PREFACE

THIS HANDBOOK WAS INSTITUTED AS A COMPILATION OF GENERAL INFORMATION, COLLEGE POLICY, AND USEFUL ADVICE. IN ITS SEVERAL VERSIONS, IT HAS BEEN REVISED IN ACCORDANCE WITH SUGGESTIONS FROM A NUMBER OF CURRENT AND FORMER DEPARTMENT CHAIRS AND PROGRAM DIRECTORS AND OTHER FACULTY. OVER THE YEARS, OUR INTENTION HAS BEEN, AND CONTINUES TO BE, TO PROVIDE A REFERENCE BOOK AS WELL AS A GUIDE. I APPRECIATE HEARING FROM YOU ANY SUGGESTIONS OR COMMENTS THAT MIGHT MAKE THE NEXT EDITION MORE USEFUL.

MARGARET MCFADDEN
AUGUST 2018
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I. INTRODUCTION: General information on being a chair/director

Department chairs and program directors serve a vital function at the College. As chair or director, you are the principal spokesperson for your unit; you are a leader among colleagues; you are the representative of the College administration to your department/program; and you are the representative of your department/program to the administration, to students, and to many other constituencies in and outside of the College. You will normally chair promotion, tenure, review, and other evaluative committees. By long-established tradition, chairs and directors rotate at Colby. Appointments typically are for two three-year terms, although some departments/programs (with the approval of the Provost) have adopted different appointment schedules. Although given significant administrative and evaluative responsibility, your position is best described as “first among equals.” You convene your department or program; you represent them; you do your best to advance the department's/program's and the College's missions. In the final analysis, you are principally a teacher and scholar, and the administrative duties of chair/director are taken on temporarily and will be passed on in due course to one of your colleagues.

A. Selection of Chairs and Directors

Usually by April of the final year of the term of an incumbent chair or director the Provost will consult with department or program members so that a recommendation on succession can be formulated by the Provost to the President (who appoints chairs and directors). The principle of rotation of chairs and directors is firmly established, and only in unusual circumstances are faculty members asked to serve as chair or director beyond two consecutive three-year terms. Occasionally, senior faculty are recruited to the College and asked to assume the duties of chair/director immediately. Even in such cases, however, their service as chair or director normally is expected to last no more than six years. Thus, when a chair/director is sought from outside the College, the individual appointed is hired principally as a teacher and scholar and secondarily as chair or director. The Provost will evaluate chairs/directors in the final (typically third) year of their first term (including appropriate consultation with department/program members) so that a recommendation can be formulated concerning reappointment.

B. Compensation of Chairs and Directors

Compensation varies among departments and programs. Any stipend is added to the salary at the beginning of the term and remains as part of the salary until the term ends. During the term of service, annual salary adjustments and merit increases are made to the total salary (base plus administrative stipend). The stipend ends upon conclusion of service as chair/director, although the incremental salary adjustment and/or merit increases remains in the base salary after service as chair/director. Decisions about substituting a course reduction for the chair/director stipend are made on a year-by-year basis with consultation with the Provost.

Departments/programs are sorted into categories on the basis of size of faculty, numbers of majors and minors, and related duties of chair or director. The total compensation is specified for each category. In the case of departments and programs in categories III and IV, those that we believe should always divide the compensation between a chair and associate chair (or director and associate director) are marked with “*” (e.g., course[s] off for chair; stipend for associate chair). Others in category III could make the decision of single or dual leadership depending on the wishes of the chair/director and department/program. There is some possibility of moving into a higher category for the term of the chair/director if that period will see unusually demanding department/program activity such as multiple tenure cases and tenure track searches. This shift in category would be established when the chair/director begins his/her term and would require the approval of the president, provost, and division chairs. There is a possibility in categories III and IV of taking the $5K stipend instead of one course off if there is an associate chair.
Category I: 1 course or $4K stipend
Category II: 1 course or $5K stipend
Category III: 1 course plus $3K stipend (can be shared by two people)
Possible to take $5K stipend instead of one course off if there is an associate chair
Category IV: 2 courses plus $3K stipend (can be shared by two people)
Possible to take $5K stipend instead of one course off if there is an associate chair


Category IV: Biology*, Economics*, English*.

C. Principal Responsibilities of the Chair and Director

The remainder of this handbook spells out the responsibilities you have taken on and provides information and advice. Included as Section VII is a monthly calendar of significant dates and deadlines for chairs and program directors. In general, the chair/director is on active service from mid-August to late June. To no one’s surprise, issues have a way of occurring during the summer months, and chairs and directors should be in regular contact with the Provost’s office and with the administrative assistant. Being reachable by phone and email is expected over the summer. Please remember that the chair/director compensation is, in part, compensation for this extended calendar.

No handbook or set of guidelines can guarantee the efficient and harmonious operation of a department/program. The chair/director is crucial in this enterprise, and no one is more important in the day-to-day operation of the department/program. The duties of chair/director fall in three areas: personnel, including hiring and performance review; managing the department curriculum; and department events and activities

Chairs/directors are designated because those involved in the process feel that they will be effective leaders. That said, although most chairs/directors come from within the ranks at Colby their relationships with department/program colleagues will not be the same once they assume the helm. Chairs/directors become “different” because they are chairs/directors and because they must treat everyone in the department/program fairly and evenhandedly. Leadership success depends upon the chair/director hearing and paying attention to the opinions of everyone in the department/program. At the beginning of a chair’s/director’s tenure, he/she should spend time talking individually with members of the department/program. Until the department/program becomes accustomed to a chair’s/director’s leadership style, it may be useful to hold department/program meetings more frequently than usual. An effective chair/director knows what concerns people and how to address issues, including pursuing alternate and individualized approaches.

The academic departments and programs of the College are organized into four divisions, each led by an elected division chair. Division chairs serve as advisors to the Provost and meet regularly with the
Provost to discuss matters such as staffing allocations, sabbatical applications, and the allocation of resources. A chair/director should get to know his/her division chair. It may be useful to consult with the other division chairs as well. It can be helpful to get to know other department chairs and program directors—especially those in your own academic division—and to have occasional meetings among similarly inclined chairs/directors to discuss common issues, e.g., curricular coordination and shared use of space, equipment or other resources. **The regularly scheduled (monthly) division meetings can be an effective forum for this purpose.**

A chair/director will probably have some conception of an "academic agenda." That is, he/she will have ideas about matters such as the curriculum of the department/program, future hiring possibilities, and the use of the existing faculty in particular ways. Implementation of these ideas can be difficult and politically sensitive without appropriate consultation. A series of meetings with the entire department/program is a useful approach for sharing ideas and effecting change. More generally, regular department or program meetings are advisable for open communication.

An effective chair/director will spend the time necessary with junior, tenure-track faculty members discussing their teaching, their scholarly progress, and their role in the life of the College. The chair/director might talk with the mentor of a tenure-track faculty member so as to coordinate the advice being given to the developing teacher/scholar. (Chairs/directors must be mindful that relations between a mentor and a new faculty member are confidential and personal. Any "coordination" of advice must leave that relationship of trust undamaged). Providing accurate and open feedback and guidance is one of the most important of all administrative responsibilities. One veteran chair recommends making a summary of the annual discussions that the chair/director has with a junior colleague and sending a copy to the person so that it is clear to both what took place in the meeting. The summary will present recommendations for change or improvement when necessary. A copy can be placed in the candidate’s department- or program-level file for reference at times of more formal personnel evaluations.

Teachers/scholars who do their jobs well at Colby can expect a long career here. But sometimes chairs/directors—in an attempt to allay fears—will over-praise or make excuses for the less than stellar performance of a new faculty member. If a new professor is getting largely negative—or even notably mixed—course evaluations from students in several courses, if students complain that they can never find Professor X, if the new professor seems not to be developing an ongoing program of scholarly productivity, or if he/she avoids College service, a chair/director should start talks with the new person with an eye toward suggestions for immediate and significant improvement. New faculty deserve to know candidly how they are doing. It is a difficult but absolutely necessary task for chairs/directors to advise new faculty members of shortcomings in performance, especially before the formal review of the sixth-semester review. Letting a new faculty member know—realistically and at least annually—where she/he stands is a crucial continuing responsibility for any chair/director.

Obviously, scholars are interested in teaching their particular specialty areas, and often are very good at it. But at a liberal arts college, faculty must do a wide variety of teaching, and no one should be exempt from teaching the introductory and required courses in the department/program. The work has to be meted out equitably among all department/program members. No one should have the perception that he/she is exempt from the work that everyone else has to do. Evenhandedness in the assignment of teaching responsibilities is vital, both in terms of who teaches which course(s) and who teaches on which days and at which times. A chair/director must balance the preferences of members of his/her department/program with the needs of the curriculum and the students, as well as equitable treatment of all department/program faculty.

Leading a department/program is a challenging task. At the same time it can be an enormously rewarding one.
II. STAFFING REQUESTS: APPLICATIONS FOR TENURE-TRACK FACULTY POSITIONS AND FACULTY-SUPPORT POSITIONS

Colby follows a long-established principle that when vacancies occur in faculty or academic-support positions (e.g., administrative assistants, laboratory instructors, technicians) the position reverts to the Provost and the Division Chairs, and, ultimately, the President, for reassignment to the department/program where the position was vacated or for assignment elsewhere. Each year, in the spring semester, and usually by late April, the Provost sends a memo to all department chairs/program directors requesting prospective staffing information and statements of staffing needs.

Late in the academic year, normally after Commencement, the Division Chairs and the Provost meet to discuss the staffing needs of departments/programs for the next academic year (e.g., such a meeting in June of 2019 will discuss staffing needs for the academic year 2020-21 and beyond). They review the documents and supporting material prepared by departments/programs and formulate a recommendation to the President on the disposition of any faculty or staff positions that will fall vacant in the next year. The President may also meet with the Division Chairs to discuss, and ultimately to approve, the staffing allocations. Once the President approves, the Provost sends a message to chairs/directors, typically in mid-summer, advising them of the outcome of the staffing requests and letting them know which departments/programs may conduct searches during the new academic year (including one-year sabbatical replacements). Finally, the President and the Provost formulate a joint recommendation which goes to the People and Programs Committee of the Board of Trustees at the October meeting for approval.

When a position is not returned to a department/program, the Provost will make every effort to work with the chair/director to ensure that students are not put at a significant disadvantage because certain courses will no longer be offered. While no department or program can be sanguine about the loss of a faculty position, the shift of positions from one area to another is an important component of the evolution of the academic program of the College. The factors considered by the Provost and the Division Chairs in formulating recommendations to the President include the directions that the department/program curriculum is taking, course enrollment patterns and trends, numbers of majors and minors in departments/programs, advising loads, and, importantly, the strategic priorities of the College.

Departments/programs seeking new faculty positions should be quite specific as to the specialty area(s) and subfield(s) that the anticipated position will cover. When the Provost and Division Chairs recommend faculty staffing allocations to the President, it is by specific field; and departments/programs that receive such positions will be expected to search for an individual qualified in the designated area(s). As our interdisciplinary programs continue to grow and mature, departments/programs receiving faculty positions will be asked to search for individuals who will also help to fill needs in specific interdisciplinary programs. This can be a source of some apparent conflict between the perceived needs of a traditional department and those of an interdisciplinary program. The Provost and the Division Chairs will endeavor to ease such conflicts since only through such cooperative hiring can our curriculum continue to thrive.

III. MANAGING SEARCHES

Before embarking on a search to fill a faculty or staff position, approval must be obtained, in writing, from the Office of the Provost. A Search Plan (a copy is available on the Provost's webpage under “Faculty Support/Resources, Chair/Director Support”) must be filed for each search prior to a job ad being placed. Tenure-track and continuing faculty positions as well as continuing, non-temporary, staff positions require full national searches. One-year, temporary faculty and staff positions normally require national searches, but under certain circumstances and with the explicit approval of the Provost local searches may be sufficient to satisfy the College's Affirmative Action/Equal Opportunity Policy (see the Faculty Handbook). Whenever there is any doubt about such matters, the Provost should be consulted,
and there may be consultation with the Director of Equal Employment Opportunity. When occasional, part-time lecturers and laboratory instructors are to be hired, it is permissible to recruit locally, but an advertisement for the position must, at a minimum, be posted on the Colby website for seven days. If there is any possibility of hiring someone to teach more than a course or two during the academic year, a full search should be undertaken. Please contact the Provost’s Office for further details.

In pursuit of our goal of enhancing the diversity and excellence of the faculty, best practice in hiring and recruiting assumes that diversity is one aspect of excellence. Our faculty, and an applicant pool, is not excellent unless it is diverse. This perspective is informed by our commitment to our students and to our educational mission: we must prepare our students for lives in a global and diverse society. A variety of human differences inform our understanding of diversity; e.g., race, ethnicity, gender, gender expression and characteristics, religion, disabilities, sexual orientation.

We are committed to a proactive policy of recruitment to increase the diversity of all applicant pools. Every effort must be made to diversify the applicant pool and the pool of finalists for your position. The importance of building the strongest and deepest possible applicant cannot be overstated; we seek to hire the most qualified applicant from a diverse and talented pool.

Beyond posting an ad in various venues, you must reach out to identify candidates and encourage them to apply. Searching actively involves:

- At conferences, we look for and talk to promising potential candidates for current and future openings. From potential candidates, get contact information and tell them about Colby. If there is a current search, provide a copy of the ad.
- Send notifications of openings to graduate students or Ph.D.s of color on lists compiled by field-specific professional associations.
- Contact chairs of relevant departments, placement directors and directors of graduate study at universities producing the types of Ph.D. candidates we are interested in, including universities producing higher numbers of Ph.D.s of color.
- Send the ad to people we know at other colleges and universities and ask them to forward it to anyone who might be interested. Ask them if they know anyone who might be interested.
- Send the ad to alumni who are now in graduate school asking them to forward to anyone who might be interested.
- Look through programs from recent conferences to find presenters on topics related to our opening, find them online and email the ad.
- Be creative and active to use other means to find great potential candidates and encourage them to apply.
- Use our Opportunity Hiring initiative as a proactive tool. If, mid-search, the search committee becomes aware of, and wants to recruit, an available teacher-scholar, contact the Provost and ask if a shift to an Opportunity Hire might be approved.

Please read the annually-issued Search Guidelines before initiating any faculty search.

A. Faculty Positions

(1) Tenure-track appointments

Tenure-track faculty searches are the most important of all the academic hiring that we do. A search committee should be formed, from the continuing members of the department/program. The committee must include at least one faculty member from outside the department/program, wholly unaffiliated with the department/program, approved by the Provost. Significant interdisciplinary interests should be
represented on a search committee. Search committees for senior positions such as endowed professorships and department chair or program director normally draw from a more interdepartmental pool including division chairs. It is possible for there to be more members from other departments/programs than from the hiring department or program. Department chairs and program directors should consult the Provost in advance of the start of a search to establish the search committee and the ground rules for the search. No search may begin without an Academic Department/Program Search Plan having been approved, in writing, by the Provost.

Similarly, the Provost must review and approve all advertisements for positions prior to their being posted either by the department/program or the Provost’s Office. All line and Web ads are placed by the administrative assistant following approval from the Provost’s Office. The Provost's Office places ads on six websites: the Colby employment website, HigherEdjobs.com, recruiters.insidehighered.com, diversejobs.net, hispanicoutlook.com, and latinosinhighered.com. Detailed advertising guidelines for faculty searches are available in the Search Guidelines on the Provost’s webpage.

All searches are conducted electronically; that is, submission of materials by applicants is electronic, and done through Interfolio. It is strongly recommended that departments request, from ITS, a separate, non-personal, email address for accepting inquiries from applicants.

The administrative assistant normally helps manage the application process through Interfolio, including ensuring that all members of the search committee have access to the online files. The search committee should determine which candidates will be interviewed at regional or national meetings as well as the two or three individuals who will be brought to campus as finalists. Before inviting finalists, the department chair or program director must get approval from the Provost to ensure that the Provost is in agreement that those individuals being invited to campus are appropriate under the terms of the search. The cover letters and curricular vitae of the prospective finalists must be sent electronically to the Provost in advance of seeking approval for on-campus interviews.

We are committed to a proactive policy of recruitment to increase the diversity of all applicant pools. Every effort must be made to diversify the applicant pool and the pool of finalists for your position. The importance of building the strongest and deepest possible applicant pool cannot be overstated; we seek to hire the most qualified applicant from a diverse and talented pool.

