benefits and options (including early or partial retirements), they should consult the Dean of Faculty or the Office of Human Resources, or (http://www.colby.edu/administration_cs/humanresources/retirement/index.cfm)

F. **Subsidiary (Outside) Employment**

Faculty appointments at Colby are made with the understanding that faculty members will give their full time during the academic year to their College responsibilities. Members of the faculty are requested not to make outside commitments without first discussing them with their chairs/directors and with the Dean of Faculty.

G. **Academic Year Employment Responsibilities**

A faculty member's obligation to the College begins on September 1 and ends on June 30. It is expected that each faculty member will attend the Commencement exercises, submit all grade reports to the Registrar's Office by the appropriate deadlines, and be available to attend meetings or fulfill other College engagements that may be scheduled before June 30.

Each faculty member is asked to submit annually, by June 1, to the Office of the Provost and Dean of Faculty a report for the period September 1 to August 31. Individual faculty reports should include the following information: (1) courses offered during the year; (2) committee service, especially ad hoc, task forces, search committees, and the like; (3) other College service; (4) publications during the September 1 through August 31 period, and a brief description of research in progress; (5) papers presented at professional meetings, major lectures, recitals,
readings, exhibits, etc.; (6) student papers, recitals, exhibitions sponsored by the faculty member;
(7) other pertinent information, e.g. election to office in professional societies, degrees, honors,
awards received, noteworthy accomplishments.

Additional copies of faculty annual reports should go to the department chair and to the director
of any interdisciplinary program in which the faculty member is significantly involved.

H. Redress of Grievance

See Faculty Grievance Committee and Grievance Procedure.

I. Indemnification Procedures

The indemnification policy is stated in the College Bylaws, Article X. The provisions of that Bylaw
are subject to the following procedures:

1. In order to apply for protection and benefits under the indemnification policy, an employee or
   agent (hereinafter collectively referred to as "employee") shall: (a) as soon as the employee
   becomes aware of a substantial possibility of an action for which he or she may seek defense
   and/or indemnification, notify the Administrative Vice President or, if a faculty member, the
   Dean of Faculty, in writing; (b) not discuss the subject of the action with anyone other than
   those authorized by the President, Administrative Vice President or Dean of Faculty; (c)
   provide to the College–and only to the College–all pertinent information, including detailed
   information about the act or failure to act that is the subject of the action; and (d) sign an
   agreement promising to reimburse the College for any expenses incurred on behalf of the
   employee if it should ultimately be determined by the Board of Trustees that the employee is
   not entitled to indemnification.

2. In order for an employee to be eligible for defense and/or indemnification the employee must
   apply to the College prior to incurring the expenses to be reimbursed or otherwise acting in
   connection with an action. Application after incurring expenses to be reimbursed or otherwise
   acting in connection with the action may be grounds for denial of the application if such has
   prejudiced the employee's case or increased the cost of defense in any way.

3. The President of the College shall determine whether the action appears to be covered by the
   indemnification policies and procedure and, if so, shall either select an attorney to represent
   the employee or agree to the reimbursement or reasonable legal expenses incurred by the
   employee. An adverse determination by the President may be appealed to the Executive
   Committee of the Board of Trustees. The decision of the Executive Committee of the Board of
   Trustees shall be final, ultimately determinative, and not subject to judicial or other review.

4. An employee shall not be entitled to reimbursement for legal defense expenses or for any
   judgments, fines, or amounts paid in settlement of any action, suit, or proceedings if the acts
   or omissions alleged constitute willful misconduct, gross negligence, or recklessness.

5. An employee shall cooperate fully in the defense of the action. Any unreasonable failure to
   provide full information or to cooperate in the defense of the action shall be reason for denial
   of defense and/or indemnification expenses.

6. Determination of any action, suit, or proceeding by judgment, order, or conviction adverse to
   an employee, or by settlement or plea of nolo contendere or its equivalent, shall not of itself
   create a presumption that the employee did not act in good faith in the reasonable belief that
   his or her action was in the best interest of the College (or, with respect to any criminal action
   or proceeding, that the person had reasonable cause to believe that his or her conduct was
   unlawful). In the case of such adverse determination, the Trustees of the College, by majority
   vote of a quorum consisting of Trustees who were not a party to such action, suit, or
   proceeding shall, in accordance with Subsection 3 of Section 714 of Title 13-B of the Maine
   Revised Statutes, authorize the reimbursement of the employee for legal expenses and any
   related judgments, fines, or settlements if a majority of the Trustees believe that the
employee acted within the scope of his or her employment, in good faith, and in a manner reasonably believed to be lawful and in the best interest of the College, and that the action or omission did not involve willful misconduct, gross negligence, or recklessness. In the case of an employee with regard to whose indemnification the Trustees are deliberating, the employee shall be given the opportunity to present his or her position to the Board orally and/or in writing through one, several, or all of the following: the employee, an attorney or other personal representative of the employee, or a member of his or her profession (if any) undertaking to clarify for the Trustees, from the viewpoint of the profession, the elements relevant to the Trustees' consideration of whether the employee's actions are indemnifiable. The decision of the Board of Trustees in this regard, as well as in regard to any dispute concerning the interpretation or application of any of the provisions of this Article, shall be final, ultimately determinative, and not subject to judicial or other review.

7. "Scope of employment" for the purpose of Article X of the Bylaws may include uncompensated service to the College (such as student or outside referee evaluations of teaching or scholarship of Colby faculty or Colby programs) and includes employee participation in and/or direction of such off-campus student activities as field trips, data gathering, COOT trips, group trips in the United States and abroad, and the operation of foreign study center programs. However, "scope of employment" does not normally include writing for publication, publishing, off-campus professional activities (other than those specified above), consulting or business activities. Nevertheless, the College may, in its sole discretion and on a case-by-case basis, following the procedures set forth in paragraphs 1. and 3. above, decide whether and to what extent to extend protection for such activities. The College will normally not extend such protection if the activities involved compensation for those activities by a person or entity other than the College, compensation that exceeds reasonable expenses.

8. The protection of this policy shall extend only to actions in which the employee is a defendant or proposed defendant, and shall not extend to actions that an employee affirmatively initiates or proposes to initiate against any other persons or entities or to defense and/or indemnification of an employee in any proceeding within the College.

9. The protection of this policy shall not extend to actions or omissions while an employee is on an unpaid leave of absence from the College, although exceptions may be made at the College's sole discretion where an employee on leave is engaged in activities that are an extension of his or her College activities.

10. The protection of this policy shall not extend to medical or other professional liability with respect to which employees are protected under any professional liability insurance program.

11. The employee shall notify the College at the time he or she applies for protection and benefits under this policy of any personal or other insurance coverage that may be available to provide defense and/or indemnification. The College may require the employee to exhaust any available benefits under such insurance before providing benefits under this policy.

12. The employee shall also notify the College at the time he or she applies for protection and benefits under this policy if any other entity may be obligated or able to defend and/or indemnify the employee because of the connection the employee had with such entity related to the allegations that have given rise to the action. The College may require the employee to exhaust any available benefits from such entity (or its insurers) before providing benefits under this policy.

13. If requested by the College, the employee shall produce proof of any such alternative sources of protection described in paragraphs 11. and 12., or lack thereof.

14. If the employee wishes to file a counterclaim, he or she shall follow the procedures set forth herein, and if approved, any net judgment in favor of the employee shall first be paid to the College as reimbursement for indemnification payments made, until repaid in full, the remainder to the employee. If not approved, all costs and recoveries in connection with the counterclaim shall be that of the employee.
15. The College's indemnification policy and procedures shall not limit any right of indemnification existing independently thereof.

FACULTY PARTICIPATION IN THE GOVERNMENT AND CEREMONIAL FUNCTIONS OF THE COLLEGE

A. Departmental and Interdisciplinary Program Participation

All faculty members on active service on campus are entitled and encouraged to participate in the affairs of their departments and programs, and of the College. They may attend, and are entitled to a full and equal vote in, department/program meetings.

Faculty members on leave or away from campus should, if they so request, and insofar as it is practicable, be kept informed on departmental/program matters of significance, and their advice given due consideration.

All faculty members on active service on campus are expected to participate in the extracurricular duties of the faculty. For those employed part-time, participation is expected on a pro rata basis.

B. Faculty Meetings

1. Faculty meetings are called and convened by the President of the College or the Dean of Faculty; they are conducted by the President or by a designee according to conventional rules of order. Meetings are ordinarily scheduled for the second Wednesday of each month during the academic year, including January. Attendance at faculty meetings is expected. New faculty members should begin attendance with the first meeting of the academic year, when it is customary to introduce them to the entire faculty.

2. In May 2009, the faculty approved the following categories as eligible to vote in faculty elections and at faculty meetings: continuing tenured and tenure-track members of the faculty; continuing faculty members without rank; continuing administrators with faculty status; continuing non-tenure track members of the faculty. In October 2011, the faculty re-established voting rights to Category IV faculty with current appointments. Other members of the faculty and, where appropriate administrators, are welcome to attend the Faculty Meeting and participate in debate without vote. Proxy voting at faculty meetings is not permitted. A simple majority of those eligible, present, and voting is sufficient for passage of a motion.

Questions of policy must "lie over" to the meeting following the one in which the matter is originally proposed, unless this rule is suspended by unanimous vote of those present. The "lying over" refers to voting transactions, not to discussions. At the meeting in which the motion is first introduced, it may be discussed and amended (as voted by the faculty in February 2014).

3. Two student representatives shall be allowed to attend faculty meetings regularly. Advance permission to address the faculty is required on each occasion.

4. Minutes of meetings of the faculty are prepared by the Secretary, who is appointed by the President. After each meeting, minutes of the meeting are posted to the Dean of Faculty website. The Dean of Faculty maintains the archive of faculty meeting minutes.

C. Faculty Committees

Article VI, Section 3 of the Bylaws empowers the faculty or the President "to create such standing or special committees as may seem appropriate." "Committees of the College and of the Faculty: Function and Membership" enumerates the standing composition and function of these committees. The faculty Nominating Committee presents a slate of nominees for election to the Committee on Promotion and Tenure in March, and for election to other committees at the May
The results are announced as soon as available. The President thereafter solicits applications from faculty members for appointive positions, and, after consultation with the Dean of Faculty, announces these appointments early in the fall.

D. Faculty Representation on the Board of Trustees

The faculty elects two of its members to serve three-year terms as faculty representatives to the Board of Trustees, attending meetings, but not as voting members. The Chair of the Board of Trustees also appoints faculty members to serve on the Budget and Finance (including Compensation Subcommittee), Educational Policy, Physical Plant, and Student Affairs Committees of the Board of Trustees with full voting privileges.

E. Ceremonies

Under the direction of the faculty marshals, the faculty assembles in academic robes for procession for first-year student Assembly, Baccalaureate, Commencement, and occasional special convocations. Attendance at these occasions by all faculty members is expected. The Office of the Provost and Dean of Faculty, with proper advance notice, will provide academic robes when necessary. When academic costume is unavailable, conventional professional dress is acceptable.

FACULTY RELATIONSHIPS WITH STUDENTS

A. Student Handbook

The Student Handbook, an annual publication describing the academic, social, and administrative regulations of the College as they pertain to students is available on the College website at (https://www.colby.edu/administration_cs/student-affairs/deanofstudents/studentconduct/).

B. Scheduling and Conduct of Classes

1. Absence of the Instructor from the Class. Instructors notify their department or program chairs when they must be absent from class. This notification should specify alternative arrangements made to cover the absence, along with the reason for, and duration of, the absence. Chairs/directors report extended absences to the Dean of Faculty.

2. Student Attendance in Classes. Students are expected to attend all of their classes and scheduled course events in any semester or January term and are responsible for any work missed. Failure to attend can lead to a warning, grading penalties, and/or dismissal from the course by the instructor with a failing grade.

Attendance and absence policies differ among departments and programs, and among specific courses and instructors. Each professor will explain her or his own rules at the beginning of a course, and will provide this information on a printed syllabus. This information may also be provided on a course web site.

Individual instructors determine whether students can be excused from classes or scheduled course events, whether exams can be postponed, or deadlines extended. Instructors also determine whether options are available for completing work when College-sponsored activities or events (e.g., musical performances or athletic competitions) conflict with a class or lab. It is the responsibility of students to communicate promptly and directly with instructors concerning these matters.

Excuses may be granted at the instructor's discretion for the following reasons: critical emergencies (normally verified by the Dean of Students Office), athletic or organizational trips, or illness (normally verified by the College Health Center). Students on academic probation should know that they cannot be excused from any class because of extracurricular or athletic activities.
College policy states that students are not permitted to miss a class for a practice. Students are permitted to miss a class for an athletic contest but only at the discretion of the instructor of that class. Individual instructors have the authority and discretion to decide whether students may be excused from classes or scheduled course events for any reason, including athletics. Own policies on missed classes must be stated on the syllabus and/or course web site at the beginning of the semester. Students should be held responsible for following policies, but these policies must be announced and available. See Appendix VII, Policies for Missed Class Time Due to Athletic Contests.

Students who are dismissed from a course due to unsatisfactory attendance through the mid-semester deadline (with the exception of first-year students) will receive a grade of WF. Students dismissed after mid-semester will receive a grade of F in the course, with the exception of first-year students who will be dismissed with a mark of WF.

3. Religious Holidays and Other Events Observed by the College. Colby College is supportive of the religious practices of its students, faculty, and staff. The College is committed to ensuring that all students are able to observe their religious beliefs without academic penalty.

The College will enable any student to make up any course requirements scheduled during a religious holiday that is observed by that student. Students are expected to inform course instructors within two weeks of the beginning of the term of any religious observance that will conflict with coursework. The faculty member will then work with the student to find a reasonable accommodation that will allow the student to complete the academic work. In addition, no student will be required to participate in college events such as athletic commitments, lectures, or concerts on these holidays.

The Office of Religious and Spiritual Life maintains a list of religious holidays. Faculty members are encouraged to consult this list as they plan their courses.

In the case of holidays that occur early in the semester, faculty members are encouraged to consult the religious holidays calendar in order to anticipate student requests that may occur early in the semester.

There is a designated zone from 12 noon to 2:00 p.m. on Dr. Martin Luther King, Jr. Day, during which special events relating to Dr. King's legacy can be held and during which classes and athletic practices will be rescheduled.

4. Length of Classes. Classes are normally scheduled for either fifty- or seventy-five-minute periods. Seminars are normally scheduled for two and one-half hours. Laboratory meetings are normally scheduled for three hours. Classes are customarily held for the full duration of the period and dismissed on time.

5. Extracurricular Zone. The hours 4:00 - 7:00 p.m. Monday through Friday are reserved for extra-curricular activities (lectures, meetings, rehearsals, practices, events) and no more than four required class sessions may be scheduled in this "zone" during a semester. Extra required class sessions should be scheduled in the evening time periods. All required classes (dates, times) must be included on the course syllabus.

6. Field Trips. Instructional field trips off campus may be arranged by the instructor, but caution is urged if students are thus required to be absent from other scheduled class meetings. No instructor may ask that a student miss a second class meeting of another course in the same semester for field trips.

