

Colby



FACULTY HANDBOOK

Revised September 2022

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

TABLE OF CONTENTS

Preface

Introduction

Bylaws of the President and Trustees of Colby College..... 1

Faculty Personnel Procedures..... 10

- Faculty Appointment Categories 10
- Other Faculty Members 10
- Non-Faculty Appointment Categories 11
- Statement of Terms of Faculty Appointments..... 11
- Hiring Procedures for New Faculty..... 12
- Procedures for Reappointment, Sixth-Semester Review, Promotion and Tenure 14
- Faculty Head Coaches: Reviews and Reappointment..... 26
- Non-tenure Track Continuing Faculty: Appointment, Reappointment and Promotion 27
- Promotion of Administrators or Staff Members with Academic Titles 27
- Performance Evaluation, Merit Review, and Salary Determination..... 28
- Leaves..... 29
- Termination, Dismissal, Suspension..... 35

Colby College Policy Statements 41

- 1940 AAUP Statement of Principles on Academic Freedom and Tenure 41
- Policy Statement on Non-Discrimination..... 42
- Employee Code of Conduct 43
- Policy on Consensual Relationships with Students.....43
- Policy Statements on Open Access..... 44
- Harassment Policy and Complaint Procedures..... 44
- Policy Statement on Drug/Alcohol Abuse..... 47
- Policy Statements on Conflict of Interest for Trustees, Officers, and Employees..... 48
- Policy Library50

Administrative Organization of the College 50

- Government of the College..... 50
- Administrative Structure 50
- Departments of Study..... 50
- Academic Divisions 51
- Visiting Committees 52
- Committees of the College and of the Faculty: Function and Membership..... 53

Faculty Rights and Responsibilities 65

- Academic Freedom and Tenure 65
- Advising..... 65
- Faculty Teaching Responsibilities..... 65
- Political Activities of Faculty Members 66
- Retirement..... 66
- Subsidiary (Outside) Employment..... 66
- Academic Year Employment Responsibilities 66
- Redress of Grievance..... 66
- Indemnification Procedures 67

Participation in the Government and Ceremonial Functions of the College	69
Departmental Participation	69
Faculty Meetings	69
Faculty Committees	70
Faculty Representation on the Board of Trustees	70
Ceremonies.....	70
Faculty Relationships with Students	71
Student Handbook	71
Scheduling and Conduct of Classes	71
Conduct of Examinations and Reporting of Grades.....	75
Registration (Course Selection) Procedures	80
Advising and Counseling.....	81
Extracurricular Faculty-Student Relations	83
Students and Alcohol	84
Reporting Requirements for Faculty and Staff under the Clery Act and Title IX.....	85
Sexual Violence Response and Prevention – Supporting Students.....	86
Relations with Student Organizations.....	87
Student Evaluation of Instruction	88
Aids in Teaching and Research	88
Information Technology Facilities and Policies	88
Services from the Office of the Provost	89
Services from the Registrar's Office.....	89
Services from the Colby Bookstore	89
College Libraries.....	91
Administrative Support Assistance	94
Supplies	94
Faculty Research and Travel Funds.....	94
Summer Research Assistants	96
External Grants Administration	96
Benefits and Privileges for Eligible Faculty	97
Benefits	97
Unemployment Compensation	99
Workers' Compensation Insurance	100
Tuition Subsidy Program for Dependent Children	100
Course Privileges	101
Mortgage Loans	102
Faculty Emeritus Privileges	102
Other Institutional Services and Information for Faculty Members	102
Identification Cards	102
Faculty Office Space	102
Faculty Lounge	103
Campus Mail	103
College Publications	103
Calendar of Events	104
Organizational Membership	104
Notary Public Service	104
Campus Car Registration and Parking	104
Department of Security	104
Telephone Service	105

Facilities Services	105
Salary Payment.....	105
Faculty Use of Athletic Facilities	105
Housing	105
Recreational Properties of the College	105
Personal and Extracurricular Use of College Facilities	106
Animals on Campus	106
Personal Property Located on Campus	106
Use of Personal Vehicles on College Business	106
Appendix I: Colby College Values	107
Appendix II: Two Policy Statements on Tenure	109
Appendix III: Tenure Review Schedule	110
Appendix IV: Promotion Review Schedule	111
Appendix V: Athletics Faculty Criteria for Review and Reappointment	112
Appendix VI: Colby's Statement Concerning Student Projects Involving Human Participants	115
Appendix VII: Policies for Missed Class Time Due to Athletic Contests	118
Appendix VIII: Academic Department Administrative Assistant Guidelines	119
Appendix IX: Drug Free Schools and Communities Act.....	120
Appendix X: Academic Integrity.....	127
Appendix XI: Procedures for Reappointment and Promotion for Non-tenure Track Continuing Faculty.....	131
Appendix XII: Rights and Privileges for Faculty Appointment Categories	136

PREFACE

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

Margaret McFadden
Provost and Dean of Faculty

September 2022

INTRODUCTION

This edition of the Colby College Faculty Handbook presents the Bylaws, personnel procedures, and other policies of the College as of September 1, 2015. It is an updated version of previous handbooks of 1974, 1986, 1989, 1991, 1993, 1994, 1995, 1996, 1997, 1998, 1999, 2000, 2001, 2002, 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2014, 2015, 2017, 2021. Interested readers are directed to History of Colby College, by Ernest C. Marriner and Mayflower Hill: A History of Colby College by Earl H. Smith.

Every attempt has been made to ensure the accuracy of the material herein. To be certain of the latest description of policies and benefits, a faculty member should check with the Office of the Provost or Human Resources. The College reserves the right to change any provision after appropriate consultative procedures have been observed.

September 1, 2022

Bylaws of the Corporation

ARTICLE I

The Corporation

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

2 Membership. The corporation shall consist of the president for the time being and not fewer than 24 nor more than 35 other trustees. Not fewer than six nor more than nine of said trustees shall be elected by the Colby College Alumni Association in such manner, with such conditions for eligibility, and for such terms as the Alumni Association shall determine consistent with the charter of this corporation. The corporation shall elect the additional trustees and may elect any such additional trustees at any meeting of the corporation to fill any vacancy then existing or which will occur on or before the next following Commencement day. The term of office of each trustee elected by the corporation to fill any vacancy existing at the time of such person's election shall begin when elected, and in all other cases shall begin at noon of the next following Commencement day. The term of office of any trustee elected by the corporation shall expire at noon of the fourth Commencement day after the Commencement day on which the term began, except that if the term began on a day other than Commencement day, the term of office shall expire at noon on the fifth Commencement day following the date on which the term began. Any person who has been a trustee for two full or partial consecutive terms, whether elected by the corporation or the Alumni Association, shall be ineligible to be re-elected a trustee until one year after such person ceased to be a trustee. This limitation shall not apply to a person who has served as chair or president, as long as members of the corporation elect the chair or president for an additional trustee term. Under extraordinary circumstances, the term of the vice chair(s) may be extended for a period not to exceed the term of the current chair and in no case to exceed two years. Such an extension must be at the recommendation of the Board Affairs Committee and by vote of the board, with a majority of at least two thirds of the members present, exclusive of the vice chair(s). Any member of the corporation may be removed from office, for cause, at any meeting of the corporation by affirmative vote of two-thirds of the members present, provided that notice of such intended action shall have been mailed or conveyed electronically by the secretary to each member of the corporation at least 10 days in advance of the meeting.

3 Meetings. There shall be three regular meetings of the corporation annually, known as the fall, the winter, and the spring meetings. Meetings shall be held on a day during the fall, winter, and spring, respectively, and at such places within or without the State of Maine, as may be designated by any two of the chair, the president, and the secretary. Special meetings may be held at the call of any two of the chair, the president, and the secretary; and it shall be the duty of the chair or the secretary to call a special meeting on the written request of five trustees, setting forth the objects of the meeting. Written notices of all meetings shall be mailed or conveyed electronically to the members of the corporation by the secretary or, in the event of his or her death, disability, or absence, by the chair at least 10 days before the date of meeting. Recommendations of the Board Affairs Committee for the office of chair, vice chair, and secretary shall be contained in the notice for the spring meeting. In the case of special meetings, the notice shall state the objects of the meeting; and no business shall be transacted at such meeting that does not relate to the objects stated except by a unanimous vote of the members present. The faculty may elect two of its members as representatives to attend the three regular meetings of the corporation, but not as voting members. Students may also elect two students at the College as representatives to attend the three regular meetings of the corporation, but not as voting members.

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

ARTICLE II

Board of Visitors and Honorary Life Members

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

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

3 All Visitors and honorary life members shall be entitled to the on-campus courtesies and privileges normally extended to trustees and will be given a special place of honor at Commencement and at other College convocations.

ARTICLE III

Chair, Vice Chair, and Secretary: Tenure and Duties of their Offices

1 Officers. In addition to the officers specified in Article V, there shall be a chair, a vice chair(s), and a secretary. The chair and vice chair(s) shall be elected by and from the trustees, and the secretary shall be elected by, but not necessarily from, the trustees.

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

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

4 Duties of Secretary. The secretary shall keep a record of all actions at meetings of the corporation and shall notify each member of all meetings of the corporation at least 10 days before the appointed time thereof. The secretary shall keep a record of the appointment of all committees of the corporation.

ARTICLE IV

Committees

1 Organization. Besides such special committees as the corporation or the chair may from time to time establish for the discharge of particular duties, there shall be the standing committees specified in this article. Members of standing committees shall be appointed by the chair annually following the spring meeting of the corporation. The chair and the president shall be ex officio members of all committees and each standing committee shall include at least three additional trustees. The corporation may at any time discontinue any of its standing committees for such time as it may determine, and the duties of any committee so discontinued shall be

performed during such discontinuance by the Board Affairs Committee. One-third of the members of a committee shall constitute a quorum, except as otherwise specified in these bylaws. Standing committees may elect to meet electronically and/or telephonically between regular meetings of the board to conduct such committee business as deemed appropriate by the committee chair and vice chair and so long as one-third of the members participate.

2 Board Affairs. The Board Affairs Committee shall include the president, chair, vice chair(s), as well as other trustees selected at the discretion of the chair. The chair shall be chair of the Board Affairs Committee. One-third of the members of the committee shall constitute a quorum, and meetings shall be called by the chair or any two members of the committee. Between meetings of the corporation, subject at all times to the control of the corporation, the Board Affairs Committee shall have general supervision of the administration and property of the College, except that unless specifically empowered by the corporation to do so it may not alter bylaws, locate permanent buildings on tax-exempt property held for College purposes, or appoint officers or grant continuous tenure. The Board Affairs Committee may act by mailed, emailed, or facsimile ballots, but in such case an affirmative vote of a majority of the trustee members of the Board Affairs Committee will be required. It may lease any real estate belonging to the College and sell any real estate not used for College purposes and authorize the execution of such leases, deeds, and other instruments as may be appropriate to carry out this power and cause the seal to be affixed thereto. A subset of the committee will be appointed by the chair to seek out, consider, and recommend to the corporation nominations for the office of chair and/or vice chair(s) when necessary. The committee shall seek out, consider, and recommend to the corporation nominations for trustees and Visitors to be elected by the corporation and for the office of secretary. The committee (or a subcommittee duly appointed by the chair) shall consider and recommend to the corporation suitable candidates for honorary degrees to be bestowed by the College. No honorary degree shall be conferred except on the recommendation of this committee and then only by ballot on the affirmative vote of at least two-thirds of the members of the corporation. The committee will collaborate with the chair, vice chair(s), and president in setting the annual board and meeting agendas and will periodically review the bylaws and make recommendations to the corporation to enhance the board's effectiveness on all matters of trustee governance.

3 Campus Investments and Improvements. The Campus Investments and Improvements Committee shall engage in long-range planning to ensure a competitive and sustainable College for generations to come. The committee shall review and make recommendations on plans and cost estimates for new facilities and capital budget projects of the College.

4 College Resources. The College Resources Committee will ensure that the College has a highly effective fundraising program and ensure the College has the resources needed to carry out its mission at the highest level. The committee has oversight of planning and efforts to generate revenues from tuition and fees, summer programs, government funding for sponsored research, and foundation support for College programs, auxiliary units, and partnerships.

5 Financial Strategy and Business Affairs. The Financial Strategy and Business Affairs Committee shall set the long-term financial strategy for the College, review annual budgets and review the College's annual and long-term financial performance. The committee (or a subcommittee duly appointed by the chair) shall be responsible for the oversight and assessment of risk across all areas of the College and have oversight of traditional audit functions.

6 People and Programs. The People and Programs Committee shall, in cooperation with the president, review and assess the College's academic mission and priorities, ensure that the College stays true to its mission of academic excellence while evolving to meet modern demands and shifting fields of knowledge.

7 Portfolio Investment. The Portfolio Investment Committee, subject to the control of the corporation, shall have charge of the investment of all funds of the College, including the sale or exchange of securities and investment of the proceeds. The committee may employ investment

counsel and may delegate authority to purchase or sell securities for the account of the corporation subject to such limitations as the committee may impose.

ARTICLE V

Government of the College

1 **General Provisions.** The immediate government of the College shall be under the direction of the president, provost and dean of faculty, vice president for administration and chief financial officer, and secretary assisted by the officers specified in this article and other vice presidents and deans as determined by the president and ratified by the corporation and such other administrators as the corporation or the president may from time to time elect or appoint. All members of the teaching and administrative staff shall be responsible to the president for the performance of their duties. Subject to law and to the other provisions of these bylaws, each officer shall have, in addition to the duties and powers herein set forth, such duties and powers as are commonly incident to such office and such duties and powers as the corporation or the president may from time to time designate; and no person or corporation dealing with any of them shall be bound to inquire or to ascertain whether or not any requisite approval or assent to such officer's action has been obtained. Except as the corporation may generally or in particular cases authorize the execution thereof in some other manner, all deeds, leases, transfers, contracts, bonds, notes, checks, drafts, and other obligations made, accepted, or endorsed by the corporation shall be signed by the president, or by one of the vice presidents, deans, provost, or the treasurer.

2 **President.** There shall be a president of the College, elected by the corporation, who shall serve at the pleasure of the corporation. The president shall have general charge of the administration of the College; prepare and recommend objectives, policies, and long-range plans for the future development of the College, including budgets; organize the administration by laying out functional areas of responsibility and authority; coordinate administrative and academic affairs; participate in fundraising; and generally represent the College. The president shall be an ex officio member of all corporation, faculty, and College committees other than the Faculty Grievance Committee and the Faculty Hearing Committee for Dismissal Proceedings. In addition to such duties and powers as usually appertain to this office and as may be delegated by these bylaws, the president is authorized to appoint faculty and staff positions. All staff appointments shall be for a maximum of one academic or calendar year but shall be renewable. Vice presidents, deans, and other administrators and staff shall serve at the pleasure of the president. The president shall preside at meetings of the faculty and at Commencement and shall make an annual report of the state of the College. Unless otherwise provided by the corporation, in the absence or disability of the president, the provost and dean of faculty, or in the absence or disability of the provost and dean of faculty, the vice president for administration and chief financial officer, shall perform the duties of the president.

3 **Provost and Dean of Faculty.** There shall be a provost and dean of faculty elected by the corporation, who, subject to the direction of the president, shall be responsible for the administration of the academic affairs of the College, including matters relating to the faculty, curriculum, education policies, academic counseling, and preparation of the academic budget. The provost and dean of faculty shall serve as an ex officio member of all faculty and College committees other than the Faculty Grievance Committee and the Faculty Hearing Committee for Dismissal Proceedings.

4 **Vice President for Administration and Chief Financial Officer.** There shall be a vice president for administration and chief financial officer elected by the corporation, who, subject to the direction of the president, shall be the treasurer and financial officer of the College; shall have charge of and be responsible for all funds, properties, and securities of the College; disburse the funds of the College as authorized by the corporation or by the Board Affairs Committee; and shall render to the corporation at its regular meetings, or whenever it may request, an account of the

financial condition of the College. The vice president for administration and chief financial officer shall keep all deeds, securities, promissory notes, and other valuable papers of the College in such depository or depositories as may be designated for the purpose. Access to such depositories shall be had only by any two of the president, chair, secretary, provost, or vice president for administration and chief financial officer or any one of them accompanied by another officer.

5 Other Officers. The corporation may elect other vice presidents and deans upon the recommendation of the president to administer the business of the College, and who shall serve at the pleasure of, and whose duties shall be defined by, the president.

ARTICLE VI

Faculty

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

2 Method of Appointment. Appointments to full- or part-time positions in the academic divisions shall be made with the academic rank of lecturer, instructor, faculty fellow, assistant professor, associate professor, or professor. Nomination for any appointment with continuous tenure shall be submitted to the members of the corporation at least 10 days prior to action by the corporation. All tenure-track probationary appointments without continuous tenure shall be made for a definite term, normally not exceeding three years, and with a probationary period not exceeding seven years. Appointments to other teaching positions not eligible for tenure, including coaches with faculty rank, shall be made for a definite term, normally not exceeding three years, and appointments to successive terms may in total exceed seven years.

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

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

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

6 Shared Appointments. Two persons of similar qualifications may be appointed as a pair to share the equivalent of one full-time teaching position or more. Any appointment of a pair shall be made in accordance with Section 2 of this article and the provisions of this section. Allocation of the responsibilities of the shared position shall be agreed upon by the members of the pair with the approval of the department chairs and the provost and dean of faculty prior to the original

appointment and may be modified thereafter in the same manner. Each member of the pair shall be eligible for continuous tenure and shall be considered separately under normal College criteria for salary determinations, reappointment, promotions, and tenure. If an appointment of only one member of the pair terminates for any reason, including denial of tenure, or one member of the pair becomes incapacitated, the other member of the pair shall assume the entire responsibilities of a full-time position.

ARTICLE VII

Academic Divisions and Departments of Study

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

ARTICLE VIII

Academic Council

(Reserved).

ARTICLE IX

Degrees

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

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

3 Honorary Degrees. Honorary degrees shall be conferred by the corporation upon recommendation of the Board Affairs Committee. The honorary degrees of doctor of divinity, doctor of science, doctor of music, doctor of letters, doctor of fine arts, doctor of laws, and doctor of humane letters are awarded in recognition of creative work, eminent scholarship, or distinguished public service in the several fields named. The honorary degree of doctor of humane letters is also awarded for distinctive service in the field of public education. The honorary degree of doctor of laws is not restricted to any one pursuit or calling but is usually conferred for eminent distinction and public service in the fields of law, politics, education, and business. The College may confer any other appropriate degrees. Candidates for honorary degrees shall appear in person to receive their degrees at the College Commencement or at other formal convocations and shall be presented by the president.

ARTICLE X

Indemnification

Each trustee and officer of the College, and each employee or other agent of the College acting within the scope of his or her employment in good faith and in a manner reasonably believed by such person to be lawful and in the best interest of the College, shall, in accordance with the provisions of Section 714 of Title 13-B of the *Maine Revised Statutes* as in effect on January 1, 2016, be indemnified against all expenses, including attorneys' fees, judgments, fines, and amounts paid in settlement, actually and necessarily incurred by such trustee, officer, employee or agent in connection with the defense of any action, suit, or proceeding to which he or she has been made a party by reason of being or having been such trustee, officer, employee or agent. This indemnification policy shall be for the benefit of the persons described herein while serving in the capacity described, as well as after the termination of such service, with respect to actions taken while serving in such capacity and shall extend to their heirs and to their personal representatives.

The provisions of this bylaw with respect to employees and agents shall be subject to procedures and conditions established by the corporation and published in the faculty and staff handbooks.