To the fullest extent possible, candidate campus visits should be planned with sufficient time to obtain economical airfares. Getting a candidate to campus as soon as possible is an approach that should be avoided. All efforts to manage these costs will be greatly appreciated. Because of the costs in time and money that campus interviews entail, every attempt should be made to keep the campus interview to a single night’s stay. A weekend night stay, either at the beginning or at the end of the visit, can often reduce airfare expenses, even when an extra night’s stay and the cost of an extra day or two of car rental are factored in.

The campus interview must include a session with the Provost (normally a half-hour appointment) or her replacement if the Provost is unavailable that day. The campus visit will normally include a talk by the candidate or a class presentation, or both. Students who are members of the department/program review board, or who are otherwise close to the department/program, are always invited to these sessions and should be encouraged to submit written comments on the final candidates to the search committee or to attend a search committee meeting (at the department/program’s discretion) to discuss their views of the candidates. After the final candidate leaves campus, the search committee meets to evaluate the finalists and to determine whether an offer should be extended to any of them. Before any but the most informal contact with the recommended finalist, the chair or director must obtain the Provost’s approval to make a formal offer of employment.
The Provost will specify the salary, rank, and any other terms of the offer prior to the chair/director contacting the candidate to convey the offer. Once the chair/director has contacted the candidate and the candidate has agreed to accept the position, the Provost must be notified so that a formal contract letter can be sent to the candidate by the Provost's Office. Normally, contract letters are not sent unless the candidate has agreed to all terms of the offer.

Many professional associations specify that 7 to 14 days is an appropriate period to give candidates to make a decision on whether or not to accept an offer. Chairs and directors should be mindful that their second-choice candidate may be very desirable and in order not to lose that candidate, extended periods for deliberation should not be provided first-choice candidates except in unusual circumstances. Similarly, a first-choice candidate should not be unduly “rushed,” out of fear that the second-choice candidate will no longer be available. Should these types of circumstances arise, please consult with the Provost. As a rule of thumb, no faculty candidate should be given fewer than seven days to accept or decline an offer. From time to time, a search committee will determine that no final candidate meets appropriate standards of employment in the department/program. In such cases, with the permission of the Provost, an additional campus interview may be scheduled, or it may be more appropriate to close the search for the year, make a temporary appointment, and begin the search anew the following year. Despite the common label of “a failed search,” search committees most often have found that the candidate pool is richer in the second year of the search, often owing to a fine tuning of the advertising strategy and interview choices. Departments and programs are encouraged to maintain high standards in hiring new faculty and to take another year to search in order to make the strongest possible faculty appointment.

Special note on College benefits and faculty-support resources to inform tenure-track candidates about:

a. Professional travel funds (up to $2,000 per year)
b. Summer student research assistant(s) on a competitive basis
c. Divisional research grants on a competitive basis ($3000 per year, or more depending on supplemental funding from the Provost's Office)
d. Pre-tenure sabbatical (full year at 80% salary or one semester at full pay)
e. Computer equipment
f. TIAA/CREF—two-year waiting period
g. Tuition subsidy—see Faculty Handbook for details.
h. Start-up funds in all disciplines, with allowed expenditures tailored to the needs of specific disciplines.

Special note on “inside candidates” in tenure-track searches: If a faculty member hired for a visiting position becomes an applicant for a tenure-track position, s/he should follow the same full campus interview schedule as the finalists from off-campus. This will include the requisite appointment with the Provost and a public talk and/or classroom presentation. Chairs/directors should recognize how stressful it can be for an internal candidate to be part of a tenure-track search on campus. All attempts should be made to keep the individual candidly informed of her/his standing from the outset. If it becomes clear at any point—including the initial screening of applicants—that the individual will no longer be considered for the tenure-track position, s/he should be informed as soon as possible. "Courtesy interviews" are strongly discouraged; in the end these are more hurtful than helpful to the candidate.

(2) Visiting appointments, sabbatical replacements, and part-time appointments

The guidelines for searches and the tender of offers to candidates for visiting positions follow those for tenure-track searches. In some cases the searches need not be as elaborate and the number of final candidates brought to campus is typically two rather than three. Affirmative Action/Equal Employment Opportunity guidelines in searches for visiting positions are just as important as those for tenure-track or other continuing positions. The same care and energy should be expended on these issues. As noted earlier, filling part-time positions for a single semester or a year often can be done through regional or local searches.
Faculty Fellows teach four courses annually and are the normal sabbatical replacement. Faculty fellows may be those who are writing dissertations or who have just completed the Ph.D. and are appointed for a single year. Salary for fellows is approximately 80 percent of a visiting assistant professor's salary. Fellows receive health benefits and moving assistance, and, when financial circumstances permit, travel support for one professional meeting during the year (which must take place prior to March 1). Departments and programs appointing fellows are expected to provide mentoring to aid the Fellow in her or his professional development.

Please read the annually-issued Search Guidelines before initiating any faculty search.

B. Academic-Support Positions

Faculty-support positions such as laboratory instructors and technicians normally hold ten- or twelve-month appointments. Colby has no requirement for outside members on these search committees; they can be staffed entirely by department or program members, although an outside member is recommended. Before beginning a search to fill such a position, both the Provost and the Director of Human Resources must be consulted, and a copy of the description of the support position must be provided to the Director of Human Resources as well as to the Provost's Office where it will be reviewed and then placed in appropriate venues. Salary and benefits must be discussed with the Director of Human Resources before an offer is made in a search (preferably before the search is commenced). Contract letters for staff positions are prepared by the Director of Human Resources.

Department/program evaluations of faculty-support personnel are submitted to the Provost's Office by May 13. These evaluations should be rigorously and fairly conducted and should reflect a department/program consensus on the performance of the individual under review.

There are three levels for laboratory instructor positions: the entry-level designation is "Laboratory Instructor I"; after three or more years of satisfactory evaluations, the designation can be upgraded to "Laboratory Instructor II." A "Senior Laboratory Instructor" is one who receives department/program recommendation for promotion to the President after ten years of extraordinary performance. Such a promotion will normally carry a $1,000 stipend. Promotion requests for laboratory instructors must be submitted during the Fall (October) budget submittal process.

C. For further information, see Hiring Procedures for New Faculty and Faculty Personnel Policies in the Faculty Handbook.

IV. REAPPOINTMENT, SIXTH-SEMESTER REVIEW, PROMOTION, AND TENURE

The department chair or program director normally chairs the review committees for reappointment, sixth-semester review, tenure, and promotion. In the cases of department/program tenure committees, the committee may elect its chair even though the department chair/program director still is called upon to convene the initial group. Careful reading of the Faculty Handbook on reappointment, sixth-semester review, tenure, and promotion is essential to the smooth operation of these committees. Some general advice on each of these reviews follows:

A. Reapppointment

Untenured, tenure-track faculty members normally are considered for re-appointment in their first and third years (the normal contract sequence leading to a tenure consideration being one year plus three years plus three years; see C below). Occasionally, owing to sabbatical or unpaid leaves, family or medical leaves, or other circumstances that affect the "tenure clock," probation periods extend beyond seven calendar years, and additional contract renewals are required prior to tenure. No matter at which point a reappointment review occurs, a committee is required and an appropriate dossier must be assembled and formally reviewed. The department chair/program director must ensure that the College procedures on reappointment are followed in precise detail.
B. **First-Year Review**

Materials in the first-year faculty member's dossier probably will not change radically by the time a review committee has been constituted for the new tenure-track person. **NB:** even here, all of the *Faculty Handbook* provisions for reappointment apply, including an "outside" committee member. The review committee will have only one semester's course evaluations for the candidate, but this evidence of initial teaching impact is crucial. Peer review of teaching must be included as well. Evidence of an agenda for an ongoing program of scholarly activity and productivity should be examined (as indicated by a candidate personal statement). First-year faculty are not normally assigned significant duties as student academic advisors, and "service to the College" will often be minimal at this time. However, tenure-track reappointment is not simply routine if the review committee finds evidence of poor teaching, professional irresponsibility, and/or scholarly inertia. Recommendations to renew, or not to renew, a first-year, tenure-track faculty member's contract are due in the Provost's Office by February 15. The contract sequence and review process is outlined in the *Faculty Handbook*.

C. **Sixth-Semester (Pre-tenure) Review**

The sixth-semester, or pre-tenure, review is an opportunity for a more thorough evaluation of the tenure-track faculty member's performance in the areas of teaching and advising, research/scholarship, and service. The sixth-semester review will be the point at which a merit salary determination normally is made. The merit salary recommendation is made simultaneous with, or immediately after, the conclusion of sixth-semester review, thus preventing a faculty member from having to undergo two reviews in a single year. In addition to assessing a candidate's strengths and weaknesses and writing a report that contains this assessment, the committee will give considerable thought to the question of whether a subsequent contract leading to a tenure consideration should be awarded. If the review is satisfactory, it is expected that the committee will recommend a contract renewal. If the concerns raised in the sixth-semester review are significant, it may be more appropriate to award a terminal one-year contract rather than extending a faculty member through an additional three-year contract only to be turned down for these very same weaknesses in a tenure review. Alternatively, a one- or two-year reappointment with another pre-tenure review may be in order. In any case, this is a serious point in a candidate's career and can have an important impact on his/her future here. A terminal one-year contract will be offered for the following year by the June 30 deadline to candidates in their third year of probationary service. This contract will fulfill the year's-notice requirement for tenure-track faculty with three years of full-time service at Colby; e.g., a probationer whose final year at Colby will be 2018-19 must have a contract by June 30, 2018. If probationers are simultaneously in year two of a three-year contract and are given an unsatisfactory rating in the sixth-semester review, notice should be given, again by June 30, that the final year of their current contract will be their last at Colby.

D. **Tenure**

Dossier specifications and submission deadlines are specified in the *Faculty Handbook*. The general timetable for appointment of the department/program-level committee and for the compilation of the dossier is as follows:

**TENURE REVIEW SCHEDULE**

**DUE BY FEBRUARY 6, 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 the relationship between candidate and potential reviewer, as well as full contact information for the reviewer.
Note: #1, 3, and 4 should be submitted, in writing and electronically, to your department/program committee chair; #1 must also be sent to the Provost so that a formal appointment(s) can be made.

**DUE BY APRIL 17 FROM THE TENURE CANDIDATE:**
1. List of courses taught by semester and year, with enrollments
2. Teaching portfolio
3. Course evaluations (except for current Spring semester)
4. Copy of manuscripts, articles published, books, etc. (Note: The College will pay for additional copying of articles and manuscripts, and for 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

**DUE BY AUGUST 1:**
By August 1, the department/program committee should have received the following:
1. Referee letters
2. Student letters
3. Peer letters
4. The candidate's personal statement

**DUE BY SEPTEMBER 4:**
Committee report and dossier (delivered to the Provost's Office by the committee chair)

When the Committee on Promotion and Tenure first meets to discuss a tenure candidate's dossier, the chair/director of the department/program-level committee is invited to answer questions any member of the committee may have on the dossier. For candidates with joint appointments, two members of the department/program-level committee normally will be invited to meet with the Committee on Promotion and Tenure. Which two individuals are most appropriate will be determined in consultation with the Provost. The Provost's Office provides advance notification of these meetings.

**E. Promotion**

Promotion dossiers follow the same general guidelines as tenure dossiers and are due in the Provost's Office very early in the semester in which the promotion consideration takes place. Dossier submission deadlines are specified as follows:

**DEADLINE:** The deadline is February 5. 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 15**
- 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 11**
• 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 8**
• 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 16**
• 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**
• Dossier complete, including committee report/recommendation signed by all members

**By February 5**
• Dossier with committee report delivered to Provost's Office.

According to the *Faculty Handbook*, the "normal" period for consideration for promotion to professor begins *after* six full years at the rank of associate professor (see *Faculty Handbook* for details). "Early" promotions are those where a faculty member has not yet completed six full years at the rank of associate professor following tenure. Those faculty members who have been in the rank of associate professor for ten years should be asked each year by the department chair/program director about their interest in being considered for promotion. While no one is forced to be considered for promotion, individuals should at least be asked annually once they have been in rank for ten years.

F. **General Notes on Personnel Review Committees**

All such committees must observe the College rules on confidentiality in all personnel reviews. Members of committees should not discuss any aspect of their deliberations outside of the committee (except with the Provost) at any time. The various rules that govern the formation of committees and the procedures committees are to follow that are detailed in the *Faculty Handbook* must be followed explicitly. Any deviation should be discussed with the Provost in advance. The rules are designed to provide a fair and thorough evaluation of candidates but serve this purpose only when followed to the letter.

G. **Teaching Portfolios**

The candidate's teaching portfolio includes instructional materials produced by the candidate for all courses, such as course syllabi, assignments, examinations, laboratory instructions, and other related material (see *Faculty Handbook* for details.)
H. For further information, see Procedures for Reappointments, Sixth-Semester Review, Promotion, and Tenure in the Faculty Handbook.

V. PERFORMANCE EVALUATION, MERIT REVIEW AND SALARIES

A. Overview

The procedures for triennial performance reviews and merit salary considerations are described in the Faculty Handbook. In September of each year, you will receive a list from the Provost's Office with the names of those individuals in your department/program who are eligible for merit salary review, contract renewal, and other performance evaluations. If an individual does not wish to be considered for merit, he/she may exercise this option as specified in the Faculty Handbook. As a general note, even though some individuals may have philosophical objections to merit salary systems and therefore wish to take themselves out of any merit salary review, they should understand that it is economically disadvantageous to do so because they will receive no merit salary increases. This may seem to be an obvious point, but it may be overlooked by some faculty who opt out of the merit review process.

For merit salary review, candidate materials are due to the Provost’s office by March 15. You should note the special procedures and deadlines for sixth-semester reviews detailed in the Faculty Handbook.

B. For more information, see Performance Evaluation and Salary Determination in the Faculty Handbook.

VI. FACULTY DEVELOPMENT

A. New Faculty Orientation

During the week before classes begin (typically on Wednesday and Thursday), the Office of the Provost and Dean of Faculty hosts a New Faculty Orientation. Topics include perspectives on and support for teaching and scholarship, information technology resources in support of teaching, academic integrity, course evaluations, Library resources. New faculty hear from “veteran” colleagues--some here a year, some many years--about faculty and personal life at Colby. This event provides new faculty with an opportunity to get to know one another and to ask questions about the College.

Another traditional occasion at the beginning of the academic year at Colby is a late-afternoon lobster/clam bake. Many faculty and staff and spouses/partners--including emeriti--gather for food and conversation, and new faculty will want to attend this function. Chairs/directors may wish to accompany the new faculty member to introduce her or him to other Colby colleagues. New faculty are informed of this occasion by invitation from the President’s office and in late-summer communications from the Provost. This event is usually held on the Tuesday before the first day of classes, after Convocation.

Spouses/partners may be interested in Colby employment across a wide range of areas. Qualified spouses/partners are encouraged to contact the Provost's Office for possible academic openings (e.g., Jan Plan teaching) and Human Resources for other job openings. They should check the Colby website regularly for employment opportunities.

If a new faculty member is a foreign national, significant visa paperwork is typically involved well in advance of the start of their Colby appointment. Cora Clukey, Director of Recruitment and Equal Employment Opportunity, is the key person to work with on visa issues. She, in turn, works closely with the Provost's Office on faculty visas.
The first faculty salaries of the academic year are paid at the end of September. Note that certain Category IIA faculty (coaches) have contracts that run from July through June or from August through July, and thus may receive their first Colby salary installment in July or August rather than in September.

B. **Sources of College Funds (see also Faculty Handbook):**

The College makes available a variety of funds to assist faculty members in instructional development and scholarly projects. Information regarding all of these funds is available from the Provost’s Office.

**Professional Travel Funds.** Up to $2,000 in professional travel annually for Category I, I and III faculty. Provided funds are available, Category IV faculty are supported up to $1,000; please check with the Provost’s Office. For detailed information, see Travel to Professional Meetings in the Faculty Handbook.