7. Arranging Schedules for Classes and Room Assignments. Instruction is organized by departments and programs, with curricular changes subject to the approval of the Academic Affairs Committee. Course schedules and teaching assignments are arranged by department chairs or program directors, then coordinated with the offerings of other departments/programs in the Office of the Registrar where stated preferences for days, hours, and room assignments are honored within the limits set by facilities.
Even temporary changes of room or of hourly schedule should be cleared in advance with the Registrar's Office. When a department or program lists a course with time or place "to be arranged," these will be reported to the Registrar's Office as soon as practicable after the beginning of the semester.

8. **Introduction of New Courses.** New courses of study are introduced into the curriculum through academic departments and interdisciplinary programs. Initial approval of any course must be achieved in the department or program itself; the department chair or program director then formally requests approval of the new course by the Academic Affairs Committee (AAC). With AAC approval, a proposed new course becomes a part of the curriculum. Department and program curricular changes are subject to review by the AAC.

9. **Selected Topics.** Each department and interdisciplinary program may from time to time offer special courses not otherwise included in its regular course offerings. When such a course is offered, it will be listed under the appropriate subject heading. The first digit of its number will depend on the level at which it is offered. Titles, descriptions, prerequisites, and number of credits will be determined by the department or interdisciplinary program offering the course, and this information will be available at registration. AAC approval is not required for Selected Topics, but AAC must be notified, in advance, of these offerings by departments or programs. No course should be offered for a second time as "Selected Topics."

10. **Independent Study (schedules individually arranged)**

   a) **Independent Study.** Toward the end of the catalogue listings of curricular offerings of all departments are courses entitled "Independent Study," offering work of an individual and original nature for advanced students. **NOTE:** Independent Study (491, 492) should not be confused with -97, -98, Selected Topics (see Section 9 above).

   b) **Senior Scholars.** Seniors may undertake independent study as "Senior Scholars." Students whose projects are approved by the Independent Study Committee pursue individual work under the guidance of faculty members and may be granted six credits per semester, and three credits in January in lieu of regular course work, as determined by the Independent Study Committee.

   c) **January Program of Independent Study.** The January Program of Independent Study, or Jan Plan, occurs between the winter break and the second semester. It offers students a greater measure of academic responsibility.

   To be eligible for graduation, students must take three Jan Plans if they are in residence for seven or more semesters, or two Jan Plans if they are in residence for six or fewer semesters. Each first-year student on campus in the fall semester must take a Jan Plan course under options (1) and (2) below and will be given preference in 100-level and most noncredit courses.

   Jan Plan options are as follows:

   (1) Courses offered for credit, ordinarily graded in the same manner as semester courses.

   (2) Noncredit courses which may be experimental or offered by experts in fields not included in the regular curriculum. These will be graded honors, pass, and fail.

   (3) Independent study, which may be taken under a variety of credit options either on campus or away.

   Students enrolled in January Programs will be expected to be fully occupied by their January activity, whatever it is. January courses or independent study for academic credit will earn either 2 or 3 credits depending on the intensity of time and amount of work required. Although, in general, a student's workload will be heavier than this, classes
should meet each week for a minimum of 6 contact hours in the case of 2 credit courses, or for 8 contact hours in the case of 3 credit courses. Meetings should be held on at least three days each week. Students should expect assigned work of at least two hours outside of class for each class hour. Students doing independent study, internships, field work, and laboratory projects should have a well-defined structure and schedule for the entire program, which should be worked out in advance with their faculty sponsors.

Registration for Jan Plans occurs in October; a student may not register for more than one Jan Plan each year. Departments and interdisciplinary programs make certain that one of these Jan Plan options is available to students, and faculty members will be asked to offer instruction in January as academic needs demand.

C. **Conduct of Examinations and Reporting of Grades**

1. **Hour examinations and quizzes.** There is no fixed schedule for hour examinations and quizzes during a semester. The faculty has agreed that a class shall have at least one week's notice of any hour examination. See Section B.2. under *Faculty Relations With Students*, regarding student attendance and absences.

2. **Final semester examinations.** It is assumed that, in the absence of specific exemptions, semester examinations are given at their scheduled times in all courses. Exemptions from administering final exams may be granted by departmental/program chairs/directors at the request of instructors and may be considered for:
   a. "Skill" courses
   b. Courses in which some equivalent process is substituted for a semester examination
   c. Seminars
   d. Independent topics or projects

The Registrar prepares the final examination schedule. Students may not postpone final examinations unless such postponements are sanctioned by the instructor for sufficient reason. Final examinations will normally not be administered before the scheduled examination time. Whenever students are excused, or have three exams in one day or four exams in sequence, they must be allowed to take a make-up exam on an official make-up exam date. Exams may be made up prior to this date by mutual agreement, but not before the originally scheduled time. The mark of "ABS" is given to indicate that a student has been absent from the final exam with the instructor's sanctioned postponement. Postponed final exams must be made up within limits prescribed by the instructor, but not later than January 15 for the first semester, the Tuesday following spring break for the January Program, and July 1 for the second semester. For work still incomplete after these dates, any remaining marks of "ABS" will be changed to "F" grades after notice to the student and instructor. No instructor is required to provide a make-up exam for a student who elects two courses with the same exam number.

It is general policy for faculty members to retain on campus for a year students' term papers, blue books of hour examinations, and final examinations when they are not returned to the students.

3. **Comprehensive Examinations.** At the option of departments or programs, comprehensive examinations may be scheduled for senior majors. If given, their type, length, manner of conduct, and time of administration will be determined by the department or program concerned, as will the determination of whether or not the examination is a department or program graduation requirement.

4. **Reporting of Grades.**
   a. **Semester course final grades** are reported to the Registrar after the close of each semester via the Web. Final grades must be submitted as follows:
1. First semester reports are due no later than January 3.
2. January Program reports are due no later than February 15.
3. Second semester reports for graduating seniors are due 48 hours after the semester exam, with the exception that no senior grades shall be turned in later than 5:00 p.m. on the second day preceding the faculty meeting at which the faculty recommends the granting of degrees (in 2015, May 22).
4. Reports for other students at the end of the second semester are due no later than the seventh day following the last day of the examination period; normally, this is the Tuesday following Commencement (in 2015, May 24). Faculty members are requested to submit final grade reports earlier whenever possible.
5. Changes of ABS or INC grades are due in the Registrar's Office no later than seven days after receipt of the required work.
6. Faculty members may use any interim grading system they wish for their own records, but grades submitted to the Registrar must be in terms of letter grades as follows:
   - For each credit hour, a mark of:
     - A earns four points
     - B earns three points
     - C earns two points
     - D earns one point
   
   Each plus mark earned is .3 point per credit hour added.
   Each minus mark is .3 point per credit hour deducted.
   
   No points are earned for marks below D-.

   The relative weight assigned to various performance indicators in the determination of any student's semester grade is determined by the instructor, with the limitation that the semester examination shall not constitute more than half of the total course grade.

   Grades represent the faculty member's declared assessment of the student's progress in the areas described in the curriculum. The same professional knowledge and judgment that qualifies an instructor to teach or to direct study should be exercised in grading.

   Students can elect to take some of their courses on a Satisfactory/Unsatisfactory basis. Departments or programs may specify that courses required for the major are not to be taken under this provision, and it is the student's responsibility to be aware of the policy of the department or program. No distribution requirements, either all-College or divisional, may be taken on a Satisfactory/Unsatisfactory basis.

   Forms for declaring a Satisfactory/Unsatisfactory option are available in the Registrar's Office and must be completed and returned to the Registrar no later than the last day of the change of course period of the semester in which the course is taken. Instructors are not informed of the identity of students who have elected this option in their courses, but submit grades for all students on the same A through F basis. The Registrar converts standard grades to S for A through C-, and U for D+ and below. No information about the "quality" of a S is released to the student under any circumstances. Satisfactory/Unsatisfactory declarations may be revoked until the last 30 days of the semester by filing the appropriate form with the Registrar. Deadlines are pro-rated for mini-courses (less than semester-length) and for credit courses in January.
A student who enrolls in a course under the S/U option retains the right to withdraw passing from the course on the same basis as students taking the course for a letter grade.

"Critical Dates and Deadlines" can be found at the myColby portal and on the Registrar's Web page. It is the student's responsibility to be aware of these dates.

Certain activities that do not lend themselves to conventional grading may be graded Credit/No Credit. These are usually "practical experience" activities, and approval to use this system is required from the Academic Affairs Committee.

New members of the faculty are urged to confer with their department chairs/program directors regarding standards of grading and methods of reporting to students and to the Registrar.

Grades in Off-campus Colby Programs. Grades earned in courses taught by Colby faculty off-campus count in cumulative GPAs (this change was effective starting with the 1999-2000 academic year). All grades from Colby programs in Bigelow Laboratory for Ocean Science, Dijon, Salamanca, St. Petersburg are counted toward the GPA.

b. Absent (ABS) and Incomplete (INC) Grades. A mark of ABS indicates that a student was absent from the final examination. A mark of INC indicates a course not finished for some reason other than failure to take the final examination; INC is not appropriate unless the student has made prior arrangements with the instructor.

Work to make up grades of ABS or INC must be submitted within limits set by the instructor. Grades for incomplete work must be submitted by the instructor no later than January 22, 2015 for first semester, April 7, 2015 for January credit courses, or July 2, 2015 for the second semester. After these dates any remaining marks of ABS or INC will be changed to F. The Registrar will send reminder notices one week prior to the deadline to all students whose ABS or INC marks have not yet been converted. The Dean of Students may give limited extensions for the completion of work without penalty, but only for excuses similar to those acceptable for missing a final examination.

c. Changes in Grades. An instructor who wishes to change a semester grade (except ABS and/or INC) after reporting it to the Registrar must secure approval of such change from the Dean of Faculty. Any change must be demonstrated to be necessitated by discovery of an error in recording or reporting, or must result from a bona fide medical problem as verified by the Dean of Students.

d. Academic Warnings. A faculty member will submit to the Dean of Students, via the Web, a warning form at any time during the semester that a student's work is unsatisfactory. A report will be forwarded to the student and to the appropriate faculty advisor and advising dean. When a student receives warnings in two or more courses (or any warnings while on probation), the parents will be notified by the Office of the Dean of Students. These warnings are important to provide to students, especially first-year students; the notification of academic advisers and advising deans provides an opportunity for additional support for struggling students.

Students benefit from this feedback; it is helpful and important to plan courses with a schedule of quizzes, first exams and/or papers before the drop deadline so that instructor feedback, and potentially academic warnings, are available to students prior to that deadline. These warnings do not enter a student’s permanent record.

e. Dishonesty in Course Work or Examinations. Plagiarism, cheating, and other forms of academic dishonesty are serious offenses. For the first offense, the instructor may dismiss the offender from the course with a mark of F and will report the case to the department chair and the Dean of Students, who may impose other or additional penalties including suspension or expulsion. A second offense automatically leads to
suspension or expulsion. Students may not withdraw-passing from a course in which they have been found guilty of academic dishonesty. A student is entitled to appeal charges of academic dishonesty to the Appeals Board. The decision of the Board shall be final and binding.

Submitting the same work in more than one course without the permission of the instructors is a form of academic dishonesty, as is enrollment, without the explicit, written approval of the instructors involved, in two classes that have the same class meeting times (or overlap at all).

The College also views misrepresentations to faculty within the context of a course as a form of academic dishonesty. Students lying to or otherwise deceiving faculty are subject to dismissal from the course with a mark of F and possible additional disciplinary action.

Student accountability for academic dishonesty extends beyond the end of a semester and even after graduation. If Colby determines following the completion of a course or after the awarding of a Colby degree that academic dishonesty has occurred, the College may change the student's grade in the course, issue a failing grade and rescind credit for the course, and/or revoke the Colby degree.

In April 2012, the faculty voted to establish a reporting system for academic negligence. Upon determining that a student has engaged in academic negligence, faculty will be required to submit a report. Reports of academic negligence will be sent automatically to the student, the advising dean and the academic advisor(s). The student will be required to complete successfully an educational module on academic honesty and ethics by the deadline for grade submission or receive an administrative incomplete in the course.

The reporting faculty member retains the right to adjust or assign the student's grade on an assignment or in the course in response to a reported incident of academic negligence within the current rules of the Faculty Handbook. Because a report of academic negligence is not a formal finding by the College, it is considered an academic decision by a faculty member and is not subject to appeal.

For this reporting system, academic negligence is classified as poor, shoddy, or careless academic work that otherwise appears to constitute deliberate academic dishonesty. A lack of intentional deception is what distinguishes academic negligence from academic dishonesty. However, lack of intent does not mean there is a lack of responsibility on the part of the student.

f. **The Meaning of Academic Probation.** At the close of each semester the academic standing of each student is reviewed by the Registrar, who refers all cases of deficiency or questionable status to the Committee on Academic Standing. This Committee is empowered to dismiss students from the College or, in less serious cases, to place the student on academic probation. Any student on academic probation will be required to consult with his/her advisor, and any extra-curricular advisor, such as a coach, to discuss whether or not the student should continue his/her participation in extra-curricular activities. If the student remains on academic probation for a second semester, or, after having gone off probation, is placed on academic probation again, that student will be declared ineligible to participate in any College-sponsored extra-curricular activities unless, in consultation with his/her academic and extra-curricular advisors, he or she develops a plan for allocating time to course-work and extra-curricular activities, which must also be approved by the Associate Dean of Students.

Students who earn fewer than 12 credits or a grade point average between 1.70 and 1.99 in any semester will be placed on academic probation. A student will be placed on probation in the major if the major average falls below 2.0 or if there is inadequate progress toward completion of the major. Only when there are compelling extenuating circumstances (e.g., illness, unusual personal problems) is it advisable for a student to
carry fewer than 12 credits; such a reduced program must be approved by the dean of students and may still result in academic probation.

A student on probation is normally expected by the Committee on Academic Standing to earn at least 12 credits and at least a 2.0 grade point average.

At the end of the semester of probation, the student's position is again reviewed. The Committee may then terminate the probation, continue the probation, or dismiss the student from College. A student dismissed will not normally be considered for readmission until one academic year has elapsed.

Students who earn less than a 1.70 grade point average in any semester or who do not earn at least 12 credits and a 2.00 grade point average while on probation will be dismissed from the College for one academic year. Students may appeal the decision by submitting a written statement to the Committee on Academic Standing prior to its meetings in mid-January and mid-June (held approximately two weeks after semester grades have been posted). This is the only opportunity to appeal the dismissal.

Application for readmission to the College is made through the Office of the Dean of Students. A student who is dismissed by the Committee on Academic Standing may be readmitted only by the Committee. A student so readmitted is on probation for the first semester following readmission. A student dismissed a second time will normally not be readmitted.

The Dean of Students will send copies of all notifications of academic probation or dismissal to the student's advisor.

D. Registration (Course Selection) Procedures

1. Course Selection. Course selection information and forms, as well as class rosters, are made available by the Registrar's Office via the myColby portal. During specified periods each semester, students select courses for the following academic semester, and, in the fall, for the Jan Plan. Course selections can be made only after the student has met with and been cleared to select courses by the academic advisor. It is strongly recommended that advisors meet with advisees prior to each period of course selection. Advisors have access to student academic records via myColby portal, and should review this information on a regular basis and remind advisees of their obligations to meet both distribution and major requirements for graduation.