ARTICLE XI

Conflicts of Interest and Reportable Transactions Policy

I. Conflicts of Interest

A trustee or officer of the College shall be considered to have a conflict of interest if:

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

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

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

II. Reportable Transactions

Current and former trustees, officers, or key employees of the College shall report to the College any known transaction in which:

- (A) She or he has a family or business relationship with a current or former trustee, officer, key employee, or interested persons.
- (B) There are any outstanding loans between the College and such trustee, officer, key employee, or an interested person;
- (C) She, he, or an interested person has received a grant or other assistance (including the provision of goods, services, or use of facilities), regardless of amount, provided by the College at any time. Examples of grants include scholarships, fellowships, internships, prizes, and awards.
- (D) She, he, or an interested person has had any business transactions with the College. Business transactions include, but are not limited to, contracts of sale, lease, license, joint ventures, and performance of services.
- (E) For purposes of this section, the certain terms will be defined as follows:
 - (i) A trustee is a member of the College's governing body, but only if the member has voting rights. A current trustee is a trustee that served at any time during the College's most recently completed tax year. A former trustee is any individual who held such position during one or more of the five prior tax years who received more than \$10,000 of reportable compensation from the College and any related organization in the capacity as a former trustee.
 - (ii) An interested person is:
 - (a) a family member (including a spouse, ancestors, children, grandchildren, great-grandchildren, siblings, and the spouses of children, grandchildren, great-grandchildren, and siblings) of a current or former officer, trustee, or key employee
 - (b) an entity more than 35 percent owned, directly or indirectly, individually or collectively, by (1) one or more current or former officers, trustees, or key employees or (2) their family members.
 - (c) an entity (other than a tax-exempt organization under section 501(c)) of which a current or former officer, trustee, or key employee serves as (1) an officer, (2) director, (3) trustee, (4) a key employee, (5) a partner or member with an ownership interest in excess of 5 percent (including ownership by a family member) if the entity is treated as a partnership, or (6) a shareholder with an ownership interest in excess of 5 percent (including ownership by a family member) if the entity is a professional corporation.
 - (iii) A key employee shall be defined as an individual, other than an officer or trustee, who:
 - (a) receives reportable compensation from the College and all related organizations in excess of \$150,000 for the calendar year;
 - (b) has responsibilities, powers, or influence over the organization as a whole that is similar to those of officers, trustees, or manages a discrete segment or activity of the organization that represents 10 percent or more of the activities, assets, income, or expenses of the College, as compared to the College in whole; or has or shares authority to control or determine 10 percent or more of the organization's capital expenditures, operating budget, or compensation for employees; and
 - (c) is one of the 20 employees with the highest reportable compensation from the College and related organizations for the calendar year.

A current key employee is any individual who met these criteria for the most recently completed calendar year. A former key employee is any individual who meet these criteria in any of the five prior calendar years.

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

All current and former officers, trustees, and key employees shall disclose such transactions and relationships to the College by completing an annual Reportable Transaction Questionnaire and Certificate of Compliance, and shall provide any additional information as is needed by the College in order to comply with Internal Revenue Service filing requirements. The College shall provide a list of current and former trustees, officers, and key employees with the questionnaire and Certificate of Compliance.

ARTICLE XII

Amendment or Repeal of Bylaws

These bylaws may be amended or repealed at any meeting of the corporation or via mail, email, or facsimile ballot by two-thirds vote of the members, provided that notice of such intended action, giving in full the text proposed to be repealed or adopted, shall have been sent by the secretary to each member of the corporation at least 10 days in advance of the vote.

ARTICLE XIII

Dissolution Contingency Clause

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

FACULTY PERSONNEL PROCEDURES

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

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

Faculty members should address any questions about changes since the publication of the Handbook to the Office of the Provost.

Any questions about how to apply or interpret the provisions of this Handbook in unusual circumstances should be directed to the Office of the Provost.

I. FACULTY APPOINTMENT CATEGORIES

Tenure Track: Faculty members who are on pre-tenure probationary appointments or have been granted tenure; they are normally full-time teachers. Ranks within this category include Instructor, Assistant Professor, Associate Professor, and Professor.

Non-Tenure Track Continuing: Faculty members who fill established part-time or full-time positions not eligible for tenure. They are employed under renewable appointments. Ranks within this category include Instructor, Assistant Professor, Associate Professor, Professor, Lecturer, Senior Lecturer, and Distinguished Senior Lecturer.

Visiting: Faculty members employed by the College on term (non-continuing) appointments. This category is composed principally of leave replacements, holders of named lectureships, and those employed as need arises to help absorb departmental overload. These positions are not eligible for tenure. Ranks within this category include Postdoctoral Fellow, Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor, Visiting Lecturer, Visiting Senior Lecturer, and Visiting Professor of the Practice.

Faculty Librarian: Faculty members who typically do not teach courses for academic credit, but who serve as academic librarians. They are employed under renewable one-year appointments. These positions are not eligible for tenure.

Faculty Curator: Faculty members who typically do not teach courses for academic credit, but who serve as curators in the Museum of Art. They are employed under renewable one- to three-year appointments. These positions are not eligible for tenure.

Faculty Head Coach: Faculty members (full-time coaches) who do not teach courses for academic credit, but rather have major responsibility for the coaching and recruitment of players for a team or teams. They are employed under renewable one- to three-year appointments. These positions are not eligible for tenure.

Emeritus/Emerita: Faculty members who have retired from their active professional duties, but who retain their title on an honorary basis.

Note: Ranks of (Assistant/Associate) Professor are used for faculty members who are expected to be active in both teaching and scholarship. Ranks of (Senior/Distinguished) Lecturer are for faculty members whose primary responsibilities are in teaching.

A summary of the benefits and privileges available to faculty members in the different appointment categories may be found in Appendix XII.

II. OTHER FACULTY MEMBERS

As specified in Article VI, Section 1 of the Bylaws, this group consists of administrators who are designated as faculty, with or without rank. Employees of the College not already designated as faculty but who are fully responsible for teaching a course for academic credit shall be considered temporary members of the faculty during the academic year in which they

are teaching. (For more information on administrative appointments, see the Administrative/Staff Handbook.)

III. LABORATORY INSTRUCTORS

Laboratory Instructors, although not members of the faculty, work closely with faculty and students to provide important instructional and technical support.

IV. AFFILIATES

Research associates and research scientists are appointed by the Provost (upon recommendation from an academic department) for a specified term, to facilitate research collaborations with Colby faculty. Research associates and research scientists are not members of the faculty. These positions are uncompensated (no salary or benefits).

V. STATEMENT OF TERMS OF FACULTY APPOINTMENTS

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

A. Tenure-track Appointments

1. Full-time tenure-track probationary appointments may be for a year, or for other stated periods, subject to renewal. Initial appointments are normally for one year. The probationary period at Colby for faculty members shall be no more than seven years of full-time teaching unless a faculty member has been granted a year of family leave that does not count toward the probationary period (see p. 33 XII. D., E., and F.). Subject to individual written agreements between incoming faculty members and the College at the time of initial appointment, some prior full-time teaching service at other institutions of higher education may be credited against the seven-year probationary period. With the exception of leaves for political activity (see p. 66, V.), time spent on leave of absence or sabbatical leave will count as probationary period service, unless the individual and the College agree to the contrary at the time leave is granted.
2. Written notice that a tenure-track probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as follows: (a) not later than March 1 of the first academic year of service if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination; (b) not later than January 15 of the second academic year of service if the appointment expires at the end of the year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of the termination; (c) by June 30 of the academic year preceding the expiration of an appointment after two or more years of service to the institution.

B. Non-Tenure Track Continuing Appointments

1. These appointments are for one, two, three, or six years, subject to renewal. Initial appointments are normally for one year.
2. Written notice that a non-tenure track continuing appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment, as follows: (a) not later than March 1 of the first academic year of service if the

appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least six months in advance of its termination; (b) not later than January 15 of the second (or subsequent) academic year of service if the appointment expires at the end of the year; or, if an initial multi-year appointment terminates during an academic year, at least six months in advance of the termination; (c) by June 30 of the academic year preceding the expiration of an appointment after two or more years of service to the institution.

C. Visiting Appointments

1. Visiting (term) appointments are for a fixed duration, for full- or part-time faculty members. These are never tenure-track appointments. Term appointments are non-renewable. In subsequent years, subject to College need, another term appointment may be offered.

D. Appointments with Tenure

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

E. Normal Contract Sequence

1. Full-time

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

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

initial year + 3 years + 3 years

or

initial year + 1 year + 2 years + 3 years

For non-tenure track continuing faculty members, contracts will normally, but not always, be awarded in the following pattern:

1 year + 2 year + 3 year + 3 years

+ subsequent renewals for 6 years

VI. HIRING PROCEDURES FOR NEW FACULTY

Subsection A addresses search procedures for Tenure Track, Non-Tenure Track Continuing, and Visiting Faculty Positions. Subsection B addresses search procedures for part-time faculty.

A. Search Procedures: Tenure Track, Non-Tenure Track Continuing, and Visiting Faculty.

1. Before any search can be conducted—whether for a newly authorized position, an existing slot, or for a leave replacement—approval must be obtained from the Provost. An Academic Department Search Plan must be submitted. The most recent guidance on conducting job searches and submitting search plans can be found on the Provost's website (under "Search Guidelines"). The search committee will consist of at least two departmental members plus at least one member from another department. As a point of governance and consistent with the College's commitment to a proactive policy of recruitment to increase the diversity of all applicant pools,

diversity in each search committee is required. Departments should involve student majors in the search process, although students should not be included on search committees nor should students have access to confidential job applicant files.

2. From time to time, the Director of Equal Employment Opportunity and the Office of the Provost will prepare a "fact sheet" that will indicate the proportion of Ph.Ds. in the field who are women or members of a under-represented groups as well as the same proportions for the department concerned. If possible, this document will report on the number of women and underrepresented group members who are likely to receive Ph.D.'s and enter the job market during the cycle. This document is meant to inform the search process.
3. The Associate Provost for Faculty Affairs must approve all announcements of position openings and a deadline for applications must be specified.
4. Departmental committees should send a list of publications in which announcements and advertisements will be placed.
5. The announcement will be posted on the Colby website, at the Human Resources page. The Office of the Provost will circulate a full listing of faculty searches at the beginning of the academic year, so that colleagues from other departments may contact their associates and make suggestions to the search committee.
6. In accordance with its Policy Statement on Non-Discrimination and Affirmative Action, whereby the College declares that it will employ persons solely on the basis of ability, the employment of close relatives in the same or different departments of the College shall not be prohibited or restricted in any way, except that normally no person shall be in a supervisory role of a close relative. (See p. 47, VIII. Statement on Conflicts of Interest).
7. After the stated deadline, the search committee will review applications and arrive at a list of semi-final candidates. Semi-finalists are typically given short preliminary interviews by videoconference. A group of finalists will be brought to campus for interviews and a presentation open to the public. The set of campus finalists must be approved by the Associate Provost for Faculty Affairs, prior to the search committee chair extending the invitation. The search committee chair will provide the names and CVs of recommended campus finalists. That presentation will be widely announced so that interested faculty may attend. If there are no women and/or members of under-represented groups in the group of finalists, the committee chair must account for that fact to the Provost and the Director of Equal Employment Opportunity (EEO). The recruitment and hiring of members of under-represented groups is an important, but not determinative, consideration. Circumstances may alter cases about the number of finalists to be brought to campus; that number will usually be three and should never be fewer than two and rarely more than four.
8. Candidates for tenure-track positions, and for continuing three-year positions, normally will be interviewed by the Associate Provost for Faculty Affairs (half-hour appointment). The Office of the Provost should be provided with the names of candidates brought to campus under any circumstances so that the payment of expenses can be authorized.
9. The search committee chair will recommend to the Associate Provost for Faculty Affairs the person to whom the position will be offered. The search committee chair will make an offer only after receiving authorization. Once agreement is reached about the offer between the candidate and the committee chair, written notification will be provided to the Associate Provost for Faculty Affairs and an official appointment letter will be issued by the Office of the Provost.
10. A final EEO Report must be completed by the search committee chair and sent to the Director of Equal Employment Opportunity at the completion of each search.

11. All recruiting bills dealing with faculty positions must be submitted to the office of the Provost for approval.
12. If a leave replacement is to be considered for another term appointment, e.g., Professor X replaces Professor A in year 1 and wishes to apply for the position vacated by Professor B in year 2, the following obtains:
 - a. The candidate is qualified as to field and discipline.
 - b. There was a national search in the first instance.
 - c. Teaching performance is superior, based on an analysis of the course evaluation forms (and peer review(s) of teaching, if available).

If the department and the Associate Provost for Faculty Affairs are satisfied that all three of these conditions have been met, a new national search is unnecessary.

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

The Provost must approve exceptions to the policy outlined above.

B. Search Procedures: Part-Time Faculty

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

1. A posting on the Colby website for a minimum of seven (7) days, with the advance approval. Department chairs and other faculty who know of individuals locally who may be appropriate candidates for occasional, part-time positions may encourage them to apply as indicated in the job posting.
2. If a part-time position is likely to continue for more than one semester or academic year, it should be advertised and a modified version of the search procedures outlined in (A) above should be followed.

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

VII. PROCEDURES FOR REAPPOINTMENT, SIXTH-SEMESTER REVIEW, PROMOTION, AND TENURE FOR TENURE TRACK FACULTY

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

Outstanding teaching is understood within the context of the diverse variety of courses taught across the College. Similarly, scholarship expectations are understood within the expectations and norms of different disciplines and interdisciplinary fields of study. Full participation in service responsibilities would include active engagement at the department and College levels and within one's scholarly field. Such service could include leadership roles, committee

membership, support of DEI initiatives, mentoring, or other work. Faculty are encouraged to describe their service fully and inclusively so that no important contributions remain hidden or unrecognized.

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

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

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

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

A. Nomination Procedures.

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

All discussions and communications within committees and between the committee and the Provost and the President will be strictly confidential.

The following procedures are not to be construed as implying that every eligible faculty member has a right to reappointment, tenure, and promotion, but that every faculty member holding a tenure track or a non-tenure track continuing position has a right to be considered for reappointment, promotion, and for tenure track faculty, tenure (under the procedures set forth in this Handbook). For part-time faculty members, evaluators are reminded to assess the quantity of service on a pro rata basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members.

B. Reappointment (Including First Year Reviews)

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

Reappointment committees shall consist of at least three members, including at least one member of appropriate rank from outside the department in which the candidate is appointed. Upon the recommendation of the candidate and in consultation with the committee chair, the Provost shall appoint committee members. All members of the department may submit materials to the committee.

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

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

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

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

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

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

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

Should the committee decide against favorable action, it shall forward a report of its final vote together with the written material in the candidate's dossier to the Provost. The committee shall also inform the candidate of its decision in writing. If reappointment is not recommended, or if reappointment is not granted, the reasons for this decision will be expressed in writing by the Provost to the candidate. Candidates may seek redress through the Faculty Grievance Committee only on grounds that the decision resulted from a failure of due process or inadequate consideration, and was, therefore, unfair; or that the candidate's academic freedom was violated; or because of discrimination against him/her based on his/her race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs, veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job, or any other protected class recognized under federal, state, or local law, or the College.

C. Promotion to Assistant Professor

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

D. Sixth-Semester Review.

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

NB: Tenure-track faculty with normal probationary periods (who complete five consecutive full-time years of teaching prior to being considered for tenure in the fall of their sixth Colby year) should be aware that electing not to count more than one pre-tenure year toward the probationary period, i.e., "stopping the clock" more than once, will necessitate a second pre-tenure contract review (essentially a second sixth-semester review) prior to a tenure consideration. Faculty in other probationary period circumstances should consult directly with the Provost regarding the pre-tenure review process.

1. Committee Membership. All tenured members of the candidate's department and such other members as the Provost judges appropriate in special circumstances, are eligible to serve on the committee, which shall include at least one member who is not affiliated with the candidate's department. All committees must have at least three members. The "unaffiliated" member(s) will be appointed by the Provost upon the recommendation of the candidate and in consultation with the committee chair and shall, if possible, be agreeable to all three.

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

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

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

2. **Dossier.** Before review, the chair of the review committee, in collaboration with the candidate, shall assemble a dossier to serve as the basis for deliberations. This dossier will include:
 - a. A chronologically ordered vita that includes all professional and College activities as well as other information.
 - b. The candidate's teaching portfolio, i.e., instructional materials produced by the candidate for all courses, such as course syllabi, assignments, examinations, laboratory instructions, and so forth.
 - c. All scholarship and/or creative research material published and/or submitted by the candidate and any reviews published of that material.
 - d. A concise statement from the candidate that summarizes the candidate's own view of his or her present and future growth and development as a teacher and advisor, accomplishments and promise as a scholar, and contributions to the department, College, and discipline.
 - e. Evaluations from individuals who have detailed familiarity with one or more of the following: the candidate's teaching and advising, scholarship, contributions to the College, and professional activities. Such evaluations should be solicited by the chair of the department review committee in consultation with the candidate. Evaluations of submitted scholarship by outside referees need not be solicited.
 - f. Peer reviews of the candidate's teaching using the procedures described at the beginning of VII. Procedures for Reappointments, Sixth-Semester Review, Promotion and Tenure. It is important to include at least one peer review of teaching conducted in the year of the sixth-semester review.
 - g. All official College or department student course evaluation forms that have been submitted by students in the candidate's courses, statistical summaries, and any statements that have been submitted by student committees.
 - h. The committee report from the candidate's first year (reappointment) review.
 - i. Any additional information or letters that the candidate might wish to submit or that might come to the review committee's attention.
3. **Report.** The committee will include in its sixth-semester review report a rigorous assessment of the candidate's achievement and promise in teaching, advising, scholarly or creative work, and College service. The report and dossier are normally due in the Office of the Provost on June 1. After obtaining the Provost's approval, a copy of the report will be given to the candidate, subsequent to the submission of the dossier to the Provost's office. The Provost's response to the committee report will be sent to the candidate, and copied to the committee chair, by June 30.

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

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

Assumptions. The College assumes that all candidates who are recommended to the Committee on Promotion and Tenure (P & T) by their department committees are very good candidates who have completed the basic academic qualifications appropriate to their specialty; the Committee on Promotion and Tenure must consider the needs of the department, the division, and the College in the years ahead. The College has

established certain broad criteria that are to be applied to the tenure decision: the candidate's excellence as a teacher and advisor (this is the paramount criterion); accomplishments and/or potential as a scholar; and contributions to the department, College, and discipline.

1. Committee Membership. All tenured members of a department are eligible to serve on a committee, under the leadership of the department chair, to decide upon the recommendation of a candidate's tenure. Normally the department chair, if eligible, will serve as chair of the committee; however, when the committee feels that it is appropriate, it may choose its own chair. When department chairs are not tenured, the department committee shall select its own chair. Untenured department chairs may serve on and be eligible to chair tenure committees if so desired by the candidate. If untenured chairs do not serve on the committee and wish to submit an evaluation of the candidate, they must contribute that evaluation to the candidate's dossier before it is considered by the committee. The committee shall include at least three members, including at least one tenured faculty member who is not affiliated with the candidate's department. The "unaffiliated" member(s) will be appointed by the Provost upon the recommendation of the candidate and in consultation with the committee chair and shall, if possible, be agreeable to all three. Faculty members who will be hearing a case before the Committee on Promotion and Tenure are not eligible to serve as "unaffiliated" member of a departmental tenure or promotion committee.
2. Dossier. The material included in the dossier assembled for the sixth-semester review should be brought up to date for the tenure review. The complete tenure dossier to be submitted to the Committee on Promotion and Tenure via the Provost (submission deadline of September 10) by the department committee should include the following, in separate files:
 - (1.) The committee report containing its recommendation and supporting reasons. The report should be signed by all members of the committee. In no case does the tenure candidate receive copies of this confidential report.
 - (2.) A current curriculum vitae including:
 - i. Courses taught by semester and year with enrollments
 - ii. Publications
 - iii. Presentations, performances, exhibits
 - iv. Committee and other college and professional service by year
 - v. Other activities of note.
 - (3.) A concise statement from the candidate that summarizes the candidate's own view of his or her present and future growth and development as a teacher and advisor, accomplishments and promise as a scholar, and contributions to the department, College, and discipline.
 - (4.) Copies of all correspondence between the departmental committee and the candidate.
 - (5.) The candidate's teaching portfolio, i.e., all instructional materials produced by the candidate for all courses, such as course syllabi, assignments, examinations, laboratory instructions, and so forth.
 - (6.) Peer reviews of the candidate's teaching. (See peer review procedures, at the beginning of VII. Procedures for Reappointments, Sixth-Semester Review, Promotion and Tenure.) At least one peer review of teaching conducted during the year that the tenure dossier is compiled should be included.