**Start-up and Matching Funds.** The College makes available funds for start-up and for matching on grants for instructional and research purposes:

a. **Start-Up Funds.** The College endeavors to provide appropriate resources for all faculty so that they can carry out their individual scholarship effectively. As early as the interview stage, chairs/directors should discuss with potential new faculty their research agendas and start-up needs. These discussions should involve the Provost so that the magnitude of research needs will be clearly understood by all parties, along with College budget constraints.

b. **Matching Funds.** Faculty members whose research and teaching needs permit applications to external funding sources for equipment grants may apply to the College for matching funds of up to 50% of the value of the equipment to be purchased. This application need be no more than a copy of the proposal submitted to the external agency, but approval for matching funds must be obtained in advance from the Provost, prior to the submission of the proposal to the external funding source.

**Support for Instructional Development.** Course development stipends are sometimes available to assist faculty in major instructional development projects, such as civic engagement, first-year writing, the Center for the Arts and Humanities annual Humanities Theme, and Faculty Instructional Technology (FIT) fellows. Because it is assumed that faculty members will allocate a portion of their time each year to the development of new courses and the revision of existing courses, such support is not granted for activities that would normally fall within the scope of these expectations. Announcements of support for instructional development, and requests for proposals, are sent to all faculty whenever such funding becomes available.

**Research grants.** Faculty members with Category I, II, and III appointments are eligible for research grants up to $3,000. A call for proposals is distributed annually by the division chairs, typically in January. The grants committee for each division consists of the department chairs and program directors in the division along with the division chair. Thus as chair/director you will find yourself on one of these committees. Faculty members in your department/program (especially new faculty) should be encouraged to apply for such grants if their research projects could be assisted by additional funds.

**Summer student research assistants.** Late in the fall semester the Provost’s Office sends an email message to faculty describing the summer student research assistant program along with a call for applications. The deadline for applications normally is mid-January. Students are hired for the summer to work with faculty members on research projects and are provided hourly compensation, as well as subsidized housing and meal plans for their work period. Applications are submitted online and include a statement of the research to be undertaken and the role a summer research assistant will play. Students typically are hired for ten-week periods, 35 hours per week, but other arrangements are possible depending on specific needs and student availability. It is also possible for two or more faculty members to apply jointly for a single student to assist them in their research.
Faculty members who apply for external grants to support their research and teaching are encouraged to include funding for summer student research assistants in their grant proposals. Funding through the Provost’s office is limited and external funding helps provide these valuable opportunities to our students.

The Colby Undergraduate Summer Research Retreat (CUSRR) is a late-July research conference highlighting student research, student-faculty research collaboration and faculty mentorship. Faculty mentors working with students on their summer projects are expected to participate in CUSRR.

**Academic-year student research assistants.** When you submit your department/program budget request in October, you may add into the student compensation line funds to support one or more student research assistants for your department/program during the academic year. Student assistants during the academic year can be particularly helpful in advancing research programs. Student research assistants during the academic year are in a somewhat different category from those students who are hired as department/program assistants to work with the administrative assistant to carry out routine support tasks. The budgeting guideline is no more than five hours of student support per faculty member. Funds in department/program budgets for academic-year student research assistants cannot be used to support summer student research assistants.

**C. Grants and the Grants Administration Process**

See Grants Administration Process in the *Faculty Handbook.*

**D. Faculty Mentor Program**

New tenure-track faculty will be assigned mentors from the senior (tenured) faculty. Almost always, the mentor will teach outside the new faculty member's department/program, sometimes in another academic division. Mentors will contact new faculty members in late summer to help with their adjustment to Colby, and periodic meetings should take place the rest of the academic year—lunches are the norm, but other social occasions of mutual appeal are possible.

New faculty may find themselves frustrated by the many questions and problems characteristic of adjusting to a new position. They may shy away from seeking help from colleagues in their own department/program. Mentors are not judging anyone, are not a part of any immediate evaluation process, and can give informal advice, assistance, and guidance in a free and open way with full confidentiality. The Provost’s office oversees the selection of mentors, notifies new faculty members of the mentor to whom they are assigned, and provides an expense allowance ($200) for the academic year to reimburse mentors for incurred costs.

Each fall and spring, mentors and mentees gather informally to share their experiences. Although the mentor relationship is focused on the first year, many lasting friendships ensue.

Chairs/directors should encourage new faculty to feel free to ask questions of any member of their own department/program. At the same time the mentor program can help to ease the adjustment of new faculty.

The chair and mentor should recognize the special confidential relationship involved in the mentor program. At no time should a chair/director seem to be influencing the independence and impartiality of the mentoring process.

Chairs/directors should also pay attention to the less-formal process of department/disciplinary mentoring. For new faculty, it is beneficial to have guidance from own-program faculty, particularly in regard to advising and service expectations and scholarship within the field.
E. **Leaves**

There are four kinds of leaves available to faculty members: sabbatical leaves, including pre-tenure sabbaticals; unpaid leaves and leaves of absence; medical leaves; and family leaves. It is particularly important for department chairs and program directors to anticipate faculty members who will be on leaves in coming years. To insure that an appropriate number of courses are available for non-majors as well as majors, chairs and directors should work with the Provost to anticipate leaves and to plan for replacements when necessary.

For more information, see Leaves in the Faculty Handbook.

VII. **CALENDAR FOR CHAIRS AND DIRECTORS**

A. **July**

- July 1 – College fiscal year begins (July 1 – June 30); new department / program budgets begin. Note: Budget for Fiscal Year 2017 - 18 referred to as "FY17" budget.

  First-year advisers talk with first-year students about course selection (via phone, e-mail, skype).

- July 15 – deadline for all invoices for purchases made during the prior fiscal year must be submitted for payment. Details available from Office of Financial Services.

  Registrar will contact faculty about pruning/balancing Fall course rosters.

  Office space for the upcoming year will be assigned by Provost’s Office. Contact Information Technology Services about installing computers in offices of new faculty.

B. **August**

- August 1 – personal statement of candidate(s) for tenure in the upcoming academic year are due in the chair/director's office.

- August 1 – referee letters, student letters, peer letters, and personal statement for tenure candidate(s) should be in chair/director's office.

  Academic Department/Program Search Plans must be approved by the Provost before an ad can be placed. The search plan requires that the full search committee membership, including outside member(s), be specified in order for the search to commence.

  Check on completion of dossiers of all current candidates for tenure (see Faculty Handbook).

  **Chair/director** and the **administrative assistant** should try to establish a joint calendar for the year so that each can remind the other of due dates for department/program activities.

  **Has anyone completed a terminal degree over the summer?** Advise Provost's Office. This could lead to a rank/title change and salary adjustment for the degree recipient.

  Registrar asks for final confirmation of curriculum for fall semester.

  Hold a meeting with all **new members** of the department/program. Discuss such issues as departmental expectations and understandings of "successful" academic careers at Colby, grading standards, the use of course evaluations, the expectation of peer reviews of teaching,
various class sizes depending upon course and pedagogy, and application procedures for travel to
meetings. All new faculty are expected to attend the New Faculty Orientation sponsored by the
Office of the Provost and Dean of Faculty.

C. September

Report(s) from department/program tenure committees plus complete dossier on all candidates must
be sent to Office of the Provost by September 4.

Any tenure-track search committee should now be completely formed, its outside member(s) appointed
by the Provost, and the procedure for the search understood by all.

A meeting of the search committee with Associate Provost Carileen Mandolfo should be scheduled
before the search is underway.

Chair/director should finalize whether there are any candidates for promotion in the
department/program, and, if so, a promotion committee, including outside member(s), should be
formed by the end of this month. The chair/director must notify the Provost of the candidate's
plan to be considered for promotion, and regarding the person(s) designated to serve as outside
member(s). See Faculty Handbook for details regarding the procedures for promotion.

Hold an initial department/program meeting and establish meeting schedule for rest of academic
year. Discuss issues such as office hours, service on department/program committees, appropriate
administrative assistant duties, religious holiday policy, warning notices, sources of internal and
external funding, curricular issues.

Accompany new faculty to the first (September) all-campus faculty meeting, where new faculty will be
introduced by the Provost.

Advising meetings for prospective majors (second-year students) should be set up. Different classes
need different advice, so the chair/director may want others to help with these group advising
sessions. Keep in mind that students planning for study away may need advising on course
selections.

Monthly statements on budget expenditures will be sent to the chair/director and one other
designee (contact Nora Dore, Financial Planning Office, for details). Chair/director and administrative
assistant should monitor these expenditures carefully, making sure as well that the
department/program is staying within its budget allocation.

By late September, letter sent from Provost regarding contract status of all untenured
department/program faculty. Included will be names of candidates for first-year review in February,
sixth-semester reviews in the spring, and all personnel scheduled for merit reviews for salary
adjustments. Discuss procedures with candidates. Schedule peer reviews for sixth semester review,
first-year review, and tenure candidates.

D. October

A call for budget requests for the next fiscal year will be sent by the Financial Planning Office to the
chair/director in late October or early November. Proposed budgets are
submitted via the Web (contact Nora Dore, Financial Planning Office, for information). Establishing budget figures for the next year will necessitate consultation with the administrative assistant and with faculty colleagues regarding matters such as equipment and student assistants. Questions on the formulation of budget requests should be directed to Scott Jones, Assistant Vice President for Finance, Financial Planning Office. The budget for the next academic year is due in the Financial Planning Office, submitted via the Web, in mid-November.

Any searches, particularly tenure-track, should be proceeding with lots of attention from the chair/director.

Advise faculty to hold extra office hours for the pre-registration period for Jan Plan and the spring semester.

Hold a group meeting for sophomore majors in department/program, advising them of programs abroad in the junior year, how many of the major requirements may be completed abroad, the structure of the major curriculum, faculty here or on leave for the next several years, and the possibilities for Jan Plans.

Hold a meeting for junior and senior majors in department/program and stress procedures for opening Career Center files, applying for graduate and professional schools, job openings, and possibilities for establishing networks with Colby grads.

The Bookstore will ask for Jan Plan and spring semester textbook orders.

E. November

For faculty undergoing contract renewal consideration, at least one external or unaffiliated "outside" member should be appointed by November 1.

Any searches, particularly tenure-track, should be proceeding carefully with lots of attention from the chair/director.

Check Provost's memo on search guidelines carefully if bringing candidates to campus; Provost interviews all tenure-track candidates (half-hour appointment). A detailed schedule of obligations during a candidate's visit should be given to the candidate upon arrival.

Make no offers in searches without first consulting the Provost.

F. December

As we reach the holiday party season, please remember no alcohol purchased with Colby funds.

Make sure all special final exam requests have been submitted to the Registrar.

Remind faculty to submit semester grades by the deadline specified in Dates and Deadlines on the Registrar's website and on the myColby portal.

Notice will come from the Provost's office in early December advising faculty that if they want summer research assistants, they must apply by mid-January. Chairs/directors may bring together department/program faculty who need less than a full-time student assistant each during the summer in order to request a shared student assistant position. Faculty are notified of the outcome of their request by early March.
G. January

All fall grades must be submitted by early January. (see Critical Dates and Deadlines from the Registrar's office for more information).

It is likely that job candidates will be on campus; please refer to search procedures. Keep in touch with Provost who interviews all tenure-track candidates. Hiring calendars in some disciplines make January an appropriate time for campus interviews. Take care to include students in the process, even when a significant number may be away.

Applications for summer research assistants due in mid-January.

Make no offer to any candidate without consulting the Provost.

Registrar will ask that any changes in the spring semester curriculum be submitted to the Registrar’s Office. Registrar should also be given instructions about priorities for limited-enrollment classes.

H. February

Promotion dossiers must be completed and committee letters of evaluation written. Send dossier to the Provost’s Office by February 5. Late dossiers will be considered in a subsequent year.

By February 1, committee memberships for Sixth Semester Reviews should be determined.

By February 6, candidates for tenure NEXT YEAR will submit letter recommending unaffiliated member(s) of their committee, a current c.v., the names of colleagues to whom the committee will write, recommendations for scholars to serve as external objective referees.

By February 15, submit contract renewal recommendations for first-year tenure-track faculty and other faculty undergoing contract renewal.

Job candidates likely will be on campus; please refer to search procedures.

Jan Plan grades are due in Registrar’s office by mid-February.

Registrar will ask for catalogue copy for next academic year. Remember to delete any course that has not been offered for three years and is not scheduled for next year. Registrar also asks for curriculum, time of courses, etc. Also designate major/minor advisors for next year and report to Registrar.

Encourage department/program faculty to run for committee elections (Cycle 1).

I. March

March 1 deadline for notice of non-renewal of contract for faculty in first year of service at Colby (contract terminates at end of this year).

Early March is the deadline for chairs / directors to report to the Registrar which courses will be offered in which terms in the next academic year. This deadline also applies to January courses, whether on-campus or involving travel. Course-associated information (course titles, numbers, descriptions, faculty, prerequisites, credit hours, course limits, computer-controlled prerequisites) must be confirmed with the Registrar in early April.
In mid-March, Information Technology Services (ITS) sends out an email notice to chairs and directors asking them to specify their computer needs for the coming year. The request is due in mid-April.

Chairs/directors may be asked to meet with the Vice President for Administration or the Associate Vice President for Administration on the progress of the budget.

Hold a meeting for all department/program junior majors to discuss honors program, senior scholars program, senior projects, post-graduate education and scholarships, internships, and life after Colby.

Begin performance evaluation of administrative assistant and other department/program staff, to be completed by mid-May (see Appendix A for details).

If any searches have been completed, demographic data due ASAP at Equal Employment Opportunity Office. The administrative assistant may compile data.

The Bookstore will ask for next fall’s book orders.

Encourage department/program faculty to run for committee elections (Cycle 2).

J. April

By April 15, Sixth Semester Review Candidates should submit materials to chairs/directors.

By April 17, NEXT YEAR’S tenure candidates will submit the following items to the chair /director: list of courses taught by semester and year with enrollments; teaching portfolio; course evaluations; copies of manuscripts and publications; updated c. v.; peer reviews; sixth-semester review report and follow-up correspondence; other material submitted by candidate. Complete dossier must be sent to the Provost's Office with other tenure materials by September 4.

Course-associated information (course titles, numbers, descriptions, faculty, prerequisites, credit hours, course limits, computer-controlled prerequisites) must be confirmed with the Registrar in early April (typically the first week).

Encourage department/program faculty to run for committee elections (Cycle 3).

Requests for upgrading of computers and regarding the computer needs of newly-hired faculty are due in Information Technology Services by early April. (ITS typically sends out a general call for requests for the coming academic year in early March.) A consultation with the Chief Information Officer (CIO) about these matters is a good idea. If the administrative assistants are involved, make sure the consultation fits their schedule. A notice of preliminary allocations is sent to chairs and directors in late April or early May. This is in the form of a Web page that shows what changes to the current allocations have been approved by the allocation group (Academic and Administrative VPs, chair of the IT Committee, the Academic and Administrative IT directors, and the CIO). Departments may make changes by shifting allocations within the department but not by increasing the allocation overall. Typically in late May the new equipment starts becoming available. New and reallocated hardware is distributed throughout the summer.

Review and verify GPAs of majors for department/program prizes, and any special criteria for selection of other prize recipients. Also check to see who is likely to get Honors and/or Distinction in major.

Many departments/programs host a year-end party for majors in late spring. Make arrangements with the administrative assistant, student leaders in department/program, food service, etc. No alcohol with Colby funds.
CLAS. Those Thursday classes are moved to Friday. Friday classes do not meet. Encourage faculty and students to participate.

**Retiring faculty** are often honored at special department functions. Find out about wishes for honorific from any retirees.

Advise faculty to hold *extra office hours* for *pre-registration* for fall semester.

Department/program asked to **verify to the Registrar that all majors have completed major requirements** for graduation.

**Travel and logistical details for overseas (or off-campus) Jan Plan proposals are due by April 30 in Off-Campus Study Office.**

### K. May

Evaluations of laboratory instructors (or equivalents) and administrative assistants are due May 13 in the Provost’s Office.

Sabbatical leave applications (for the year after next) are due in the Provost’s Office by May 15. For example, applications for 2020-21 sabbaticals are due in May 2019.

**Staffing request sent to the Provost’s Office by mid-May regarding:**

a) faculty going on sabbatical and other leaves the year after next.
b) faculty with intentions of retiring next year or in the next few years.
c) new staffing being proposed for the department /program.
d) consultation with interdisciplinary programs on curricular needs and plans.

By early May begin accumulating data for department/program **Annual Report due in early June:**

a) have the administrative assistant set a deadline for department/program personnel to give individual reports to them; b) starting now, think of issues to include in the report.

Recall or retrieve duplication cards, all computer equipment and software from those who are leaving the College. Departing faculty and staff should return office keys to the administrative assistant.