The initial “course selection” is not first-come, first-served and course enrollment limits are not enforced during the period of course selection. Once course selection closes, the Registrar's Office prunes over-enrolled courses according to established course priorities, as stated in the course “rules.” Course limits are enforced once the system re-opens for “Add-Drop.”

2. Changes of Course. Voluntary changes in a student's program, including declaration of S/U grading, may be made during the first eight class days of a semester, the first day of classes being considered the first day of the semester. In the January term, courses may be added through the third day of the term, and S/U grading may be declared through the fifth day. After that date, no students are permitted voluntarily to add a course or change from one course or section to another. Course prerequisites and, with the exception noted above, enrollment limits are checked and enforced by the system. An instructor can, if desired, issue an electronic course authorization to enable a student who has not met a prerequisite to register for a course or to enable registration above the stated limit.

3. Problems of Improper Registration. Both student schedules and class rosters are available via the myColby portal. It is the student's responsibility to insure that all registrations are as intended. Instructors should report to the Registrar as soon as possible any discrepancies between their class rosters and the conditions or limits set on registration for their courses.
4. **Variable Credit.** Courses listing variable credit are offered primarily for the smaller number of credits. Students can earn augmented credit in courses by completing such extra work as the instructor may specify. However, no instructor is required to offer courses for variable credit.

5. **Withdrawal from Course.** Mid-term day, as established by the Registrar, is the deadline for dropping courses and revoking S/U status. In the case of January term, the fifth class day is the drop deadline, and mid-term day is the deadline for revoking S/U status. After that date, there will be no withdrawal from courses except for medical reasons approved by the Dean of Students. However, first-year students may withdraw from semester courses until the last day of classes and receive the mark of "W" (if passing) or "WF" (if failing), provided the instructor's and advisor's consents are recorded on a standard form at the Registrar's Office. Neither "W" nor "WF" is used in calculating the student's GPA, but will appear on the transcript. No student may drop below 12 credit hours without the permission of the Dean of Students and the understanding that some form of action may be taken by the Committee on Academic Standing, since passing 12 credit hours and earning a C average (2.0) is the minimum standard for an acceptable semester. Students going below 12 credit hours should consult with appropriate parties regarding financial aid and NCAA policies.

Students may not drop a course simply by absenting themselves from its meetings. They must be considered members of the class until the student formally withdraws (see above) or is removed from the course roster by dropping the course via portal. Absence without this formality subjects offenders to an F grade in the course.

6. **Auditing Courses.** Colby students may register to audit courses (not for credit) by obtaining permission of the instructor. They are not charged auditing fees, nor is the audit recorded on the students' permanent records.

Adults who are not students at the College may register to audit courses upon obtaining written consent of the instructor and of the Dean of Admissions. Permission to audit will be withheld if the class is already too large.

An auditor is not permitted to submit papers or take exams. For this reason, auditing is seldom permitted when the method of instruction involves significant individual attention and feedback. Under no circumstances can academic credit be given auditors, nor can they later convert audited courses into accredited courses.

E. **Advising and Counseling**

1. **Faculty Offices and Office Hours.** Members of the faculty will establish and post regular office hours during which students may meet with them individually. New faculty should consult chairs/directors on department or program policy and practice.

2. **Academic Advising.** During their first year, students are assigned to faculty advisors through the Office of the Dean of Students. Advisors assist students with course selection over the summer and meet with students during the orientation period (usually just after Labor Day weekend) to discuss liberal arts in general, preregistration selection of courses, results of placement exams, and other academic issues. Advisors also assist students during the add/drop period, the first eight class days of each semester. Additionally, advisors help students make January Program and second semester course choices in mid-October and early November, respectively.

During the 2010-11 academic year, faculty voted to change the timing of major declaration. Effective for the Class of 2015, students may not declare a major or minor until the beginning of their sophomore year (October 1). With major declaration, students are then under the direct advisortship of a major department or program, or they may continue with their first-year advisor, or select a new advisor. Students are required to declare a major prior to electing courses for their junior year. The chair of each department and program designates academic advisors for student majors.
In March 2014, the faculty voted to change the timing of major declaration again, restoring an earlier timing for major declaration. Implemented for the class of 2017 and classes thereafter, the timing of major declaration now reads:

Students must satisfy requirements of a major. First-year students may declare a major or minor during their second semester before electing courses for their sophomore year. A major may be chosen in a single subject, in one of a number of designated combinations, or in an individually designed independent major. Students are required to declare a major prior to electing courses for their junior year. Students who elect a major during their first year are encouraged to reexamine their choices during their sophomore year.

During the course of the academic year, whenever students receive warnings from instructors for poor performance, incomplete or late assignments, and/or poor attendance in more than one course, a special letter is sent to the student, faculty advisor, and parent. (This procedure is also used for students who are on any form of academic probation and who receive any warnings.)

3. Learning Difference Support Services at Colby College

Students with learning differences have available to them several forms of support, including the attention of Assistant Dean of Students Joseph Atkins (Eustis 210D, extension 4252, jeatkins@colby.edu).

In accordance with the recommendations of an educational consultant or psychologist, students with learning differences may be allowed several adjustments to academic procedures, including additional time on examinations, extensions on other assignments, and other variations in examination procedures. These students may petition to take less than a normal course load each semester. Other forms of support are available and may be discussed with Dean Atkins. In the first few weeks of each semester students who have been granted accommodations will provide their course instructors with a letter from the Dean of Students Office verifying the accommodations. The Dean of Students website, (http://www.colby.edu/administration_cs/student-affairs/deanofstudents/support/index.cfm), provides additional information about learning support services and the accommodation request process.

Colby students are normally expected to attempt to complete the foreign language requirement. A student who has experienced inordinate difficulty while at Colby in learning a foreign language, and/or who has a verified medical diagnosis of a learning difference affecting foreign language acquisition as established by College guidelines, can petition to replace the foreign language requirement with an approved program of alternative area study, to be composed of three courses reflecting aspects of a single language or culture.

This petition should document the good faith effort of the student to learn a foreign language while at Colby. Normally, he or she should have enrolled in a language course or courses, staying in the course(s) to mid-semester and utilizing the various resources available (such as support from staff in the office of Dean of Students, extra help from the instructor, and tutors). Students may be advised to attempt an ancient language as well as a modern language, or to attend one of the College's intensive semester language programs.

The Special Committee that considers petitions for modification of the foreign language requirement will report to the Academic Affairs Committee, and will be composed of the Associate Dean of Students for Academics, an educational psychologist, and three faculty members, two of whom will be instructors of foreign language. If a petition is granted, unsatisfactory grades (those below C) for all previous foreign language courses taken at Colby will be changed to Credit/No Credit.

It is the policy of Colby to provide academic support for all students. The procedures for students with learning differences are consistent with this policy.
4. **Information from the Dean of Students.**

The Dean of Students maintains a file for each student. These records are confidential and are available only to faculty members who have a legitimate responsibility for the academic performance of a student. Students have the right to examine their own files.

The College accords its students all rights under the Family Educational Rights and Privacy Act of 1974. The College will not disclose information from students' educational records without the written consent of students except to personnel within the institution, to officials of other institutions in which the student seeks to enroll, to persons or organizations providing student financial aid, to accrediting agencies carrying out their accreditation function, to persons in compliance with a judicial order, and to persons in an emergency in order to protect the health and safety of students or other persons.

5. **Counseling and other services to which students may be directed**

   a. The Dean of Students and the Advising Deans who are available for direct consultation with any student encountering difficulties of any kind

   - Senior Associate Dean of Students for Academics
   - Associate Dean for Diversity and Human Difference/ Director of the Pugh Center
   - Associate Dean of Religious and Spiritual Life
   - Associate Dean for International Affairs
   - Associate Dean of Students and Director of Campus Life
   - Senior Associate Dean for Judicial Affairs
   - Assistant Dean of Students
   - Associate Director of the Pugh Center/ Director of Gender and Sexual Diversity

   b. **College Counseling Services, Director of Counseling Services and Clinical Counselors**

   c. **College Health Service, the College Physician, the Physician's Assistants**

   d. **Director of Financial Aid**

   e. **Director of the Career Center**

   f. **Faculty in Residence**

   g. **Sexual Harassment Advisory Group**

   h. **Director of Equal Opportunity**
The College encourages out-of-class association between Colby faculty and students. Faculty members can become active participants in the life of the residential community by serving as faculty residents. Several faculty apartments are available on the campus in or attached to residence halls. Faculty residents—together with members of their families—may take meals in the dining halls while the College is in session. In return, faculty residents are asked to dine with students and to sponsor programs in their residential communities.

The Take-a-Professor-to-Lunch program was designed so that students and faculty members could conveniently meet for lunch in the dining halls. The student fills out a slip to complete the process, and the meal is charged to a special account.

The College also subsidizes a program of occasional entertainment of students outside of the classroom. The limits are $75 per faculty member per year. Requests for reimbursement should be submitted to the Office of Dean of Faculty.

College funds cannot be used by individual faculty members to purchase alcoholic beverages. Under Maine law, it is illegal to serve alcoholic beverages to persons under 21 years of age. Courts have recently found that persons who serve alcohol are also liable for subsequent alcohol-related accidents, even if individuals provide their own beverages. As representatives of the College, faculty members should not attend functions at which under-age students consume alcohol.

G. Students and Alcohol

At Colby, we believe substance abuse problems are a community issue. Therefore, all members of the community are asked to support a campus culture in which abuse is challenged and not tolerated; in which alcohol will not be central to campus life; in which all persons will be honored; and in which civility and respect for the educational process, both inside and outside the classroom, are paramount.

1) If you believe a student's behavior, such as problematic attendance, performance, or class conduct, is indicative of a substance problem, you should consider the following:

   a. The Advising Deans in the Dean of Students Office are available at any time to discuss faculty concerns regarding the well-being of students. Further information and appointments are available from that office (ext. 4250).

   b. The Substance Abuse Counselor at the Health Center is available to discuss concerns a faculty member may have about a student and any possible substance abuse issues.

   c. When substance abuse problems are suspected, the Dean of Student's Office can often be helpful in referring students to the Health Center for evaluation. If students are presenting persistent behavioral problems in class, you can request that he/she leave the class for a particular session, or ultimately, you can dismiss the individual from the course. If dismissal from the course is being considered, the faculty member should in all cases consult with the department/program chair/director.

2) We have learned through the work of the Trustee Commission on Alcohol and the more recent work of the Campus Culture Working Group that students often misperceive the "campus norm" in regard to alcohol consumption. Many students incorrectly believe binge drinking and "hardy partying" are mainstays of the Colby experience. The reality is that a large proportion of Colby students do not abuse alcohol. We do provide a wide array of non-alcohol functions each weekend throughout the campus. The College should continue to strive to heighten the intellectual atmosphere on campus, lessen the appeal and decrease the prevalence of binge drinking and convey to students a clearer sense of the important connections among their intellectual, athletic, cultural, spiritual, and social lives.
Faculty are encouraged:

- to provide rigorous academic programs that keep students fully engaged during the academic year
- to hold students accountable for missed work, poor attendance, and lack of attention in class
- to acknowledge that many students choose not to drink and that moderation and abstinence are indeed normal aspects of College life
- to find ways, through "curriculum infusion" to encourage students to undertake projects that include topics on alcohol and drugs
- to be mindful of remarks that might produce an atmosphere of substance abuse
- to support the goal of providing a civil environment on campus
- to refer students who may be substance abusers to the Health Center or the Dean of Students Office.

H. Reporting Requirements for Faculty and Staff under the Clery Act and Title IX

There are two federal laws that require faculty and staff to make a report to the Dean of Students Office – the Clery Act and Title IX.

The federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act requires colleges and universities to report statistics on campus crime. The names of the victim or the accused student are not disclosed in the Clery report kept by the College. Not every faculty or staff member is a mandatory reporter under Clery. Faculty/staff who have student advisees, are advisors to a student club or organization, and team coaches are required to report to the Dean of Students Office when any student discloses that he/she has been the victim of, or has witnessed, any of the following crimes on the Colby campus, or on other College property like the Hume Center and the Outing Club property: murder or manslaughter, robbery, aggravated assault, burglary, motor vehicle theft, arson, any sex offense, and any hate crime.

Title IX prohibits discrimination in education programs or activities on the basis of sex. Under Title IX, Colby must investigate any claim made by a student that he/she has been the victim of sex discrimination in any form, including sexual misconduct. Sexual misconduct is defined as sexual assault, sexual violence, sexual exploitation, or sexual harassment. Title IX provides that any member of the faculty or staff who learns that a Colby student has been, or may have been, the victim of sexual misconduct must, by law, make a report to the Dean of Students Office or to one of Colby's two Title IX Coordinators (Cora Clukey, cclukey@colby.edu, 859-4733; Paul Johnston, pejohnst@colby.edu, 859-4252). The name of the victim and the name or names of the perpetrators are not confidential and must be disclosed. There is a very limited exception to this mandatory reporting requirement: if a faculty or staff member is an ordained member of the clergy, licensed health care provider, or attorney, and if the communication about sexual misconduct is made to that faculty/staff member in her/his capacity as clergy, health care provider, or attorney, then the communication is confidential by statute, and the faculty/staff member is not required to report it.

The Department of Education has revised the definition of sexual harassment for Title IX purposes. Sexual harassment is any unwelcome conduct of a sexual nature. There is no requirement that the conduct be severe or pervasive. Whether conduct is unwelcome is subjective; if the student believes that he/she has been subjected to unwelcome conduct of a sexual nature, then it must be reported.
All faculty members are encouraged to familiarize themselves with the information available on Colby’s Sexual Violence Response and Prevention website (at web.colby.edu/sexualviolence/).

I. Relations with Student Organizations

All student organizations are required to name a faculty sponsor. The list of such organizations is published and circulated each fall, and it is subject to change as new organizations are established and old ones eliminated. Faculty members are encouraged, but not obligated, to participate in these organizations as sponsors whenever their interests coincide sufficiently with the activities they foster.

J. Student Evaluation of Instruction

At the close of each semester and January Program, students are routinely asked to fill out student evaluation of teaching forms, which become part of the dossier for faculty personnel decisions on salary determination, contract renewal, tenure, and promotion. In the spring of 2011, the faculty voted to implement an online system of student evaluation of instruction.

In any personnel deliberations, department or program chairs/directors, in consultation with candidates, may prepare written analyses of student evaluations. The candidate may also prepare a written analysis of the student evaluations. These analyses may address any concerns about bias in the student evaluations. These reports, together with the individual forms, will be forwarded to the Dean of Faculty and/or the Committee on Promotion and Tenure. In addition, analyses of student evaluations that assess evidence of biases in the data will be conducted routinely by the Course Evaluation Committee and the results forwarded to the Dean of Faculty and the Committee on Promotion and Tenure.

The all-College course evaluation forms are available to instructors after course grades have been submitted. Tabulation of responses to questions will be produced for each course and provided to individual faculty members and to department/program chairs/directors. Copies of these tabulations are available to the Dean of Faculty and will be included in candidates' dossiers. Department/program chairs/directors and candidates will take these tabulations into account when preparing reports of student opinion.