- (7.) Reviews of scholarship from at least four and no more than six external "objective" reviewers.

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

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

- (8.) Letters from colleagues on the Colby faculty and outside Colby who are familiar with the candidate's scholarship, contributions to the field and/or profession, including the chair of any interdisciplinary department in which the candidate participates.

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

- (9.) Letters solicited from all current and former students.

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

- (10.) Sixth-semester review report and any related correspondence, including the reply from the Provost.
- (11.) Copies of each type of letter sent out to reviewers, colleagues, and students.
- (12.) Course evaluations, all-college and (if any) departmental (see Student Evaluation of Instruction); in chronological order; evaluations of team-taught courses should be included with an explanation of the involvement of the candidate. Evaluations should be submitted by student and by question.
- (13.) Copies of all publications, manuscripts, slides of work, tapes of performances, and commercially published software together with reviews

published of that material, and all manuscripts or research in progress that the candidate wishes to submit.

- (14.) Other material the candidate wishes to include.
- (15.) Other evaluation material requested by the department or the Provost may be appropriately included because of special circumstances (the candidate is notified).
- (16.) Material that arrives after the tenure review is complete will be referred to the committee before being placed in the dossier; any response from the committee will also be included in the dossier.

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

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

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

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

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

4. Communications between the Committee on Promotion and Tenure and the President.
 - a. Committee Action. All discussions and communications within the Committee on Promotion and Tenure and between the committee and the President will be strictly confidential. Each member of the Committee on Promotion and Tenure will complete a written statement for each candidate comprised of the following:
 - (1.) An evaluation of the candidate's qualifications based on the following three criteria:
 - i. Demonstrated excellence in teaching as judged from student evaluations and from peer evaluations, and an interest in and

aptitude for advising students in the variety of settings appropriate at a small liberal arts college.

- ii. Demonstrated continued scholarly activity and professional development and potential for continued growth. Research and/or publication (or other professional activities appropriate to certain disciplines, e.g., musical compositions, sculpture), which provide evidence of a candidate's qualifications, should be judged by peers and by outside reviewers.
 - iii. Service to the candidate's department, to the College, and to the discipline should be taken into account. At a college with a small and involved faculty, service to the College is expected; but evidence of such service is not in itself sufficient grounds for tenure.
- (2.) An overall evaluation of the candidate's qualifications, based on the three criteria above, and of how the candidate's qualifications fit into the overall needs of the College.

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

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

Outstanding: Equal to those who have been tenured in recent years.

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

- (3.) An explanation for each of the judgments arrived at.

Each member shall vote in a written ballot on whether or not the candidate should be tenured. This vote shall be based on the committee member's overall evaluation of the candidate's qualifications and of how the candidate's qualifications fit into the needs of the College.

At a separate meeting, after the committee members have evaluated and voted on each candidate for tenure, the committee will reconsider its tenure votes.

5. Action by the Provost, President, and Board of Trustees. The Provost will serve as chair of the Committee on Promotion and Tenure without vote. The Provost will transmit the vote of the committee members, the committee members' evaluations, and the Provost's own evaluations and recommendations to the President. Once the Provost and the President have reviewed the recommendations of the Committee on Promotion and Tenure and have formulated their own recommendations, they will convey their recommendations to the People and Programs Committee (PPC) of the Board of Trustees. It is important to note that the PPC and the full Board are empowered to make their own determination regarding tenure in each case. Following PPC action on the recommendations for tenure, each candidate will be notified of the recommendation being made for or against tenure. This notification normally takes place in a phone call from the Provost to the candidate in late January, at a time determined in advance.
6. Communications between the Provost and Department Tenure Committee. The Provost should meet with the committee at one of its first meetings to discuss the following guidelines and other pertinent matters:
 - a. The committee should not only recognize present accomplishments but also the potential for continued growth towards professional excellence at Colby.

- b. In reaching its decision, the committee must take into account the needs of the department(s), the division, and the College, in the years ahead, as well as the candidate's qualifications.
- c. The committee must adhere to the College's Policy Statement on Non-Discrimination and Affirmative Action.
- d. The committee should recognize the importance of complete confidentiality in these procedures.

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

- 7. Reconsideration Request Procedure in Cases of Denial of Tenure. Faculty members denied tenure will have 30 days from the date they receive written notification to file a statement of intent to file a reconsideration request. The formal request for reconsideration must be filed within 45 days from the date written notification of denial of tenure is received. (Note: an early statement of intent is required so that the Reconsideration Request Committee can be formed.) The possible grounds for reconsideration requests are: discrimination, violation of academic freedom, and procedural irregularity causing inadequate or improper consideration. These categories are to be understood as follows:
 - a. Discrimination. The faculty member may have been denied tenure because of discrimination against him/her based on his/her race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs, veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job or any other protected class recognized under federal, state, or local law, or the College.
 - b. Violation of academic freedom. The faculty member's academic freedom, as defined in the Faculty Handbook, (see p. 65) may have been violated in a manner that led to denial of tenure.
 - c. Procedural irregularities causing inadequate or improper consideration. Some component or components of the College's procedures for tenure review may not have been followed, leading to inadequate or improper consideration of the candidate's credentials for tenure.

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

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

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

At least three votes in favor of reconsideration from the five members of the committee are required for reconsideration of tenure by P & T.

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

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

9. Promotion to Associate Professor (Non-tenure track continuing). Non-tenure track continuing assistant professors, while not eligible for tenure, may nonetheless be reviewed for promotion to associate professor, normally after six years in the rank of assistant professor, following the procedures outlined in VII. For part-time faculty, evaluators are reminded to assess the quantity of service on a pro rata

basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members. The submission deadline is February 5.

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

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

1. Committee Membership. All tenured members of the department(s) of appointment with the rank of professor shall constitute a committee, under the leadership of the department chair, to decide on the recommendation regarding a candidate's promotion to professor. Normally the department chair, if eligible, will serve as chair of the committee; however, when the committee feels that it is appropriate, it may choose to elect its own chair. When chairs lack appropriate rank, the committee will select its own chair. Such department chairs, however, may serve on and be eligible to chair the promotion committee if so desired by the candidate. If the department chair does not serve on the promotion committee and wishes to submit an evaluation of the candidate, such evaluation must be included in the candidate's dossier before it is considered by the committee. If the department contains no tenured members with the rank of professor, the committee will be composed of faculty members from outside of the academic unit, appointed by the provost.

The committee shall consist of at least three members. In any event, upon the recommendation of the candidate and in consultation with the committee chair, the Provost shall appoint to the committee at least one member unaffiliated with the candidate's department with the rank of professor. Faculty members who will be hearing a case before the Committee on Promotion and Tenure are not eligible to serve as "unaffiliated" member of a departmental tenure or promotion committee.

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

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

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

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

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

The sources of all statements in the dossier used by the committee in considering promotion are not available to the candidate, nor are the written records of the deliberations of the committee. On request, the Provost will make available to the

candidate the substance of statements in the dossier following the submission of the committee's recommendation. The candidate may request that the committee verify the accuracy of the Provost's summary of the substance of the statements in the dossier. The submission deadline is February 5. Late dossiers will be considered in a subsequent year.

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

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

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

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

4. Temporal Guidelines (Tenure track). Normally, tenured faculty members will be considered for promotion to professor after six or more years with the rank of associate professor. Exceptional or outstanding performance in teaching and advising, scholarly or creative achievement, and service will be expected. Faculty members presented for promotion to professor who have not served six years in rank as associate professors will be expected to have performed exceptionally in all areas.
5. Temporal Guidelines (Non-Tenure Track Continuing). Promotion from associate professor to professor will normally be considered no later than the tenth year after promotion to associate professor. An associate professor may request postponement. For part-time faculty, evaluators are reminded to assess the quantity of service on a pro rata basis, while expecting the quality of teaching and scholarship to be on a par with full-time faculty members. The submission deadline for is February 5. Late dossiers will be considered in a subsequent year.

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

VIII. FACULTY HEAD COACHES: REVIEWS AND REAPPOINTMENT

Seasonal review. All faculty head coaches shall generally have a seasonal review each year completed within thirty (30) days of the conclusion of the applicable team's competition season. Such reviews shall be conducted by the Athletic Director, and will take into account student evaluations, team performance, and the general direction of the program. This review should identify strengths and achievements as well as any areas in need of improvement or support.

Annual review. Faculty head coaches shall also undergo an annual performance review at the end of each academic year. For the annual review a dossier will be prepared, composed of the following materials.

- (1.) The Department of Athletics Head Coach Performance Appraisal Form.

- (2.) Athletic Department evaluation forms and statistical summaries for that year.

In years during which the annual review also serves as a reappointment review, the following materials shall also be included.

- (3.) An updated resume including:
 - i. Any secondary/administrative duties assigned.
 - i. Committees and other college and professional service by year.
 - ii. Other activities of note.
- (4.) All annual head coach performance appraisals for the full period of the appointment (1, 2, 3, or 5 years).
- (5.) All Athletic Department student evaluation forms and statistical summaries for the full period of the appointment (1, 2, 3, or 5 years).
- (6.) Other material the candidate wishes to include (e.g., letters from the faculty liaison, alumni, and/or parents).
- (7.) A concise statement from the faculty head coach that summarizes their view of accomplishments and contributions to the department and the College.

The faculty head coach, sport administrator, Senior Women's Administrator (when appropriate) and the athletic director will meet in May/June to conduct the annual performance appraisal. For reviews that also serve as a reappointment review, the athletic director will include a recommendation and supporting reasons to be included in the full package of material that is forwarded to the provost. The faculty head coach and athletic director should sign the annual performance appraisal forms.

If a Faculty Head Coach is not to be renewed, written notice will be provided at least six months in advance of the date of termination.

See Appendix V for additional information and for a list of the criteria for review and reappointment.

IX. NON-TENURE TRACK CONTINUING FACULTY: APPOINTMENT, REAPPOINTMENT, AND PROMOTION

The policies and procedures of VII. A., B., C., D., E., and F. (except tenure) shall be followed as closely as possible for appointments, reappointments, and promotions of non-tenure track continuing faculty. For more details, please see Appendix XI.

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

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

X. PROMOTION OF ADMINISTRATORS OR STAFF MEMBERS WITH ACADEMIC TITLES

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

These staff members are those with previously acquired academic credentials connected with the discipline to which their rank is attached. Further, they continue to be actively identified with their discipline and with the corresponding Colby department. Procedures for the promotion of such staff members will follow as closely as possible the guidelines

for the promotion of teaching faculty members, including consideration by the Committee on Promotion and Tenure.

B. Assistant Professors, Associate Professors, or Professors without Designated Subjects

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

XI. PERFORMANCE EVALUATION, MERIT REVIEW, AND SALARY DETERMINATION

- A.** Evaluations have three purposes. The first is to provide each member of the faculty with a careful and comprehensive assessment of his or her professional activities. The second is to provide a thorough and just means of determining merit salary increases. The third is to review the faculty member's future plans and to discuss what College resources (e.g., sabbatical and other leaves, course relief, research assistants) can be made available to assist that faculty member to develop new courses, to pursue new research interests, or otherwise to strengthen his or her teaching or scholarship. Hence, reviews should often result in collegial advice and concrete assistance.
- B.** Faculty members in tenure track or non-tenure track continuing positions will be eligible for merit reviews in their third year of employment in one of these categories at Colby with any related merit salary increases to take effect at the beginning of the fourth year. Thereafter, merit reviews will take place every three years. If the year in which tenure is awarded is not a merit review year, the Provost will normally recommend the highest increase at the next performance evaluation and salary determination.
- C.** No faculty member need be reviewed for a merit salary increase in the applicable merit year. Notice to the Provost by December 1 of that year of the faculty member's intention not to participate in the merit salary review will place the faculty members so choosing in the across-the-board category for that year. Participation in the merit salary review is, therefore, at the option of the individual faculty member. However, it is essential that all continuing faculty participate in a process of periodic performance review. These reviews will be designed to foster faculty development (as outlined in A. above) as well as to provide clear and helpful evaluation. Accordingly, those faculty opting not to participate in the merit salary review system will instead be expected to participate once every six years in an individualized faculty review to be conducted by the faculty member in consultation with his or her chair, the Provost, and one other mutually approved colleague. It is also possible to choose not to be considered during one merit cycle and to be considered for merit review during the next cycle. If a faculty member elects not to be considered for two consecutive cycles, he/she by definition elects to participate in the six-year review. Any review may result in a merit adjustment.
- D.** In preparation for a merit review, each faculty member will submit a (limited) dossier to the office of the Provost. The dossier should include: i) an up-to-date CV, with information on courses taught and enrollments for the period under review; ii) copies of annual reports for the period under review; iii) student course evaluations for the period under review; iv) an optional personal statement that details relevant professional activities during the review period. The dossier is due in the Office of the Provost no later than March 1 of the merit review year. Faculty members for whom contract renewal and/or sixth-semester reviews are scheduled in their merit review year should submit materials in accord with review guidelines. Stated all-College criteria will be followed in merit review: demonstrated excellence in teaching and advising students; demonstrated continued research and scholarship and professional and creative achievement; and service to the department, College, and discipline. In the case of part-time faculty, service will be evaluated on a pro rata basis.

- E. The Provost will review the dossier and may request supplemental information. The Provost will determine what percentage increase above the across-the-board increase will be recommended to the President for each faculty member reviewed that year. The Provost's recommendation will be final unless modified by the President.
- F. The preparation of an individualized sixth-year review need not follow the procedures or timetables set forth in paragraph D., above. Instead, the faculty member, the chair, and the Provost can agree on some other system that best suits the individual faculty member's needs as long as it occurs at least once every six years.
- G. Faculty members who are dissatisfied with their salary increase may petition the Faculty Grievance Committee for review. This petition must reach the chair of the Faculty Grievance Committee no later than ten (10) days after the faculty member has received the salary letter.
- H. Every spring, at the conclusion of the process, the Provost will discuss the process and the definitions of standards of evaluation in a meeting with the elected divisional chairs, the ACFPP, and the President.
- I. In addition to across-the-board and merit salary changes, faculty will receive the following increases in their base pay when promoted to the following ranks: to assistant professor, \$1000; to associate professor, \$1500; and to professor, \$2000. Non-tenure track continuing faculty will be entitled to the same increments as tenure-track faculty. Part-time faculty will be entitled to adjustments on a prorated basis.
- J. The President, on the advice of the Vice President for Administration and Chief Financial Officer and the Provost, will establish salary increments to be recommended to the Board of Trustees. The President will also, on the advice of the Vice President for Administration and Chief Financial Officer and the Provost, examine the salary structure of the faculty as a whole in an attempt to correct serious inequities.

XII. LEAVES

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

A. Sabbatical Leaves

The purposes of a sabbatical leave are to assist faculty members in furthering their scholarship and in becoming more effective representatives of their disciplines and members of the College faculty. Because such a leave represents a substantial investment in a faculty member, the College expects each faculty member who takes a sabbatical leave to return to the College for at least one full year immediately following the leave so that students and the College in general may realize the leave's benefits. **Faculty members who are approved for a regularly scheduled earned sabbatical and who, on the beginning date of that sabbatical, meet the age and time-in-service requirements for retirement eligibility, do not have to return to the College after the sabbatical leave, if they have a signed retirement agreement at least one year in advance of the start of the sabbatical. They may, of course, continue teaching until such time as they choose to retire.** Should a faculty member who is not otherwise eligible for retirement choose not to return after a sabbatical leave, the College expects the sabbatical salary and all benefits to be repaid.

Sabbatical leaves are granted by the Board of Trustees on the recommendation of the President of the College. Department chairs; division chairs, and the Provost advise the President on sabbatical leaves. The number of sabbatical leaves that can be granted in a

single academic year may be limited by financial or staffing constraints. As a general guideline, in any group of seven or fewer faculty members in a department, only one should be on sabbatical leave in any single academic year.

To be eligible for a sabbatical leave, the faculty member must be: (1) a tenured faculty member who has served for at least six years, excluding leaves without pay, since the most recent sabbatical leave; (2) a pretenure faculty member who has successfully completed the sixth-semester review; (3) a Faculty Librarian who has served for at least six years, excluding leaves without pay, since the most recent sabbatical leave; (4) a member of the full-time faculty without rank at Colby College for at least six years, excluding leaves without pay; or (5) a non-tenure track continuing faculty member with the rank of (Assistant/Associate) Professor for at least six years, but excluding leaves without pay, in which case the salary to be received during a sabbatical leave will be based on the faculty member's average course load for the previous three years.

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

Sabbatical leaves may be for the academic year at 80% of salary or for one semester at full salary. Specific information and details of procedures regarding salary and fringe benefits may be obtained from the Office of Human Resources. The financial terms and conditions of a sabbatical leave shall be agreed upon in writing before the leave commences. For faculty members with a 4.5 or 5 course teaching load, a one-semester sabbatical or unpaid leave counts as two courses.

Reimbursement of sabbatical travel expenses may be taxable.

1. Sabbaticals of less than 1 year - Expenses for meals, lodging, transportation and other living expenses, while away from Colby, may be reimbursed tax-free. The tax code defines the one-year period as beginning when the individual has physically left the city or general area of their regular place of business to commence the temporary assignment. The period will end when they have physically returned to that same locale.
2. Sabbaticals of 1 year or more - If an individual's sabbatical is expected to last longer than 12 months or does in fact last longer than 12 months, reimbursement of meals, lodging and other living expenses will be considered additional compensation to the individual and included on their W-2. This is true for expenses incurred during the entire period, not just those incurred after the 12-month period. Transportation expenses (such as airfare, local transportation, etc.) may be reimbursed tax-free if the expenses have a bona fide business purpose (i.e. not of a personal nature). It is extremely important that the sabbatical agreements clearly indicate the specific time period covered. General statements such as "1 year sabbatical" will cause the entire sabbatical to be considered one that is expected to last 1 year or more and result in reimbursements being taxable. This is true whether or not the sabbatical actually lasts 1 year or more.

3. Reimbursement of travel expenses while in Waterville area - In order for reimbursement of travel expenses to be considered nontaxable, they must be incurred for travel away from the tax home. The tax code defines the tax home as the regular place of business and includes the entire city or general area in which the business is located. As such, any meals, lodging, personal commuting and other living expenses reimbursed while still in the tax home will be considered personal expenses and treated as additional compensation.
4. Foreign travel - If the sabbatical will involve travel outside the United States in excess of 1 week, the tax free nature of any travel expense reimbursements may be affected by the degree of personal activities. In general, if personal activities will exceed 25% of the total time, the trip will not be considered entirely for business and some proportion of any reimbursement will be taxable. If foreign travel is anticipated, the College's Controller should be contacted to discuss the tax implications.

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

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

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

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

Upon return from a sabbatical leave, a faculty member shall submit a written report to the Provost. This report of sabbatical activities should be incorporated into the annual report that is due June 15 of the sabbatical leave year.