**Senior grades** due by the Wednesday before commencement – this is an **absolute deadline.** All other grades due by the Tuesday following Commencement). Chair/director must try to ensure that all grades are submitted in a timely manner.

Advises and encourage everyone to attend graduation activities.

If any **donors of departmental prizes** are still alive, a **stewardship** letter notifying them of identity of recipient and thanks is appropriate. Also, urge prize recipients to write thank-you notes to donors.

Make sure that **records of searches** are **stored** safely away for **three years** after search is completed. **See Appendix B for Colby Record Retention Policy.**

Also store non-confidential material on other actions (tenure, promotion) for possible use in future.
L. June

Early to mid June – Department/program annual reports, and personal annual reports, due in Provost's Office. A notice from the Provost will give exact dates.

June 3 – Sixth-semester review materials and contract recommendations are due in the Provost's Office.

June 30 – Deadline for issuance of one-year terminal contracts for persons with more than two years of service in Category I, II, III (contract expires at end of next year; faculty with three years of service must receive a terminal contract for the fourth year). If probationary faculty are in year two of a three-year contract and are given an unsatisfactory rating in the sixth-semester review, notice should be given that the final year of their current contract (next year) will be their last at Colby.

Dossiers of candidates for tenure should be close to completion—i.e., student letters solicited, as well as letters from referees and colleagues.

VIII. STUDENT-RELATED ISSUES

A. Advising

All departments and programs should adopt one of two models for major advising:

(1) Students choose their own advisors who, where possible, continue to be their advisors through their entire time as major in the department/program.

(2) The department/program assigns each major to a faculty advisor. Advisors should continue with their advisees through the student's entire time in the major. If a faculty member is scheduled for a sabbatical or other leave the following year, that faculty member should only advise seniors so as to minimize the switching of advisors. However, some switching may be necessary, as all leaves cannot be foreseen. In such cases, there should be at least one semester's notice to students that there will be a change in their advisors and the person on leave should maintain some contact with his/her students (e.g., via e-mail).

Departments/programs should organize group meetings of majors by class. At least two such meetings should be held each academic year. For example, new sophomore majors should meet early in the fall to discuss their progress through the major, the use of summer internships, planning for study abroad, and other topics particularly appropriate to sophomores. A second meeting should be held for sophomores at the beginning of the second semester on some of these same issues. Meetings of juniors and seniors should be held as well. These group meetings will help to minimize the number of contacts faculty and students need to have regarding routine business so that the advising time can be used for individual issues and needs.

In addition to advising majors in the department/program, all continuing faculty members are first-year student advisors. Exceptions are made for those on leave and those who face extraordinary advising burdens. Contact the Provost as soon as possible to request an exemption for the next academic year.

B. Departmental Prizes and Honors

Most departments/programs have funding for an end-of-year allocation of student prizes. Some departments/programs have a single prize, others more than one. Some of these prizes are designated for special achievements (e.g., Catherine Rogers Murphy Prize for Original Poetry), others are more general (e.g., the Religion Prize). The department/program should meet to designate the prize winners and to review the qualifications for these prizes. The student prize recipients may be honored at a
department/program function (e.g., dinner, or departmental party) at year’s end. There is a campus-wide Awards ceremony as well. Detailed information about the College policy on prizes is available from the Financial Services Office.

C. **Department/Program Social Functions with Students**

As a liberal arts college that prides itself on friendly, personal relationships between faculty and students, Colby encourages its instructors to entertain students in faculty homes, participate in campus life by, e.g., affiliating with a student residence hall or sponsoring a student organization.

One tradition of significant length is the department/program party for majors, an event usually held in late spring, but given at the time that the department/program considers best for encouraging friendship and loyalty with the enterprise. No on-campus end-of-year party requiring catering by Dining Services may be held later than the afternoon of the Saturday preceding Commencement. This is due to the fact that Dining Services is exceptionally busy during this weekend and has its major commitment to all-campus lunches, dinners, and other College social occasions.

Especially important at gatherings with students is the management of alcoholic beverages among a largely underage group of attendees. Unless the majority of the group is certifiably 21 or older, alcohol should not be served to students. Anyone drinking alcohol must have proof of age, and chairs/directors are responsible for seeing to it that alcohol is not available to the under-21 student.

No alcoholic beverages may be purchased with College funds for these social events.

D. **Students with Learning Differences**

Students with learning differences who are admitted to Colby have available to them several forms of support, including the attention of Associate Director for Student Access and Disability Support Kate McLaughlin.

In accordance with the recommendations of an educational consultant or psychologist, students with learning differences may be provided with 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 Kate McLaughlin. 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 Studies Office verifying the accommodations. The Dean of Studies website, https://www.colby.edu/studentadvising/about/, 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. For more details, see the Faculty Handbook or contact Barbara Moore, Dean of Studies.

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. Chairs/directors may need to remind faculty of accommodations that some students require and to which they are entitled. It is important that chairs/directors underscore Colby’s commitment to providing ALL students with the support they need to be full members of the academic community.
E. Outstanding Students and Fellowships

A chair/director should be the first to seek to identify outstanding students in the department/program for academic recognition. Department/program prizes have been discussed in a previous section. Internal recognition for student scholarly achievement (Bixler Scholars, Dana Scholars) is designated by the administration in an all-College competition.

Chairs/directors should begin to pick out promising young scholars as soon as their talents become visible for possible post-Colby scholarships and fellowships. Institutions traditionally successful in competitions such as Rhodes and other prestigious, highly competitive scholarships begin grooming candidates as early as sophomore year.

Colby students can compete for the following fellowships: Beinecke, Churchill, Jack Kent Cooke, Fulbright, Goldwater, Marshall, Mellon, Mitchell, Monbusho, NSF, Rhodes, Rotary, Truman, Watson, and Udall. Each of these programs has a Colby faculty contact; information on programs and Colby contacts is available from DavisConnects. Chairs/directors and their department/program colleagues owe it to our accomplished students to help them in the various competitions.

F. Prospective Students

The Office of Admissions will ask departments/programs to offer information sessions for prospective students, especially around "decision time" in April. The chair/director and others who can help explain what the department/program does and what its many resources are may be asked to speak at events organized by the Admissions Office. We are committed to getting the best students possible to enroll at the College. Therefore, supporting the admission process is an expectation of departments and programs.

G. Student Employment

Many departments/programs have a budget line to be used for student assistants. These typically work under the direction of the administrative assistant (though not always, depending upon the needs of the department/program and the assignments of the student worker). The role of the chair/director in finding and hiring student assistants varies among departments and programs. In some cases, individual faculty, including the chair/director, are engaged in hiring students; in others, the chair/director and the administrative assistant hire the general student assistants, while individual faculty hire the students who will work with them directly. In either case, the chair/director should work closely with the administrative assistant in monitoring the budget line for student assistants and in helping students learn to handle the requisite paperwork for their jobs.

The Office of Financial Services maintains a list of students who are for eligible for campus employment, and often the students employed by the department/program come from this list. For each work-study position, a job description is maintained and posted by the Office of Financial Aid; students needing work will have access to this set of descriptions and will often contact the chair/director or the administrative assistant regarding possible employment. Often the administrative assistant and the chair/director already know of experienced students who would be appropriate assistants. Administrative assistants can be helpful in choosing students whose skills match a job description. Departments/programs sometimes will keep the same student assistants for multiple years. It is in the interest of everyone involved to try to make compatible matches among work-study students and department/program responsibilities.

Student workers are paid every two weeks. A record of hours worked may be kept by the student her/himself or by the administrative assistant (or another direct supervisor), and is submitted via the Web to the Office of Financial Services according to a schedule of dates specified by that office. If a student directly submits her or his hours worked, a notice will be sent to the administrative assistant (or another direct supervisor) asking for verification/authorization prior to the student being paid. Contact Bill Pottle in the Office of Financial Services for details.
Most of the time our work-study students are excellent and are mainstays of the department office operation. Every so often, however, the department/program will hire a less-than-adequate student worker. Compassion is a wonderful thing, but the work still has to get done efficiently and effectively. Rather than tolerate unsatisfactory work, the chair/director and the administrative assistant should gently but firmly suggest that some other form of work-study would be more appropriate for this particular student. Students should be held accountable for their duties, and must be punctual and responsible about doing what is asked of them, within the parameters of their job description.

IX. GENERAL ISSUES

A. Administrative Services for Faculty: Campus Services, Bookstore, Eustis Service Center (Duplication, Mail), Purchasing, Student Employment, Photocopy Cards, Travel Services

Campus Services, overseen by Scott Jones, includes the Financial Services and the Colby Bookstore. Financial Services includes Accounts Payable, Administrative Financial Services, Office of Financial Services, Payroll, and Student Financial Services. The Colby Bookstore is directed by Barbara Shutt (see item D below). The Eustis Service Center (duplication, mailroom, receiving), supervised by Mary Faucher, takes care of a wide variety of administrative tasks, including campus mail. Mail for students is distributed in Cotter Union, which has its own service counter. The Eustis Service Center handles all major photocopying jobs. US Postal Service, UPS and Federal Express are processed through the Eustis Service Center. The staff of the Eustis Service Center sends email messages to faculty when they receive a package.

Information on purchasing procedures is available from Amy Poulin, Assistant Director of Administrative Financial Services in Financial Services. Information on student employment (see G. Student Employment above) and department photocopy cards (*D cards* or Department Cards) is available from Bill Potte in the Office of Financial Services. Colby-related travel services are provided by Direct Travel (see: http://www.colby.edu/travelservices).

B. Alumni/ae

Colby makes it a priority to treat its alumni/ae with respect and enthusiasm. Most of the formal relationships between the College and alumni/ae are carried on by the Office of Alumni Relations, but occasionally departments and programs will be called upon to offer functions for their own alumni/ae in conjunction with Alumni Relations. Often these events are scheduled for Family/Homecoming Weekend. Chairs/directors should encourage faculty colleagues to attend these events if at all possible.

Some chairs/directors like to invite alumni/ae who have interesting and satisfying post-Colby careers to talk to seniors about "life after Colby." Contacts between the chair/director and alumni/ae routinely go through the Alumni Relations Office, but individual arrangements can be made with willing alums who might be visiting the area. Some of these alums may be Trustees or Overseers who would be particularly interested in speaking to students from a relevant department/program.

C. Annual Reports

Personal annual reports are due in the Provost's Office by early to mid June each year, and department/program annual reports shortly thereafter. The process is straightforward: individual faculty members prepare an annual report, and submit it electronically to the administrative assistant (with a copy to chair/director), and to the Provost's Office. The chair/director then appends a department/program report to the annual reports individually prepared by members of the faculty, and the entire document is sent to the Provost's Office electronically.

Department/program annual reports are important not only to record the notable events and changes of the year but also to form the historical record of the department/program.
D. Bookstore/Book Orders

Each faculty member receives a direct e-mail request from the Colby Bookstore asking for the next term's book orders. Responding promptly to these requests allows the Bookstore to repurchase texts from students, which will be used again the next term.

The Bookstore produces "custom publishing," a way for department/program faculty to produce individualized "texts." If the faculty member so wishes, he/she submits articles or other materials to the Bookstore, which will then handle copyright permissions, reproduce materials, binding, and guarantee delivery by the first day of class if materials are in by the next semester's text adoption deadline. Chairs/directors should explain this process to new faculty, and to experienced faculty who may not have used custom publishing before. With sufficient advance notice, the Book Division Manager will be happy to help anyone create a "custom textbook."

Department/program faculty should be advised not to order office materials or supplies from the bookstore without first checking with the chair/director and the administrative assistant. Indiscriminate, spur-of-the-moment purchases are expensive; direct ordering from W.B. Mason is almost always a cost-saver. Finally, chairs/directors should encourage their faculty to make suggestions about more efficient operations in the Bookstore and about trade books to be offered for sale there. The Bookstore director, Barbara Shutt, welcomes useful advice.

E. Budgets

Department and program budgets are authorized by the Administrative Vice President and the Provost and are sent to chairs and directors by mid-June for the following academic year. Department/program budgets contain only funds for non-compensation expenses (i.e., faculty and staff salaries are not included). Although chairs and directors are expected to be careful about expending funds in each budget category, ultimately the most important issue is not to overspend the total (i.e., the budget bottom line) for the year. Some flexibility is possible in moving funds from one budget category to another. Following is a list with College code numbers of budget categories found in a typical department/program budget:

5211: Student salary
6110: Telephone - basic charges
6111: Telephone - tolls
6125: Postage
6130: Printing off campus
6199: On-campus meals and lodging
6210: Dues, memberships, subscriptions
6370: Contract services - independent
6390: Miscellaneous services
6510: Office materials - copiers
6512: Office materials - other
6530: Educational material/supplies
6700: Scholarship and prizes
7120: Office furniture
7130: Classroom and lab equipment

Chairs and directors receive a memo from the Office of Financial Planning early in the fall semester asking for budget requests to be submitted by early November. The current fiscal year budget is supplied as a model, but each budget proposal is prepared on an item-by-item basis with each item appropriately justified. The process from that point on is that each budget request is reviewed by the Administrative Vice President and by the Provost as the entire College budget for the following year is prepared. The Financial Priorities Committee is consulted on budget priorities, and discussions within that group can relate to specific departmental needs and requests. The provisional College budget is proposed by the President to the Financial Strategies and Business Affairs Committee of the Board in January, and the final budget is approved by the full Board at their April meeting. Only after final budget approval from the
Trustees will the Financial Planning Office notify chairs/directors of what their department/program budget will be for the following year. As may be expected, not all budget requests can be honored, although the needs of departments/programs are considered seriously in the preparation of the College budget for each fiscal year.

F. Computers, Media Resources, and Telecommunications

Cindy Mitchell is the Chief Information Officer (CIO). Technical support for computers, media resources and telecommunications (including landline and cellular telephones) can be obtained at support@colby.edu or x4222.

Computers are assigned and supported by the Information Technology Services (ITS) Department. Each year, ITS sends out a request to chairs and directors for computer equipment for the following year. The request is sent early in the spring semester and must be returned by the middle of that semester. It is helpful for departments and programs to meet and discuss technology issues to make sure that the needs of all faculty and the teaching needs within laboratories and computer-cluster classrooms are represented in the department/program submission to the ITS staff. The process from that point onward is that ITS formulates an allocation plan based on computer requests and needs, as well as available resources. As might be expected, not all computer requests in any given year can be filled, but the College is committed to providing first-class computer equipment to all faculty to support their teaching and research. Chairs and directors must be mindful that when new faculty are hired, their computer needs should be understood early in the process, ideally before the formal appointment is made. Chairs/directors should discuss computer needs first with the Provost during negotiations with new faculty and, after a person is hired, with the ITS staff so that the equipment will be ready for the new faculty member when they move to Waterville and begin their teaching duties.

G. Jan Plan

Colby’s Jan Plan began in the early 1960s. Over more than fifty years, the nature of the program has evolved so that it now features regular credit courses for the most part (although some of the old "experimental" quality remains in some offerings, and on-campus, non-credit options are still available—e.g., furniture making and blacksmithing). Jan Plan is a term of study that operates at a different pace than the traditional semester terms of study. The month is, however, a term of study, and faculty are expected to be available to students. Faculty availability need not conflict with professional travel, as long as faculty are reachable by email. The normal course of business continues in January; committees meet, faculty meetings are held.

Academic programs offered during the month-long Jan Plan are of two sorts:

1. Off-Campus January Programs: Proposals for off-campus Jan Plans in foreign countries or in the U.S. are due in the Provost’s Office at the same time as curricular plans are submitted for the coming academic year. Faculty who would like to sponsor an off-campus program should discuss the nature of their enterprise with the Director of Off-Campus Study, Nancy Downey. Every proposal must be approved every year by the Academic Affairs Committee early in the fall semester. Proposals must be accompanied by budget forms available from the Off-Campus Study Office. Travel, logistical and supervisory details must be approved by the Provost’s office.

DavisConnects is in charge of helping students find and then monitoring off-campus internships in January.

2. On-Campus January Programs: If January Programs are a part of the regular curriculum (but taught in January) or if they have been approved previously, they do not need the special approval of the Academic Affairs Committee (AAC). Departments/programs are urged to use the _97_ designation for a Jan Plan that will be taught only once; this means that this particular Jan Plan does not need approval by AAC unless it is proposed to satisfy a college distribution requirement (but it does need approval before it can be taught a second time). Many independent study projects are also offered during the January term and are open to students in all class years. Proposals for on-campus January courses taught by
non-Colby faculty but under the sponsorship of a particular department or program should be submitted to the Provost by the end of the prior academic year.