If they so wish, instructors and departments/programs may develop and administer their own student opinion forms in addition to the all-College form. If the candidate wishes, their contents may be summarized in the chair's report or in any report prepared by the candidate. In exceptional circumstances, the candidate may elect to forward individual department forms to the Dean of Faculty or the Committee on Promotion and Tenure.

Instructors in team-taught courses will be evaluated as separate individuals; they may also elect to be evaluated as a team. In the latter situation, students fill out only one opinion form for the team-taught course, substituting "the team of instructors" for "the instructor" where appropriate on the questions.

Course evaluations must be administered for all regular courses except for student-prepared seminars, independent study, and residence hall seminars. There is a different form for the evaluation of programs abroad. It will be administered by the Director of Off-Campus Study. Student evaluation of coaches, directors of musical and performing groups, discussion section leaders, and applied music tutors is also routinely solicited.

In courses involving laboratory sections, some instructors have opted for separate evaluations for the lecture and laboratory components of their courses.
AIDS IN TEACHING AND RESEARCH

A. Information Technology Facilities and Policies

Information technology is recognized as essential for scholars in all disciplines. Computers, software, and networks are used extensively by faculty members and students in a wide range of applications, and the College is committed to making state-of-the-art information technology available. The College has adopted a dual Macintosh/Windows microcomputer standard. Microsoft Office (including Word, Excel, and PowerPoint) is the standard suite of software, and the College has a Microsoft Campus Agreement that provides a MS Office license for each student and each faculty and staff member having a College-owned computer.

Information technology is now an integral part of most courses, involving electronic mail, word processing, Web pages, quantitative analysis, and many aspects of information retrieval through the network. The College provides computer access and needed software to every faculty member requesting them. The College has instituted a regular replacement strategy to ensure that computers owned by the College are up-to-date and that continuing faculty and staff receive new computers in the allocation process.

The major distribution of new hardware resources takes place during the summer in response to departmental requests made in the spring semester. Additional allocations are possible at other times. Software can be requested by faculty at any time during the fiscal/academic year, although funds are usually depleted by the middle of the spring semester. Staff in Information Technology Services is available to help all members of the Colby community use the computing facilities effectively. The student computer services are available to answer questions about student use of computers in the student clusters and in the residence halls.

All computer hardware and software purchases, including those using funds from grants, endowed chairs and department budgets, must be made through Information Technology Services and included in the College inventory that ITS maintains. Consultation with the PC Support Services staff is highly advised before initiating the purchasing process, in part to identify available support levels and any commitments that can be made regarding future equipment replacement, and the purchase must be made through the ITS Administrative Secretary (ext. 4201).

Network access is available in all residence halls and every academic and administrative building. Access to the network is available from off campus, and wireless network access is available broadly throughout campus.

An e-mail account is established automatically for every student and faculty member. Details on the process for establishing a password for new accounts can be found on the ITS Web pages.

Personal Web pages may be authored by faculty, staff, and students. Faculty and staff are encouraged to use the professional pages to make available academic and other professional information. These pages are linked to the directory and departmental listings. Web pages for course material in the Moodle course management, WordPress web publishing and Confluence wiki systems are encouraged. Information on the Colby Web Policy and the online discussion guidelines is available on the ITS web pages.

The staff of Information Technology Services, with the main office located on the first floor of the Lovejoy Building, is available for consulting (walk-in, telephone, and by appointment). Academic ITS is located in Miller Library, on the first floor. Help can be obtained from the faculty/staff support center (ext. 4222; email support@colby.edu). Student computer services is available to answer questions about use of computers in the student clusters and in the residence halls (ext. 4224 or email scshelp@colby.edu). Notices are posted periodically to inform the community of changes in facilities, policy discussions being conducted, and tips on how to use applications effectively. Current information is available on the Colby Web server, especially in the myColby portal (https://my.colby.edu/ics/), which is a primary resource for the Colby community.
Media Resources: Located in Lovejoy, Media Resources provides support for classroom technology and special events. The hotline for classroom support is extension 4245.

Faculty interested in projects using information technology in the curriculum should consult early with the Director of Academic Information Technology Services.

Policy and planning issues are discussed by the Information Technology Committee, all meetings of which are open to members of the campus community. The Curricular Information Systems Advisory Group consists of faculty and administrative staff and focuses on planning, prioritization, and resource allocation in these areas. More information is available at the ITS web pages, in the following documents:

1) Code of Ethics for Information Technology at Colby College

2) Electronic Mail Policy and Procedures, Principles, Policies, User Responsibilities, and Information Technology Services (ITS) Operational Procedures

3) Compliance with the Digital Millennium Copyright Act (DMCA) of 1998 As a network service provider for the students, faculty, and staff in our campus community, Colby College must comply with the requirements of the DMCA of 1998. This legislation addresses a variety of copyright issues that have arisen as a result of the development of digital communication, including the Internet, and especially how claims of copyright violation are handled by organizations that run networks on which individuals have accounts or individual computers. The act makes clear that copyright applies to electronic media in much the same way that it has long applied to print and other conventional media but makes some changes that are necessitated by the technology.

4) Information Systems and Data Security Policies, Colby Web Policy, and Online Discussion Guidelines

5) Faculty Computer Purchases Many employees have purchased their own computers for home use to complement the College-owned machines they use on campus. Purchases must be made directly from a manufacturer or a computer store. The College has no sales or support for these systems.

B. Services from the Office of the Provost and Dean of Faculty

Matters affecting the academic life and progress of the College, when not clearly allocated to other offices, may be referred to the Dean of Faculty for determination of proper authority. Information, and a variety of forms and documents, is available at the Dean of Faculty website and/or at the Dean of Faculty tab in the myColby portal. The Office of the Provost and Dean of Faculty is generally a good place to start for information about professional travel funds, sabbatical and other leaves, student research assistants, research equipment. The Office of the Provost and Dean of Faculty will provide general information about faculty benefits; specific questions about health insurance benefits, retirement, tuition assistance, mortgage assistance will be referred to Human Resources. Minutes of past meetings of the faculty are available on the Dean of Faculty’s website. Items for the faculty meeting agenda will be solicited by the Office of the Provost and Dean of Faculty, generally 3-5 days in advance of the monthly meeting.

C. Services from the Registrar's Office

1. Records of students' academic progress are maintained by the Registrar's Office and can be viewed via the myColby portal by academic advisors and chairs/directors of major departments and programs. The Registrar's Office provides copies of student's academic records on a need-to-know basis for purposes of recommendation.
2. Results of the actions taken by the College Committee on Academic Standing at its various meetings are compiled and forwarded to the faculty advisors of affected students.

3. Students are able to view their academic records via the myColby portal.

D. **Services from the Colby Bookstore**

The [Colby Bookstore](http://www.colby.edu/bookstore), in the Cotter Union Student Center, is the official agency of the College for handling textbooks, custom coursepacks, and classroom, studio, and laboratory materials. Academic materials staff at the Bookstore can be reached by e-mailing [textbooks@colby.edu](mailto:textbooks@colby.edu), or by calling 207-859-5420.

In compliance with the federal Higher Education Opportunity Act (HEOA), effective date July 1, 2010, The Colby Bookstore is also the agent by which the College provides students with information on the required, recommended, and supplemental course materials for each course. The intent of the law is that course material information be available to students “to the maximum extent practicable” at the time of course selection, and through the College’s internet course schedule.

Timely reporting of course material information to The Colby Bookstore allows the College to be in compliance with this law, a requirement for all institutions of higher education that receive Federal funding.

The Bookstore is also the official agency for book sales at on-campus conferences and author appearances. Please contact Doug Thornsjo ([dfthorns@colby.edu](mailto:dfthorns@colby.edu), ext. 5405), Trade Book Coordinator at the Bookstore, to schedule a book sale at your event.

The Bookstore carries a large selection of trade books, school and dorm supplies, and Colby gifts and apparel. Colby books, gifts, and apparel may also be ordered on-line through the Bookstore’s secure e-commerce web site at [www.colby.edu/bookstore](http://www.colby.edu/bookstore), and can be shipped.

The Bookstore is open year round, Monday – Saturday, 8 a.m.–5 p.m. with extended hours for the start of the semester, exams, and Family Homecoming, Commencement, and Reunion weekends. Institutionally owned, purchases made at the Bookstore support Colby programs. Additional information is available from the [Bookstore](http://www.colby.edu/bookstore) website.

For best service to the College community, the store director suggests the following:

1. **Traditional Textbook Requisitions**

   a. Due dates for ordering textbooks should be carefully observed to allow the College to comply with the federal law requiring that, to the maximum extent practicable, students have access to information about the course materials necessary for a class at the time that they make their course selection, and that this be through the College’s Internet course schedule. Additionally, timely orders allow for adjustments in case a book is out of stock or out of print. Timely adoptions also save the College money on freight and labor, and students money on their textbooks.

   b. To avoid errors, ISBN numbers should be included for all titles. Orders may be placed online at [http://www.colby.edu/registrar](http://www.colby.edu/registrar), submitted on forms furnished by the Bookstore, or sent via e-mail to [textbooks@colby.edu](mailto:textbooks@colby.edu).

   c. Do not wait for pre-enrollment figures before placing orders. The Registrar will supply pre-enrollment figures to the Bookstore, as well as to department chairs and program directors.

   d. Desk copies are ordered by the professor; 6 to 8 weeks should be allowed for delivery. Desk copies are sent at the discretion of the publisher, usually when a minimum number of copies has been ordered. A desk copy request form template is available at the ‘Faculty Help Desk’ area of the [Bookstore](http://www.colby.edu/bookstore) Web site.
2. **Custom Publishing**
   a. Colby Custom Publishing is a service of the Colby Bookstore that produces, in conjunction with faculty members, customized readers and course materials. By selecting only the individual articles or chapters to be taught from a book or journal, faculty can eliminate the need for multiple textbooks and reduce overall costs for Colby students.

   b. Because articles and excerpts from books are intellectual property, their authors deserve fair compensation for the reproduction and use of their works. Colby Custom Publishing contacts publishers for permissions, then calculates, collects, and pays the proper royalties. Identification of the copyright holder is especially important. Faculty using a chapter from an anthology should include the acknowledgment page to help us to identify the original source and copyright holder.

   c. Copyright clearance and coursepack assembly is a time- and labor-intensive process. It is often not possible to expedite these orders, so faculty are strongly encouraged to observe the due dates set each semester.

   d. Document Prep Service is provided free of charge for all Colby Custom Publishing materials; thus, faculty should provide copy with the cleanest, crispest print obtainable. Colby Custom Publishing will straighten, clean up black edges, and provide other services that will make the customized material look professional.

   e. Custom Publishing order forms are available from the Academic Materials Office at The Colby Bookstore, or can be downloaded over the Internet from the ‘Faculty Help Desk’ link of the Bookstore Web site (www.colby.edu/bookstore).

   f. One desk copy of each course pack is provided free of charge.

The Bookstore Director appreciates the chance to discuss problems or to hear ideas that faculty members may have about the operation of the Bookstore. Contact the store Director, Barb Shutt, at bcshutt@colby.edu, 207-859-5415, or by stopping by the Bookstore.

E. **College Libraries**

1. Colby Libraries consists of three libraries, Miller (humanities and social sciences), Bixler (art and music) and Olin (natural sciences). They contain collections of more than 900,000 items, including more than 401,000 electronic books, and access to more than 73,900 print and electronic periodicals and newspapers. Miller Library has been a selective depository for U.S. government publications since 1880. Online access to Colby Library holdings, Bates and Bowdoin, Maine Cat, the statewide catalog for Maine, and NExpress, selected academic libraries in New England, is available from the library home page on the Web http://www.colby.edu/academics_cs/library/. Individuals may borrow materials directly from Bates, Bowdoin, Middlebury, Northeastern, Williams, and Wellesley, the University of Maine System and other Maine academic and public libraries as well as check their borrowing record and request renewals from the library catalog. Faculty may request the library deliver library materials and materials borrowed from other libraries to their departmental offices.

   The Art and Music Library is located on the first floor of the Bixler Art and Music building. Featuring an interdisciplinary collection of resources on art and music, the collection includes reference volumes, journal and popular magazines and a circulating collection of books, music scores, sound recordings, videos and DVDs, and CD-ROMs. All faculty and staff are welcome to borrow materials from the circulating collection. Facilities include a digital media lab, a copy machine, a digital scanner, and a seminar room (seating 15) which is used for small group library instruction, various meetings, and student group study. An attractive reading room features original works of art created by faculty and former students of Colby College.

   The Science Library is located on the first and ground floor of the F.W. Olin Science Center; entry on the first floor. Collections are intended to support the mission of the college in biology, computer science, chemistry, geology, mathematics, physics and astronomy, and environmental science. Monographs, current issues of periodicals, microforms, the reference collection, videos, and course reserves are on the main floor; monographs, bound journals
and USGS topographic maps are on the ground floor. Ample and varied study space, including two group study rooms, is available. All seating locations have Ethernet connections. A wireless network is also available. Through the Colby Library web catalog, access is provided to hundreds of electronic journal subscriptions, as well as to subject specific databases for bibliographic research.

2. **Loan Period.** Colby ID cards are used to checkout library materials. Faculty may sign out books for one calendar year unless the item is recalled. All books are subject to recall after two weeks. Books may be checked out from Bates and Bowdoin as well for one calendar year. Periodicals may be borrowed for three days (Olin Science) and one week (Miller and Bixler Art & Music). Videos/DVDs circulate to faculty for one week and Bixler sound recordings may be signed out for a semester. Please consult the Policies section of the Library home page at [http://www.colby.edu/academics_cs/library/about/reserves.cfm](http://www.colby.edu/academics_cs/library/about/reserves.cfm) for a complete list of loan periods.

3. **Reserve Services.** Faculty members are expected to request, in advance, the materials they will need placed on reserve, including those items needed for electronic reserves. Please consult the Policies section of the Library home page [http://www.colby.edu/academics_cs/library/about/reserves.cfm](http://www.colby.edu/academics_cs/library/about/reserves.cfm) for additional information.

4. **Purchase of New Books, Periodicals, Audiovisual Materials.** All faculty are urged to recommend books in their field for purchase and will be notified upon receipt as requested. Book, video, and periodical subscription recommendations may be submitted from the Library home page or sent to the department’s library liaison or to the Acquisitions Department.

5. **Scholarly Resources and Services (SRS).** SRS librarians are available to provide personal assistance to faculty and students. Faculty members are encouraged to request and assist in planning library instruction sessions for students.

6. **Interlibrary Loan.** Faculty members can request materials from other libraries directly from the library web page or from any of the electronic journal indexes. The library will absorb the cost of postage and photocopying.

7. **Video Screenings and Fair Use Guidelines.** The Colby Libraries’ collection of DVDs and videos support teaching and research and maybe used in the classroom under “fair use” guidelines. Faculty members are reminded that "fair use" of copyrighted materials does not permit the screening of typical DVDs and video tapes for public events. Information on “fair use” and guidelines for use can be found on the Media Resources web page.