B. Early Sabbatical Leaves

1. Untenured faculty members on tenure track appointments and faculty members granted tenure before the end of their third year of full-time teaching are normally eligible for early sabbatical leaves after their sixth semester as full-time members of the faculty. Untenured faculty members with prior full-time service at other institutions of higher learning are normally eligible for early sabbatical leaves at the end of six semesters of full-time teaching, at least four of which must be at Colby. Typically, a favorable pre-tenure review will be completed before an early sabbatical leave application is formally approved.
2. Application for an early sabbatical leave will be made to the Provost in the spring semester one full year prior to the proposed leave year (e.g., in spring 2023 for a leave during 2024-2025).
3. An early sabbatical leave will normally consist of one semester at full salary or two semesters at 80% of salary.
4. Early sabbatical leaves are intended to permit untenured tenure track faculty members to undertake or complete promising creative or research projects. These leaves may not be used to complete requirements for the terminal degree. A complete

early sabbatical leave proposal will include a detailed description of the work to be undertaken and a statement of its significance. Criteria for evaluating early sabbatical leave proposals are rigorous, and outside experts may be consulted. The endorsement of the applicant's department chair is required.

5. When early sabbatical leave recipients return to full-time teaching, they will submit detailed reports of their activities during the leave to the Provost, as part of their annual report that is due by June 15 of the sabbatical leave year.
6. Recipients of early sabbatical leaves are expected to continue full-time service to Colby for at least one year after returning from leave.
7. Faculty members who take early sabbatical leaves will be eligible for regular sabbatical leaves in the seventh year after returning to full-time teaching.
8. The year in which an early sabbatical leave is taken will count as probationary period service unless the individual and the College agree to the contrary at the time the leave is granted.

C. Personal Leaves of Absence

From time to time, faculty members may require a leave of absence not covered by the other leaves described herein. In such cases, faculty members should make an application for a leave to the Provost with the recommendation of the department chair, as may be applicable. This application should describe the purpose and value of the leave to the individual and to the College. These leaves without pay, including leaves without pay for political activities, should be requested in sufficient time to allow for evaluation of the request, for reallocation of teaching assignments, or for recruitment of new staff.

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

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

The financial terms and conditions of a leave without pay shall be agreed upon in writing before the leave commences. A one-semester unpaid leave counts as two courses.

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

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

1. Up to 12 months of medical benefits and disability coverage.
2. The use of a faculty sabbatical office.

A faculty member leaving Colby to accept a position at another institution may be granted (upon approval by the Provost) a leave without pay for one year, with extension to a second year under exceptional circumstances. Any tenured faculty member who is granted tenure at another college or university must immediately resign from the position at Colby. A faculty member may not simultaneously hold tenure at Colby and at another institution.

D. Family and Medical Leaves under FMLA and FML.

In conformity with federal and state law, faculty members may be eligible for leave for certain medical and family reasons under the federal Family and Medical Leave Act of 1993 (“FMLA”) and/or the Maine Family Medical Leave (FML) law. While the FMLA and the FML only require an employer provide unpaid leave, per Colby’s Family and Medical leave policies (see E. and F., below), some or all of a faculty member’s leave may be paid.

The FMLA and FMA leaves described below are the minimum leaves required by federal and state law, and are provided here for background reference. As a general rule, the leave options provided to faculty under sections E. and F. (below) are more generous than those required by the FMLA/FMA, and faculty are advised to make use of those options.

FMLA. Under the FMLA, eligible faculty members are entitled to up to a total of 12 work weeks of unpaid leave in a 12-month period for the following reasons:

1. For the birth and care of the newborn child of the employee (such leave must conclude within 12 months of the birth);
2. For placement with the employee of a son or daughter for adoption or foster care (such leave must conclude within 12 months of the placement);
3. To care for an immediate family member (spouse, child or parent) with a serious health condition;
4. When the employee is unable to work because of a serious health condition.
5. For a “qualifying military exigency” to take care of specified family business when the employee’s spouse, child or parent serving in the Armed Forces, including the National Guard or Reserves, is on covered active duty.

An eligible employee is entitled to a total of 26 work weeks of unpaid leave in a 12-month period for “military caregiver” leave when a spouse, parent, child or next of kin, who is a covered service member, is injured or becomes ill in the line of duty while on active military duty. A covered service member is either: a current member of the Armed Forces, including the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, or otherwise on outpatient status or the temporary disability retired list, with an illness or injury severe enough that it may render the service member medically unfit to perform his/her military duties; or a veteran of the Armed Forces, including the National Guard or Reserves, discharged within the five year period before the family member first takes leave for this purpose to care for the veteran who sustained a qualifying injury.

Employees retain a qualified right to reinstatement to their former or similar position during the twelve-week leave, provided a position is available and the employee is able to perform the essential functions of the job, with or without reasonable accommodation. Employees reinstated under this policy resume eligibility for employment benefits suspended at the beginning of the leave.

FML. Under the Maine FML (which may apply, even if the FMLA does not), eligible employees are entitled up to a total of 10 work weeks of unpaid leave during any two-year period, for one or more of the following reasons:

1. For the birth and care of the newborn child of the employee or the employee’s domestic partner;
2. For placement with the employee or the employee’s domestic partner of a son or daughter aged 16 years or less for adoption;
3. To care for an immediate family member (spouse, domestic partner, child, parent or sibling) with a serious health condition;

4. To take medical leave when the employee is unable to work because of a serious health condition;
5. To donate an organ for human transplant; or
6. In the event of the death or serious health condition of an employee's immediate family member who is on active duty in the military.

For more information regarding the FMLA or FML, please
<https://www.colby.edu/humanresources/benefits/paidandunpaidtimeoff/>.

E. Additional Family Leave Options for Colby Faculty

In conjunction with the FMLA and the FML, Colby offers eligible faculty members additional leave and/or accommodations for family needs as follows. **To request one or more of these leave options, please contact your department chair and/or the Associate Provost for Faculty Affairs.**

1. Semester or academic year leave without pay.
 On application, a leave without pay of one semester to two years duration can be arranged for family purposes (e.g., birth or adoption of a child, serious illness of spouse, domestic partner, child, or parent) for faculty members on a tenure track or non-tenure track continuing appointment. For the first semester, health and disability insurance will be continued, in accord with federal law.
2. Reduced teaching load at proportional salary.
 To meet family needs, faculty members on continuing appointments may request a reduced teaching load at proportional salary for a specified period. In the case of non-tenure track continuing faculty, such an arrangement may be made for a period ranging from one semester through the end of their current contract.
3. Paid one-course reduction in a critical semester.
 Faculty in tenure track and non-tenure track continuing appointments, whose major responsibility includes teaching courses for academic credit, may receive a paid one-course reduction in teaching load in a semester identified as critical because of the birth **or adoption** of a child, **illness of a family member, or other family situation** requiring an unusual amount of time and/or intensity of attention. Each continuing faculty member is entitled to **THREE** such course reductions. **(Please note the ability to combine this benefit with a medical leave for giving birth, described in section F).**
4. Faculty members holding probationary, tenure-track appointments faced with the birth of a child or an analogous family situation requiring an unusual amount of time and/or intensity of attention, may elect not to count toward the seven-year probationary period that academic year in which he or she faces such family needs.
5. With specific regard to maternity leave, female employees in Faculty Head Coach positions are eligible for paid leave of up to six (6) weeks as a result of disability due to pregnancy or birth of a child. This period of up to six weeks of paid leave will be counted as part of the 12 work-weeks of unpaid leave specified by the FMLA. The individual may take an additional six weeks without pay in accord with the FMLA, i.e., up to 12 weeks total. An extended leave of absence without pay in excess of one and up to two years may be granted upon the recommendation of the Director of Athletics to the Provost, with final approval by the President. During any period of FMLA leave, the College will continue its contributions towards health and disability insurance; employees should consult with the Human Resources Office regarding benefits eligibility and enrollment procedures.

F. Additional Medical Leave Options for Colby Faculty. In conjunction with the FMLA and the FML, Colby offers continuing faculty members additional leave and/or accommodations for medical needs as follows:

Medical leave proposals are made through the appropriate department head, subject to the approval of the Director of Human Resources. Proposals should include a physician's certificate or other appropriate documentation attesting to the qualifying event (e.g. childbirth) or the serious and disabling nature of the illness or injury of a family member.

Colby will provide six weeks of paid medical leave to a faculty member who gives birth to a child during (or within **4 months** of) an academic semester. This leave may be used as the equivalent of a paid one-course reduction. **(Please note the ability to combine this benefit with the critical semester leave in E3 – see the next section below).**

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

If a faculty member holding a probationary, tenure-track appointment is on medical leave for at least a semester in any given academic year, that year will not count toward the seven-year probationary period.

Ability to combine benefits.

Sections E. and F. (above) provide options that faculty members with family and/or medical needs may exercise upon application to department chairs and with the approval of the Provost. Different options may be combined in a single semester or academic year, as appropriate.

For example, when a medical leave following childbirth (as provided in F.) is counted as a paid one-course reduction, this may be combined with a paid one-course reduction under a family leave (see E.3.), resulting in a paid semester without teaching assignment. Such application should be made far enough in advance to permit departments and the Provost to make suitable arrangements.

For faculty couples, the use of any leave option(s) by one partner does not restrict the use of available leave options by the other partner.

- G.** Military leaves. The Uniformed Services Employment and Reemployment Rights Act (USERRA) protects the job rights of individuals who voluntarily or involuntarily leave employment positions to undertake military service or certain types of service in the National Disaster Medical System. USERRA also protects employers from discriminating against past and present members of the uniformed services, and applicants to the uniformed services. For more information, please see the USERRA rights notice maintained in the Human Resources Office.

XIII. TERMINATION, DISMISSAL, SUSPENSION

A. Termination of Appointment by the Faculty Member

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

B. Termination of Appointments by the Institution

1. Termination of an appointment with continuous tenure, a term appointment, or of a special or probationary appointment before the end of the specified term, may be effected by the institution only for adequate cause, including but not limited to serious conduct violations, failure to adhere to conditions and terms of appointment, a faculty member's inability to perform the essential functions of his/her position with or without accommodation, financial exigency, and a bona fide discontinuance of a

department of instruction. If termination takes the form of dismissal, it will be pursuant to the procedure specified in Regulation C (below) unless otherwise stated herein.

2. Where termination of appointment is based upon financial exigency, or bona fide discontinuance of a department of instruction, Regulation C. will not apply, but faculty members shall be able to have the issues reviewed by the Faculty Grievance Committee or other appropriate committees, with ultimate review of all controverted issues by the faculty, the President, and the Board of Trustees. In every case of financial exigency or discontinuance of a department of instruction, the faculty member concerned will be given notice as soon as possible, and never less than 12 months' notice, or in lieu thereof, severance salary for 12 months. Before terminating an appointment because of the abandonment of a department of instruction, the College will attempt to place the affected faculty members in other suitable positions. If an appointment is terminated before the end of the period of appointment, because of financial exigency, or because of the discontinuance of a department of instruction, the released faculty member's place will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.
3. Any termination of tenured, non-tenured, or special appointment before the end of the period of appointment when such termination is the result of the faculty member's failure to adhere to conditions and terms of appointment or inability to perform the functions of his/her position, will be based upon a fair preponderance of the evidence, which shall, if the faculty member so requests, be reviewed by the Faculty Grievance Committee, before any final decision is made by the Board of Trustees.

C. Dismissal Procedures

1. Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member as a teacher or a researcher. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.
2. Dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of a specified term, will be preceded by: (a) notice to the faculty member of intent to dismiss; (b) discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement; (c) informal inquiry by the duly elected Faculty Grievance Committee, which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken without its opinion being binding upon the President; (d) a statement of reasons, framed with sufficient particularity by the President or the President's delegate.
3. A dismissal, under the conditions referred to in paragraph 1 above, will be preceded by a statement of reasons, and the individual concerned will have the right to be heard initially by the Faculty Hearing Committee for Dismissal Proceedings. This committee shall be chosen from among a panel of 15 full-time teaching faculty members, three each from the Divisions of Humanities, Natural Sciences, and Social Sciences, and six at-large. The full panel will choose a Faculty Hearing Committee of five members to hear a particular case. Each party will have a maximum of two challenges without stated cause. If a Hearing Committee member is challenged for cause, the remainder of the Hearing Committee will vote on the merits of the challenge; in cases of a tie vote, the challenged member is disqualified. Likewise, members of the committee may disqualify themselves from the case without the necessity of a committee vote, either at the request of the party, or on their own initiative if they deem themselves disqualified for bias or interest. Vacancies on the hearing committee shall be filled from the full panel. The committee shall elect its

own chair. No member of the panel from which the Faculty Hearing Committee for Dismissal Proceedings is chosen may serve on the Faculty Grievance Committee.

- a. The burden of proof that adequate cause exists rests with the institution and shall be satisfied by a fair preponderance of the evidence.
- b. The Hearing Committee will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
- c. The findings of fact and the decision will be based solely on the hearing record. The President and the faculty member will be notified of the Hearing Committee's decision in writing.
- d. Service of notice of hearing with specific reasons in writing will be made at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If a faculty member waives a hearing but, within these 20 days and in writing, denies the validity of the statement of reasons or asserts that the reasons do not support a finding of adequate cause, the Hearing Committee will evaluate all available evidence and rest its recommendations upon the evidence in the record.
- e. The Office of General Counsel, or its designee, may attend the hearing and provide guidance, direction, and advice on the hearing process.
- f. During the proceedings the faculty member will be permitted to choose as an advisor an academic colleague and/or legal counsel.
- g. At the request of either party or the Hearing Committee, a representative of a responsible professional association in higher education shall be permitted to attend the proceedings as an observer.
- h. The hearing or hearings will be recorded, and a written report will be made available to the faculty member and to the President.
- i. The Hearing Committee will grant adjournments of specified length to enable either party to investigate evidence as to which a valid claim of surprise is made as determined by the Hearing Committee.
- j. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the institution will, insofar as it is possible for it to do so, cooperate in obtaining such witnesses and make available necessary documents and other evidence within its control.
- k. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the Hearing Committee determines that the interests of justice require admission of that witness' statement, the Committee will identify the witness, disclose the witness' statement, and if possible provide the opportunity for the faculty member or administration to pose written questions of the witness, preferably in advance of the hearing.
- l. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
- m. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including any consideration by the Board of Trustees.

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

D. Action by the Board of Trustees

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

E. Suspension

1. During the interval between notice of intent to dismiss and the final decision on termination of an appointment, a faculty member may be suspended only if (in the judgment of the Provost) immediate harm to self or to others is threatened by the ongoing presence of the faculty member within the college community. Before suspending a faculty member, the administration must consult with the Faculty Grievance Committee. Suspension is appropriate under this provision only during the interval specified, and full salary will continue during the suspension period.
2. Suspension with or without salary for a stated period may be a legitimate lesser measure than dismissal which may be recommended by the Hearing Committee.
3. In cases not referred to in 1. and 2. above, after consultation with the Advisory Committee on Faculty Personnel Policies by the Provost or President, a faculty member may be suspended, with continuance of salary, when immediate harm to self or others is threatened by the ongoing presence of the faculty member within the college community; for example, on account of illness or recovery from illness.

F. Terminal Salary or Notice

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

G. Academic Freedom of Faculty

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

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

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

In either case, once the report from the Faculty Grievance Committee has been submitted, a final decision as to whether the faculty member's academic freedom has been violated will be made by the President.

3. A faculty member may present charges in writing of other alleged violations of academic freedom to the Faculty Grievance Committee. (See section I., below)

H. Administrative Personnel

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

I. Faculty Grievance Committee and Grievance Procedure

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

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

consideration thereof. If the Committee determines that the petition should be investigated, petitioners to the Faculty Grievance Committee:

1. are entitled to a timely hearing at a mutually agreed upon date, particularly in matters pertaining to non-reappointment.
2. have the right to present their grievance in person before the committee.
3. should be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration of the institution will, consistent with College policies on confidentiality, cooperate in obtaining such witnesses and make available necessary documents and other evidence within its control.
4. should be afforded an opportunity to confront and cross-examine all witnesses. Where a witness cannot or will not appear, but the Grievance Committee determines that the interests of justice require admission of the witness' statement, the Committee will, if possible, identify the witness, disclose the statement, and provide for interrogatories.

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

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

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

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

J. Procedure for Complaints against Faculty Members

Normally, complaints against faculty members other than harassment and Title IX violations, which have their own procedures, are handled informally. If direct informal discussions fail to resolve the issue satisfactorily, the assistance of an outside mediator can be secured through the Office of the Provost if the parties involved agree.

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

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

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

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

COLBY COLLEGE POLICY STATEMENTS

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

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

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

The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, the teacher should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As a person of learning and an educational officer, the teacher should remember that the public may judge the teaching profession and the educational institution by the teacher's utterances. Hence the teacher should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that the teacher is not an institutional spokesperson.

Academic Tenure. After the expiration of a probationary period teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies or due to the teacher's/instructor's inability to perform the essential functions of his/her position with or without accommodation.

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

- A. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
- B. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that this new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the

normal maximum of seven years. Notice (written) should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.

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

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

II. POLICY STATEMENT ON NON-DISCRIMINATION

Colby is a private, coeducational liberal arts college that admits students and makes personnel decisions on the basis of the individual's qualifications to contribute to Colby's educational objectives and institutional needs. The principle of not discriminating on the basis of race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs, veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job or course of study requirements is consistent with the mission of a liberal arts college and the law.

As part of its policy of providing equal employment opportunities to qualified individuals with physical or mental disabilities, and prohibiting discrimination on the basis of disability, Colby will make reasonable accommodations for disabled applicants and qualified employees to ensure equal opportunity in the application process, to enable employees to perform essential job functions, and to enable disabled employees to enjoy the same benefits and privileges of employment that are enjoyed by other employees.

Any faculty member who requires an accommodation because of a disability, should direct requests for accommodation to Provost. You may be asked to provide supporting documentation from your health care provider, your input on the type of accommodation you believe may be necessary and/or the functional limitations caused by your disability. Also, when appropriate, we may need your permission to obtain additional information from your physician or other medical or rehabilitation professionals. Your cooperation is expected, and without it, your request for accommodation may be denied. Please be assured that Colby will maintain all medical information and requests in a confidential manner.

The Uniformed Services Employment and Reemployment Rights Act (USERRA) protects the job rights of individuals who voluntarily or involuntarily leave employment positions to undertake military service or certain types of service in the National Disaster Medical System. USERRA also protects employers from discriminating against past and present members of the uniformed services, and applicants to the uniformed services. For more information, please see the USERRA rights notice maintained in the Human Resources Office.

III. EMPLOYEE CODE OF CONDUCT

Colby College is committed to operating lawfully. In addition, we value ethical behavior, individual responsibility, and integrity. All employees are expected to behave responsibly and comply with all Colby policies, as well as applicable state, federal or local laws, ordinances, and regulations.

If you encounter or become aware of work-related behavior that is unlawful or you suspect actions are inappropriate, you must alert the Provost or the Director of Human Resources. You may make an anonymous report.

Retaliation against a staff or faculty member who makes a good faith report of wrongdoing is prohibited. While reports are expected to be made in good faith and should not be an outlet for vindictive or malicious charges that have no basis in fact, the College always wants to know if an employee feels she/he is being subjected to illegal treatment; or required to engage in any illegal activity; or is aware of any illegal practice.

IV. POLICY ON CONSENSUAL RELATIONSHIPS WITH STUDENTS

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

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

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

For these reasons, it is a violation of College policy for any faculty member, academic administrator (e.g., library director, athletics director) or academic staff member (e.g., laboratory instructors, assistant coaches, secretaries, language assistants, applied music associates) to engage in an amorous, dating, or sexual relationship with a student. It is also a violation of College policy for any officer, other administrators or staff members of the College to engage in an amorous, dating, or sexual relationship with a student.