Proposals for Jan Plan courses should be sent to Russell Johnson, Associate Provost for Academic Programs. Jan Plan course descriptions should be sent to the Registrar for inclusion in the on-line curriculum.

In general, departments/programs should make the month of January part of the overall curricular planning process and incorporate Jan Plan courses into the department/program curricular structure. Continuing faculty involvement in Jan Plan courses is a commitment of the College and chairs and directors are encouraged to work with faculty colleagues to bring forward Jan Plan courses.

H. Libraries

Both students and faculty are constant users of the various Colby libraries, and the College prides itself on acquiring the necessary scholarly resources for use at a liberal arts college. Colby's Library Director, Lareese Hall, depends on the faculty to make recommendations for the acquisition of the latest scholarship in various fields, or for filling in materials in particular specialty areas. Various kinds of library order forms or book critiques are sent at regular intervals to the department/program library liaison. The library liaison consults with her/his colleagues and then conveys acquisition recommendations to the specific librarian who is the contact for that liaison/department/program. The chair/director ultimately is responsible for this important task and must see to it that the liaison carries out his/her prescribed duties. Of course, within the usual budgetary restraints, any faculty member may recommend the purchase of library materials including books, periodicals, and indexes and databases. The chair/director receives from the librarian a monthly summary of books, films, etc. recommended by the department/program and purchased by the library. Chairs/directors should advise new faculty that rush orders for books crucial to courses being taught in the fall semester can be processed by the library, although such requests are not recommended on a regular basis.

Newly-hired members of any department/program—indeed finalists in the search for this position—should routinely spend some time with the relevant Colby librarian so that the College can determine what extra library resources will be necessary for the continued scholarly and pedagogical growth of the new instructor. The library director welcomes discussion about library procedures and practices at any time. The College annually elects a Library Committee to whom chairs/directors and other faculty members have recourse should they want colleagues to transmit suggestions, criticisms, and enthusiasm.

I. Mediation

The College will make available the services of dispute resolution professionals to faculty members who have a personal conflict that they have mutually agreed could be helped by a session with a trained mediator. Upon application from the faculty members involved, the College will provide payment of reasonable costs of such services. Applications for College support for mediation services should be made in advance to the Provost's Office. Such applications should include a reasonably accurate estimate of the costs of the mediation services desired.

It is to be understood that participation in mediation or any other form of dispute resolution is an entirely voluntary matter for the faculty involved, and that such sessions will be considered entirely confidential unless the involved parties wish to convey information resulting from such sessions to the Provost or the President or other College officials or faculty bodies.

J. Medical Leaves and Issues

If a faculty member finds that he or she is unable to carry out his/her teaching responsibilities, the College will place that individual on a temporary medical leave at full salary. After six months, a faculty member normally will be eligible for permanent disability through our insurance carrier. From time-to-time, medical disabilities allow a faculty member to teach a reduced load and special arrangements can usually be made when this need is of a fixed and reasonably foreseeable duration. If it does not appear likely that the faculty member will be able to return to full-time teaching, then the department
chair/program director, the faculty member, and the Provost should discuss alternative strategies such as a reduction to part-time status. When medical exigencies present themselves, the Provost's Office will attempt to work out a replacement strategy so that course coverage is assured during the period of medical need. Please see the **Faculty Handbook** for details.

K. **Off-Campus Study and Transfer Credits**

A large proportion of any Colby class will spend some time studying abroad. Another proportion will attend some sort of domestic academic program away. The College encourages such exploration, but with one-half to two-thirds of every junior class "away," problems with orderly completion of the major curriculum may occur.

Departments/programs should plan their requirements for the major with the knowledge that the majority of their junior majors may be doing some work at another institution, typically for one semester. Some departments/programs have worked out procedures so that study abroad can be completed independent of major requirements; others have strategies for integrating courses taken abroad into the on-campus curriculum. Highly structured major curricula (e.g., majors with several sequential course requirements extending over two or three years) will call for stringent adherence to the Colby major requirements, which tends to reduce options for majors to go abroad. But less formally structured major requirements still need careful monitoring by the chair/director or a designated Off-Campus Study liaison (selected from among the department/program faculty) to ensure that equity exists among students who take all their major courses on the Waterville campus and those who take some portion of those courses elsewhere.

Colby sponsors a number of programs away: for juniors in Salamanca, Spain, Dijon, France, St. Petersburg, Russia, and at the Bigelow Laboratory for Ocean Science in East Boothbay, ME. Some first-year students spend the fall semester studying in Salamanca or Dijon. In addition, approved domestic study programs include exchange programs with Howard University in Washington, D.C. and with Pomona College in Claremont, CA; and dual-degree engineering programs with Dartmouth and Columbia Universities. Grades earned in Colby programs count in the Colby GPA (see **Faculty Handbook** for details). Further details on off-campus programs are available in the **Off-Campus Study Handbook** available on the Off-Campus Study Office Web site.

Grades earned in courses taught by Colby faculty abroad count in students' cumulative GPAs. All grades from Colby in Dijon, Colby in Salamanca, Colby in St. Petersburg and Colby at Bigelow are counted toward the Colby GPA.

All courses given credit toward the Colby degree will be listed on the Colby transcript by title, credits earned, and grade received. Although not counted in the GPA, grades earned through study at another institution will be converted into U.S. form.

By the second year students planning to attend one of the Colby programs should discuss their curriculum with their major advisor(s) before enrolling. Non-Colby and programs abroad are also the province of Off-Campus Study but similarly require discussion with someone in the department/program before a student goes away. Many Colby students complete their entire curriculum on the Waterville campus happily and enthusiastically. Whatever the case, about two thirds of all Colby students study abroad at some time in their undergraduate careers, and it behooves the chair/director to consider the impact of study abroad on the major curriculum.

The College requires that any student seeking to transfer credits from another institution for purposes of completing a Colby degree must have prior approval by the department/program chair/director under whose aegis the potentially transferable course falls. Therefore, chairs/directors will spend considerable time looking at catalogue copy from other institutions describing courses that students want to transfer here. If a chair/director does not think the transfer course to be worthy of Colby degree standards, he/she should consult with the Registrar. Fifty percent of a Colby student’s program must be taken in residence and students should be reminded of that requirement.
Some departments/programs will not allow courses transferred from other institutions to fulfill major requirements. Departments/programs should discuss this issue and arrive at a policy on transfer of credit that is consistent and widely disseminated among majors.

The Registrar's transfer of credit form can be viewed at: <https://www.colby.edu/registrar/pdf/transfercredit.pdf>.

L. **Overseer Visiting Committees**

On an eight-year rotation every department and program is reviewed by a five-person Overseer Visiting Committee. Such committees normally consist of two members of the Board of Overseers plus three faculty members from other institutions recommended to the Provost by the department or program. The Overseer Visiting Committee system is described in Appendix C. The self-study that precedes the visit, the two- and-one-half-day visit itself, and the report subsequently prepared by the committee are valuable opportunities for departments/programs to think about their current staff and curricular configuration and future developments, to uncover problem areas and to look for solutions, and to alert the administration and the Board of Trustees to special needs. The overseer visits are not "audits" but provide constructive assistance to departments and programs. The Overseer Visiting Committee program is administered by the Vice President and Secretary of the College in cooperation with the Associate Provost for Academic Programs.

M. **Replacement Faculty**

Most year-long sabbaticals are replaced with Faculty Fellows (0.8 FTE or 4 courses), provided sufficient sabbatical replacement resources are available. With the growth of the faculty, sabbatical replacement resources are scarce. Departments/programs should not count on getting more than one sabbatical replacement in any year, regardless of the number of faculty eligible for and requesting sabbatical leave. A chair/director must (with help from the Provost) chart the sabbatical schedule of his/her department/program faculty, negotiate postponing sabbatical leaves when necessary and generally work out a sabbatical leave policy that will keep the curriculum substantially intact. Discussions with the Provost about the department/program "sabbatical calendar" and the hiring of replacement faculty can be crucial to maintaining the integrity of the curriculum.

Remember to inform students whose advisors are going on sabbatical leave of the identity of their replacement advisor and the e-mail address of their "old" advisor (if different from their usual Colby e-mail).

N. **Role of the Administrative Assistant**

The efficient and amenable operation of a department/program relies on the administrative assistant. The Provost's office is responsible for the oversight and management of the group of academic administrative assistants. Oversight and management includes hiring, supervision, and salary determination. Chairs/directors are responsible for working with Associate Provost Jim Sloat on supervisory questions, and on annual performance review. Colby has been extraordinarily fortunate in its administrative assistant staff. It is a rare department/program that could operate without the services of these individuals, who do an excellent job of helping each department/program run efficiently.

Administrative assistants are asked to maintain a Colby College Attendance Record (a log of their hours worked and vacation/sick time accumulated), which is available online from Human Resources. Chairs/directors must be aware of the general outlines of their administrative assistant's attendance and vacation or leave schedules so that everyone has at least a general understanding of when the administrative assistant is present and when not. As designated in the Staff Handbook, administrative assistants should provide two weeks notice on requests for vacation time. The chair/director should ensure that the time of vacation leave does not impede the effective functioning of the department.
Administrative assistant job descriptions are on file in Human Resources. If you expect your administrative assistant to be able to complete specialized tasks (tasks specific to your discipline), that skill should be included in the job description. The administrative assistant, of course, serves not only the chair/director but all members of the department/program, and some set of priorities and a regular schedule for various tasks should be developed. One of the common concerns raised by administrative assistants is that too much happens at once, and that no one seems to be controlling the flow of tasks that all seemingly must be done now. The chair/director and the department/program must understand the breadth of responsibilities for which the administrative assistant is accountable. Good relationships between faculty and administrative assistants are more likely to be maintained if requests for help are scheduled in an orderly sequence.

Administrative assistants are the linchpin of the efficient operation of a department/program. They maintain the files; they perform word processing and data entry; they assemble letters, evaluations, and other material for personnel actions such as sixth-semester reviews, tenure, and promotion; they oversee budgets; and often they direct student assistants. Many administrative assistants hold the "institutional memory" of the department/program. They know what has been done in the past, how certain problems have been handled, and how various administrative functions work. A chair/director should work as cooperatively as possible with the administrative assistant; good administrative assistants recognize where their responsibilities end and the chairs'/directors' take over. Effective chairs/directors are aware of these boundaries as well and do not cede (or offload) their responsibilities to the administrative assistant.

A set of guidelines categorizes Colby administrative assistant duties into three clusters: tasks administrative assistants are expected to perform; tasks administrative assistants might perform only when the workload permits; and tasks administrative assistants should not be asked to do. You are responsible for informing all members of the department or program of these guidelines.

I. TASKS ADMINISTRATIVE ASSISTANTS 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 dossiers for tenure, promotion, and contract renewal
- Assist in preparing documents for Overseers Visiting Committees and any other external reviews
- Assist chairs/directors in preparing for visiting lecturers, e.g., invitations, scheduling, travel and housing, and advertising
- Assist in preparing departmental/program newsletters, handouts, room assignments, comp exams, work on special projects
- If requested by the chair/director, monitor budgets
- Monitor course evaluation process, field student questions
- Maintain department/program records, along with endowed chair records
- Maintain office supplies, and equipment
- Coordinate departmental purchases
- Submit invoices and expense reports and manage departmental credit card reporting
- Supervise student workers; when students are not available then the administrative assistant is expected to perform the following tasks: photocopying, search for articles, filing, maintain the bulletin boards, mass mailings
- Maintain files on department/program majors, make preparations for department/program receptions, awards, etc.

II. TASKS ADMINISTRATIVE ASSISTANTS MIGHT PERFORM ONLY WHEN THE WORKLOAD PERMITS:

- Proctor make-up exams (and only when no faculty members are available to do this)
- Word-process and monitor mailings for outside affiliations, reviews, articles
• Word-process/format manuscripts, curricula vitae, course-related documents

III. TASKS ADMINISTRATIVE ASSISTANTS SHOULD NOT BE ASKED TO DO:

• Make coffee; run errands
• Advise students, clear students for course selection, sign advising forms (or any other work related to advising)
• Record grades
• Pack, unload or move articles in or from faculty offices
• 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, THE ADMINISTRATIVE ASSISTANT SHOULD CONSULT WITH HIS/HER SUPERVISOR(S) OR WITH ASSOCIATE PROVOST JIM SLOT (ACADEMIC OPERATIONS COORDINATOR) FOR ASSISTANCE IN PRIORITIZING.

Early in the spring semester, chairs and directors will receive a memo from Human Resources asking for a performance appraisal of the administrative assistant and other staff (see the Human Resources website). This evaluation should be honest, candid, and judicious about job performance, noting both strengths and areas for improvement. These evaluations will be used for salary and promotion determinations, so chairs/directors must prepare and submit these evaluations according to the specified deadlines.

Administrative assistants know that they must keep the following materials current:

(1) **Curriculum vitae** for all department/program members (a current copy is often needed by the Provost's office for various personnel actions). Departmental practice varies on the maintenance of faculty personnel files. In some departments/programs, the administrative assistant keeps faculty files in a confidential cabinet; in other departments/programs the chair/director maintains faculty personnel files. Whichever the case, these files should be kept up-to-date and all relevant materials pertaining to individual department/program members routinely included in them;

(2) **Course syllabi** for the department/program. All faculty should forward copies of syllabi every teaching semester, to the department/program administrative assistant. These documents are crucial for teaching portfolios for tenure and promotion, Overseer Visiting Committees including departmental self-studies, personnel actions such as contract renewal, reaccreditation reviews, and surveys by other institutions.

(3) **Search files.** Many departments and programs regularly search for new faculty. The administrative assistant normally helps manage the application process through Interfolio, including ensuring that all members of the search committee have access to the online files. They also post job advertisements in approved venues. Before ads for open faculty positions appear in various media, the search committee chair must make sure the Provost receives a copy for review and approval. The administrative assistant may schedule interviews with candidates at off-campus scholarly meetings and make arrangements (e.g., flights, rental cars, housing, meals) for the candidate when he/she is asked to visit Colby. The administrative assistant, in consultation with the chair/director, will produce an hour-by-hour schedule for the candidate's visit so that everyone knows where to be and when. Administrative assistants should inform tenure-track candidates that the Provost's Office will provide a standard packet of information about Colby (Faculty Handbook, Colby College Catalogue, etc.). **All materials relating to faculty searches must be retained**
for three years (see Appendix C). The Director of Recruitment and Equal Employment Opportunity asks for certain information about the demographic make-up of the applicant pool and, indeed, which finalists were invited to campus and why. The chair/director ultimately is responsible for providing this information to the Director of Recruitment and Equal Employment Opportunity, but the administrative assistant normally compiles the data.

4. **All-College Course Evaluations.** Colby requires that students evaluate the faculty teaching in every course, every semester. Course evaluations are conducted on-line. After grades are submitted, faculty gain access to evaluations. Chairs/directors routinely read these evaluations in order to determine how well the students believe their instructors were teaching them in the last term. Student evaluations are especially crucial at certain times in a faculty member's career: administrative assistants should make sure that **ALL** student evaluations from hiring to tenure are archived carefully and are readily accessible. Student evaluations between tenure and promotion to full professor should be archived and used for that decision. After a faculty member has earned full professor rank, he/she can maintain his/her own student evaluations, but the faculty member should be aware that these evaluations will be important in determination of salary in the future (e.g., merit review).

5. **Faculty Performance Review and Evaluation Materials.** One of the most important tasks of the department/program administrative assistant is the compilation and maintenance of the "books" (notebooks and files in dossiers) used by various committees at the College in their evaluation of faculty members. Faculty members have distinct points in their Colby careers at which time they will be rated by their colleagues—sixth-semester (pre-tenure) reviews, tenure, promotion, and contract renewal. Although chairs/directors, working with candidates, have primary responsibility for the organization and content of dossiers, administrative assistants play an important supporting role in ensuring completeness, including all course evaluations, letters of evaluation solicited from all former and current students, letters from objective outside reviewers, letters from Colby and non-Colby colleagues, and other relevant materials. Normally, all of this material is clearly categorized and made accessible to the relevant committees through Interfolio. The chair/director and the administrative assistant should review the latest version of the Faculty Handbook to determine what must be included in these dossiers. Consultation with other experienced administrative assistants, with other experienced chairs/directors, or with the Provost’s Office may be helpful at times like this. As some materials in these dossiers are confidential, the materials should be made available only to those with the need to know.