8. **Special Collections.** Colby College Special Collections holds first editions, manuscripts and letters of Maine and New England authors including Edwin Arlington Robinson, Sarah Orne Jewett, Kenneth Roberts and Celia Thaxter. Many items are on display in the Robinson Room, named in honor of the Pulitzer Prize winning poet, and the faculty is welcomed to hold classes there with prior arrangement. Other notable holdings are: extensive published and unpublished materials of American and British writers such as Henry James, Mark Twain, and Vernon Lee; the highly-regarded Thomas Hardy Collection of books and correspondence developed by Hardy scholar and former English chair Carl J. Weber; the Harold Pestana (History Department emeritus) World War I Collection; and, the Bern Porter ('32) Collection of Contemporary Letters featuring post-World War II avant-garde poetry, drama and criticism.

The Healy Room, built with funds from philanthropist and donor James Augustine Healy, houses books from his personal library by significant writers of the Irish Literary Renaissance. The core collection has been augmented through regular purchases of present day Irish authors and curated with the assistance of Douglas Archibald, English Department emeritus. Featured are works by William Butler Yeats, Lady Gregory, Sean O'Casey, George Bernard Shaw, James Joyce, Samuel Beckett, Eavan Boland, and Seamus Heaney. The Healy Collection also contains extensive published and unpublished materials for the Irish-American writer James Brendan Connolly.

The Chapman Room, named for longtime English chair Alfred King Chapman, contains archival and artifact materials related to Colby College history from the early 1800s onward. Biographical files for alumni/ae, former administrators and faculty are especially rich sources.
for genealogical, historical and cultural studies. Colbiana materials have been utilized in collaborative projects with History, English and Education department faculty.

Special Collections is located in Miller Library and is open to the public on weekdays from 10 a.m. to 12 p.m. and 1 to 4:30 p.m., or by appointment at 207-859-5150 or speccoll@colby.edu. Website address: (http://libguides.colby.edu/specialcollections). The Special Collections Librarian (Pat Burdick) welcomes opportunities to work with faculty members to integrate the holdings into the curriculum.

F. Secretarial Assistance

1. General Provisions. The College provides for secretarial services to the various departments. Student clerical help is assigned to departments or programs by the Office of the Director of Financial Aid or by other College officers. New faculty are encouraged to talk with their department chair/program director for an understanding of arrangements for secretarial services. See Appendix VIII for a description of secretarial duties.

2. Duplication Services for the Faculty. Although some departments have their own copying machines, most duplicating of classroom material and examinations should be done through the Eustis Service Center, located in the basement of the Eustis Building. Course readers are handled through the Colby Bookstore's Academic Materials Office. Copy for duplication must be submitted in advance.

Currently the College contracts for duplication services off-campus. Information and scheduled delivery times are available at the Eustis Service Center.

Photocopying can be accomplished at the Duplication Center, in the Registrar's Office, in Miller Library, or in various academic buildings. Department and program budgets provide for reasonable use of photocopiers by faculty members. Department cards ("D cards") for use in photocopiers are available from the Colby Card Office in Garrison-Foster. Faculty should be aware of "Fair Use" laws governing the photocopying of copyrighted materials.

G. Supplies

Colby stationery is available in department or program offices as are some other common office supplies. Department secretaries are unusually adept at providing instructional materials within budgetary restraints, but all significant purchases of supplies and equipment for classroom use must be discussed with the chairs and directors.

H. Travel to Professional Meetings

The College encourages the attendance of its faculty at professional meetings by providing funds in support of travel, lodging and meals (meals up to $25/day). Transportation arrangements can be made through the Colby travel agent. Effective July 1, 2012, faculty members in continuing appointments (categories I, II, and III) have funds available in support of professional meetings up to a maximum of $2000 per fiscal/budget year. The number of trips per year and the type of professional meeting participation no longer limits the funds available.

A travel advance up to $250.00 may be arranged via the Financial Services Office.

If funds permit, other faculty members (category IV) may be granted funding for professional meeting travel that takes place prior to June 1, to a limit of $750.

Applications for travel grants should be submitted to the Office of the Dean of Faculty in advance. Applications are available at the Dean of Faculty's web page (http://www.colby.edu/academics_cs/resources/offices/deanoffaculty/).
I. **Other aids to Research and Instructional Development**

1. Grants committees of the four academic divisions—Humanities, Social Sciences, Natural Sciences, and Interdisciplinary Studies—receive applications from faculty members attached to each division for support of creative or scholarly activity. Procedures and application forms are available from the divisional grants committee secretaries. Each division has different criteria and categories for its grants.

   a. **Humanities:** Faculty in the departments of Art, Classics, East Asian Studies, English including Creative Writing, French and Italian, German and Russian, Music, Philosophy, Religious Studies, Spanish, Theater and Dance, and professional librarians.

      Area I  Travel & Research
      Area II Attendance at Professional Workshops & Colloquia
      Area III Matching Funds for Purchase of Books & Equipment

   b. **Social Sciences:** Faculty in the departments of Anthropology, Economics, Government, History, Psychology, and Sociology.

      Area A  Long-term or Sustained Activity Grants
      Area B  Short-term Activity Grants
      Area C  Limited Purpose Grants
      Area D  Miscellaneous Grants
      Area E  Professional Book & Periodical Matching Grants

   c. **Natural Sciences:** Faculty in the departments of Biology, Chemistry, Computer Science, Geology, Mathematics and Statistics, Physics and Astronomy.

      Area I  Travel
      Area II Research
      Area III Publication Costs

   d. **Interdisciplinary Studies:** Faculty in African-American Studies, American Studies, Education, Environmental Studies, International Studies, Jewish Studies, Latin American Studies, Science, Technology and Society, and Women's, Gender, and Sexuality Studies.

      Area I  Research crossing disciplinary boundaries
      Area II Research-related travel
      Area III Professional Book-Periodical Matching Grants
      Area IV Miscellaneous research-related expenses

Grants committees consist of the chairs of the divisions and the departments, directors of programs, and the Dean of Faculty. The Director of Colby Libraries is a member of the Humanities Grant Committee.

Applicants must be continuing full- or part-time faculty members in these divisions (contract categories I, II, or III). Deadlines for submitting applications under the various areas differ, so applicants should seek exact dates from their division grants committee secretaries.

Recipients of divisional grants must follow the guidelines established by the Office of the Treasurer for accounting for expenditures. When the period of the grant is over, the recipient is expected to file a report with the division grants committee secretary. As award letters make clear, if work supported by divisional grants is published and receives royalties, the College should be reimbursed for relevant award monies.
2. **Summer Research Assistants**

   Faculty members who wish to have Colby students work with them as summer research assistants should respond to the call for proposals sent out in December by the Associate Dean of Faculty. Further details are available from the Office of the Dean of Faculty.

J. **External Grants Administration Process**

   The Corporate, Foundation, and Government Relations Office (CFGR) exists, in part, to assist Colby faculty and administration members in seeking external funding from government agencies or private sources (e.g., foundations, corporations, independent societies). CFGR also has responsibility for subsequent stewardship of grants received from these sources. CFGR's Web site can be found at [https://www.colby.edu/administration_cs/cfgr/index.cfm](https://www.colby.edu/administration_cs/cfgr/index.cfm).

CFGR staff encourages faculty, especially new faculty, to contact their office about specific interests so that they can be alert to possible funding opportunities. CFGR maintains online searching capabilities for funding sources. Anyone interested in researching sources of support is welcome to make an appointment to visit CFGR to use their online resources. The IRIS database is also available through the library. Some external agencies may consider several proposals from Colby at the same time, while others may accept only one. CFGR, therefore, serves as a clearinghouse and can help identify contacts at funding agencies, facilitate the timing of proposal submission, and assist in tracking responses to requests for support. With some of these concerns and as government and foundation guidelines become more and more specific, initial letters of inquiry or preliminary phone calls should be cleared through CFGR.

The grants administration process at Colby is designed to establish an effective and efficient system to facilitate communication and cooperation among faculty and administration concerning institutional and individual proposal planning and submission and to help with programmatic, financial, and reporting stewardship for grants awarded. This process is the responsibility of CFGR in conjunction with Colby's Vice Presidents' Office and the Financial Services Office. The grant process is designed to facilitate Colby's endorsement of proposals, to assure sound proposal budget development, and to assist with appropriate record keeping and timely reporting to grantors.

a. **Getting Started** The proposal preparer or PI should submit the form titled, “Statement of Intent to Seek External Funding” (available at the CFGR webpage). This form should be used by any faculty member or administrator considering approaching an external funding source for any need. Receipt of this form enables CFGR to anticipate deadlines, to discuss ideas that might help a proposal, and to aid in planning as needed. For government proposals, Scott D. Smith, Director of Administrative Financial Services (ext. 4123) should be consulted prior to budget preparation in order to learn about specific budget issues such as indirect costs, benefits, matching requirements, salaries, and summer students.

b. **The Next Step.** As a PI nears the end of the proposal preparation, he or she will need to complete the “Grant Proposal Endorsement Form,” (also found at the CFGR Web page). This form is designed to accompany a copy of the final proposal as it passes through the approval process. Prior to submission of the grant, the Grant Proposal Endorsement Form must be completed by the PI and, along with a copy of the final draft of the proposal, be circulated from the PI to his/her department chair/program director, then to the Director of Administrative Financial Services for budget review, to the CFGR Office for review and check, to the Administrative VP for budget approval, including indirect costs and matching or cost-sharing requirements, and to the Dean of Faculty for curriculum/program considerations and required clearance signatures. (No changes will be made to a proposal without a PI's consent.) Finally, the signed Endorsement Form and a copy of the final proposal, including a copy of any transmittal letter, should be provided to the CFGR office for institutional records. The CFGR office will inform the PI of the completion of the process and clearance for the proposal to be submitted to assure arrival by deadline.

c. **Interim: After the Waiting.** Please send a copy of any letter you received regarding your proposal to the CFGR office, including denial or revision letters. If, before they will continue the review process, grantors seek changes in the scope of work, schedule, or budget, copies
of those changes should be filed with the CFGR office and budget changes must be approved by the Vice Presidents' Office, in conjunction with the Financial Services Office.

d. **Grant Implementation.** PIs awarded a grant are asked to send a copy of the announcement and any attachments to the Financial Services Office and the CFGR office, which will, when appropriate, prepare and send an institutional acknowledgment letter and College receipt to the grantor. Grant files will be set up by the CFGR office, which will include a copy of the proposal, tables for tracking the grant, and any special requirements. The Financial Services Office will determine an account number for the grant. An encumbrance (accounting) system may be established by Jennifer Wood, ext. 4770, in the Dean’s office to help expedite fiscal oversight and reporting. The CFGR tracks status of grants, including deadlines and compliance with reporting requirements. It is important to maintain strong ties with the grantors as they may be interested in future projects with Colby faculty or departments.

e. **Stewardship.** Grantors generally require reports on how their money is spent by the PI and the progress that is being made in achieving the project’s goals. Reporting requirements vary among grantors. PIs must maintain the annual expenditures for their project and provide narrative highlights of the project in reporting. Development and Alumni Relations staff are not expected to gather data for stewardship purposes on individual faculty grants, but are available to answer questions or offer guidance as needed.

f. **Points to Remember:**

- PIs should check with the Director of Administrative Financial Services about overhead, benefits, etc., before writing a budget.

- **Updated information on fringe benefit and indirect costs** is available at the CFGR website. Colby's federally approved indirect cost rate is 53.0 percent, which is applied to salaries and wages. Colby's fringe rate is 29.3 percent for faculty and staff year round. FICA of 7.65 percent is charged on student wages, but only for the summer. These figures change regularly; please refer to the CFGR Web site for current information.

- College matching funds in a proposal budget, if any, must be pre-approved by the Administrative Vice President and the Vice President for Academic Affairs.

- Honoraria for speakers and payment for subcontractor services require a written agreement for documentation purposes before checks can be issued.

- All purchases require purchase orders through the Financial Services Office.

- Principal investigators have budget and narrative reporting responsibilities after a grant is approved. Frequently, government grantors require reports to be submitted online. Nearly all grantors establish report deadlines.

- For grants involving research or work in foreign countries, please see the guidelines available from the CFGR web site.
BENEFITS AND PRIVILEGES FOR ELIGIBLE FACULTY

All new employees must complete a Federal form I-9 within three days of employment, generally by September 3. Forms are available from the Office of the Provost and Dean of Faculty.

A. Retirement Plan

1. Social Security. Colby College participates in the federal Social Security program. Deductions as required by law are made from the employee's salary up to the maximum standard set for each calendar year. All such deductions are matched dollar for dollar by the College.

2. TIAA-CREF. The Colby College Retirement Plan provides contributions to individually-owned retirement annuity contracts issued by Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA-CREF). Contributions to the annuity contracts are immediately vested and participants currently may allocate contributions among different investment funds.

Participation in the plan begins after two years of continuous eligible employment, regardless of rank. The retirement plan requires contributions from both the College and the faculty member. The College contributes 8% on the first $84,900 of base salary and 10% on eligible earnings above $84,900. Faculty members will contribute 2% of their salary and these contributions will be made on a salary reduction basis as a condition of employment.

Faculty members' mandatory pre-tax contributions will be deducted from monthly salary payments. These contributions must be made on a tax-deferred basis as a condition of employment. Additional voluntary contributions beyond the mandatory 2% are permitted, subject to an executed salary reduction agreement. This agreement can be found at: [http://www.colby.edu/administration_cs/humanresources/benefits/index.cfm](http://www.colby.edu/administration_cs/humanresources/benefits/index.cfm)

Under certain conditions, accumulations may be paid out to faculty members in a lump sum or over a fixed period of time after termination of employment.

Faculty members hired prior to July 1, 1989 may be eligible for a special payment reflecting the change in retirement plan contributions for Professors. The payment, representing 5% of earnings above the Social Security wage base, is payable in January of each year and subject to payroll taxes. Faculty members may be able to tax defer that payment by making a contribution to an annuity contract.

Faculty members should contact the Office of Human Resources for additional information about the retirement plan and enrollment procedures.

B. Retirement Benefits

Upon retirement at any age, a faculty member may receive a monthly or other periodic income under one of the options set forth in TIAA-CREF annuity contracts. Lump-sum distributions are permissible, subject to annuity contract provisions. Contributions by the College to employee retirement plans will terminate when employees retire.

C. Health Insurance and Services

Colby provides a comprehensive plan of health insurance and medical benefits. The plan is designed to provide incentives for preventive and routine care and provides protection against costs incurred from catastrophic injury and/or illness. The College and the employee share the cost of coverage, and employee contributions are generally made on a tax-sheltered basis through payroll deduction. Dependent coverage is available to qualifying same-sex and opposite-sex marital partners. Continuing employees who work half time or more are eligible to participate. Coverage is not automatic, and enrollment must be made within the first 30 days of employment; otherwise you need to wait until the next open enrollment process. Coverage begins on the first of the month next following or coincidental with employment.
For details of the current medical plan, consult the Office of Human Resources or the benefits web site at (http://www.colby.edu/administration_cs/humanresources/benefits/index.cfm). Upon retirement, the retired employee and his/her family currently may opt to remain covered under the plan, provided the employee has attained age 60 and has at least ten years of continuous service after age 40. Once the retired employee is eligible for Medicare (Parts A and B), Medicare becomes the primary insurance, and the College plan becomes supplemental.