Anyone violating this policy is subject to disciplinary action, up to and including suspension or dismissal from the College.

Possible violations of this policy should be brought to the attention of the Provost, the Dean of the College, the department chair, and/or the equal opportunity officer.

V. POLICY STATEMENTS ON OPEN ACCESS

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

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

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

- B.** As a matter of College policy, all campus organizations and College-sponsored events are open to the full participation of all members of the Colby community without regard to race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs, veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job. Exceptions to this policy may be granted, for compelling reasons only, by mutual agreement of the Provost and the Academic Affairs Committee (AAC), or, in the case of student-sponsored events, by mutual agreement of the Provost, the Dean of the College, and the College Affairs Committee.

C. Unauthorized Entry or Occupancy of College Property

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

VI. HARASSMENT AND SEXUAL MISCONDUCT POLICY AND COMPLAINT PROCEDURES

The College is committed to assuring a welcoming, safe, and equitable campus community for all. This policy prohibits harassment and sexual misconduct (including sexual misconduct not covered by Title IX) as outlined below.

Harassment

Harassment based on any protected category, including race, color, age, sex, sexual orientation, gender identity, pregnancy, religion, national or ethnic origin, disability, military status, or genetic information is an affront to the target of such harassment and degrades the classroom, social, or workplace environment; harassment, as defined below, is therefore prohibited.

Harassment includes conduct specifically directed at an individual or a group of individuals and expresses hatred or contempt on the basis of stereotyped group characteristics or because of a person's identification with a particular group. Harassment also includes any action or speech directed toward members of the protected category that reasonably can be determined to be threatening in content or is spoken in a manner that suggests violence toward such persons is

imminent. Harassment is deemed to have occurred when harassing conduct is sufficiently severe, pervasive or persistent that it interferes with or limits a student's or employee's ability to participate in or gain the privileges of programs and services of the College.

Because of the uncertainty as of the date of this publication regarding the scope and breadth of gender-based harassment as a matter of federal law, the following section includes a definition and explanation of prohibited gender-based harassment at Colby College. Specifically, such gender-based harassment includes harassment based on a person's actual or perceived gender, sex, sexual orientation, gender identity or expression, or gender stereotypes which may include acts of aggression, intimidation, or hostility, whether verbal or non-verbal, graphic, physical, or otherwise, even if the acts do not involve conduct of a sexual nature, when the conditions outlined in (i) and/or (ii), below, are present.

i) Submission to or rejection of such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, academic standing, or participation in any Colby programs and/or activities, or is used as the basis for Colby decisions affecting the individual (often referred to as "quid pro quo" harassment); or

ii) Such conduct creates a hostile environment. A hostile environment exists when the conduct is sufficiently severe, persistent, or pervasive that it unreasonably interferes with, limits, or deprives an individual from participating in or benefiting from the College's educational or employment programs and/or activities. Conduct, which can include expression—that is, verbal statements rising to the level of sexual harassment—must be deemed severe, persistent, or pervasive from both a subjective and an objective perspective. In evaluating whether a hostile environment exists, Colby will consider the totality of the known circumstances, including, but not necessarily limited to:

1. The frequency, nature, and severity of the conduct;
2. Whether the conduct was physically threatening;
3. The effect of the conduct on the Reporting party's mental or emotional state;
4. Whether the conduct was directed at more than one person;
5. Whether the conduct arose in the context of other discriminatory conduct;
6. Whether the conduct unreasonably interfered with the Reporting party's educational or work performance and/or College programs or activities;
7. Whether the conduct unreasonably interfered with the Reporting party's educational opportunities or performance (including study abroad), university-controlled living environment, work opportunities or performance;
8. Whether the conduct was humiliating; and
9. Whether the conduct implicates concerns related to academic freedom or protected expression.

Harassment in the Classroom

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

Sexual Misconduct

The following types of sexual misconduct are prohibited at the College:

- **Sexual Exploitation** is any abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another. [Sexual Exploitation](#) includes, without limitation, causing or attempting to cause the incapacitation of another person in order to gain a sexual advantage over that person; causing the prostitution of another person; electronically recording, photographing, or transmitting intimate or sexual utterances, sounds or images of another person; allowing third parties to observe sexual acts; engaging in voyeurism; distributing intimate or sexual information about another person; and/or knowingly transmitting a sexually transmitted infection, including HIV, to another person.

Note: Colby's prohibition of Sexual Exploitation is not intended to prohibit the use of legal sexually explicit materials that are reasonably related to Colby's academic mission. Specifically, this section is not intended to proscribe or inhibit the use of sexually explicit materials, in or out of the classroom, when in the judgment of a reasonable Colby faculty member they arise appropriately to promote genuine discourse, free inquiry, and learning.

- **Intentional Non-Consensual Contact** is any contact, not otherwise defined as "Sexual Assault" in Colby's Title IX Policy, with intimate body parts (genitalia, breasts, anus, groin, buttocks) without the other person's consent.
- **Jurisdictional Sexual Misconduct** is any conduct that would otherwise qualify as a Title IX violation which occurs outside of the United States or in the United States, but in a non-College education program or activity or on non-College owned, managed or controlled property.
- **Title IX Sexual Misconduct** consists of specific types of sexual misconduct identified as a matter of federal law (Title IX) as constituting sexual harassment and sexual misconduct. Colby's Title IX Policy prohibits those acts too. For more information, please see the [policy](#).

Any action with the purpose of aiding, facilitating, promoting, or encouraging the commission of any act prohibited by this policy is a violation of this policy.

Procedures for Reports Against a Student or Involving a Student

Harassment by a student of another student, a faculty member, a staff member, a volunteer, or a third party (in circumstances directly affecting the College community) is a violation of Colby's Code of Student Conduct and should be reported to the Office of Student Conduct and Accountability. The Student Disciplinary Procedures set forth in the [Colby Student Handbook](#) will apply to the report.

Sexual harassment involving a student that falls under Title IX will follow the College's Title IX policies and procedures, and should be reported to the Title IX Coordinator.

Procedures for Reports of Harassment Against a Faculty or Staff Member

Reports against faculty or staff members should be made to the College's Director of Recruitment and Employment (Cora Clukey, 859-5511).

Complaints may also be filed with the Maine Human Rights Commission, 207-624-6290, 51 State House Station, Augusta, ME 04333.

Procedures for Reports of Title IX Harassment Against a Faculty or Staff Member

Sexual harassment that falls under Title IX involving a faculty or staff member will follow the College's [Title IX policies and procedures](#), and should be reported to one of the following individuals:

- Title IX Coordinator (Meg Hatch, 859-4266)
- Deputy Title IX Coordinator for Faculty (Carol Hurney, 859-4787)
- Deputy Title IX Coordinator for Athletics (Cassie Runksmeier)
- Deputy Title IX Coordinator for Staff (Cora Clukey, 859-5511)
- Deputy Title Coordinator for Admissions (Molly Hodgkins, 859-4816)

Complaints may also be filed with the Maine Human Rights Commission, 207-624-6290, 51 State House Station, Augusta, ME 04333.

Retaliation Prohibited

Colby prohibits retaliation against anyone who makes a good faith report of conduct in violation of Colby's discrimination or harassment policies. Further, Colby will not tolerate retaliation against any employee who, in good faith, cooperates in the investigation of such conduct.

VII. POLICY STATEMENT ON DRUG/ALCOHOL USE/ABUSE

Controlled Substances/Drugs

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

Alcohol

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

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

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

See Appendix IX, Drug-free Schools and Communities Act.

VIII. POLICY STATEMENTS ON CONFLICT OF INTEREST FOR FACULTY MEMBERS

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

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

1. The faculty members of Colby College shall exercise the utmost good faith in all transactions touching upon their duties to the College and its property. In their dealings with and on behalf of the College, they shall be held to a strict rule of honest and fair dealings between themselves and the College. They shall not use their positions or knowledge gained there from in such a way that a conflict might arise between the interest of the College and that of the individual.
2. All acts of such persons shall be for the best interest of the College.
3. Such persons shall not accept any gifts, favors, or hospitality that might influence their decisions or actions affecting the College.

REQUIRED DISCLOSURES

4. Although it is recognized that a degree of duality of interest may exist from time to time, such duality shall not be permitted to influence adversely the decision-making process of the College. To this end, in the event any person subject to this policy shall be called upon to consider a transaction involving (1) the College and such individual or a member of his or her family or other interested persons, or (2) the College and an organization with which such individual is "affiliated," that individual shall make a full disclosure of all facts concerning an interest or involvement in such transaction and/or such organization before that transaction is consummated. Such individual shall also refrain from participation in the College's consideration of the proposed transaction. A transaction in which a faculty member has a conflict of interest maybe authorized, approved or ratified by the College only if 1) the material facts of the transaction and faculty member's interest are disclosed or known to the Trustees or the committee considering the transaction. 2) the transaction is fair and equitable to the College as of the date on which it is authorized, approved or ratified, and 3) the transaction receives the affirmative vote of a majority of the Trustees or the committee considering the transaction who have no direct or indirect interest in the transaction: but no transaction maybe approved by a single Trustee or committee member.
5. Some faculty members may qualify as Key Employees or Interested Persons (as those terms are defined by the IRS). Please review Article XI or the By-Laws. If you are uncertain whether you fall within one of these categories, please contact the Office of General Counsel (X4609). In addition, each faculty member having an administrative responsibility shall notify the appropriate official (specified in the final paragraph of this policy statement) immediately if such conflict, real or potential, should arise while said person is affiliated with the College.
6. The President may also require disclosure from time to time from other employees or faculty members when, in the opinion of the President, and by virtue of such persons' respective duties and responsibilities, the College should receive a continuing disclosure of such outside relationship and business affiliations.
7. For purposes of this policy, the individual is affiliated with an organization (including without limitation corporations, limited liability companies, partnerships, and trusts) if he or she or a member of his or her family (i.e., his or her spouse, ancestors, children, grandchildren, great-grandchildren, siblings, and the spouses of children, grandchildren, great-grandchildren, and siblings):

- a. is an officer, director, trustee, partner, employee, or agent of such organization; or
 - b. is either the actual or beneficial owner of more than five percent (5%) of the voting stock or control interest of such organization; or
 - c. has any other direct or indirect dealings with such organization from which he or she knowingly is materially benefited. For purposes of this subparagraph, it shall be presumed that a person is “materially benefited” if he or she received directly or indirectly cash or other property (exclusive of dividends and interest) in excess of \$250 in any year in the aggregate.
8. All disclosures required to be made under this policy by any faculty member shall be directed in writing to the President. All known violations, disputes and other issues arising out of the application of this policy to all faculty members shall be referred to the President for appropriate action.

REQUIRED REPORTING

9. In addition to providing the required timely disclosure in this policy, some faculty members may be required to provide written reports or certificates regarding specific transactions. The following persons shall complete and sign a certificate of compliance in which they disclose all their relationships and business affiliations that reasonably could give rise to a conflict of interest involving the College:
- a. Current or Former Trustees, College Officers, Interested Persons and Key Employees shall complete a certificate annually; and
 - b. College administrative staff members and faculty members having administrative responsibilities (including department) shall complete a certificate every third year.
10. Trustees and officers, including the President and Vice Presidents, are governed by the Conflict of Interest and Reportable Transactions Policy in Article IX of the College's By-Laws.
- B.** Examples to illustrate the preceding policy: A potential conflict of interest occurs whenever any person who is performing in an official, institutional capacity has the power of choice among options, at least one of which may affect his or her own welfare, the welfare of a member of his or her own family, or the welfare of a partner.

For example, a potential conflict of interest arises when:

- 1. a member of a search committee participates in a hiring decision in which one of the job candidates is a spouse, partner, or family member.
- 2. a faculty member's grant proposal for equipment or summer money is evaluated by a spouse, partner, or family member, or by the faculty member him/herself.
- 3. a member of the Committee on Promotion and Tenure is married or otherwise related to, or is a non-marital partner of a candidate likely to be considered for promotion or tenure within the next two years; or similarly, when a member of the Committee on Promotion and Tenure is to be a candidate for promotion within the next two years.
- 4. a department head is responsible for evaluating department members, one of whom is a spouse, partner, or family member.
- 5. a faculty member participates in departmental committee work or policy discussions that affect a spouse, partner, or family member.

Because it is impossible to anticipate every circumstance in which a potential conflict of interest may arise, no list of remedies can be definitive. In most instances the appropriate cure for potential conflict of interest is recusal from the relevant decision-

making process. In circumstances where recusal is not feasible, other remedies must be sought to minimize potential conflict of interest. In each case, the costs to the College of having a person withdraw from the decision-making process must be weighed against the benefits of reducing potential conflicts of interest.

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

IX. POLICY LIBRARY

Additional College policies may be found in the Policy Library at the web site of the Office of General Counsel (<https://www.colby.edu/generalcounsel/colby-policy-library/>).

ADMINISTRATIVE ORGANIZATION OF THE COLLEGE

I. GOVERNMENT OF THE COLLEGE

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

II. ADMINISTRATIVE STRUCTURE

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

III. DEPARTMENTS OF STUDY

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

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

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

- A. Current Chairs
- B. Anyone with a full or joint appointment in the department.

- C. Anyone who is on the advisory committee AND is teaching a "key course." Key courses are designated by department chairs from:
 - 1. courses in the core that are not simply prerequisites for other courses
 - 2. electives that play a special role in the department because of both content and the number of students in the department who take them.
- D. Anyone on the interdisciplinary advisory committee (or for Women's, Gender, and Sexuality Studies, department faculty) who advises students.
- E. For Women's, Gender, and Sexuality Studies, the Coordinating Committee.

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

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

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

IV. ACADEMIC DIVISIONS

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

A. The Division of Humanities including the Departments of

- 1. Art
- 2. Classics
- 3. East Asian Studies
- 4. English including Creative Writing
- 5. French and Italian
- 6. German and Russian
- 7. Libraries
- 8. Music
- 9. Performance, Theater, and Dance
- 10. Philosophy
- 11. Religious Studies
- 12. Spanish

B. The Division of Social Sciences including the Departments of

- 1. Anthropology
- 2. Economics

3. Government
4. History
5. Psychology
6. Sociology

C. The Division of Natural Sciences including the Departments of

1. Biology
2. Chemistry
3. Computer Science
4. Geology
5. Mathematics
6. Physics and Astronomy
7. Statistics

D. The Division of Interdisciplinary Studies including Departments in

1. African-American Studies
2. American Studies
3. Cinema Studies
4. Education
5. Environmental Studies
6. Global Studies (Program)
7. Jewish Studies
8. Latin American Studies (Program)
9. Science, Technology, and Society
10. Women's, Gender, and Sexuality Studies
11. Writing

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

V. VISITING COMMITTEES

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

Visiting Committees are typically composed of two members of the Board of Visitors and three outside academic experts, who spend two to three days at Colby, during which time they meet with the staff of the department, as well as with representative students and appropriate members of the administration. Each Visiting Committee is chaired by one of the outside academic experts.

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

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

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

VI. COMMITTEES OF THE COLLEGE AND OF THE FACULTY: FUNCTION AND MEMBERSHIP

A. The following principles define Colby's sense of shared governance:

1. The more central an issue is to the college's sense of intellectual community, the more central the faculty role should be in deciding the issue. While everything that goes on at the College affects the intellectual community, some aspects of campus decision-making (e.g. academic regulations) are more central than others (e.g. dining services). The centrality of College concerns falls on a continuum and the involvement of the faculty in decisions should parallel that continuum.
2. A system of shared governance involves clear expectations for participation by everyone, which include:
 - a. Equity in opportunities to participate;
 - b. Elections to most positions, especially those most central to the faculty role;
 - c. General agreement that all faculty members have a responsibility to participate in shared governance. All tenure-track and continuing faculty members are eligible for committee service.
 - d. Fairness and equal treatment for all candidates for promotion and tenure.
3. Rules that treat all members of the community with equity across all communities of the College. Students and staff play a valuable role in governing the College and additional opportunities for their engagement would be welcome.
4. Regular and effective communication among faculty, students, administration, and staff is a necessary component of any meaningful and productive governance structure, both formally and informally.
5. Timing is often an important component of taking advantage of opportunities, and a strong governance system is nimble and adaptable.

B. Standing Committees. Standing committees at Colby College are of two sorts: Committees of the College concerned with matters of interest to all constituencies, and, therefore, including students and sometimes graduates as members in addition to faculty and administrative staff; and Committees of the Faculty, concerned with matters primarily of interest to the faculty itself and drawing membership mainly from the faculty. In addition, there may be task forces appointed to deal with special problems, or subcommittees designated by existing committees for the same purpose. Membership of

subcommittees need not be drawn from the parent committee. Task forces are an efficient means of studying particular problems; task forces should be provided with strict guidelines and expectations as to how their work should be conducted and when their report and recommendations should be submitted (normally within one academic year).

The committees, both Committees of the College and Committees of the Faculty are organized into five categories:

1. The first group is comprised of those committees that deal with policy areas in which the faculty plays the most central role, i.e. those committees whose subject matters are closest to the intellectual life of the community;
2. The second group is comprised of committees that deal with areas in which the faculty clearly has a stake, but which are somewhat less central to its primary concerns;
3. The committees in the third group are those in which the faculty has an advisory role, though the decision-making locus resides elsewhere;
4. The fourth group committees perform primarily a judicial function;
5. The committees in the fifth group are primarily service committees, including advisory committees to Centers and similar organizations, for which special expertise is often required.

The fourth category above recognizes that some committees have judicial rather than policymaking roles; accordingly, the principle for selecting members of those committees is to create an unbiased group of faculty who would serve to hear specific cases. As is the case with jury duty, those serving on these committees will be drawn at random from the pool of eligible faculty. Eligibility would vary from situation to situation (see Committee List below).

Each committee will have an elected faculty chair, with experience on the committee when possible, unless otherwise specified. The responsibilities of the faculty chair of a committee include the following.

1. To organize and lead all meetings of the committee and to ensure that the committee meets at least twice during the course of the academic year.
2. To ensure that minutes from each committee meeting are provided to the Provost's office for posting within a reasonable time frame (e.g. two weeks), unless the work of the committee is confidential.
3. To communicate with other committee chairs or the Steering Committee when the committee generates any proposals or motions.
4. To ensure that a written summary report of the committee's work is provided to the May faculty meeting and the Provost's office for posting.

Each committee will meet once in the spring, following elections and appointments, to elect a chair and to set up the schedule of meetings for the next year; it is the responsibility of the outgoing chair of each committee to convene this organizing meeting. However, the new committee does not assume responsibility until July 1.

Under the Bylaws, the President and Provost are members *ex officio* of all committees except the Faculty Grievance Committee and the Hearing Committee for Dismissal Proceedings.

C. The Nomination Process

A call for nominations (including self-nominations) normally will be sent by the Provost's office via electronic mail to all faculty members at least 10 days prior to the beginning of any faculty election.

With regard to the Division of Interdisciplinary Studies, the one-person/one-vote rule will apply so that a faculty member cannot run for election representing two different divisions, nor vote in the election for Division Chair in two different divisions; a faculty member cannot change divisions when he or she is serving a term as an elected divisional representative. For election purposes, a faculty member desiring to change divisional affiliations in future years can do so only at the end of his or her term of service as a divisional representative, and he/she must notify the chairs of both divisions so affected. This transition may take place during a faculty member's last semester of service, so that he/she can be relocated on the ballot for the following year.

The Preliminary Ballot will be prepared by the Office of the Provost under instructions from the Faculty Steering Committee. It will appear on the Provost's webpage under the heading "Faculty Elections." This page will be updated periodically by the Office of the Provost as candidates are added or withdrawn. Candidates will be listed under the committee(s) for which they are running.