6. **Overseer Visiting Committee Materials.** Administrative assistants are vital to the efficient operation of overseer visiting committee process. The curricula vitae of all faculty members are included in the overseer packets as are course syllabi from the period under review. Administrative assistants often work with the chair/director to schedule individual meetings of overseers with all department/program members, to set up a reception for faculty and student majors with the visiting committee (typically no alcoholic beverages allowed), and to coordinate with the Provost's Office the overall scheduling of the visit. It is important to work with the Provost's office on the scheduling of the visit.

7. **Annual Reports.** Department/Program and Individual. Yet another reason for maintaining up-to-date faculty files is the annual report, which the chair/director submits on behalf of the department/program to the Provost in early June. Administrative assistants will
urge their department/program faculty to submit their past year's accomplishments to them electronically for inclusion in the department's/program's annual report prior to its being forwarded to the Provost. The chair/director and administrative assistant must see to the completion of the individual annual reports by June 1 and the department/program annual report shortly thereafter.

(8) Budgets. Administrative assistants often assist with management of department/program budgets, although the chair/director is ultimately responsible for expenditures. Administrative assistants can advise on future departmental needs and can play a significant role in the formulation of the budget. Administrative assistants arrange with the Provost's Office for telephones and furniture, and with Information Technology Services for computers.

(9) Grant Application Materials. Grant proposals can consume considerable amounts of an administrative assistant's time, often with the added tension of an impending deadline. The chair/director can help by asking his/her department/program faculty to allow plenty of time for the preparation of grant proposals. The chair/director should also remind faculty that they have primary responsibility for the timely submission of grant proposals. The chair/director and the administrative assistant can consult with the Office of Grants and Sponsored Programs regarding specific grant materials and requisite deadlines.

A couple of final considerations regarding administrative assistants:

(10) Some administrative assistants work year-round. Some are not in the office in the summer or have limited summer schedules. Negotiations to expand the work time of an administrative assistant are complicated and involve significant consultation with the Provost's Office. Chairs/directors should plan their activities with the understanding that their administrative assistant help during the summer will often be less than during semesters. If there are emergency administrative tasks demanding immediate attention, Associate Provost Jim Sloat should be consulted.

(11) As in all positive working relationships, two-way communication and effective planning and prioritizing are essential. An effective chair/director will talk regularly with the administrative assistant about how things are going in the office, indeed initiating these discussions if the administrative assistant does not. The chair/director should try hard to anticipate departmental needs and to consult with the administrative assistant about how to address these needs most efficiently.

0. All-College Course Evaluations and Peer Review

All-College course evaluations are administered in every course every semester. The Provost's Office coordinates the process, together with ITS.

The paper course evaluations (from before 2010) must be retained and stored by the department until an individual faculty member has attained the rank of full professor. Thereafter faculty members may retain their own course evaluations with the understanding that these documents will be used by the chair/director and the Provost in merit salary review cycles.

Peer Review/Evaluation. Chairs/directors must also be familiar with the procedures adopted by the faculty for peer review purposes. For detailed information, see Peer Review in the Faculty Handbook.
P. **Scheduling Courses**

Scheduling courses is the responsibility of the chair/director. Anyone just beginning a term as chair/director would profit from an extended discussion of course scheduling with the Registrar and also with an experienced chair or director. Of course, the easiest scheduling would simply repeat last year's curriculum at all the same times, but due to leaves and other aspects of staffing that almost never happens. However, the fewer changes in times—especially in large courses, and especially at hours such as 9:00 and 10:00 a.m. M-W-F—the easier the schedule will be to construct. It is the chair/director's responsibility to see that his/her department/program curriculum is offered across a range of times and days. Also important is an awareness of the necessity to avoid scheduling required courses or key electives at the same time. Please pay particular attention to avoid the bunching of courses between 10am and 2pm, Tuesdays and Thursdays. Making good use of 8:00 a.m. times slots and Friday class times will help in that effort. Chairs/directors may have to talk with other chairs/directors so that "coordinate" courses offered in other departments/programs do not conflict, especially when a departmental course is required by an interdisciplinary program. Savvy chairs/directors avoid scheduling "hard" required courses against "popular" elective courses. Faculty personalities also play a role in the times courses are offered—i.e., you should avoid scheduling a charismatic veteran instructor against a brand new faculty member. NB: Remove from the curriculum any course that has not been taught during the past three years and is not scheduled to be taught next year.

Q. **Course Proposals**

All new course proposals for departments/programs must be approved by the chair/director before submission to AAC. Chairs/Directors are asked to review the proposals carefully regarding all details, but especially course credits, scheduling, learning objectives, and rationale for how a proposed course might satisfy an all-college graduation requirement.

R. **Seminar Rooms**

Many departments/programs have seminar rooms assigned to them for their own special uses. The Registrar will often call the department or program to ask if some other College entity may use these seminar rooms at a particular time, a procedure that may seem bothersome but does accentuate the fact that an individual department/program has primacy over a particular seminar room.

Most often the administrative assistant will keep a schedule of department/program use of the seminar room, which might well be posted on the seminar room door. Many departments/programs try to use these spaces as rooms that will attract majors with comfortable furniture and relevant books and journals.

S. **Visiting Speakers**

The four academic divisions have funds set aside for visiting speakers, for which departments/programs may apply. Other funds may already be in department/program budgets because of specific endowments. Other visiting speakers are arranged for and funded through the Cultural Events Committee.

At a department/program meeting early in the year, chairs/directors should discuss possibilities for visiting lecturers and begin scheduling such speakers as soon as possible. The chair/director should check in advance with the Scheduling and Facilities Office to avoid scheduling a lecture at the same time that other, similar events are occurring.

It is possible to coordinate between and among departments and programs so that a prominent speaker—too expensive for a single department/program—may be brought to campus under their sponsorship.
T. **When Chair/Director is Unavailable**

A chair's/director's responsibility for a department/program is often continuous, although lighter during the summer than during the academic year. If a chair/director leaves the area at any time during the academic year or summer, he/she should stay in regular e-mail contact and leave a telephone number where he/she can be reached by department/program colleagues and the Provost's Office. If a chair/director knows that she/he will be somewhere where they cannot be reached by the usual modes of communication, they should make arrangements with another member of the department/program to act in their stead and advise the Provost's Office of this arrangement. Especially to be avoided is the assumption that administrative assistants will handle everything in the chair/director's absence. **There must always be a designated faculty member available who is responsible for carrying out the responsibilities of the chair/director.**
To: Vice Presidents, Deans, Faculty Chairs, Directors, and Supervisors
From: Human Resources
Date: February 28, 2018
Re: Guidelines for 2018 Staff Performance Appraisals

A thorough and honest assessment of each employee’s accomplishments, the careful setting of objectives for the coming year, and an ongoing focus on employee performance are fundamental to accomplishing the College’s goals. Continuous feedback and check-ins throughout the year are an important part of the goal-setting, evaluation, and merit increase process. Annual appraisals are a mandatory part of your responsibility as a supervisor.

It is critical for employees to know and understand how their performance is viewed and to be given guidance on how to improve. A candid face-to-face discussion between the employee and supervisor is an essential part of an effective appraisal.

When appropriate, current job descriptions should be reviewed and updated as part of the appraisal process. If a current description does not exist, the supervisor and employee should develop one. Supervisors who need assistance with this process may consult with Human Resources.

Supervisors may begin the appraisal process by inviting staff members to perform self-assessments of their performance. Appraisals should review the following components:

- Job description
- Performance standards
- Goals and accomplishments
- Professional and skill development activities
- Strengths and opportunities
- Overall assessment of performance
- Goals for the coming year

It is important to be clear about how you weigh specific job responsibilities, strengths, and areas to be improved in arriving at your overall assessment. Also, appraisals should focus on the job performance and deal with personality only as it affects performance. **Appraisal feedback should never be a surprise.** Supervisors may wish to discuss employee career aspirations and provide an opportunity for the employee to discuss other concerns. Commitments on issues requiring administrative approval (such as promotions, salary increases, and budgets) should not be made.

The College will have a salary increase program for the 2018-19 fiscal year; increases are expected to be modest, consistent with financial projections and economic conditions. Requests for reclassification or promotion—submitted with 2018-19 budget requests last November—will be reviewed closely again later this spring. Final determinations will be made by senior staff prior to letters being distributed in mid-June.

Two standardized forms are available to assist supervisors conducting performance appraisals (on the Human Resources website) including: Form A (non-exempt) for hourly employees—offers enhanced details in each category and expanded ratings, and Form B (exempt) for administrative/salaried staff—offers detailed categories and a tiered rating system. Regardless of the form, a concise appraisal with specific performance results is generally sufficient for most employees. Please note: The recommended browser to download appraisal forms is Firefox.
Performance appraisals should be administered and submitted to Human Resources by June 1. Where major departmental functions or processes conflict with the suggested schedule, supervisors may discuss possible alternative arrangements with the Office of Human Resources. Human Resources will track late appraisals for senior staff review.

Preparation Through March 23
Supervisors should review the appraisal process with employees and set a time frame for completion. Prior to the appraisal interview, both the supervisor and employee should separately review the employee’s current job description, accomplishments of the past year, strengths, areas to be improved, and overall performance assessment, as well as developing goals for the coming year. Staff members should be invited to prepare self-appraisals.

Consultation March 26 – April 13
Prior to conducting appraisal interviews, supervisors should discuss with their own immediate supervisor the tentative performance assessment of each employee. Supervisors may want to solicit information from their peers for use in developing the appraisal.

Discussion April 16 – May 4
Supervisors should meet with each employee to review the self-appraisals and discuss accomplishments of the past year, areas of strength and areas to be improved, overall assessment of performance, goals for the coming year, and other concerns such as professional development, career plans, etc. The written appraisal should generally be developed in its final form as a result of this meeting, not prior to it.

Written Appraisal May 7 – June 1
A written appraisal should be completed and signed by supervisors and their own supervisors. Any additional information, such as updated job descriptions, should be attached. The written appraisal should be reviewed briefly with the employee. Employees should then include or attach any comments they want to make, sign it in acknowledgment that they have read and received a copy, and return it to the supervisor. Supervisors may make copies of the signed appraisal for their files and return the original to their supervisor for forwarding to Human Resources.

Although the goal of this process is to be constructive, employees should have the opportunity to disagree, in whole or in part, with the appraisal. It should be made clear to employees that they may use the comment section or attach additional information. Alternatively, employees who disagree with their appraisals may discuss their concerns with the appropriate vice president, dean, or director who can elect to include Human Resources.

Appraisal Information Meeting

An informational meeting, Supervisor Development: Performance Management will be held for supervisors in March of each year. Please contact Human Resources for more details. Human Resources staff members are also available for department-specific meetings and to consult with supervisors on unique appraisal issues. Appraisal Forms

Appraisal forms and guidelines are available electronically to facilitate the development of written appraisals and reduce paper consumption. Those supervisors who need assistance with these forms may contact Jody Leary at extension 5500.
Appendix B

Effective July 1, 2008

COLBY COLLEGE

RECORD RETENTION POLICY

A. Purpose

Proper retention of records is essential to conduct the business of the College; to protect the legal interests of the College, students, and employees; to preserve the College’s history; and to comply with applicable state and federal laws and regulations. In addition, the College is obligated to preserve records when litigation is threatened or pending. For the purposes of efficiency and management of physical and digital storage resources, it is also important that unneeded records be disposed of in a timely manner.

All College personnel are required to be familiar with and to adhere to this policy.

B. Records Defined

For the purposes of this policy, “records” include documentary material, regardless of media, produced in the course of College business. The most common types of records generated and their retention periods are addressed in the College’s record retention schedule. Any questions concerning records not specified in the schedule should be directed to the Data and Record Retention Team before a record is destroyed. “Records” also include copies of original materials that are themselves different from the original (e.g., a copy of a document with marginal handwritten notes).

“Records” do not include extra copies of materials of which an official copy has been retained, nor do they include personal or transitory correspondence/materials (see Section D below). “Records” also do not include “transitory documents” (including e-mails) that are not included in any of the categories in the records retention schedule. “Transitory documents” can be destroyed when no longer needed. “Transitory documents” include items such as letters of transmittal or acknowledgment; requests for routine information; notices of staff/department meetings or events; communications to students concerning class schedules or assignments; records that are kept in the sole possession of the maker, are used only as a personal memory aid, and are not accessible or revealed to any other person except a temporary substitute for the maker of the record; personal correspondence or other documents not related to the business of the College; and the like.

C. Data and Record Retention Team

The Data and Record Retention Team is responsible for implementing the College’s records retention policy and procedures. The members of the Team are listed in Attachment B.

Reviewed 7/2/2013
The Data and Record Retention Team is authorized to perform the following functions:

1. Identify records generated by and received by the College that should be retained.
2. Publish a record retention procedure schedule that complies with any applicable state and federal laws and regulations.
3. Monitor state and federal laws and regulations affecting record retention.
4. Answer questions from College personnel concerning record retention.
5. Periodically review the record retention procedure and schedule and update it as necessary.
6. Develop a training and awareness program on record retention for College personnel.
7. Develop guidelines for appropriate destruction of College records.
8. Develop guidelines to maintain confidentiality of records as necessary.
9. Monitor departments for compliance with the record retention policy and procedure.
10. Authorize deviation from the retention procedures or schedule, usually for a research or other academic purpose, on a case-by-case basis.

D. General Record Retention Rules

The following are general rules pertaining to record retention. There may be additional rules and procedures governing particular types of records.

1. College personnel are required to check the record retention schedule before disposing of materials generated in the course of College business.
2. If a particular type of document does not appear to be covered by the schedule, consult with the Data and Record Retention Team.
3. Only one copy of a document should be retained, by the party or department responsible for it. Where possible, the retained document should be the original.
4. Drafts and notes concerning a document should be destroyed unless they are important to documenting official business or action of the College, in which case they will be stored with the document.

Reviewed 7/2/2013
5. Except as noted in the retention schedule, the retention period runs from the date the record was created or received.

6. In the case of pending or reasonably anticipated litigation, the College will impose a “litigation hold,” which will be communicated to all persons whom the College has reason to believe may be in possession of documents that are either relevant or may lead to the discovery of admissible evidence pertaining to the case. The imposition of a “litigation hold” means that all retention periods are suspended for applicable documents and no such documents shall be destroyed or altered until notification that the litigation matter has been concluded.

7. E-mails and computerized documents should be treated like any other record and are subject to the same retention schedule.

8. Any questions as to whether a particular type of document is “transitory” and can be destroyed should be directed to the Data and Record Retention Team.

E. Records Retention Schedule

The record retention schedule, attached as Schedule A, includes records by category and the retention period in days, months, or years.

F. Record Destruction

Documents may be disposed of in a manner convenient to the person undertaking the destruction. Documents with confidential, private, or sensitive information should be shredded.
Effective 7/1/08

**SCHEDULE A – DOCUMENT AND DATA RETENTION PERIODS**

* = Institutional database (Jenzabar/CARS) records are retained indefinitely; the retention period indicated below applies to paper records and ancillary files (including electronic documents on personal computers and other servers).