Contributions by the College toward the cost of retiree health coverage vary on the basis of employment and retirement. For employees retiring on or before August 31, 2003, the College presently pays the premium for the retired employee. For faculty hired before September 1, 2002 and retiring after August 31, 2003, the College will pay 90 percent of the individual premium. For faculty hired after August 31, 2002, the retired faculty member will pay the premium for individual coverage. Family coverage, if desired, is paid by the retired employee.

The Office of Human Resources has further details, enrollment information, and claim forms to receive retiree benefits under the plan.

**Vision plan:** Colby College offers a voluntary vision program for faculty who hold at least nine-month contracts and also work half-time or more. The vision program provides benefits for examinations, lenses, frames or contact lenses with reasonable co-payments and discounts on related expenses through network providers. Coverage is also provided under certain circumstances from non-network providers. Contributions are made pre-tax through payroll deduction. A plan summary for the optional vision plan can be found at http://www.colby.edu/administration_cs/humanresources/benefits/index.cfm.

**D. Employee Assistance Program**

The Employee Assistance Program (EAP) is a confidential consulting service offering a range of assessment, information, referral, and counseling services for a variety of personal concerns. It is designed to assist employees and household members deal with issues such as emotional distress, marital difficulties, financial problems, legal questions, and child- and elder-care challenges, among others. The EAP also offers a 30-minute legal consult service. For more information, refer to the EAP brochure or contact Human Resources. http://apps.cignabehavioral.com/home.html

**E. Tax-Deferred Annuity Plans**

A faculty member may, through a properly drawn salary reduction agreement with the College, divert a portion of salary before taxes to purchase additional retirement annuities over and above those accumulating under the regular retirement plan. Within the limits prescribed by law, such premiums are not now subject to federal and state income tax; rather, they and their earnings will be taxed when received as benefits.

Also known as Supplemental Retirement Annuities (SRAs), these annuities are similar to the regular retirement annuity contracts. Whenever funds are withdrawn from tax-deferred annuities or from SRAs, they become taxable income in the year in which withdrawn.

More information and necessary agreement forms are available in the Office of Human Resources.

**F. Life Insurance**

Colby College offers a basic plan of life insurance to all employees who hold at least nine-month contracts and also work half-time or more. The cost of the plan is currently paid by the College. Supplemental life insurance is available in the amount of $50,000, $100,000, $150,000, $200,000, or $250,000 through payroll deduction. http://www.colby.edu/administration_cs/humanresources/benefits/life.cfm
Employees are covered by a travel/accident policy in the amount of $150,000, paid for by Colby, when traveling on College business only. For more information on the terms and amount of coverage, contact the Office of Financial Planning.

Faculty members may elect group term life insurance for a spouse, same- or opposite-sex domestic partner, and dependent children, and, effective January 1, 2003, opposite sex domestic partners. Coverage for a spouse or domestic partner is available in $10,000 increments up to a maximum of $50,000. Dependent child(ren) coverage is available in $2,000 increments up to a maximum of $10,000. Dependent life insurance premiums are paid through payroll deduction. For additional information about rates and application procedures, contact the Office of Human Resources (http://www.colby.edu/administration_cs/humanresources/benefits/index.cfm).

G. **Long-Term Disability Insurance**

The College provides long-term disability insurance protection for eligible employees. Faculty members employed half-time or more become eligible on the first day of the month coinciding with or next following employment. Eligibility during the first year of employment may be subject to limitations for disabilities related to pre-existing conditions.

Long-term disability means that during the elimination period and for the next 24 months you are prevented by sickness or bodily injury from performing one or more of the essential duties of your occupation and as a result your earnings are no more than 80 percent or your pre-disability earnings. After that, long-term disability means that you are prevented from performing one or more of the essential functions of any occupation.

Under the plan, a monthly income benefit is provided in an amount which, when added to the basic income benefit from Social Security, would provide a sum equal to 60 percent of covered monthly salary, but not to exceed a total of $7,500 monthly. The program also provides for continued contributions to the retirement plan during the benefit period.

An enrollment form must be completed and may be obtained in the Office of Human Resources.

H. **Flexible Spending Accounts**

The College provides Flexible Spending Accounts (FSAs) that allow faculty members to pay child care and non-covered medical expenses (such as deductibles, co-pays, dental and eye care) with pre-tax dollars. Participation requires a salary reduction agreement to be completed. Reimbursement for expenses is obtained by submitting a claim form to the administrator. More information regarding FSAs may be obtained from the Office of Human Resources. http://www.colby.edu/administration_cs/humanresources/benefits/index.cfm

I. **Unemployment Compensation**

Upon employment all employees of the College are covered by the Maine Employment Security Law and are entitled to all applicable benefits under that act. The College pays on a direct reimbursable plan whereby the College is billed for all claims filed. The law is administered by the Maine Employment Security Commission.

J. **Workers' Compensation Insurance**

As required by Maine law, every employee of the College is covered by Workers' Compensation Insurance for accidental injury and/or occupational illnesses sustained while an employee is actually in the performance of duty at the College. The entire cost of the coverage is paid by the College. To the extent provided by Maine law, this insurance will pay for the cost of medical and hospital care and will help to compensate for loss of earnings resulting from injuries on the job. This insurance also provides for a lump-sum payment in the event of death resulting from such injury. Any on-the-job accident, no matter how minor, must be reported as soon as possible but no later than 24 hours to the department chair or program director, the Dean of Faculty, and the Director of Safety.
K. Tuition Subsidy for Dependent Children

The College offers a tuition subsidy benefit for the dependent children of full-time employees (Contract Categories I and II faculty members) who meet the established eligibility conditions. The amount of the benefit depends upon the date of employment at the College and other conditions as set forth below.

1. Eligibility
   a. Full-time employees on full academic year or full fiscal year appointment who have met the established waiting periods are eligible for tuition benefits for dependent children. (1) There is no waiting period for employees employed by the College* on or before June 30, 1985. (2) For employees employed by the College after June 30, 1985, there is a six-year waiting period before benefits can be used. Years of paid service accumulated during the waiting period will be counted toward the total number of tuition years available under Paragraph 2.a. below. (3) The eligibility waiting period must include six years of paid, full-time service (however, these years need not be consecutive if the employee is on an approved leave of absence).

   b. To qualify, the dependent child must be enrolled on a full-time basis: (1) at a regionally accredited, four-year institution offering a bachelor's degree, or at an off-campus program sponsored by such an institution; or (2) at a regionally accredited, two-year institution offering an associate degree in a field in which the associate degree is considered terminal or in a program that at the end of two years permits transfer to a four-year, accredited institution.

   c. For purposes of determining eligibility and for determining benefit amount, faculty or other employees sharing one full-time appointment would be treated as one full-time unit rather than as two part-time employees.

   d. To qualify, the child must be a dependent as defined by the Internal Revenue Service.

2. Benefit Amount
   a. The benefit amount is related to the length of service of the employee; for each year of the child’s tuition payment, there must be one year of full-time, paid service. Years of service may be accumulated and may be concurrent with the child’s year of tuition benefit, and partial years—as long as they are part of full-time, paid service—may be applied pro rata.

   b. Spouses, both of whom work full-time at Colby and both of whom meet the other eligibility requirements, can combine their benefits and apply the double benefit to a single child in a single year, although at no time could the benefit amount for the child exceed the total dollar value of Colby tuition in that year or the amount of tuition in another institution, whichever is lower.

   c. In the event an employee dies, is totally disabled, or retires with the permission of the College, even though a full waiting period may not have been completed, the number of earned and unused tuition years (which equals the number of full-time paid years of service at Colby minus the number of years already used) would be made available to eligible children when they reach college age.

   d. The tuition benefit is for tuition only; it does not cover any other type of fee or charge.

* “Employed by the College” throughout includes those who have signed contracts with the College by the applicable date.
e. The tuition benefit will be granted to any one dependent child for not more than eight semesters, twelve trimesters, or twelve quarters (i.e., not more than the equivalent of four academic years).

f. Summer term enrollment qualifies only if the student is enrolled on a full-time basis in a summer session, and it will then count as one of the semesters, trimesters, or quarters referred to in the preceding paragraph, depending upon the number of credits carried.

g. The benefit amount will vary depending upon the date of employment as follows:
   (1) For all employees employed by the College before September 1, 1974, the amount of the benefit shall be equal to 76.2% of the Colby Comprehensive Fee if the child attends Colby or, if the child attends another institution, shall equal the amount of that other tuition, or 76.2% of the Comprehensive Fee, whichever is lower.
   
   (2) For all employees employed by the College between September 1, 1974, and June 30, 1985 (hereinafter referred to as the "74-85 group") and who elect to remain in the 74-85 group, the amount of the reimbursement shall equal 76.2% of the Comprehensive Fee if the child attends Colby or, if the child attends another institution, the amount of the tuition at that other institution, or $1,500, whichever is lower.
   
   (3) For all employees employed by the College after June 30, 1985 (hereinafter referred to as the "post-85 group"), as well as those in the 74-85 group who do not elect to remain in the 74-85 group, the amount of the benefit shall be 38.1% of the Comprehensive Fee if the child attends Colby or, if the child attends another institution, the amount of tuition at that other institution or 38.1% of the Comprehensive Fee, whichever is lower.

3. Administrative Provisions
   a. Applications for each semester, trimester, or quarter for which the benefit is requested shall be completed and submitted to the Office of Human Resources. Each application form shall be accompanied by an itemized statement from the college or university that clearly indicates the tuition charge. It is the responsibility of the parent to notify the Office of Human Resources if the son or daughter withdraws before or during the period for which the tuition was paid. Upon approval of a tuition subsidy application, a check from Colby will be sent directly to the institution that rendered the bill.

b. The President is authorized by the Trustees to interpret provisions of the Tuition Plan.

L. Course Privileges

Spouses, domestic partners, and dependent children of continuing full-time employees may enroll at Colby in courses for credit without payment of tuition on a space-available basis. Application for admission must be submitted to and approved by the Office of Admissions. Spouses and domestic partners are eligible to enroll as either matriculating or non-matriculating students and are not limited as to the number of courses taken for credit. Dependent children may enroll as non-matriculating students up to a maximum of four courses for credit (no more than two courses in any semester) without payment of tuition. Eligible dependent children are those who are currently in high school, currently enrolled as undergraduates in a college or university, or undergraduates on an approved leave from a college or university. Regularly enrolled Colby students will have priority in any class in which registration is limited. Spouses, domestic partners and dependent children may audit any course with permission of the instructor. The standards for admission, and standards and requirements for graduation, will be the same as those applied to all students. For more information, go to http://www.colby.edu/administration_cs/humanresources/benefits/ and follow the link to the Colby College Statement on Non-Traditional Students at Colby in the Tuition section.
M. Mortgage Loans

Faculty members in Contract Categories I and II moving to accept employment at the College may apply for a mortgage program benefit. More details about the mortgage program can be found in the Staff Handbook Appendices on the Human Resources web site.
http://www.colby.edu/administration_cs/humanresources/staffhndbk.cfm

N. Moving Expenses

The College assists in the cost of moving household property of new faculty members to the central Maine area. Bills for moving must be presented to the Office of the Dean of Faculty for approval and reimbursement. We do not cover the costs of moving away from the area.

Colby College expects to maintain the benefits described in this handbook. However, to guard against unforeseen circumstances, the College must reserve the right, after the usual consultative procedures, to amend, modify, or discontinue any or all of said benefits.

This is only a summary of the terms of your benefits. If there is any inconsistency between this handbook and any plan, contract, or policy relating to your benefits, the actual terms of the plan, contract, or policy will govern.

The Office of Human Resources has administrative responsibility for all of the fringe benefit programs at the College. The Office of Human Resources provides assistance to faculty members, partners, and families with enrollment in various insurance programs and the retirement plan, filing of claims, and conversion privileges.

It is important for faculty members who will be away from the campus on an extended, approved leave of absence to consult with the Office of Human Resources. Information can be given on programs that can be continued and the costs involved. Faculty members should advise the Office of the Dean of Faculty of any change in address or telephone number.

Faculty members appointed to positions that are less than half-time are not eligible for the listed benefits and privileges except social security, workers’ compensation, and unemployment compensation under certain circumstances.

O. Faculty Emeritus Privileges

1. Issued special Colby ID cards that provide full use of all campus facilities.
2. May apply for faculty parking sticker.
3. Access to Colby email continues for five years post-retirement and may be extended upon request to the Dean of Faculty.
4. May maintain mailbox in department or in mailroom where campus mailings sent to all faculty will be received.
5. Will be invited to join academic processions at First-Year Student Assembly, Baccalaureate, and Commencement.
6. Will be supplied Colby stationery and mail privileges for Colby-related business.
7. Services of department secretary will be provided for College-related work (e.g., letters of recommendation).
8. Will be invited to the annual meeting of emeritus faculty by the President or Dean.
9. Will have continued library privileges, including a library card.
10. May be called on from time to time to serve on ad hoc committees or task forces.
OTHER INSTITUTIONAL SERVICES AND INFORMATION
FOR FACULTY MEMBERS

A. Identification Cards
Identification cards are issued to faculty and domestic partners by the Colby Card Office in Garrison-Foster. Identification photos are taken in the Colby Card Office. These cards serve as identification for admission to home athletic events, for use of athletic facilities, in the library or bookstore, and at any other time or place in which it would be useful to establish official association with the College.

B. Faculty Office Space
Whenever possible, the College tries to provide each faculty member a private office. Office space is assigned to departments and programs, and in certain cases to individual faculty members, by the Office of Dean of Faculty.

C. Faculty Lounge
A room on the second floor of the Lovejoy Building was specifically included in the construction of the building and reserved as a faculty lounge. This is a space for personal and private use by faculty and staff members. It is not for use by students or by faculty-staff children except when accompanied by an adult. The faculty lounge is not available for classes, committee meetings, or for conferences with students except by special arrangement through the Faculty Lounge Committee. It is not available for receptions until after 5:00 p.m., for which reservations must be made in advance. A small kitchenette is provided for use by the faculty or staff when the occasion may call for refreshments, and coffee and tea are available during days when the College is in session. The faculty lounge is a non-smoking area.

D. Campus Mail
1. Incoming Mail. Colby's branch post office, located in the Cotter Union, offers stamps and other services to the campus at large. Incoming mail addressed to faculty at College addresses is delivered to the Eustis Service Center in the Eustis Building at regular delivery hours.
   (a) When College is in Session: Faculty mail is either picked up by departmental representatives or carried by a student mail carrier to stations in the buildings where there are faculty mailboxes. Departmental secretaries place the mail in individual faculty boxes.
   (b) During Holidays: Since no student carrier is employed for these periods and no formal service exists for carrying mail beyond the mail room, or for sorting, other than by building or department, faculty members may pick up incoming mail at the Eustis Service Center in the Eustis Building.

2. Outgoing Mail. Mail from departments/programs and/or faculty members' offices for students living on campus, administrative offices and other departments, and outgoing mail to be posted, is collected daily at each College building by a student mail carrier during periods when College is in session. Mail is brought directly to the Eustis Service Center where it is sorted or rerouted for delivery.