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

Elections will be held in three cycles, with election to the Committee on Promotion and Tenure, as Division Chair, and to the Faculty Steering Committee held in March, to the A-level committees held in early April, and to the remaining committees held in late April or early May, depending on the College Calendar. At least ten days in advance of each election period, a call for nominations by email will be sent to faculty by the Office of the Provost. A complete listing of the continuing membership of all committees will appear on the web.

Nominations will be accepted in the Office of the Provost until noon of the Friday prior to the Monday on which a faculty election begins. Nominations sent to the Office of the Provost must be accompanied by each nominee's confirmation to the Office of the Provost. The final ballot will include only those nominees who have agreed to run for election.

In addition to the electronic call for nominations, members of the Faculty Steering Committee will solicit candidates.

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

D. The Election Process

1. Final ballots will contain a listing of the current membership of each committee for which a vote is taking place.
2. Elections for the members of the Committee on Promotion and Tenure will be held in March to allow people elected to the committee the time to rearrange their teaching and committee schedules. All tenured faculty not currently serving (or in a department from which two members are already serving) will be considered eligible to be on the ballot for election to the Committee on Promotion and Tenure. Faculty who provide a substantive reason to the Faculty Steering Committee may be excused from the ballot, at the Steering Committee's discretion. If a faculty member has a personal reason for seeking excusal that he or she wishes to remain confidential, that faculty member may so inform the Provost who will convey her excusal of that faculty member to the Faculty Steering Committee. Requests for excusals from faculty who fall in any one of the following categories will be honored except for in unusual circumstances:

- a. Faculty within three years of receiving tenure and promotion to associate professor;
- b. Faculty within two years of rotating off the Promotion and Tenure Committee;
- c. Faculty who have served six years on the Promotion and Tenure Committee

The Preliminary Ballot of the Committee on Promotion and Tenure will be on the web page ten days prior to the March meeting. The Office of the Provost will issue a reminder before the March faculty meeting about the upcoming elections. The final ballot of the Committee on Promotion and Tenure will appear the Friday following the March faculty meeting. The elections will take place on the following Monday noon until Wednesday noon.

- 3. The nominating process for the A level committees will begin after the results of the election for the Committee on Promotion and Tenure, Division Chair, and the Faculty Steering Committee have been announced, and the election will be held from the Monday, noon, through Wednesday, noon, at least ten days after the nominating process has opened. Similarly, so that faculty can know their commitments in advance, the nominating and election processes for the remaining committees will begin after the results of the A level committees have been announced.
- 4. Voting for committees other than the Committee on Promotion and Tenure will be done electronically, using the Single Transferable Vote (STV) method of voting (also known as the Instant Run-off system). Under this system, if more than two candidates are contesting for a single position, those casting votes will rank the candidates (1 for first choice, 2 for second, etc.). In counting the votes, the first place votes for each candidate will be counted. If no candidate receives a majority, the lowest ranking candidate will be dropped and his/her votes will be redistributed to the candidate each voter ranked second. If a candidate then has a majority, that candidate will be declared elected. If no candidate has a majority, the procedure will be repeated until a majority is attained.
- 5. If there is a tie for a position on the Committee on Promotion and Tenure, a run-off will be held prior to the April faculty meeting. The winner of the run-off election will serve on the Committee and the runner-up will serve as first alternate. The second alternate will be the person who was runner-up to the tied candidates from the March election. If there is a tie for the second alternate position, a run-off election will be held.

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

- 6. Faculty members on leaves do not serve on committees. They are replaced during their sabbatical term and resume their committee service term upon return.
- 7. In case of prolonged network problems, a statement will be issued by the Office of the Provost outlining the new time frame or elections by paper ballots.
- 8. By majority vote the faculty can order an election by paper ballot.
- 9. When a College or Faculty Committee, excluding the Promotion and Tenure Committee, has a vacancy in an elected faculty position, the Provost, in consultation with the Faculty Steering Committee, shall appoint a faculty member meeting the qualifications of the vacant position. Such appointments will terminate at the end of the academic year.
- 10. Election of Division Chairs. Any faculty member holding either a tenure-track or non-tenure track continuing position is eligible for election as division chair. In the case of

Interdisciplinary Studies, faculty significantly involved in a department are eligible, if they have decided to vote with the Interdisciplinary Studies division. Division chairs serve for three-year terms and are members of the Faculty Steering Committee. Faculty members who are willing to serve as Division Chair should nominate themselves through the Provost's Office. The final ballot will be distributed to all voting members of the division for a vote at the time of the March faculty elections, for a three-year term to begin the following July 1.

E. Term Lengths

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

F. Guidelines for Committee Service

In the list of committees, some committees are labeled A level committee to designate committees that often require a regular or extensive time commitment; these include the following: Academic Affairs Committee, College Affairs Committee, Committee on Promotion and Tenure, Committee on Mission and Priorities, Faculty Steering Committee, and any ad hoc task forces or other special committees created by the faculty or the President.

When considering appointments for all-College and faculty committees, the Faculty Steering Committee and any other appointing bodies or individuals should be guided by the following.

1. The all-College service responsibilities for a tenured faculty member should not normally exceed one major committee assignment or two minor committee assignments in any given year. This standard, along with the faculty member's other departmental responsibilities should be considered when making an appointment.
2. The all-College service responsibilities for pretenure faculty, non-tenure track continuing faculty, faculty head coaches, and faculty librarians, should not normally exceed one committee assignment, of either type, in any given year after the first year of employment. This standard, along with the individual's other departmental responsibilities should be considered when making an appointment.
3. Before asking faculty members to accept appointments to all-college or faculty committees, the Faculty Steering Committee should take into account departmental and other service that the faculty member has been engaged in; those members of the faculty who have signed retirement agreements may be excused from all committee service.

For most situations, the above guidelines should constitute strong advice to the Faculty Steering Committee. Extraordinary circumstances, combined with the willingness of the individual to participate in College governance, may justify an appointment that exceeds these guidelines.

When a member of the Colby community is appointed to an all-College or faculty committee, the expectation is that that faculty member will serve. Faculty members who

wish to be excused from service after an appointment has been made must provide a justification to and obtain approval from the Faculty Steering Committee. If a faculty member has a personal reason for seeking excusal that he or she wishes to remain confidential, that faculty member may so inform the Provost who will convey her excusal of that faculty member to the Faculty Steering Committee.

While serving, a committee member is expected to participate fully, including making every reasonable effort to attend meetings, participate in discussions, and assist in completing the committee's business.

G. Committees of the College

Committees are listed according to the grouping noted above. Committees of the College are those that include student members; others are Faculty Committees or Advisory Committees. Under "membership" only voting members are listed; others may be regularly invited to meetings and will serve as members without vote.

Most voting faculty members of College Committees are elected by the faculty. Divisional representation will only be used for those committees that deal with issues on which members of the four divisions are seen to have different perspectives; other committees will be elected at large, by rank. Faculty librarians and faculty head coaches will have reserved slots for appropriate committees and will be able to run for or express interest in being appointed to other committees.

The Faculty Steering Committee will make appointments to some committees in order to expand expertise and the opportunity for more equitable participation for faculty members who were not elected (committees with possible appointed members are noted in the committee list below).

Each committee with student members will designate a student vice chair, elected by the committee. The committee may decide to make the vice-chair the "co-chair."

Each College committee should determine whether or not it will invite any individual to sit with the committee as guest members. A guest member is any person who is approved by majority vote of the committee, who attends meetings, who is regularly sent minutes, and who may participate in committee discussions as a resource person. Guests will be permitted to speak on issues under review when called upon by the chair or any other member of the committee. Guests will not vote and may originate committee action only by submitting agenda items to the chair or vice chair.

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

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

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

H. Central Faculty Role

1. Faculty Steering Committee (A)

The Faculty Steering Committee, chaired by the Provost, advises the President and the Provost on matters on which either of them wish to have timely faculty input. This committee, in monthly meetings with the President, sets the agenda for the Faculty Meeting. In addition, the Steering Committee serves as the nominating committee for faculty elections, fills vacancies that occur when elected members leave committees, appoints members of those committees for which appointed members are

designated, reviews excusal requests, and considers any changes that it deems necessary to the committee system.

The Division Chairs, without the additional two members, meet as a discrete group to advise the Provost and President on the allocation of faculty positions; they also review applications for divisional research grants and for travel and sabbatical leaves, and meet with Visiting Committees.

Composition: The Provost, the Associate Provost for Academic Programs, the four Division Chairs, and three additional elected members of the faculty: one tenured, one pretenure, and **one non-tenure track continuing**, elected for three-year terms from any division by the normal faculty procedures.

2. Committee on Promotion and Tenure (A)

Acts as an advisory committee to the Provost and the President on nominations for promotion and tenure; forwards its votes to the President with the reasons for acceptance or rejection of departmental recommendations.

Membership: the Provost as chair, without vote; 10 tenured faculty, 3 each from the Humanities, the Natural Sciences, and the Social Sciences divisions and one from the Interdisciplinary Studies division, elected for 3-year rotating terms. In any given year, no more than two members affiliated with a single department may serve on this committee. Election to this Committee is for a 3-year term, no matter how few or many of the years of that term are served by the original electee. When a 3-year term is ended, the original electee can claim one year's hiatus from eligibility for re-election.

All tenured faculty not currently serving (or in a department from which two members are already serving) will be considered eligible to be on the ballot for election to the Committee on Promotion and Tenure. Faculty who provide a substantive reason to the Faculty Steering Committee may be excused from the ballot, at the Steering Committee's discretion. If a faculty member has a personal reason for seeking excusal that he or she wishes to remain confidential, that faculty member may so inform the Provost who will convey her excusal of that faculty member to the Steering Committee.

Requests for excusals from faculty who fall in any one of the following categories will be honored except for in unusual circumstances:

- a. Faculty within three years of receiving tenure and promotion to associate professor;
- b. Faculty within two years of rotating off the Promotion and Tenure Committee;
- c. Faculty who have served six years on the Promotion and Tenure Committee

3. Committee on Mission and Priorities (A)

The Committee on Mission and Priorities (CMP) ensures that Colby's planning and priority setting benefits from broad input and consultation and furthers the College's mission. The Committee is advisory to the President, who serves as CMP's chair. The Committee's work will inform and be informed by the work of other College committees. It differs from most committees in taking a long-term view of priority and planning, in looking across the College to consider areas of need as well as opportunities for excellence, and in ensuring that programmatic priorities and the College's financial strategy are aligned.

Composition: Six elected faculty members, one from each of the four academic divisions, one from athletics and one faculty librarian; two faculty members appointed by the President, after consultation with the Faculty Steering Committee; two students

appointed by the president in consultation with the Student Government Association; four senior officers of the College; and one staff representative. The committee is chaired by the President.

4. Academic Affairs Committee (A)

The Academic Affairs Committee will oversee the curriculum and all educational policy.

Composition: The Provost and the Associate Provost for Academic Programs (one of whom chairs the committee); five faculty members, one from each division, one appointed by the President upon recommendation by the Faculty Steering Committee; an elected faculty librarian; and four students. The Registrar (or designee) and the Dean of the College (or designee) are non-voting members of the AAC.

Subcommittees:

a. Independent Majors Committee

The Independent Majors Committee, a separately chosen sub-committee of the AAC, is in charge of approving independent majors and Senior Scholar Projects. Any policy recommendations from this Committee reach the faculty through the AAC.

Composition: The Associate Provost for Academic Programs; four faculty members elected by division; the Dean of the College (or designee) and the Registrar (or designee) will serve as non-voting members.

b. Writing Across the Curriculum Committee

The Writing across the Curriculum Committee, a sub-committee of the AAC, advises the chair of the Writing Department and suggests changes in the Writing Across the Curriculum Program to the AAC.

Composition: The Associate Provost for Academic Programs; four faculty members elected by division; an appointed member who has experience in teaching a writing intensive course; the chair of the Writing Department; the chair of the Writers Center (non-voting); and the Multilingual Writing Specialist (non-voting).

c. Off-Campus Study Advisory Committee

The Off-Campus Study Advisory Committee develops and recommends policy regarding foreign and domestic off-campus study to the Academic Affairs Committee and coordinates the work of the departmental liaisons to the Office of Off-Campus Study; meeting in executive session without students present, the committee makes recommendations for action on student applications referred to it by the director of Off-Campus Study and hears appeals from students who wish to contest the disposition of their applications for off-campus studies.

Composition: The director of Off-Campus Study; five elected faculty members, four elected by division and an elected faculty librarian; an appointed faculty member (optional); the Provost (or her representative); the Dean of Studies; the Registrar; the associate director of Off-Campus Study; and three students.

d. Subcommittee on Academic Schedule

The Subcommittee on Academic Schedule oversees the overall academic schedule to ensure that it meets the needs of students, faculty, and the institution. It makes recommendations to the AAC related to the course schedule, including the scheduling grid and the extracurricular zone.

Composition: The Provost (or designee); the Registrar; four elected faculty members, one from each division; the Dean of the College (or designee); and two students.

5. Committee on Standing

The Committee on Standing decides upon dismissal, probationary, or conditional status for students of low academic standing; considers applications for readmission following academic dismissal.

Composition: four faculty elected by division for six-year rotating terms, the Provost; and the Dean of the College. Non-voting members include the Vice President for Admissions and Financial Aid, the Registrar, and the Dean of Studies, who acts as secretary.

6. Advisory Committee on Faculty Personnel Policy

The Advisory Committee on Faculty Personnel Policies (ACFPP) serves as an advisory body to the President, the Provost, and the faculty on matters relating to faculty personnel policy.

Composition: Two tenured faculty members and one pretenure faculty member; two non-tenure track continuing faculty members; one faculty member appointed by the Faculty Steering Committee.

7. Faculty Course Evaluation Committee

The Faculty Course Evaluation Committee oversees the system of student evaluation of faculty and courses and formulates recommendations on policies and procedures to report to the Provost and the faculty at large.

Composition: Two tenured, one pretenure, and **one non-tenure track continuing** member of the faculty; one faculty member with expertise in psychometric scaling or behavioral data analysis, appointed by the Faculty Steering Committee; the director of Institutional Research (or designee) (nonvoting); the director of ITS (or designee) (non-voting); the Associate Provost for Academic Programs (non-voting).

8. Library Committee

The Library Committee advises the Director of the Colby Libraries on matters of policy and regulations governing library use by students and faculty, on facilities, and on library purchases.

Composition: The Director of Colby Libraries; the Director of Academic ITS; two other faculty librarians elected by the faculty for three-year terms; one faculty member elected from each of the four divisions; one appointed faculty member; and three students.

I. Faculty have a stake, but more equally shared with others

1. Administrative Committee

The Administrative Committee advises the President on administrative matters not primarily involving academic policy; considers and makes recommendations on requests for exemptions from College regulations; periodically reviews the College calendar and functions and structures of the committees of the College and recommends changes to the faculty meeting and to the Student Association; receives reports from the Committee on Standing on their decisions.

Composition: Three elected faculty, **one tenured**, one pretenure, and **one at-large**; one appointed faculty member; the Provost, the Dean of Studies; three students; the Registrar will serve as secretary without vote.

2. Budget Committee

The Budget Committee reviews the annual and projected budget with the administration before its presentation to the Board of Trustees. The committee makes suggestions to the administration as to the adequacy of budgetary provisions for College programs and activities in relation to the College's resources.

Composition: Three elected faculty members; two students; the Provost; the Vice President for Administration and Chief Financial Officer.

3. College Affairs (A)

The College Affairs Committee oversees the co-curricular program, and formulates and recommends policies concerning student life to appropriate bodies (e.g., to the Faculty and to the Student Government Association).

Composition: The Dean of the College; three elected faculty, **two tenured, one pretenure, and one at-large; one appointed faculty member**; one faculty head coach, elected by the faculty; five students.

4. Committee on Diversity and Inclusion

The Committee on Diversity and Inclusion meets regularly to discuss issues related to diversity and inclusion in all sectors of the Colby community: students, staff, administration and faculty. It makes recommendations related to community education, programming, and policies to be pursued by the appropriate bodies on campus. It can provide a public forum for the Colby community to engage with issues related to diversity and inclusion.

Composition: The Dean for Diversity, Equity, and Inclusion; the Director of the Gender and Sexual Diversity Program; an appointed member of the Admissions staff; three faculty members, two tenured and one pretenure; a faculty head coach, elected by the faculty; and four students.

5. Admissions and Financial Aid

The Admissions and Financial Aid Committee recommends and reviews admissions policy and is available to the Office of Admissions for consultation, advice, and support; recommends and reviews financial aid policy; and acts as an advisory group and sounding board to the Director of Financial Aid. (Note: Bunche Scholars and International Admissions are subcommittees).

Composition: Four elected faculty, **two tenured**, two pretenure, and **one at-large**; one faculty member appointed by the Faculty Steering Committee; four students; the Vice President and Dean of Admissions and Financial Aid.

6. Athletics Advisory Committee

The Athletics Advisory Committee provides general oversight and advice regarding planning, staffing, scheduling, policy-making and policy review for the Department of Athletics.

Composition: The Provost (or designee); the Director of Athletics; the Senior Women's Administrator from the department of Athletics; two additional faculty head coaches elected by the faculty; three elected faculty, **one tenured**, one pretenure, and **one at-large**; one faculty member appointed by the Faculty Steering Committee; three students; and the Dean of the College.

7. Information Technology Committee

The Information Technology Committee oversees strategic direction for the use of information technology at the College, making recommendations to other Committees or Administrative Officers as appropriate. This oversight involves review of significant

goals, programs, and policies, as well as the relation of these goals, programs, and policies to important choices involving hardware, software, infrastructure, staffing, and financial support.

Composition: The Director of ITS; the Registrar; four faculty members elected by division; one faculty librarian elected by the faculty; one faculty member appointed by the Faculty Steering Committee, and four students.

J. Faculty have advisory role but not decision-making

The faculty committees listed below, each of which is chaired by a faculty member, are primarily advisory. The charge of each committee is to meet at least twice a semester with the administrator in charge of the function on which they advise (and with such others as the chair of the committee or the administrator might suggest) to discuss faculty perceptions of how that office affects those areas of the College with which faculty are most centrally concerned, i.e. the intellectual community.

The committees shall be comprised of members who express interest in serving and are appointed by the Faculty Steering Committee. Each member will serve a three--year term, so that expertise can be acquired. The committees will range in size from three to eight faculty members, drawn from all categories of faculty appointments, with tenured and untenured represented and with divisional representation as deemed appropriate by the Steering Committee. The role of the Steering Committee is to afford faculty members the opportunity to serve in areas in which they have interest, to guarantee appropriate representation, to solicit colleagues to serve on advisory committees in areas in which a sufficient number do not volunteer their services. The size of these committees is not fixed, in order to give the Steering Committee opportunity to respond to faculty interest.

1. DavisConnects Advisory Committee

Advises DavisConnects on programs and activities organized by the center. Serves as a liaison between the faculty and DavisConnects and assists with communications to the faculty about the center's work.

2. Communications Advisory Committee

Advises the Vice-President for Communications and the Communications staff on communications regarding the faculty. Helps facilitate faculty participation in Communications initiatives.

3. Advancement and Engagement Advisory Committee

Advises the Vice-President for College Advancement on ways to increase faculty participation in development and alumni-related activities and helps to facilitate that participation.

4. Global Engagement Advisory Committee

Advises the Dean for Global Engagement.

5. Facilities Advisory Committee

Advises the Assistant Vice-President for Facilities and Campus Planning on matters relating to the buildings and facilities at Colby.