<table>
<thead>
<tr>
<th>Type of Record</th>
<th>Time Period for Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Department Records Concerning Students</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Accounting Records, Finance Records and Contracts</td>
<td></td>
</tr>
<tr>
<td>Accounts Payable Check Copies and Supporting Documentation</td>
<td>5 fiscal years *</td>
</tr>
<tr>
<td>All Accounting Records, Budget Records, or Finance Records, unless otherwise stated below</td>
<td>3 years *</td>
</tr>
<tr>
<td>Annual Budget</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Annual Financial Reports</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Bank Reconciliations</td>
<td>5 fiscal years</td>
</tr>
<tr>
<td>Capital Equipment Records (if purchased with federal funds)</td>
<td>3 years after disposition of equipment *</td>
</tr>
<tr>
<td>Capital Equipment Records (unless purchased with federal funds)</td>
<td>Life of Asset *</td>
</tr>
<tr>
<td>Cash and Gift Receipts/Deposits</td>
<td>5 fiscal years *</td>
</tr>
<tr>
<td>Contracts/Agreements</td>
<td>6 years from completion of contract *</td>
</tr>
<tr>
<td>Credit Card Numbers – APPLIES CAMPUS WIDE</td>
<td>Immediately destroyed after processing</td>
</tr>
<tr>
<td>Depreciation Records</td>
<td>Life of Asset *</td>
</tr>
<tr>
<td>Sales Tax Returns</td>
<td>6 years *</td>
</tr>
<tr>
<td>Admissions Materials For Students Who Do Not Enroll</td>
<td></td>
</tr>
<tr>
<td>Financial Aid Records (students who do not enroll)</td>
<td>3 years from end of academic year in which student applied *</td>
</tr>
<tr>
<td>All other Admissions Materials</td>
<td>3 years from end of academic year in which student applied *</td>
</tr>
<tr>
<td>Admissions Materials For Students Who Enroll (see also Student Records)</td>
<td></td>
</tr>
<tr>
<td>Letters of Reference, including waivers of right of access</td>
<td>Prior to student’s matriculation at Colby</td>
</tr>
<tr>
<td>Affirmative Action/Equal Opportunity</td>
<td></td>
</tr>
<tr>
<td>AA/EEO Officer Investigations, if denied</td>
<td>6 years from academic year of last employment</td>
</tr>
<tr>
<td>AA/EEO Officer, if granted</td>
<td>Permanent</td>
</tr>
<tr>
<td>Academic Search Plans</td>
<td>3 academic years</td>
</tr>
<tr>
<td>Documents Supporting Other Selection Decisions</td>
<td>3 academic years from date of decision</td>
</tr>
<tr>
<td>Federal/State Required Statistics and Reports</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Development and Alumni Relations</td>
<td></td>
</tr>
<tr>
<td>Alumni Minutes</td>
<td>Permanent</td>
</tr>
<tr>
<td>Alumni, Donor, and Prospect Records</td>
<td>Permanent</td>
</tr>
<tr>
<td>Letters of Intent and Gift Agreements</td>
<td>Permanent</td>
</tr>
<tr>
<td>Stewardship Reports</td>
<td>Permanent</td>
</tr>
<tr>
<td>Type of Record</td>
<td>Time Period for Retention</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Visit Reports</td>
<td>Permanent</td>
</tr>
<tr>
<td>Art Museum</td>
<td>Permanent</td>
</tr>
<tr>
<td>Board of Governors Minutes</td>
<td>Permanent</td>
</tr>
<tr>
<td>Board of Governors Board Packets</td>
<td>Permanent</td>
</tr>
<tr>
<td>Deed of Gifts</td>
<td>Permanent</td>
</tr>
<tr>
<td>Exhibition Contracts</td>
<td>Permanent</td>
</tr>
<tr>
<td>Purchase and Sale Documentation</td>
<td>Permanent</td>
</tr>
<tr>
<td>Career Services Counseling Records (includes faculty references for students)</td>
<td>Latest of 6 years from Colby graduation or date of last attendance, or 2 years from date of record *</td>
</tr>
<tr>
<td>Environmental Health and Safety</td>
<td>8 years</td>
</tr>
<tr>
<td>Faculty Records</td>
<td></td>
</tr>
<tr>
<td>Contract Renewal Materials, if denied</td>
<td>6 years from academic year of last employment</td>
</tr>
<tr>
<td>Contract Renewal Materials, if renewal granted</td>
<td>Later of next promotion, next contract renewal, or next merit renew</td>
</tr>
<tr>
<td>Contract Renewal Material, if renewal denied</td>
<td>6 years from academic year of last employment</td>
</tr>
<tr>
<td>Grievances, where Grievance denied</td>
<td>6 years from final denial of Grievance</td>
</tr>
<tr>
<td>Grievances, where Grievance granted</td>
<td>Permanent</td>
</tr>
<tr>
<td>Minutes of Faculty Meetings</td>
<td>Permanent</td>
</tr>
<tr>
<td>Personnel Records</td>
<td>See section on Human Resources</td>
</tr>
<tr>
<td>Records Pertaining to Endowed Chairs</td>
<td>6 years from academic year of last employment</td>
</tr>
<tr>
<td>Tenure, Promotion or Merit Cycle Dossiers, if denied</td>
<td>6 years from academic year of last employment</td>
</tr>
<tr>
<td>Tenure, Promotion Dossiers or Merit Cycle Dossiers, if awarded</td>
<td>3 full academic years after year of decision</td>
</tr>
<tr>
<td>Human Resources</td>
<td></td>
</tr>
<tr>
<td>Academic Search Committee Materials (advertising materials, applicant files, Search Committee records)</td>
<td>3 full academic years from year search completed</td>
</tr>
<tr>
<td>Disability Benefits Records</td>
<td>Life of employee *</td>
</tr>
<tr>
<td>Education Assistance Records</td>
<td>Life of employee *</td>
</tr>
<tr>
<td>Employee Medical Complaints/Records</td>
<td>6 years after injury or illness *</td>
</tr>
<tr>
<td>Employee Personnel Files</td>
<td>6 years after resignation or termination*</td>
</tr>
<tr>
<td>Faculty CVs and Personal Information Card</td>
<td>Permanent</td>
</tr>
<tr>
<td>FMLA Records</td>
<td>3 years from end of leave *</td>
</tr>
<tr>
<td>Non-academic Search Committee Materials (advertising materials, applicant files, interview records)</td>
<td>3 full academic years from year search completed</td>
</tr>
<tr>
<td>Records relating to Occupational Injury or Illness</td>
<td>5 years after injury or illness *</td>
</tr>
<tr>
<td>Retirement Benefits Accrued</td>
<td>Life of employee or beneficiary *</td>
</tr>
<tr>
<td>Sick Leave Benefits</td>
<td>Life of employee *</td>
</tr>
<tr>
<td>Incidental Documents</td>
<td>No period of retention *</td>
</tr>
<tr>
<td>Type of Record</td>
<td>Time Period for Retention</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Information Technology – Server/Service Operations by IT Services</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Server Data Retention – System Logs</strong></td>
<td>Current and preceding 13 calendar days. (Colby Apps powered by Google retains log records for “one month” and can be queried by individual account only.) All other logs are retained as long as needed for operational and security purposes.</td>
</tr>
<tr>
<td>Any centrally collected and/or stored system log files that associate a User ID, account name or other personal identification with an IP address and/or access to any web page or other network service on or off campus, except where required to record financial transactions, and the actions/activities of Colby server/service administration and/or operational events/incidents.</td>
<td></td>
</tr>
<tr>
<td><strong>Server Data Retention – Colby Apps by Google: E-mail and associated services (Applies only to email retained on the service, not that which has been downloaded to a client system.)</strong></td>
<td></td>
</tr>
<tr>
<td>Received and Sent E-mail</td>
<td>Until account deleted or owner deletes email.</td>
</tr>
<tr>
<td>Deleted E-mail (emptying the Trash folder)</td>
<td>After 30 days in Trash, email is removed and cannot be recovered.</td>
</tr>
<tr>
<td>Account closing</td>
<td>All account content remains unchanged until account deletion.</td>
</tr>
<tr>
<td>Account deletion</td>
<td>All email and all other content of the Colby Apps account becomes unrecoverable. Prior notification is given to the owner where reasonable, with offered assistance on methods that can be used by the department or individual to preserve content as appropriate according to email policy.</td>
</tr>
<tr>
<td><strong>Faculty and Staff workstation (Desktop or Notebook computer) Backup System (remote hosted storage)</strong></td>
<td></td>
</tr>
<tr>
<td>Files in selected directories on the individual’s allocated desktop or notebook computer are backed up as initially defined or reconfigured by the owner.</td>
<td>Initially, all files in a user’s profile directory are backed up as frequently as client connectivity allows. Non-deleted data/files are synchronized between the backup storage and the client system. The retention period for deleted data/files is 30 days. The workstation backup system is NOT an archive; it is designed to enable recovery from catastrophic loss of workstation content and recent accidental deletion or corruption of data/files.</td>
</tr>
<tr>
<td>Closed accounts</td>
<td>After following individual and department instructions for file migration, files in the backup system are deleted.</td>
</tr>
<tr>
<td>Type of Record</td>
<td>Time Period for Retention</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Server and Infrastructure Backups (except as noted above)</strong></td>
<td>Daily backups are preserved for up to 7 days. Weekly backups are preserved for one month. Monthly backups are preserved for one year.</td>
</tr>
<tr>
<td>Backup systems for the datacenter environment (local and remote media).</td>
<td></td>
</tr>
<tr>
<td>College-Owned Computers – Migration by Individual to a Replacement Computer</td>
<td><strong>CDs or DVDs of hard drive contents are created only by special request.</strong></td>
</tr>
<tr>
<td>All files in predetermined locations on the hard drive are copied onto new computer (deleted files not restored unless requested by Client).</td>
<td>An image is not backed up and is destroyed one year after migration to a new computer.</td>
</tr>
<tr>
<td>Backup copy of the user directory is created and stored on an encrypted hard drive.</td>
<td>If the hard drive is retained as a backup, it is encrypted using PGP Whole Disk Encryption. Otherwise it is securely erased 2-4 weeks after migration before either reuse or disposal.</td>
</tr>
<tr>
<td>Old computer hard drive</td>
<td></td>
</tr>
<tr>
<td>College-Owned Computers – Employee Exit from the College (employment termination)</td>
<td><strong>ITS will assist individuals in copying files and burning onto CD/DVD, and will follow the individual’s instructions regarding files to be provided to the appropriate department. CD/DVD is given to exiting individual and not retained by ITS. No hard drive image is created.</strong> Files being provided to the department will be copied to server or CD/DVD for department’s use. Documents are subject to applicable retention periods depending on the type of documents.</td>
</tr>
<tr>
<td>If ITS is notified in advance</td>
<td><strong>ITS preserves data only per instructions, if any, provided by individual or department. Privacy rights are preserved through ITS review before transfer to department.</strong></td>
</tr>
<tr>
<td>If no advance notification</td>
<td><strong>Computer hard drive</strong></td>
</tr>
<tr>
<td></td>
<td>Securely erased when file migration has been completed.</td>
</tr>
<tr>
<td>Insurance</td>
<td></td>
</tr>
<tr>
<td>Certificates of Insurance</td>
<td>7 years after expiration</td>
</tr>
<tr>
<td>Insurance Policies</td>
<td>7 years after expiration</td>
</tr>
<tr>
<td>Payroll</td>
<td></td>
</tr>
<tr>
<td>B/W time cards</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Type of Record</td>
<td>Time Period for Retention</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------</td>
</tr>
<tr>
<td>B/W payroll C/D</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>B/W Personnel Action Forms and other payroll change requests</td>
<td>5 years after termination *</td>
</tr>
<tr>
<td>B/W registers and reports</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Health Insurance payment records</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>International Students - Copies of passport, VISA, I94, FNIS backup</td>
<td>5 years after graduation</td>
</tr>
<tr>
<td>Monthly C/D’s</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Monthly Personnel Action Forms and other payroll change requests</td>
<td>5 years after termination *</td>
</tr>
<tr>
<td>Monthly registers and reports</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Student registers and reports</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Signed Supervisors approval</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Student Time records reports</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>TIAA payment records</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>Wage garnishments</td>
<td>5 years after termination *</td>
</tr>
<tr>
<td>I9</td>
<td>5 years after date of termination of employment *</td>
</tr>
<tr>
<td>W4</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>W2</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>1042S</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>941</td>
<td>5 years after the end of the calendar year *</td>
</tr>
<tr>
<td>President’s Office</td>
<td></td>
</tr>
<tr>
<td>Records of the Corporation (Charter, Board Minutes, etc.)</td>
<td>Permanent</td>
</tr>
<tr>
<td>Litigation Records – Consent Orders, Judgments, Court Orders Disposing of Litigation, Releases and Settlement Agreements</td>
<td>Permanent</td>
</tr>
<tr>
<td>Litigation Records – Documents of Historical Significance (e.g. Trial Transcripts, Deposition Transcripts, and Trial and Deposition Exhibits in cases of significance to the history of the College)</td>
<td>Permanent</td>
</tr>
<tr>
<td>Litigation Records – All Other Litigation Documents</td>
<td>1 year from final disposition of litigation</td>
</tr>
<tr>
<td>Records of College – Affiliated Enterprises</td>
<td>7 years after enterprise dissolution or after College ceases affiliation *</td>
</tr>
<tr>
<td>Type of Record</td>
<td>Time Period for Retention</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>----------------------------------------------------------------</td>
</tr>
<tr>
<td>Property and Facilities Records</td>
<td></td>
</tr>
<tr>
<td>As Built Drawings</td>
<td>Life of building</td>
</tr>
<tr>
<td>Building Permits</td>
<td>1 year after final completion</td>
</tr>
<tr>
<td>Deeds</td>
<td>Permanent</td>
</tr>
<tr>
<td>Leases</td>
<td>7 years from expiration of lease</td>
</tr>
<tr>
<td>Maintenance Records</td>
<td>7 years</td>
</tr>
<tr>
<td>Plans and Specifications</td>
<td>Life of building</td>
</tr>
<tr>
<td>Purchase and Sales Agreements</td>
<td>20 years from purchase or sale</td>
</tr>
<tr>
<td>Title Insurance Policies</td>
<td>7 years after sale of property</td>
</tr>
<tr>
<td>Publications</td>
<td></td>
</tr>
<tr>
<td>Alumni Directories</td>
<td>Permanent</td>
</tr>
<tr>
<td>Alumni Newsletters/News Emails</td>
<td>Permanent</td>
</tr>
<tr>
<td>Colby Magazine</td>
<td>Permanent</td>
</tr>
<tr>
<td>College Newspaper</td>
<td>Permanent</td>
</tr>
<tr>
<td>Commencement Programs</td>
<td>Permanent</td>
</tr>
<tr>
<td>Course Offerings/Course Catalogue</td>
<td>Permanent</td>
</tr>
<tr>
<td>Faculty Handbook</td>
<td>7 years from end of academic year</td>
</tr>
<tr>
<td>Faculty/Staff Directories</td>
<td>3 years</td>
</tr>
<tr>
<td>Staff Handbook</td>
<td>7 years from end of academic year</td>
</tr>
<tr>
<td>Student Handbook</td>
<td>7 years from end of academic year</td>
</tr>
<tr>
<td>Research Grant Records</td>
<td>3 years from completion of project (unless grant requires otherwise) *</td>
</tr>
<tr>
<td>Security</td>
<td></td>
</tr>
<tr>
<td>Accident/Incident Reports</td>
<td>7 years</td>
</tr>
<tr>
<td>Clery Act Logs</td>
<td>3 years</td>
</tr>
<tr>
<td>Clery Act Statistics</td>
<td>3 years</td>
</tr>
<tr>
<td>Clery Act Warning Notices</td>
<td>3 years</td>
</tr>
<tr>
<td>Property Loss or Damage Reports</td>
<td>7 years *</td>
</tr>
<tr>
<td>Student Records</td>
<td></td>
</tr>
<tr>
<td>Academic Actions (Dismissal, suspension, etc.)</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Academic Department Files Pertaining to Students</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Academic Records</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Advanced Placement and other placement test records/scores</td>
<td>5 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Applications for Admission, including Entrance Exam Reports, Advanced Placement Records, High School or Other College Transcripts, Correspondence, other than materials which become part of Alumni Records</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Change of Grade Forms</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Change to Student ID number</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Class Lists (original grade sheets)</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Requests for Non-Disclosure of Directory Information</td>
<td>1 year from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Dean of Students Office Correspondence</td>
<td>6 years from Colby graduation or date or date of last attendance *</td>
</tr>
<tr>
<td>Type of Record</td>
<td>Time Period for Retention</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td>Dean’s Recommendations/Consent to Release Personally Identifiable Information</td>
<td>Later of 6 years from Colby graduation or 2 years from date of request</td>
</tr>
<tr>
<td>Financial Aid Records (students who enroll)</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Graduation Lists</td>
<td>Permanent *</td>
</tr>
<tr>
<td>International Student Forms</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Medical Leave Agreements - Voluntary</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Medical Leave Documents - Mandatory</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Name Change authorizations</td>
<td>Permanent *</td>
</tr>
<tr>
<td>Other Student Loan Records</td>
<td>5 years after loan paid in full, cancelled, or assigned elsewhere *</td>
</tr>
<tr>
<td>Perkins Loan files</td>
<td>10 years after loan paid in full, cancelled, or assigned elsewhere *</td>
</tr>
<tr>
<td>Student Class Schedules</td>
<td>1 year from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Student Disciplinary Records (including investigation file)</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Transcript Requests, Registration Forms, Drop/Add, Pass/Fail or Sat/Unsat Requests</td>
<td>1 year *</td>
</tr>
<tr>
<td>Transfer Credit Evaluations</td>
<td>6 years from Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Tuition and Fee Charges</td>
<td>6 years after Colby graduation or date of last attendance *</td>
</tr>
<tr>
<td>Withdrawal Authorizations/Leaves of Absence</td>
<td>2 years from Colby graduation or date of last attendance *</td>
</tr>
</tbody>
</table>
Appendix C

Overseers Visiting Committees to Academic Departments and Programs

The Overseers Visiting Committee Program was instituted in 1980 to provide occasions for periodic review of departments and programs. Visiting committees generally are composed of two overseers (Colby alumni or friends of the College) and three faculty members from liberal arts colleges or comparable academic programs at other institutions. The visiting committees are chaired by a faculty member, and normally visit departments or programs at Colby on an eight-year cycle (although a visiting committee may recommend a subsequent visit in fewer than eight years).