3. Personal Mail. Personal mail will be handled by the campus mail service, but postage on personal correspondence is not provided by the College. During the academic year, postage stamps are available at the Student Post Office in Cotter Union; in the summer, postage is available in the Eustis Service Center. Packages or certified letters may be mailed through the Eustis Service Center, but there is no provision at the College for handling registered or insured items.

4. Parcels. The Eustis Service Center is a receiving and sending point for the United Parcel Service and Federal Express. Individuals pick up incoming packages by signing a form in the Service Center, and UPS packages may be dispatched from the same place by paying the
requisite fees. UPS also has an office in Waterville for major dispatches; when faculty members have large or many shipments to make, they are advised to use the Waterville office.

E. **College Publications**

From time to time the College publishes various items of interest to the faculty, students, alumni, and prospective students. These are available to the faculty:

1. **The Colby College Catalogue.** Published each summer, secured from the Registrar's Office and also available on the Web.

2. **Directory of Faculty, Staff, and Students.** Available online, at: (http://www.colby.edu/directory.cs/).

3. **Colby Magazine.** A quarterly, containing articles on Colby history, reviews, and other subjects of interest to Colby alumni and faculty; welcoming research as well as the exchange of opinion between faculty and alumni; distributed to faculty members through campus mail.

4. **The Student Handbook.** Available at the webpage of the Office of the Dean of Students.

F. **Calendar of Events**

The College calendar of events is maintained by the Scheduling office in the Eustis building, first floor. The Scheduling Manager keeps a daily record of College activities occurring outside the curricular schedule, including lectures, concerts, talks, forums, club meetings, exhibitions, etc. Prior to arranging the event, faculty members planning any such function should consult with the Scheduling Manager to determine the availability of dates, times, and spaces. All events held before 5 p.m. in academic buildings are scheduled by the Registrar's Office. The Scheduling office is responsible for scheduling rooms in academic buildings after 5pm and the day-long scheduling of rooms on the second floor of the Roberts Building. Cotter Union rooms are scheduled by the Director of Student Activities. Residence hall lounges are scheduled for use on Sunday-Thursday by the head resident of each building, and for use on Friday and Saturday by the Director of Student Activities.

G. **Organizational Membership**

There are several organizations open to College faculty members. These are voluntary organizations including members of the various constituencies of the College and of the local community. They include:

1. Colby Community Symphony Orchestra, Band, and Chorus
2. Colby Music Associates
3. Colby Museum of Art Friends of Art

Inquiries should be directed to the Department of Music and/or the Colby Museum of Art.

Private lessons at cost on a variety of instruments may be arranged through the Music Department.

H. **AAUP**

The Colby Chapter of the American Association of University Professors has, over the years, been instrumental in instituting several of the basic documents represented in this Handbook. An active AAUP Chapter meets frequently at Colby to discuss issues of all-campus significance and encourages faculty to affiliate with AAUP.
I. **Notary Public Service**

A certified notary public is available, without charge, to all members of the faculty. Inquire at the Office of the Provost and Dean of Faculty.

J. **Campus Car Registration and Parking**

Members of the faculty, staff, and student body are required to display on their cars a Colby College parking sticker if they use the College parking areas during the academic year. Faculty parking stickers are obtained without cost from the Office of Security in the Roberts Building. A copy of the Traffic Regulations is issued with each sticker when the vehicle is registered. These regulations should be read carefully.

Parking facilities for faculty members are generally available near all academic buildings.

K. **Department of Security**

The Department of Security operates from the Roberts Building. The traditional role of patrolling the campus 24 hours a day is still the prime function of the department. Security officers are hired to protect members of the Colby community and the property of the College.

Other services offered by the Department of Security include:

1. **Lost and Found**

   Lost and Found is centralized through the Security office in Roberts. Please turn in any "found" items there.

2. **Campus Patrols**

   Student Campus Patrols check doors and windows on campus during the evenings. They supplement the security officers.

L. **Telephone Service**

Telephone service is maintained at the College by Media Resources of ITS. The main College number is 859-4000. Information about the telephone system is available at [www.colby.edu/its/media](http://www.colby.edu/its/media).

Colby's emergency number for Security for campus phone extension users is 5911 (207-859-5911 from off-campus). General (non-emergency) information may be obtained from Security at extension 5530. Waterville's emergency number is 911.

College telephone numbers and building locations of Colby personnel are listed in the Directory of Faculty, Staff, and Students. Information on College offices and student residences are also available in the online directory.

M. **Physical Plant**

The Physical Plant Department maintains the campus. Janitorial service is provided in all buildings. Problems of furniture, heating, wiring, and major moving should be referred to the Physical Plant Department.

N. **Salary Payment**

Upon arrival at the College, new faculty should see the Payroll Office and Office of Human Resources to complete those forms necessary to place them on the payroll and to activate benefits; this may also be done at new faculty orientation.

Faculty appointments normally begin September 1, and faculty members are paid in twelve installments. Direct-deposit arrangements can be made for most financial institutions. Details of such arrangements are available at the Payroll Office.
O. Faculty Use of Athletic Facilities
The athletics department website posts information on athletics facilities and hours.

P. Housing
The College does not provide housing, except for those faculty who occupy living units as faculty-in-residence.

Q. Recreational Properties of the College
The Colby-Hume Center on Messalonskee Lake, seven miles from campus, has 450 feet of lakefront. It was given to Colby in 1991 by Alan and Dorothy Hume, who reside there in a private house. Facilities available include a picnic area, a small beach for swimming, and two small bath/changing houses with toilets. Additional information on the use of the Colby-Hume Center is available from the Office of Special Programs (ext. 4731).

The Colby Outing Club property, on the east side of Great Pond, some six miles from campus, has a dock, bathhouse, and picnic shelter. There is no exposed beach, and facilities are not especially suitable for very young children. The Colby Outing Club is an excellent resource for campers.

R. Personal and Extracurricular Use of College Facilities
Faculty members may request use of the Lorimer Chapel, various rooms on the second floor in the Roberts Building, Cotter Union, and classrooms for certain purposes. Such requests should be directed to the Scheduling and Facilities Manager, who will provide information on availability, charges (if any), and rules for the use of the facilities.

The Scheduling and Facilities Manager cooperates with the Director of Special Programs, whose office plans and coordinates the many conferences held at Colby, particularly during the summer. Faculty members involved with professional organizations considering Colby as a meeting site are urged to consult the Director of Special Programs for details of Colby's conference facilities.

Colby maintains a Guest House, located next to the Wales tennis courts. Departments and offices may use the Guest House for visitors who might otherwise be lodged in a local motel. A descriptive brochure is available and may be sent to guests in advance of their visit. For reservations and further information, contact the Scheduling and Facilities Manager.

S. Animals on Campus
Students are forbidden to keep pets on campus as a safety and health measure. Faculty (except those residing on campus) are expected to refrain from bringing pets, especially dogs, to the campus, as well. Unleashed dogs violate state law as well as a Waterville city ordinance.

T. Personal Property Located on Campus
The College does not insure or accept responsibility for any employee personal property located on College premises. Such property can usually be covered by the employee's homeowners or renter's insurance policy. Employees should consult with their insurance agents.

U. Use of Personal Vehicles on College Business
Employees are encouraged to use College-owned or rented vehicles for all travel on Colby business, thus assuring that insurance coverage is provided by the College. If a personal vehicle is used for Colby business, the employee's personal automobile insurance will provide the primary coverage for any accidents that might occur.
Appendix I: COLBY COLLEGE VALUES

In the 2002-2003 academic year, President William Adams appointed a Task Force on Statements of Values whose charge was to review current statements of values and to explore the desirability and feasibility of revised or new statements, compacts, or codes, with special attention to academic integrity, behavior within the Colby community, valuing differences, civility, and inclusiveness among community members.

As part of its final report, the task force recommended that the College publish, where appropriate, a summary of its various statements of values and goals. That summary follows.

Mission and Goals:

Colby is committed to the belief that the best preparation for life, and especially for the professions that require specialized study, is a broad acquaintance with human knowledge. The Colby experience is designed to enable students to find and fulfill their own unique potential. It is hoped that students will become critical and imaginative thinkers who are: welcoming of diversity and compassionate toward others; capable of distinguishing fact from opinion; intellectually curious and aesthetically aware; adept at synthesis as well as analysis; broadly educated with depth in some areas; proficient in writing and speaking; familiar with one or more scientific disciplines; knowledgeable about American and other cultures; able to create and enjoy opportunities for lifelong learning; willing to assume leadership roles as students and citizens; prepared to respond flexibly to the changing demands of the world of work; useful to society and happy with themselves.

Colby stands for diversity; for respect for various lifestyles and beliefs; and for the protection of every individual against discrimination. In the classroom and outside, there is freedom to study, to think, to speak, to work, to learn, and to thrive in an environment that insists upon both civility and the free and open exchange of ideas and views. The behavior of individuals may often affect the rights and well being of others, therefore all members of the campus community are responsible for fostering an environment in which teaching, learning, and research flourish. (Colby College Catalogue.)

Diversity:

Colby is dedicated to the education of humane, thoughtful, and engaged persons prepared to respond to the challenges of an increasingly diverse and global society and to the issues of justice that arise therein. The College also is committed to fostering a fully inclusive campus community, enriched by persons of different races, gender identities, ethnicities, nationalities, economic backgrounds, ages, abilities, sexual orientations, political beliefs, and spiritual values.

Non-discrimination:

Colby is a private, coeducational liberal arts college that admits students and makes personnel decisions on the basis of the individual's qualifications to contribute to Colby's educational objectives and institutional needs. Colby College does not discriminate on the basis of race, color, gender, sexual orientation, gender identity or expression, disability, religion, ancestry or national origin, age, marital status, genetic information, or veteran's status in employment or in our educational programs. Colby is an affirmative action/equal opportunity employer and operates in accordance with federal and state laws regarding non-discrimination. (Colby College Catalogue)

Non-harassment:

Harassment based on race, color, religion, sex, ancestry, national origin, parental status, marital status, physical or mental disability, age, sexual orientation or gender identity results in loss of self-esteem for the victim and in the deterioration of the quality of the classroom, social, or workplace environment. Neither the law nor College regulation permits harassment as defined in these policies. Harassment by one’s peers, by any student, or by any employee of the College will not be tolerated. Possible penalties for those found guilty of harassment include probation, suspension, expulsion, termination of employment, and civil or criminal lawsuits. Those in positions of authority in all sectors of the College community must recognize that there can be an element of power in their relationships.
with persons having less authority. Faculty members must be aware that they are persons in authority over all students, because faculty can, sometimes unexpectedly, find themselves responsible for the instruction or evaluation of any student at the College. Supervisors are persons in authority over subordinate employees in their departments. It is the responsibility of the person in authority not to abuse that power. Relationships between consenting adults that would otherwise be acceptable can pose problems when one of the two has authority over the other. Such relationships should be avoided. (Student Handbook)

**Sexual Assault:**
Sexual assault is sexual activity, of any kind, with a person without that person’s consent. Colby College will not tolerate sexual assault in any form. Sexual assault is an act of violence prohibited, in separate ways, by Maine law and Colby policy. Students found responsible for sexual assault will be subject to disciplinary action, which can include suspension or expulsion. (Student Handbook)

**Residential and Social Life:**
Because Colby is a residential college, students create a community that is simultaneously intellectual and social. The patterns and programs of social and residential life are administered so as to enhance faculty-student ties beyond the classroom, assure respect for persons and property as well as the individual rights, well being, and dignity of others, promote understanding among all people, and foster personal growth and the opportunity to make lasting friendships. In the conduct of its social life Colby is committed to several principles. First, while not every social event can or should be open to every student, campus social life as a whole should be open and welcoming to all students. Second, students must retain the right to avoid social engagements when they so choose. To this end, departments, residence halls, teams, clubs, and other groups should strive to ensure that participation in social activities is neither formally nor informally required. Third, personal conduct at social events should be governed by respect for the rights and well being of others. (Student Handbook)
Appendix II: Two Policy Statements on Tenure

(1976) Colby College expects to retain and offer tenure to those who demonstrate the potential to sustain both very superior teaching effectiveness and scholarly or creative endeavors which inspire both students and colleagues. No teacher whom Colby strongly desires to retain should be denied tenure. The College cannot afford to lose from its permanent faculty those persons who seem likely to fulfill substantial promise and extend the significant services that this College must provide in the future. The following general principle is central:

Who is tenured is more significant to the welfare of the College than how many are tenured.

Basic components of the criteria for tenure and promotion are teaching and advising (advising includes the whole range of student-faculty relationships outside the classroom), scholarship, and service to the College and academic discipline. Teaching effectiveness is paramount, and Colby should require superior or outstanding, and not merely satisfactory, achievement. Recognizing that the College situation is never static and that each case requires evaluation of the position as well as the candidate, these criteria should be applied as firmly and as consistently as possible. The procedures for their application should be comprehensive and clear.

The long-range needs of the department and the College, present and projected enrollments, and changing financial circumstances must be accommodated in any personnel planning. Nevertheless, the primary objective in making a tenure decision shall be quality of educational programs.

The ratio between tenured and non-tenured faculty in the College as a whole must regularly be monitored and reasons for any unusual imbalance of either too many or too few should be studied. A ratio, however, is not an objective. There is no substitute for sound judgment. Reliance on a quota, a ceiling, or a minimum number, denies the exercise of judgment and reduces decision-making to a clerical routine without regard to individual and educational requirements.

(1982) When, in the early 1970s, the Board of Trustees adopted as College policy the American Association of University Professors 1940 Statement of Principles on Academic Freedom and Tenure, thus aligning Colby with other institutions nation-wide in its policies and procedures for the granting of tenure, the Board recognized that a certain proportion of the Colby faculty would have continuous tenure at any one time. That proportion, however, was to be determined with certain policy limits: e.g., the necessity to maintain staffing flexibility under the pressure of changing curricular needs; funds available in the instructional budget; and the student/faculty ratio. Therefore, a balance between tenured and untenured members of the Colby faculty remains a matter of concern to all segments of the Colby community.

First of all, the general principle central to the Trustees' policy statement on tenure is reaffirmed: who is tenured is more significant to the welfare of the College than how many are tenured. Based upon projections of changes in the composition of the faculty during the next two decades, it is likely that the number of tenured faculty will vary–increasing during the eighties, declining during the nineties. In order to maintain a balance between tenured and untenured faculty consistent with the policies described above, an average of two-thirds of those eligible each year may be granted tenure over the next twenty years.

However, recognizing that in any single year more or less than two-thirds of the candidates might merit the granting of tenure, no fixed annual quota should be imposed. The overriding principle continues to be the educational welfare of the College during the next two decades.

The Trustees' policy statement on tenure, moreover, calls for regular monitoring of the ratio between tenured and untenured faculty at the College. In order to facilitate communications between the faculty and the Trustees, the President will convene a meeting in each academic year of subcommittees of the Educational Policy Committee of the Board and the faculty Committee on Promotion and Tenure which will review: (a) tenure policies in the light of long-range projections of the number of tenured faculty; and (b) the probable number of candidates for continuous tenure in that academic year.
APPENDIX III

2014-15 TENURE REVIEW SCHEDULE

DUE BY FEBRUARY 9, 2015 from the tenure candidate:
1. Recommendation for the unaffiliated member(s) of the department/program committee
2. Current c.v.
3. The names of colleagues to whom the committee will write
4. A list of recommended individuals to serve as external objective referees for the candidate’s scholarship. This list should include information on potential reviewers’ professional affiliations and relationship with the candidate and contact information including email address and telephone number.