K. Judicial Committees

The committees listed below (with their mission statements) have primarily judicial functions, i.e. hearing specific cases and adjudicating results, rather than setting policy, with a partial exception noted for the Academic Honesty Committee. The principle is that an unbiased group of faculty should serve to hear these cases. With the exception of the Academic Honesty Committee, members are drawn at random from the pool of eligible faculty. Eligibility would vary from situation to situation. For example, a faculty member

who has served on the Grievance Committee cannot serve on the Hearing Committee on Dismissal Proceedings (and vice versa) within a three-year period. The Office of General Counsel is available to assist these judicial committees, at the request of the Provost.

Those hearing a grievance cannot be department chairs or administrative officers. At the direction of the Faculty Steering Committee, the Provost's Office will both determine which members of the faculty are eligible to be in the candidate pool for Judicial Committees and randomly select those to serve from this pool. This selection will occur in the early fall in order to have committees in place.

1. Academic Honesty Committee

The Academic Honesty Committee is charged with assigning sanctions to students who have been found responsible for academic dishonesty, to conduct investigations into charges of academic dishonesty, and to work to create and sustain a culture of academic integrity. The committee is chaired by the Academic Integrity Coordinator (tenured faculty member, appointed) and additionally consists of a representative from the Dean of the College office, seven students (appointed by the Dean of the College office), and three elected faculty members. If the committee would otherwise be understaffed, faculty are assigned to the committee randomly drawn from a pool of eligible faculty.

2. Grievance Committee

Grievance Committee: Receives petitions from faculty members who feel they have cause for grievance in matters other than promotion, tenure, dismissal proceedings, or harassment; reports its findings and recommendations to the petitioner, to the President, and to such other College bodies as it may itself deem appropriate. Membership: six faculty: two professors, two associate professors, and two assistant professors, appointed at large for three-year rotating terms. The committee elects its own chair, who shall insure that the committee is fully staffed and ready to act by the end of September of each year. No department chair or administrative officer may serve on this committee. Members of this committee may not serve on the Hearing Committee for Dismissal Proceedings.

3. Hearing Committee for Dismissal Proceedings

Hearing Committee for Dismissal Proceedings: Hears cases related to dismissal of faculty members under the provisions of Section XIII. C. of the Faculty Personnel Procedures.

Membership: five members chosen from among a panel of fifteen full--time teaching faculty, three each from the Divisions of Humanities, Social Sciences, and Natural Sciences, and six at large. Five panel members are appointed annually for three--year rotating terms. Members of this panel may not serve on the Grievance Committee.

4. Conduct Board

The Conduct Board is responsible for reviewing potential violations of the Code of Student Conduct and assigning appropriate sanctions. Board members serve as hearing officers for cases that may result in suspension or expulsion.

Membership: Eight students, four faculty members, and two staff members. Five voting members are randomly selected from the Board to form a hearing panel (consisting of two students, one faculty member, and two staff members) for each case.

L. Service Committees (often with specialized expertise)

The Faculty Steering Committee will make the appointments to these committees:

A. Colby Woodlands Committee

- B. Cultural Events Committee
- C. Environmental Advisory Group
- D. Faculty Lounge Committee
- E. Fellowship Advisory Board
- F. Funded Internship Committee
- G. Harassment Advisory Group
- H. Institutional Animal Care and Use Committee
- I. Institutional Biohazard Board
- J. Institutional Review Board
- K. Radiation Safety Board

M. Center Advisory Boards

The following Centers should have advisory boards of at least four faculty members, appointed by the Faculty Steering Committee upon recommendation of the Center director. Each Advisory Board should meet with the Center director at least twice a semester to review Center programming and planning.

- A. Center for the Arts and Humanities
- B. Center for Teaching and Learning
- C. Goldfarb Center for Public Affairs
- D. Oak Institute for International Human Rights

FACULTY RIGHTS AND RESPONSIBILITIES

I. ACADEMIC FREEDOM AND TENURE

The 1940 AAUP Statement of Principles on Academic Freedom and Tenure has been adopted by the Board of Trustees as official College policy.

II. ADVISING

Faculty members are expected to advise majors in their departments and sometimes in interdisciplinary departments in which they are significantly involved.

All continuing faculty members will serve as advisors to first-year students. Exceptions may be granted by the Provost for those who face unusually heavy major advising commitments (e.g., faculty who advise 25 or more students in traditional and/or interdisciplinary majors). **First year advising assignments for the new entering class are completed in May of the preceding academic year. Requests for exemption from first-year advising must be received before the end of April.**

III. FACULTY TEACHING RESPONSIBILITIES

A tenure-track faculty member with a "full teaching load" has responsibility for 4.5 courses or their equivalent during an academic year. Non-tenure track continuing faculty members and visiting faculty members with a "full teaching load" typically have responsibility for 5.0 courses or their equivalent during an academic year. Equivalence is a variable concept, established by the Provost in consultation with department chairs and faculty members themselves, taking into account such activities as are related to the curricula of departments or particular professional concerns of individual faculty members. These may include, for example, supervising laboratory sections, directing dramatic or artistic performances, conducting musical groups, etc.

Calculation of equivalence must be approximate, with a certain degree of flexibility and variation to be expected in individual cases.

Our expectation, as a residential liberal arts college, is that faculty members will have a meaningful presence on campus at least four days each week.

IV. CONFIDENTIAL INFORMATION

A number of positions at Colby give faculty members access to personal information about students, parents, alumni, employees, and others. This information may not be shared or discussed with anyone not specifically authorized to receive it. Every faculty member is responsible for respecting the right to privacy.

V. POLITICAL ACTIVITIES OF FACULTY MEMBERS

Faculty members, as citizens, are free to engage in political activities. Leaves of absence may be given for the duration of an election campaign or a term of office, on timely application, and for a reasonable period of time. The terms of such leaves of absence shall be set forth in writing, and the leave will not affect unfavorably the tenure status of a faculty member, except that time spent on such leaves will not count as probationary service unless otherwise agreed to.

VI. RETIREMENT

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

VII. SUBSIDIARY (OUTSIDE) EMPLOYMENT

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

VIII. ACADEMIC YEAR EMPLOYMENT RESPONSIBILITIES

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

Each faculty member is asked to submit annually, by June 15, to the Office of the Provost a report for the period September 1 to August 31. Individual faculty reports should include the following information: (1) courses offered during the year; (2) committee service, especially ad hoc, task forces, search committees, and the like; (3) other College service; (4) publications during the September 1 through August 31 period, and a brief description of research in progress; (5) papers presented at professional meetings, major lectures, recitals, readings, exhibits, etc.; (6) student papers, recitals, exhibitions sponsored by the faculty member; (7) other pertinent information, e.g. election to office in professional societies, degrees, honors, awards received, noteworthy accomplishments.

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

IX. REDRESS OF GRIEVANCE

See Faculty Grievance Committee and Grievance Procedure.

X. INDEMNIFICATION PROCEDURES

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

- A.** In order to apply for protection and benefits under the indemnification policy, an employee or agent (hereinafter collectively referred to as "employee") shall: (a) as soon as the employee becomes aware of a substantial possibility of an action for which he or she may seek defense and/or indemnification, notify the Vice President of Administration and Chief Financial Officer and the Office of General Counsel or, if a faculty member, the Provost and the Office of General Counsel, in writing; (b) not discuss the subject of the action with anyone other than those authorized by the President, Vice President of Administration and Chief Financial Officer, the Office of General Counsel, or Provost; (c) provide to the College—and only to the College—all pertinent information, including detailed information about the act or failure to act that is the subject of the action; and (d) sign an agreement promising to reimburse the College for any expenses incurred on behalf of the employee if it should ultimately be determined by the Board of Trustees that the employee is not entitled to indemnification.
- B.** In order for an employee to be eligible for defense and/or indemnification the employee must apply to the College prior to incurring the expenses to be reimbursed or otherwise acting in connection with an action. Application after incurring expenses to be reimbursed or otherwise acting in connection with the action may be grounds for denial of the application if such has prejudiced the employee's case or increased the cost of defense in any way.
- C.** The President of the College shall determine whether the action appears to be covered by the indemnification policies and procedure and, if so, shall either select an attorney to represent the employee or agree to the reimbursement or reasonable legal expenses incurred by the employee. An adverse determination by the President may be appealed to the Board Affairs Committee of the Board of Trustees. The decision of the Board Affairs Committee of the Board of Trustees shall be final, ultimately determinative, and not subject to judicial or other review.
- D.** An employee shall not be entitled to reimbursement for legal defense expenses or for any judgments, fines, or amounts paid in settlement of any action, suit, or proceedings if the acts or omissions alleged constitute willful misconduct, gross negligence, or recklessness.
- E.** An employee shall cooperate fully in the defense of the action. Any unreasonable failure to provide full information or to cooperate in the defense of the action shall be reason for denial of defense and/or indemnification expenses.
- F.** Determination of any action, suit, or proceeding by judgment, order, or conviction adverse to an employee, or by settlement or plea of nolo contendere or its equivalent, shall not of itself create a presumption that the employee did not act in good faith in the reasonable belief that his or her action was in the best interest of the College (or, with respect to any criminal action or proceeding, that the person had reasonable cause to believe that his or her conduct was unlawful). In the case of such adverse determination, the Trustees of the College, by majority vote of a quorum consisting of Trustees who were not a party to such action, suit, or proceeding shall, in accordance with Subsection 3 of Section 714 of Title 13-B of the Maine Revised Statutes, authorize the reimbursement of the employee for legal expenses and any related judgments, fines, or settlements if a majority of the Trustees believe that the employee acted within the scope of his or her employment, in good faith, and in a manner reasonably believed to be lawful and in the best interest of the College, and that the action or omission did not involve willful misconduct, gross negligence, or recklessness. In the case of an employee with regard to whose indemnification the

Trustees are deliberating, the employee shall be given the opportunity to present his or her position to the Board orally and/or in writing through one, several, or all of the following: the employee, an attorney or other personal representative of the employee, or a member of his or her profession (if any) undertaking to clarify for the Trustees, from the viewpoint of the profession, the elements relevant to the Trustees' consideration of whether the employee's actions are indemnifiable. The decision of the Board of Trustees in this regard, as well as in regard to any dispute concerning the interpretation or application of any of the provisions of this Article, shall be final, ultimately determinative, and not subject to judicial or other review.

- G.** "Scope of employment" for the purpose of Article X of the Bylaws may include uncompensated service to the College (such as student or outside referee evaluations of teaching or scholarship of Colby faculty or Colby programs) and includes employee participation in and/or direction of such off-campus student activities as field trips, data gathering, COOT trips, group trips in the United States and abroad, and the operation of foreign study center programs. However, "scope of employment" does not normally include writing for publication, publishing, off-campus professional activities (other than those specified above), consulting or business activities. Nevertheless, the College may, in its sole discretion and on a case-by-case basis, following the procedures set forth in paragraphs 1. and 3. above, decide whether and to what extent to extend protection for such activities. The College will normally not extend such protection if the activities involved compensation for those activities by a person or entity other than the College, compensation that exceeds reasonable expenses.
- H.** The protection of this policy shall extend only to actions in which the employee is a defendant or proposed defendant, and shall not extend to actions that an employee affirmatively initiates or proposes to initiate against any other persons or entities or to defense and/or indemnification of an employee in any proceeding within the College.
- I.** The protection of this policy shall not extend to actions or omissions while an employee is on an unpaid leave of absence from the College, although exceptions may be made at the College's sole discretion where an employee on leave is engaged in activities that are an extension of his or her College activities.
- J.** The protection of this policy shall not extend to medical or other professional liability with respect to which employees are protected under any professional liability insurance program.
- K.** The employee shall notify the College at the time he or she applies for protection and benefits under this policy of any personal or other insurance coverage that may be available to provide defense and/or indemnification. The College may require the employee to exhaust any available benefits under such insurance before providing benefits under this policy.
- L.** The employee shall also notify the College at the time he or she applies for protection and benefits under this policy if any other entity may be obligated or able to defend and/or indemnify the employee because of the connection the employee had with such entity related to the allegations that have given rise to the action. The College may require the employee to exhaust any available benefits from such entity (or its insurers) before providing benefits under this policy.
- M.** If requested by the College, the employee shall produce proof of any such alternative sources of protection described in paragraphs K. and L., or lack thereof.
- N.** If the employee wishes to file a counterclaim, he or she shall follow the procedures set forth herein, and if approved, any net judgment in favor of the employee shall first be paid to the College as reimbursement for indemnification payments made, until

repaid in full, the remainder to the employee. If not approved, all costs and recoveries in connection with the counterclaim shall be that of the employee.

- O. The College's indemnification policy and procedures shall not limit any right of indemnification existing independently thereof.

FACULTY PARTICIPATION IN THE GOVERNMENT AND CEREMONIAL FUNCTIONS OF THE COLLEGE

I. DEPARTMENTAL PARTICIPATION

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

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

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

II. FACULTY MEETINGS

- A. The Faculty Meeting. Faculty meetings are called and convened by the President of the College or the Provost. The By-Laws of the College specify that the President shall chair the Faculty Meeting. For the purpose of discussion, the President will preside, designating others (e.g. the Provost, the chair of the committee bringing forth an item for discussion) when appropriate. When the Faculty formally considers items for adoption, the proceedings will be facilitated by a Moderator, appointed by the President and confirmed by the Faculty Steering Committee, according to conventional rules of order. In addition, the President shall appoint a Secretary and a Parliamentarian for the Faculty Meeting.

Meetings are ordinarily scheduled for the second Wednesday of each month during the academic year, including January. Attendance at faculty meetings is expected. New faculty members should begin attendance with the first meeting of the academic year, when it is customary to introduce them to the entire faculty.

- B. The agenda for Faculty Meetings. To facilitate Faculty Meeting discussions, the agenda for the Faculty Meeting will be set by the President and the Faculty Steering Committee, meeting in the week before the scheduled Faculty Meeting. In deciding among items for inclusion on the Faculty Meeting agenda, the agenda-setting group will give primacy to those items on which the faculty must reach a decision (perhaps grouping more routine items on a consent agenda); in deciding among other items proposed for the agenda, the group will use the criterion of how central the proposed items are to our intellectual community. If the group decides not to place a suggested item on the Faculty Meeting agenda, they will communicate that decision back to the individuals or group suggesting the item, noting the reason that other items have been prioritized more highly.
- C. Sources of items for consideration by the agenda-setting group: Committees, Divisional meetings, and individuals. In addition to emanating from the President and other members of the agenda-setting group, items for inclusion on the agenda will come from three sources: committee chairs, whose responsibility will include suggesting items to this group for inclusion; meetings of the academic divisions, which should occur at least once between faculty meetings; and individual members of the faculty who feel important items have not been raised in either of the first two ways. As noted above, the agenda-setting committee will prioritize among the items

suggested scheduling first those items on which the Faculty must vote and then items deemed most central to our shared sense of intellectual community.

- D.** The following categories are eligible to vote in faculty elections and at faculty meetings: tenure-track and non-tenure track continuing members of the faculty; visiting faculty members with current appointments; faculty librarians, faculty head coaches, and faculty curators; continuing faculty members without rank; and continuing administrators with faculty status. Other members of the faculty and, where appropriate administrators, are welcome to attend the Faculty Meeting and participate in debate without vote. Proxy voting at faculty meetings is not permitted. A simple majority of those eligible, present, and voting is sufficient for passage of a motion.
- E.** Questions of policy must "lie over" to the meeting following the one in which the matter is originally proposed, unless this rule is suspended by unanimous vote of those present. The "lying over" refers to voting transactions, not to discussions. At the meeting in which the motion is first introduced, it may be discussed and amended.
- F.** Two student representatives shall be allowed to attend faculty meetings regularly. Advance permission to address the faculty is required on each occasion.
- G.** Minutes of meetings of the faculty are prepared by the Secretary, who is appointed by the President. After each meeting, minutes of the meeting are posted to the Provost's website. The Provost's Office maintains the archive of faculty meeting minutes.

III. FACULTY COMMITTEES

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

A. Faculty Representation on the Board of Trustees

The faculty elects two of its members to serve three-year terms as faculty representatives to the Board of Trustees, attending meetings, but not as voting members. The Chair of the Board of Trustees also appoints faculty members to serve on the Campus Investments and Improvements, the College Resources and People and Programs Committees of the Board of Trustees with full voting privileges.

B. Ceremonies

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

FACULTY RELATIONSHIPS WITH STUDENTS

I. STUDENT HANDBOOK

The Student Handbook, an annual publication describing the academic, social, and administrative regulations of the College as they pertain to students is available on the College website.

II. SCHEDULING AND CONDUCT OF CLASSES

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

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

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

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

Excuses may be granted at the instructor's discretion for the following reasons: critical emergencies (normally verified by the Office of the Dean of the College), athletic or organizational trips, or illness (normally verified by the College Health Center). Students on academic probation should know that they cannot be excused from any class because of extracurricular or athletic activities.

College policy states that students are not permitted to miss a class for a practice. Students are permitted to miss a class for an athletic contest but only at the discretion of the instructor of that class. Individual instructors have the authority and discretion to decide whether students may be excused from classes or scheduled course events for any reason, including athletics. Such policies on missed classes must be stated on the syllabus and/or course web site at the beginning of the semester. Students should be held responsible for following policies, but these policies must be announced and available. See Appendix VII, Policies for Missed Class Time Due to Athletic Contests.

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

Family members of a faculty member may not be enrolled in a class that is taught by that faculty member.

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

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

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

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

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

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

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

E. Field Trips.

The College encourages instructional field trips and similar learning opportunities outside regular class meeting times; the following policies govern scheduling:

1. REQUIRED FIELD TRIPS.

Required field trips are those for which there is a direct or indirect penalty to students for non-attendance (e.g., grading penalty, withholding of academic credit, or lack of access to material covered on graded exams/projects).

The number and, wherever possible, schedule of required field trips should be included in the course description; the final schedule must be included on the syllabus.

Required trips should be scheduled so that they do not create more than one conflict with a regularly scheduled meeting of another class.

When a field trip creates a conflict with a regularly scheduled meeting of another class, students should ask to be excused from the scheduled class and arrange to make up missed work. If the instructor of a regularly scheduled class refuses to excuse a student's absence for a required field trip, no academic penalty for non-attendance at the field trip may be imposed.

2. OPTIONAL FIELD TRIPS.

Optional field trips may be scheduled freely.

3. FIELD TRIPS DURING A COLLEGE RECESS.

Periods of college recess (e.g. fall break, spring break) during the academic semesters are important opportunities for students to gain needed mental rest, to

spend time with family, or to meet work obligations. On the other hand, these time periods may offer unique opportunities for course field trips that provide valuable enrichment to the curriculum. As part of its responsibility to review all course proposals, the Academic Affairs Committee will carefully consider the inclusion of a field trip during a college recess in any such proposal.

Optional Field Trips during a College Recess

The general presumption is that optional field trips (included as part of a course proposal) will be approved. For courses including an optional field trip, it is very important to ensure that students not participating in the field trip do not suffer any academic disadvantage within the class.

Required Field Trips during a College Recess

Course proposals including a required field trip during a college recess will be approved only in situations where it is clear that the benefits to be gained by the trip outweigh the loss of the break time for students. Strict scrutiny will be applied in this determination, based on the following criteria, and on possible impacts across the full curriculum.

- The course should be optional for all students (not required for any major or minor).
- The field trip should offer an especially valuable experience that could not otherwise be offered.
- Pre-arranged and dedicated support should be available (e.g. from DavisConnects) to cover the cost of the trip.
- The course should be unlikely to enroll first-year students.
- The trip must be clearly announced in the course description and syllabus. Any field trip not described (as a required trip) in the course description and syllabus is presumed to be optional.
- The subsequent schedule of the class should recognize that students have done significant academic work during the recess.

The addition of a required field trip during a college recess to an existing class should be accompanied by the submission of a (revised) course proposal to the Academic Affairs Committee.