The Overseers Visiting Committee Program provides an important outlet for the expression of faculty and student views regarding the recent accomplishments and vision for the future of each department and program at Colby. The Program has become an effective means of facilitating comprehensive curricular and institutional review for each department or program and has historically played an important role in the College’s process of assessment, planning, and resource allocation. Overseer reviews have led to some of the most important policy and resource decisions within the College and are a vital part of the ongoing efforts of each department and program to reaffirm its strengths, identify needs, and plan for the future.

During the campus visit, faculty and students in a department or program play an important collaborative role with the members of the visiting committee in their evaluation process. This collaboration begins with a self-study prepared by the department or program in anticipation of the visit. In the context of this self-study, the overseers process pursues three primary objectives: (1) an examination of the curricular and pedagogic learning goals of the department or program; (2) an assessment of the effectiveness of the department or program in meeting those goals in the context of its current curriculum and staffing; and (3) an evaluation of the strengths and weaknesses of the department or program, with guidance and recommendations for the future.

The campus visit of an overseer committee usually lasts two days and the committee members are furnished with a departmental briefing book in advance. While on campus, committee members meet with all department or program members (either individually or in small groups), representative students, and other faculty and staff directly involved with the department or program.

The visit begins with a dinner with the Provost, the Associate Provost for Academic Programs, and the chair of the department or program. The following day consists of faculty interviews and discussions with students and staff members. During the last day of the visit, the committee has breakfast with the President, meets with the department chair or program director, and begins working on its findings and recommendations. Drafting assignments for the final report are then determined and the central themes and content of the report are agreed upon. Finally, the committee meets with the Provost at lunch to provide a preliminary report of their findings before departing.

The committee chair, with the support of the other members of the visiting committee, prepares a full report that addresses the points covered in the guidelines that follow. The Chair should resolve differences of opinion among committee members. In the rare occurrence when recommendations cannot be reconciled, a separate letter may be submitted with the report explaining the issue. Normally, the report is submitted to the President (with copies to the Provost and to the Vice President and Secretary of the College) within six weeks of the committee’s campus visit; this timing is critical to assure timely sharing of the report with all members of the department or program and any College committees that oversee a part of the department’s or program’s operation. The department or program will prepare a response to the report within 6 weeks of receipt. The Provost will then prepare a response to the report after discussion with the faculty in the department or program and appropriate College committees.
These responses, together with the original report, are submitted to the People and Programs Committee of the Board of Trustees for its comments and observations, with copies to all trustees. The chair of the visiting committee, the overseer committee chair, and the department chair or program director usually joins the Board committee by phone to address any questions from the People and Programs Committee members.

**Guidelines for Visiting Committees**

The visiting committee normally addresses the following types of questions:

1) What are the department or program's current objectives, and what are the obligations currently placed on it by the College?

2) Are the objectives appropriate and important, given the overall goals and mission of the College? Are the department or program’s courses and activities designed to achieve these objectives and fulfill its obligations? Are these objectives being achieved and fulfilled?

3) What are the important strengths and weaknesses of the department or program? Is there anything about the department or program that distinguishes it from those at comparable institutions?

4) Are there measures in place for self-evaluation and assessment of the effectiveness of the department or program? Are these measures appropriate?

5) Does the major and/or minor have an appropriate structure? Do courses lead students in a logical progression towards in-depth understanding of, and competency in, the major and/or minor? Is there a culminating experience in the major and, if so, is it appropriate?

6) Is student interest and engagement in the department or program growing, shrinking, or stable? Why?

7) Are there sufficient resources and institutional support to carry out the programs and activities? When proposals are made for allocation of additional resources to a department or program, which of these resources are most important for strengthening the program? How important are these resources in the broader scope of campus needs? What evidence supports the need for additional resources?

8) What are the future prospects for the department or program, and what future directions are desirable and manageable?

**Guidelines for Department and Program Briefing Books**

The Office of the Provost will provide the following information to the department/program to assist in preparation of the self-study:

1) Recent enrollment trends for all courses in the department or program since the previous overseer visit to the department or program.

2) Numbers of majors by class for recent years.

3) A study of majors and minors in all departments and programs.

4) Report of the last overseer visiting committee and responses from the department or program and from the provost.
BRIEFING NOTEBOOK
The department or program will be responsible for submitting (electronically) the following materials to the provost's office. These will be assembled into a briefing notebook and sent to the visiting committee in advance of the visit:

A. **A comprehensive Self-Study** that provides substantive quantitative and qualitative evidence in addressing each of the following curricular issues.

1. An analysis of the strengths and weaknesses of the current program of study in light of the learning goals and outcomes described in the curriculum review documents.

2. Data and analysis comparing the mission, curriculum, and structure of the department or program at Colby with those at similar undergraduate liberal arts institutions.

3. The department or program's contribution to interdisciplinary studies at Colby.

4. Contributions made by the department or program in achieving intercultural, diversity, and/or affirmative action objectives.

5. Contributions made by the department or program's faculty participation in the life of the College, both on campus and away.

6. An assessment of institutional and administrative support for the learning goals and objectives of the department or program, including the library, equipment and laboratory resources, support for research and teaching, and personnel.

7. The goals of the department or program for the next 8 years, and how outcomes will be assessed.

8. Special concerns and issues that the department or program would like the visiting committee to address in their review.

9. A prioritized list of the major concerns of the department.

Appendix: A complete update of the department or program level curriculum review (see guidelines on page 51).

B. **A current curriculum vitae for each faculty and staff member**, including a summary of the areas of his/her teaching and scholarly interest.

C. **Department/Program annual reports** since the previous overseer visit.

D. **Other material** the department or program wishes to include (e.g., departmental or program budgets and letters from current students and alumnae/alumni). Any material that fits into the briefing binder will be sent out to each member of the overseer visiting committee.
SECOND BINDER
A second binder will be available for the Overseers Visiting Committee when they arrive on campus. This binder will be prepared by the department or program and contain the following information:

A. Syllabi for courses currently being taught or recently offered as part of the regular curriculum.

B. A complete update of the course-level curriculum review for each of those courses (see guidelines on page 52).

C. Any additional supplemental materials to be made available to the committee when they arrive on campus.

Guidelines for Department and Program Level Review
Of the Academic Curriculum at Colby College

a) Provide a mission statement for your department or program that succinctly defines the learning goals and intended outcomes for your majors and/or minors.

b) Describe the plan your department or program has for communicating this mission statement to students interested in, or currently in the process of, majoring or minoring in your department or program (e.g., via the Catalogue, web page, newsletters, information sessions, advising).

c) Describe the methods your department or program uses to evaluate the success of your majors and/or minors in achieving these learning goals and outcomes (e.g., discipline-based learning assessment protocols, senior seminars, performances, creative writing, research papers or presentations, portfolios, standardized tests).

d) Describe how the curriculum in your department or program contributes to the institutional learning goals and intended outcomes embodied by the educational precepts in The Colby Plan.

e) Describe how the learning goals, outcomes, and engagement opportunities for your students differ during the course of their study in your department or program, i.e., describe these goals and opportunities from entry into the major to completion of the major, including any culminating experiences.

f) Describe how Colby’s January Program contributes to the learning goals and outcomes for your department or program, and describe your department or program’s participation in the January Program during the period under review.

g) Describe the faculty supported co-curricular areas of academic engagement that play a significant role in the learning goals and outcomes for your majors and/or minors (e.g., internships, summer research opportunities, performances, recitals, exhibitions).
Guidelines for Course - Level Review
Of the Academic Curriculum at Colby College

Instructor:

Course:

Learning Goals and Outcomes

a) Describe the goals and expected outcomes you have for your students’ learning in this course.

b) Explain how these learning goals and outcomes are communicated to your students (e.g., catalogue course descriptions, course syllabus, web page, instructions on homework or project assignments, exam review sessions).

c) Describe the methods you use for evaluating the success of your students in attaining each of these learning goals (e.g., exams, homework, rubrics for essays or papers, group projects, rubrics for class presentations, exhibits, peer review, interviews, portfolios).

d) For particular components and assignments in this course, explain how you make the connection between these methods of evaluation and the goals and outcomes you have for your students’ learning in this course.

Pedagogy, Curricular Content, and Course Mechanics

a) If this course satisfies one or more of Colby’s area distribution requirements, explain using specific examples how the content of this course meets the definition of that area requirement.

b) If there is a writing component to this course, describe the pedagogy and role of the writing assignments in the context of your learning goals and expected outcomes.

c) If there is a presentation or other oral communication component to this course, describe the pedagogy and role of these exercises in the context of your learning goals and expected outcomes.

d) If your course has a maximum enrollment, prerequisites, priority for enrollment, or other ‘rules,’ explain the underlying rationale for each.

Institutional Context

a) Explain how this course contributes to the learning goals and expected outcomes of your department or program.

b) Explain how this course contributes to the institutional learning goals and expected outcomes embodied by the educational precepts in The Colby Plan.

c) Based on your responses above, provide a revised course description suitable for catalogue copy, using no more than 650 characters, that succinctly identifies the content of this course, the most important learning goals and expected outcomes, and (if appropriate) indicates how it fulfills one or more of the area distribution requirements.
Appendix D

Mentoring Tips for Chairs and Directors

The following ideas and suggestions arose out of a panel discussion (Cathy Bevier, Adrianna Paliyenko, and Martha Arterberry) and subsequent conversations at the Oct. 5, 2017 meeting of Department Chairs and Program Directors.

Introduction

Mentoring is one of the most important responsibilities we have as leaders of our programs and departments, for a couple of reasons: for the purpose of reaching our goal of being a more equitable institution; and for the more pragmatic purpose of retaining the exceptional faculty that we hired. Mentoring across departments is uneven, primarily because the institution historically has not had the resources to train its chairs adequately for this crucial task. Over time, the Provost’s office hopes to build a “toolkit” of mentoring resources and tips that chairs can draw upon. This list is the first step in reaching that goal. Please note that we are not suggesting that you follow every suggestion, but we want to begin to provide you resources for effective mentoring.

Tips:

1. Identify yourself as an advocate for your junior faculty – tenure track, continuing or term. Your department spent an enormous amount of time and energy to recruit this colleague to our campus. Let them know that you want them to succeed and will do what you can to support their success. Note that being an advocate does not mean whitewashing the truth about what they need to accomplish in order to succeed. Being an advocate means being direct and transparent (insofar as possible) about what success in your department looks like, but at the same time letting them know that you will be there to support them as they reach for their goals. In short, be supportive and reduce anxiety by being transparent!

2. Be intentional. Don’t wait for junior colleagues to come to you; set up regular times to meet to go over their questions, check in about their teaching and research, and advise them on issues pertaining to the institutional review processes. Obviously, you also need to make clear to them that you are available to answer unscheduled questions that arise.

3. Research:
   a. Model for your junior colleagues what it looks like to be an engaged scholar. It’s harder to ask them to do something that you are not yourself doing.
   b. Help them establish a research and writing schedule (everyone does this differently), and then protect their time as much as possible by not overburdening them with departmental commitments pre-tenure. While research and writing may slow down a bit in the first year as they transition to their new institution and are establishing themselves in the classroom, make sure you encourage them to put good research and writing habits in place from the beginning.\footnote{\textsuperscript{1}}
   c. Although we can’t give precise quantitative publication requirements, try to give them a sense early on of what a good research dossier looks like in your department.
   d. Insofar as you are able, you should be able to give guidance on the types of journals and publishers with whom your junior colleague should be considering publishing. If you are not familiar enough with their specific field to do so, be prepared to help them find this information. Helping them understand the publishing process in your discipline, in general, can also be very helpful.
   e. Manage disappointments. Rejection is a part of the professional life of academics. Don’t let your junior colleagues become disheartened when an article or proposal is rejected. Strategize with them about how to handle it. For instance, even before submitting, they should have a list of 3 backup journals/publishers that they can move on to if their first choice chooses not to publish their work.
   f. If you are concerned that your junior colleague is struggling to produce scholarship in a “timely” manner and your efforts have reached a dead end, you can refer them to the Provost’s office (Carleen Mandolofo, in particular) who might have some resources to help them.
4. Teaching:
a. Set up a schedule of peer reviews early on. This is important both because these reviews will be a component of their review dossiers, but it also allows the chair to address any significant teaching issues that might be occurring early on (if you are uncertain what a helpful peer review should contain, Carleen has some resources). b. Encourage them to sit in colleagues’ classes, both in and out of the department. c. Encourage them to access the resources that Carol Humey and the Center for Teaching and Learning has to offer. d. Make an appointment to read together your junior colleague’s course evaluations soon after they are available, and discuss any concerns either of you might have.

5. Discuss with your junior colleagues early on the kinds of service contributions they might make on campus. Explain to them the range of options. Explain the importance of not overcommitting to service to the detriment of their teaching or (especially) scholarship. Help them be intentional about the ways they would like to engage with this aspect of their career: Are there certain issues they feel passionately about and would like to have a voice in? Explain that there are certain types of committee work that will give them unique insights into institutional nuts and bolts, like AAC.

6. Mentoring is a crucial aspect of our job, but it can be very time consuming, of course. Building in more structure and frontloading information early in the semester can help with time management. If you have more than one colleague at the same stage of their career, you could consider setting up meetings in groups, at least to address the non-confidential mentoring elements.

7. Let your colleagues know they and their work are valued. Celebrate (all) your colleague’s accomplishments. You can do this simply by sending out an email to the department, including the accomplishment in a departmental newsletter, or mentioning it at a department meeting. After reading annual reports, you might send a quick email to a colleague remarking on what a good year they have had, or how much you appreciated their efforts on some particular element of their work, etc.

8. Read the faculty handbook! It’s important that the information you share with your junior colleagues jibes with the guidelines and rules established by the institution.

9. Make the transition from one chair to the next as efficient as possible. Keep records and share information. Anxiety is created when the chair responsible for most of a colleague’s mentoring then passes the torch to a new chair just as the junior colleague is coming up for tenure!

10. Do not forget to mentor your visiting and term colleagues. They are full members of the department while they are here. You should set up peer reviews with them, read their course evaluations with them, and offer to write letters.

11. Post-tenure mentoring:
a. Discuss with the newly tenured their midcareer goals. Being intentional at this phase is crucial to maintaining engagement in one’s profession. What do they want to do in this phase of their career—become a scholarly rock star? Become a public intellectual? Become a master teacher? Move into administration? Run a Center? Ask them what the department can do to support their goals.

b. Discuss with all associate professors the timelines and requirements for coming up for full. There may be colleagues in the department/program who have been at the rank of Associate Professor for many years. Have discussions with such colleagues about what might be impeding their progress to full professor and be prepared to help them discover routes to promotion.

c. You might suggest they think about their career in 3-year blocks—in any given year, certain priorities may mean less productivity in other areas, but that over the course of three years they will have made significant progress overall.

d. You may meet with your junior colleagues more often, but meet yearly with all colleagues in the department.

e. Encourage associate professors to continue their pre-tenure momentum after tenure by seeking external funds to support their work; apply for fellowships; even to apply for small sabbatical support grants.

Needless to say, this list is not exhaustive, but it’s our hope that it will begin to even the informational playing field across departments. Please let Carleen Mandoifo know if there is anything the Provost’s office can do to help you do this important work.