Note: #1, 3, and 4 should be submitted, in writing and electronically, to your department/program committee chair; after consultation with department/program committee chair, item #1 must also be sent to the Dean of Faculty so that a formal appointment(s) can be made.

DUE BY APRIL 20, 2015 from the tenure candidate:
1. List of courses taught by semester and year, with enrollments
2. Teaching portfolio
3. Course evaluations (except for Spring 2015)
4. Copy of manuscripts, articles published, books, etc. (Note: The College will pay for additional copying of articles and manuscripts; we will also pay for books that will need to be ordered)
5. Updated c.v. (where appropriate)
6. Statements on peer review of teaching (normally the department chair will have these)
7. Copy of the sixth semester review report and any follow-up correspondence
8. Any other material the candidate would like included in the dossier

Note: The personal statement should be submitted by August 1, 2015

DUE BY AUGUST 1, 2015:
By August 1, the department/program committee should have received the following:
1. Reviewer letters
2. Student letters
3. Peer letters
4. The candidate's personal statement

DUE BY SEPTEMBER 4, 2015:
Committee report and dossier (delivered to the Office of the Provost and Dean of Faculty by the committee chair)
Appendix IV: Timetable for Promotion Considerations in 2014-2015

**DEADLINE:** For the 2014-2015 academic year, the deadline is February 4, 2015. There are no extensions granted for submission of promotion dossiers. Late dossiers will need to be updated and reviewed in a subsequent academic year.

In view of the dossier submission deadline, the following timetable is suggested for the formation of the department/program-level committee and the preparation of the dossier:

**By September 12, 2014**
- Formation of the department/program-level committee, including the outside member(s), with chair of committee determined
- All relevant course evaluations assembled with summary statistics on hand
- Personal statement and up-to-date c.v. received from candidate
- Suggested objective outside reviewers, list and annotation, received from candidate; committee may supplement list, in consultation with candidate; mailing of solicitation and scholarship to 4 to 6 selected reviewers with request for response within four weeks (call reviewers before mailing to confirm their participation in the process)
- Friendly reviewers list received from candidate, and solicitation sent out with response requested within four weeks
- Colby colleagues list received from candidate; solicitation sent by October 1 with response requested within two weeks
- Student letters: first request sent out with response requested within four weeks

**By October 17, 2014**
- Reminder (letter, phone, e-mail) to objective outside reviewers to submit their responses ASAP
- Second (and final) reminder letter to students who have not responded to initial solicitation asking for their responses as soon as possible
- Reminders to friendly reviewers and Colby colleagues asking for their responses ASAP

**By November 14, 2014**
- Dossier fully assembled, with all relevant solicited reviews and letters
- Committee members read(review completed dossier and set meeting date to discuss committee report

**By December 19, 2014**
- Committee meeting held to discuss dossier and performance/ratings in teaching and advising, scholarship, and service
- Plan for drafting of committee report, to be circulated to all members during December or January

**By January 31, 2015**
- Dossier complete, including committee report/recommendation signed by all members

**By Early February 2015**
- Dossier with committee report delivered to Office of the Provost and Dean of Faculty by February 4, 2015

(revised 7/27/14)
Colby College coaching faculty will be evaluated in the areas listed below.

Commitment to the mission of the College
- Commitment to the Colby College Mission Statement and Precepts, the Colby Athletic Department Mission Statement, the NESCAC Mission Statement and the NCAA Division III Philosophy
- Adherence to College, Conference and NCAA rules and policies

Coaching and Teaching
- Organization of practices (daily and seasonal)
- Skills analysis, teaching and teaching progression
- Contest strategy: preparation, development, implementation and ability to adapt on game day
- Ability to teach and communicate with various learning styles and incorporate various teaching techniques
- Creation of a welcoming and positive environment for all students to have the opportunity to learn, grow and reach their potential.
- Effectiveness in assisting students attain their athletic goals
- Overall experience and development of student athletes both as athletes and as people
- Professional development and advancement – certifications, memberships, public speaking, awards/recognition
- Provide the opportunity and environment for assistant coaches to develop, to grow professionally and to contribute to the success of the program.

Recruiting
- Ability to identify, evaluate, attract and yield student athletes who fit the academic profile of the College
- Ability to understand and maximize the current “AF” system with admissions and the ability to organize and communicate needs with the AD and admissions liaison.
- Ability to assist the College meet the goals of the admissions office (increased number of ALANA students, geographical diversity, high number of applicants etc.)
- Knowledge of and adherence to Colby, NESCAC and NCAA rules and parameters

Professional Characteristics
- Effective communication and relationships with students, support staff, peers and colleagues both within the department and within the College
- Representation of the College in a positive and professional manner
- Highest level of sportsmanship is displayed at all times both individually and as a team such that coach and team respects their opponents, officials and the game itself
- Conduct program in an honest, responsible manner and with the utmost integrity at all times

Administration of the Program
- Responsible budget management
- Trip organization and home event management
- Meeting deadlines
- Effective organization and planning skills

Service (unassigned duties)
- Department and/or College committees, mentor programs and initiatives
- Involvement with the Colby community, the greater Waterville community and beyond
- Involvement with applicable coaches associations and sport organizations
- Engaging alumni
Secondary Assignment

(Full-time head coaches will be assigned a secondary duty or duties that will either be assistant coaching in another sport or an administrative assignment(s).

Assistant coaching assignment

- Commitment and contributions to the program
- Quality of carrying out duties assigned
- Effort put forth
- Interaction with students
- Support of the head coach.

Administrative assignment(s)

- Commitment and effort to the assignment
- Quality of carrying out duties assigned
- Interactions with peers in fulfilling the assignment
- Positive approach
- Proactive approach
APPENDIX VI
Colby's Statement Concerning Student Projects Involving Human Participants

Colby College is committed to study and learning that reaches beyond the college classroom and community. In order to realize this goal students are encouraged to become involved in projects of research and/or documentation which involve the use of human as sources of data or of images. However, the College is also concerned to make sure that in every such project, proper consideration is given to ethical implications, and that each project be formulated and carried out in such a way that no one—investigators, or research participants—is exploited, placed at serious risk, or treated otherwise than with complete dignity and respect. We recognize that projects differ very considerably and that it is therefore very difficult if not impossible to formulate a set of regulative guidelines which fits every one and might appropriately be imposed mechanically on every project director and participant. But we are convinced that there are certain general principles which ought to guide every person who undertakes such a project. We also recognize that some projects, particularly those with certain external funding sources, must conform to more formal regulations. Thus we attempt here to state a set of generally agreed upon conventions to guide us all, with the understanding that certain departments and disciplines will develop more detailed regulations pertaining to faculty research and especially to research funded by governmental sources.

General Conventions

1. Every research or documentation project undertaken in a setting of higher education and involving interaction with human participants is likely to involve a measure of tension between very urgent concerns to protect the rights, dignity, safety, and confidentiality of the participants, and the very important matter of the academic and personal freedom of the faculty member(s) and/or the student(s) directing the project. A delicate balance of these distinct values will often be involved. In those few cases where it is uncertain that both values can be fully sustained [e.g. where there are serious questions about the competence of the participant(s) to give informed consent, or where more than minimal risk to the participant(s) and/or the investigators is likely to be involved], the rights, dignity, safety, and confidentiality of the participants must be overriding.

2. Nearly every discipline to which those who undertake such projects or studies belong [e.g., psychology, sociology, anthropology, biology, modern languages, education, etc.] has a code of ethics devised by the professional society of the discipline and designed to set standards for behavior related to teaching and research within the discipline. Colby College explicitly directs the attention of any faculty or staff member(s) contemplating sponsoring a student project to the appropriate code of ethics. Where projects or studies are interdisciplinary, the codes of all disciplines involved should be carefully consulted. Wherever this document provides more specific guidelines, they will override the more general guidance offered by disciplinary codes of ethics.

3. Instructors in courses that involve such projects will ensure that syllabi and/or lectures will include material that requires students to discuss matters of responsibility, ethics, and consent.

4. Students will be instructed in appropriate interview techniques.

5. The principle of informed consent always will be fully and carefully explained to participants. Consent forms or the disciplinary equivalent will always be obtained from participants by project directors.¹

6. Directors of projects will explain what they are doing to participants and will allow participants to withdraw at any point.

¹ NOTE: In some disciplines, e.g., anthropology, professional standards do not require the use of consent forms. An acceptable alternative in such cases is a field note by the project director recording the time, place, and date at which the discussion of informed consent with the participant was held.
Guidelines for Informed Consent

It is important that when working with humans in any projects, we clearly inform them about what to expect when involved in our respective projects. Participants must be allowed to make a fully informed decision about whether they are truly willing to participate. Specifically, informed consent to participate in a project at Colby College involves being informed (and understanding) the following points prior to participation:

1. The purpose and goals of the project
2. The procedures the participant will be involved in
3. Any expected risks (and benefits) involved in participating in the project
4. The right to confidentiality to the extent permitted by law.
5. The right to voluntary participation
6. The right to discontinue participation at any point (with no negative consequences), even once a project has been completed
7. The right to ask questions about the project and about how the information will be used.

Consent must be obtained either using the attached generic consent form (Colby College consent form) or the disciplinary equivalent (either a specific consent form, or an agreed-upon method of achieving participant consent). See the Research Resources portion of the Psychology Department website for other examples of consent forms and for forms for submitting projects for review to the Colby College Institutional Review Board (http://www.colby.edu/psychology/).

---

2 The College recognizes that particular care must be taken when working with populations that are especially vulnerable or at risk (e.g. minors, the mentally ill, prison inmates, the homeless), when studying topics of heightened sensitivity (e.g. eating disorders, sexual activity), and when researching illegal activities (e.g. illegal drug use, child abuse, domestic violence, rape). Each discipline has developed its own special procedures and safeguards to insure the safety and dignity of populations in such settings. It is the strict responsibility of each faculty member to be sure that research conducted concerning groups or topics of this kind conform fully to the procedures current in his/her discipline.
Colby College Consent Form

Title of Project: __________________________________________________

**Voluntary Participation:** Participation in this project is completely voluntary. You may decide not to continue at any point during this process.

**Confidentiality:** Your participation in this project is confidential [to the extent permitted by law] unless you agree to the use of your name, words, and/or image, in the space provide below:
I agree to the use of _____________________________________________
___________________________________________________________________________________
___________________________________________________________________________________

**Questions:** Any questions regarding this project will be answered by the project supervisor:
Name(s) _____________________________________________________________________________
who can be reached at the following telephone number:______________________________

At the conclusion of the project, and at any point in the future, any additional questions you have will also be answered.

I understand the above, and I freely consent to participate in this project:

____________________________________  ______________________
Signature of Participant  Date

____________________________________  ______________________
Signature of Parent/Guardian (for those under 18)  Date
The following information is being provided to students, head coaches and faculty members and is intended to summarize college policies and guidelines on missed class time due to athletic contests.

**NCAA and Colby Rules**
- NCAA and Colby rules state that students are not permitted to miss a class for a practice.
- Colby rules state that students are permitted to miss a class for a contest but only at the discretion of the professor of that class.

**Instructor’s Obligations**
- Individual instructors determine whether students may be excused from classes or scheduled course events.
- The instructor’s attendance policy must be stated on the syllabus and/or web site for that class at the beginning of the semester.
- Instructors are permitted to schedule up to four required class sessions within the “zone” of 4-7 p.m. The zone is generally reserved for extra-curricular activities (lectures, meetings, rehearsals, practices, events etc.). All required classes (dates and times) must be included on the course syllabus.
- Faculty are encouraged to contact the head coach or the Athletic Director with any questions or issues that arise. The link to the staff directory for all head coaches is: [http://www.colby.edu/athletics_cs/staff/](http://www.colby.edu/athletics_cs/staff/)

**Coach’s Obligations**
- Coaches are instructed to provide practice and game schedules, including departure times for away contests, to all members of the team prior to the start of each season. For fall sports, students should have this information by the Friday of the first week of classes. For winter and spring sports, students should receive this information as soon as possible after tryouts are completed.
- It is the responsibility of the coaching staff to help each student athlete understand that academic life has priority over all other aspects of life at Colby, including athletics.

**Student’s Obligations**
- Once students obtain their game schedules and departure times for away contests, they should compare their athletic schedule with their class schedule and any other scheduled class events to identify any overlapping commitments.
- After reviewing the professor’s attendance policy and, if any, class participation policy, the student needs to communicate with the professor directly and as soon as possible about any scheduled class events he or she is seeking permission to miss. It is recommended that students speak to their professor(s) in person and not initiate these discussions through, for example, email. These conversations should occur during the first several days of the semester.
- Students are responsible for any work missed.
- Students on academic probation cannot be excused from any class for extracurricular events, including athletic contests.
Appendix VIII
ACADEMIC DEPARTMENT SECRETARY GUIDELINES

I. TASKS ACADEMIC DEPARTMENT SECRETARIES ARE EXPECTED TO PERFORM (Priorities and scheduling will vary somewhat among department and programs)

DEPARTMENT/PROGRAM TASKS SUCH AS:

- Assist Chairs/Directors in maintaining search materials, monitor/type all correspondence pertaining to the search
- Maintain tenure, promotion, merit dossier and contract renewal materials (create and maintain workbooks, etc.)
- Assist in preparing for Overseers Visiting Committees
- Assist chairs/directors in preparing for visiting lecturers, i.e., invitations, scheduling, travel and housing, and posters
- Assist in preparing departmental/program newsletters, handouts, room assignments, comp exams, work on special projects
- If requested by the chair/director, monitor budgets
- Maintain department/program records, along with endowed chair records
- Maintain office supplies and equipment
- Coordinate departmental purchases
- Supervise student workers; when students are not available then the secretary is expected to perform the following tasks: photocopying, search for articles, filing, maintain the bulletin boards, mass mailings
- Maintain the files on department/program majors, make preparations for department/program receptions, awards, etc.

II. TASKS SECRETARIES MIGHT PERFORM ONLY WHEN THE WORKLOAD PERMITS

INDIVIDUAL FACULTY WORK:

- Proctor make-up exams
- Word-processing of course-related documents

III. TASKS SECRETARIES SHOULD NOT BE ASKED TO DO

- Make coffee
- Advise students, sign advising forms (or any other work related to advising)
- Record grades
- Pack, unload or document shipments of department lab or research equipment and supplies
- Handle chemicals
- Maintain individual faculty appointment calendars
- Large-scale projects not listed above, unless discussed in advance with lead department chair/program director**
- Personal favors, including work for organizations or initiatives not associated with Colby

**IF A CONFLICT IN WORKLOAD AND TIMING ARISES, SUPERVISOR(S) AND/OR THE ACADEMIC OPERATIONS COORDINATOR SHOULD BE CONSULTED FOR ASSISTANCE IN PRIORITIZING.