- F. Arranging Schedules for Classes and Room Assignments.** Instruction is organized by departments, with curricular changes subject to the approval of the Academic Affairs Committee. Course schedules and teaching assignments are arranged by department chairs, then coordinated with the offerings of other departments in the Office of the Registrar where stated preferences for days, hours, and room assignments are honored within the limits set by facilities.
- G.** Even temporary changes of room or of hourly schedule should be cleared in advance with the Registrar's Office. When a department lists a course with time or place "to be arranged," these will be reported to the Registrar's Office as soon as practicable after the beginning of the semester.
- H. Introduction of New Courses.** New courses of study are introduced into the curriculum through academic departments. Initial approval of any course must be achieved in the department itself; the department chair then formally requests approval of the new course by the Academic Affairs Committee (AAC). With AAC approval, a proposed new course becomes a part of the curriculum. Department curricular changes are subject to review by the AAC.

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

J. Independent Study (schedules individually arranged)

1. Independent Study. Toward the end of the catalogue listings of curricular offerings of all departments are courses entitled "Independent Study," offering work of an individual and original nature for advanced students. NOTE: Independent Study (491, 492) should not be confused with -97, -98, Selected Topics (see Section I above).
2. Senior Scholars. Seniors may undertake independent study as "Senior Scholars." Students whose projects are approved by the Independent Majors Committee pursue individual work under the guidance of faculty members and may be granted six credits per semester, and three credits in January in lieu of regular course work, as determined by the Independent Majors Committee.
3. January Program of Independent Study. The January Program of Independent Study, or Jan Plan, occurs between the winter break and the second semester. It offers students a greater measure of academic responsibility.

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

Jan Plan options are as follows:

- a. Courses offered for credit, ordinarily graded in the same manner as semester courses.
- b. Noncredit courses which may be experimental or offered by experts in fields not included in the regular curriculum. These will be graded honors, pass, and fail.
- c. Independent study, which may be taken under a variety of credit options either on campus or away.

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

Registration for Jan Plans occurs in October; a student may not register for more than one Jan Plan each year. Departments make certain that one of these Jan

Plan options is available to students, and faculty members will be asked to offer instruction in January as academic needs demand.

III. CONDUCT OF EXAMINATIONS AND REPORTING OF GRADES

A. Hour examinations and quizzes. There is no fixed schedule for hour examinations and quizzes during a semester. The faculty has agreed that a class shall have at least one-week's notice of any hour examination. See p. 71 *Faculty Relations with Students*, regarding student attendance and absences.

B. Final semester examinations. It is assumed that, in the absence of specific exemptions, semester examinations are given at their scheduled times in all courses. Exemptions from administering final exams may be granted by department chairs at the request of instructors and may be considered for:

1. "Skill" courses
2. Courses in which some equivalent process is substituted for a semester examination
3. Seminars
4. Independent topics or projects

The Registrar prepares the final examination schedule. Students may not postpone final examinations unless such postponements are sanctioned by the instructor for sufficient reason. Final examinations may not be administered before the scheduled examination time. Whenever students are excused, or have three exams in one day or four exams in sequence, they must be allowed to take a make-up exam. Exams may be made up by mutual agreement, but not before the originally scheduled time.

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

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

D. Reporting of Grades.

1. Semester course final grades are reported to the Registrar after the close of each semester via the Web. Final grades must be submitted as follows:
 - a. First semester reports are due no later than January 3.
 - b. January Program reports are due no later than February 15.
 - c. Second semester reports for graduating seniors are due 48 hours after the semester exam, with the exception that no senior grades shall be turned in later than 5:00 p.m. on the second day preceding the faculty meeting at which the faculty recommends the granting of degrees.
 - d. Reports for other students at the end of the second semester are due no later than the seventh day following the last day of the examination period; normally, this is the Tuesday following Commencement. Faculty members are requested to submit final grade reports earlier whenever possible.
 - e. Changes of INC grades are due in the Registrar's Office no later than seven days after receipt of the required work.

- f. Faculty members may use any interim grading system they wish for their own records, but grades submitted to the Registrar must be in terms of letter grades as follows:

For each credit hour, a mark of:

A earns four points

B earns three points

C earns two points

D earns one point

Each plus mark earned is .3 point per credit hour added.

Each minus mark is .3 point per credit hour deducted.

No points are earned for marks below D-.

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

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

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

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

A student who enrolls in a course under the S/U option retains the right to withdraw passing from the course on the same basis as students taking the course for a letter grade.

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

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

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

Grades in Off-campus Colby Programs. Grades earned in courses taught by Colby faculty off-campus count in cumulative GPAs. All grades from Colby programs in Bigelow Laboratory for Ocean Science, Dijon, Salamanca, and St. Petersburg are counted toward the GPA.

2. Colby College Grading Guidelines

A

Exceptional work in meeting the goals of the course, in mastering the course material, in critical analysis, in written and oral communication, or in other forms of creative expression, within the context of the course expectations.

(The grade of A+ is awarded only in very rare instances when a student exceeds the highest reasonable expectations for undergraduates.)

B

Very Good to Good work in meeting the goals of the course, in mastering the course material, in critical analysis, in written and oral communication, or in other forms of creative expression, within the context of the course expectations.

C

Satisfactory work in meeting the goals of the course, in mastering the course material, in critical analysis, in written and oral communication, or in other forms of creative expression, within the context of the course expectations.

D

Minimally acceptable work in meeting the goals of the course, in mastering the course material, in critical analysis, in written and oral communication, or in other forms of creative expression, within the context of the course expectations.

(While the grade of D counts as a passing grade for any individual course, a student receiving D grades in multiple classes may be at risk of falling below the minimum 2.0 GPA required for graduation.)

F

Seriously deficient work that is not acceptable.

No credit is awarded.

Notes: Faculty members are encouraged to include language in their syllabi articulating what these guidelines mean in the context of a particular course.

These guidelines do not specify any quotas for the number of students who may be awarded an A (or other grade) in a class. To maintain an appropriate balance in grading, we should offer sufficiently challenging courses and grade them such that high-performing students receive high grades, intermediate-performing students receive intermediate grades, and low-performing students receive low grades. Our best-performing students will then receive grades that distinguish them and low-performing students will receive a realistic assessment of their performance.

3. Incomplete (INC) Grades. A mark of INC indicates a course not finished for some reason, generally for cases of significant illness or critical emergency. Students must request an INC grade by submitting an Incomplete Request Form to the Office of the Registrar. Submitting the form does not guarantee that the request will be granted. The Incomplete request will be considered by the course instructor, in consultation with the class dean and academic advisor.

Work to make up a grade of INC must be submitted within limits set by the instructor, but no later than the second Monday of Jan Plan for the first semester,

February 28 for January courses, or June 10 for the second semester. Grades for incomplete work must be submitted by the instructor within one week of the work deadline. After these dates any remaining marks of INC will be changed to F. The Registrar will send reminder notices one week prior to the deadline to all students whose INC marks have not yet been converted. The Dean of the College may give limited extensions for the completion of work without penalty, but only for excuses similar to those acceptable for missing a final examination.

4. **Changes in Grades.** An instructor who wishes to change a semester grade (except INC) after reporting it to the Registrar must secure approval of such change from the Provost. Any change must be demonstrated to be necessitated by discovery of an error in recording or reporting, or must result from a bona fide medical problem as verified by the Dean of the College.
5. **Academic Warnings.** A faculty member will submit to the Dean of the College, via the Web, a warning form at any time during the semester that a student's work is unsatisfactory. A report will be forwarded to the student and to the appropriate faculty advisor and advising dean. When a student receives warnings in two or more courses (or any warnings while on probation), the parents will be notified by the Office of the Dean of the College. These warnings are important to provide to students, especially first-year students; the notification of academic advisers and class deans provides an opportunity for additional support for struggling students.
6. **Students benefit from this feedback;** it is helpful and important to plan courses with a schedule of quizzes, first exams and/or papers before the drop deadline so that instructor feedback, and potentially academic warnings, are available to students prior to that deadline. These warnings do not enter a student's permanent record.
7. **Dishonesty in Course Work or Examinations.** Academic dishonesty is handled by an investigative process under the direction of the Academic Integrity Coordinator. Academic Negligence, on the other hand, is an opportunity for further education. Both academic dishonesty and academic negligence should be formally reported to protect the academic reputation of the college, to ensure consistency of sanctions, to hold students accountable for learning from their mistakes, and to ensure that repeat offenders are held accountable.

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

Academic Dishonesty encompasses, but is not limited to: plagiarism; violating clearly stated rules for taking an exam or completing homework; presenting another's work as one's own; buying or attempting to buy papers or projects for a course; intentionally assisting others committing academic dishonesty; submitting the same work in more than one course without the permission of instructors; enrollment in two classes that have the same meeting time without the explicit permission of instructors; misrepresentations to faculty within the context of a course; lying or otherwise deceiving faculty; and cheating and/or using illicit study aids.

Instructors who suspect a student of academic dishonesty should consult with one or more of the following academic integrity resources and determine if a violation has occurred: the Academic Integrity Coordinator (a tenured faculty member appointed for a three-year term), the Dean of the College Office, or the student involved. If after the initial consultation the instructor continues to believe that an academic honesty violation has occurred, an academic dishonesty report

should be submitted to the Academic Integrity Coordinator. The Academic Integrity Coordinator will initiate an investigation and call on the academic review board to handle the case.

The academic review board consists of the Academic Integrity Coordinator, one faculty member (drawn from a pool of three elected faculty), two students (drawn from a pool of seven appointed students), the course instructor (unless he or she chooses to opt out of the process), and a non-voting disciplinary officer from the Dean of the College Office. The academic review board will determine the outcome and assign a sanction. Instructors are not permitted to assign their own sanctions.

In determining sanctions for findings of academic dishonesty, the Academic Review Board will follow established sanctioning guidelines and consult closely with the course instructor. Sanctions will be determined by the nature of the violation at issue and may range from no credit for the assignment for low level and/or single offenses, to failure in the course, to suspension or expulsion. Repeat offenses of academic dishonesty result in mandatory suspension or expulsion.

Students who are found responsible for academic dishonesty in a course, while that course is still in session, are not permitted to complete a course evaluation for that course. Students who are found responsible for academic dishonesty in a course will not be permitted to write a letter for the promotion or tenure of the professor of that course.

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

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

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

Students who earn fewer than 12 credits or a grade point average between 1.70 and 1.99 in any semester will be placed on academic probation. A student will be placed on probation in the major if the major average falls below 2.0 or if there is inadequate progress toward completion of the major. Only when there are compelling extenuating circumstances (e.g., illness, unusual personal problems)

is it advisable for a student to carry fewer than 12 credits; such a reduced program must be approved by the Dean of the College and may still result in academic probation.

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

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

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

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

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

IV. REGISTRATION (COURSE SELECTION) PROCEDURES

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

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

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

C. Problems of Improper Registration. Both student schedules and class rosters are available via the myColby portal. It is the student's responsibility to insure that all

registrations are as intended. Instructors should report to the Registrar as soon as possible any discrepancies between their class rosters and the conditions or limits set on registration for their courses.

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

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

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

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

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

V. ADVISING AND COUNSELING

- A. Faculty Offices and Office Hours.** Members of the faculty will establish and post regular office hours during which students may meet with them individually. New faculty should consult chairs on department policy and practice.
- B. Academic Advising.** During their first year, students are assigned to faculty advisors through the Office of the Dean of the College. Advisors assist students with course selection over the summer and meet with students during the orientation period (usually just after Labor Day weekend) to discuss liberal arts in general, preregistration selection of courses, results of placement exams, and other academic issues. Advisors also assist students during the add/drop period, the first eight class days of each semester. Additionally, advisors help students make January Program and second semester course choices in mid-October and early November, respectively.

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

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

C. Learning Difference Support Services at Colby College

Students with learning differences have available to them several forms of support, including the attention of the Director of Student Access and Disability Services.

In accordance with the recommendations of an educational consultant or psychologist, students with learning differences may be allowed several adjustments to academic procedures, including additional time on examinations, extensions on other assignments, and other variations in examination procedures. These students may petition to take less than a normal course load each semester. Other forms of support are available and may be discussed. 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 the College Office verifying the accommodations. The Dean of the College website provides additional information about learning support services and the accommodation request process.

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

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

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

It is the policy of Colby to provide academic support for all students. The procedures for students with learning differences are consistent with this policy.

D. Information from the Dean of the College.

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

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

E. Counseling and other services to which students may be directed

1. The Dean of Studies and the Class Deans who are available for direct consultation with any student encountering difficulties of any kind
2. College Counseling Services, Director of Counseling Services and Clinical Counselors
3. College Health Service, the College Physician, the Physician's Assistants
4. Director of Financial Aid
5. DavisConnects
6. Faculty in Residence
7. Director of Equal Opportunity
8. Dean of Religious and Spiritual Life

F. Extracurricular Faculty-Student Relations

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

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

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

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

VI. STUDENTS AND ALCOHOL

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

- A.** If you believe a student's behavior, such as problematic attendance, performance, or class conduct, is indicative of a substance problem, you should consider the following:
1. The Class Deans in the Dean of Studies Office are available at any time to discuss faculty concerns regarding the well-being of students. Further information and appointments are available from that office.
 2. The Substance Abuse Counselor at the Health Center is available to discuss concerns a faculty member may have about a student and any possible substance abuse issues.
 3. When substance abuse problems are suspected, the Dean of Student's Office can often be helpful in referring students to the Health Center for evaluation. If students are presenting persistent behavioral problems in class, you can request that he/she leave the class for a particular session, or ultimately, you can dismiss the individual from the course. If dismissal from the course is being considered, the faculty member should in all cases consult with the department chair.
- B.** We have learned through the work of the Trustee Commission on Alcohol and the more recent work of the Campus Culture Working Group that students often misperceive the "campus norm" in regard to alcohol consumption. Many students incorrectly believe binge drinking and "hearty partying" are mainstays of the Colby experience. The reality is that a large proportion of Colby students do not abuse alcohol. We do provide a wide array of non-alcohol functions each weekend throughout the campus. The College should continue to strive to heighten the intellectual atmosphere on campus, lessen the appeal, and decrease the prevalence of binge drinking and convey to students a clearer sense of the important connections among their intellectual, athletic, cultural, spiritual, and social lives.

Faculty are encouraged:

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

VII. REPORTING REQUIREMENTS FOR FACULTY AND STAFF UNDER THE CLERY ACT AND TITLE IX

There are two federal laws that require faculty and staff to make a report to the office of the Dean of the College and/or Colby Security – the Clery Act and Title IX.

The federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act require colleges and universities to report statistics on campus crime. The names of the victim or the accused student are not disclosed in the Clery report kept by the College. Not every faculty or staff member is a mandatory reporter (or “campus security authority”) under Clery. The following list denotes most of the Campus Security Authorities for Colby College (others are identified more fully in the College’s annual Clery report):

- Office of the Dean of the College
- Campus Life Office
- Community Advisors
- Advisors to Students and Student Organizations
- Athletic Director and Team Coaches
- Department of Security.

Campus Security Authorities report to either Security (207-859-5530, if an emergency call 207-859-5911 or 911) or the Dean of the College (207-859-4250) including Campus Life (207-859-4280) when any student discloses that he/she has been the victim of, or has witnessed, any of the following crimes on the Colby campus, or on other College owned, controlled, or managed property like the Hume Center and the Outing Club property: murder and non-negligent manslaughter, negligent manslaughter, forcible sex offenses, non-forcible sex offenses, domestic violence, dating violence, stalking, robbery, aggravated assault, burglary, larceny/theft, motor vehicle theft, arson, hate crimes, and arrests on campus for liquor law violations, drug abuse violations, and weapons possessions.

Title IX prohibits discrimination in education programs or activities on the basis of sex. Under Title IX, Colby must investigate any claim made by a student that he/she has been the victim of sexual harassment, as that term is defined in Title IX. The Title IX Policy may be found here (<https://www.colby.edu/sexualviolence/>). Sexual misconduct is an umbrella term used to encompass the full range of unacceptable behaviors of a sexual nature, including sexual harassment. It denotes a category of behaviors that can be adjudicated at Colby College, either under the Student Code of Conduct or the Title IX Policy.

In accordance with Title IX, instances of sexual misconduct should be reported to the Title IX Coordinator (Meg Hatch, 859-4256). Please see the Title IX Policy for Deputy Title IX Coordinators. The purpose of making a complaint is to enable the College to investigate incidents of sexual misconduct and to permit the College to act promptly to take corrective action to prevent its recurrence and correct its discriminatory effects. All employees except those designated as confidential* are considered “responsible employees.” Responsible employees have a duty to report to appropriate College officials (Title IX Coordinators) sexual harassment or any other sexual misconduct by students or employees.

All faculty and staff members are encouraged to familiarize themselves with the information available on Colby’s Sexual Violence Response and Prevention website (at web.colby.edu/sexualviolence/).

* Confidentiality means that except in very rare cases information shared by an individual (e.g. a victim of sexual misconduct or a person who observed an act of sexual misconduct) with designated professionals (e.g. licensed health care providers, licensed counselors, clergy, legal counsel, and victims' advocates) cannot be revealed to any other person or agency without the express permission of the individual providing the information.

VIII. SEXUAL VIOLENCE RESPONSE AND PREVENTION – SUPPORTING STUDENTS

(This section is taken from www.colby.edu/sexualviolence/for-faculty-and-staff/.) As a faculty member, you are particularly well situated to help students who have experienced sexual violence. You are likely someone who students look up to and respect, and your guidance and support during a difficult time could be invaluable.

Although there is no single “right” way to help a student who has experienced sexual violence, below are some guidelines for identifying students who are struggling and offering them support.

Signs that a Student might need help

Sexual violence can affect many areas of one's life. Therefore, people who have experienced sexual violence may exhibit a range of behaviors. Generally speaking, though, students who are in emotional distress following an episode of sexual violence might:

- Demonstrate a sudden change in class attendance, marked by excessive absences or excessive tardiness
- Demonstrate a change in classroom participation patterns, marked by either decreased participation or increased and disruptive participation
- Demonstrate diminishing interest in and/or ability to complete course assignments
- Seem down or lethargic
- Seem anxious, irritable, or hyperactive
- Demonstrate a change in attire or personal hygiene
- Undergo a noticeable weight loss or gain
- Articulate feelings of hopelessness
- Make implicit or overt reference to suicide—in face-to-face communication or in written assignments

What You Can Do

- If you notice that a student is exhibiting these behaviors, you can offer support in several ways:
- By initiating communication with general questions about the student's well-being—“How have you been lately?” “You seem anxious/down/distracted; is everything okay?”
- By identifying yourself as a general support person—“I'm available to talk if you need anything”
- By pointing your student toward general wellness resources, like Colby's Health and Counseling Services (207-859-4460).

Even if a student is not ready to disclose sexual violence, and you are not sure that a student has experienced sexual violence, you can still establish yourself as a caring adult who is ready and willing to listen. While you would not want to put words in a student's mouth—by insisting, for example, that they have experienced sexual violence—you can still

make a positive difference just by identifying yourself as a concerned party who is paying attention.

If a student has disclosed sexual violence, you can offer support in several ways:

- By affirming the student and communicating that you believe them. We live in a culture in which victims of sexual violence are routinely doubted, undermined, and blamed for their own victimization. Simply believing goes a long way in this context.
- By making sure that the student is not facing ongoing danger. If the student feels that their danger is persistent, you can direct them to contact the Dean on Call (207-859-5530) or Campus Security (207-859-5911).
- By directing the student to resources specific to sexual violence and allowing them to choose the resources that are most appropriate for their situation. It is important that you let the student take the lead in determining their course of action. You can share knowledge with a student, but you shouldn't make decisions for them.
- By helping the student to understand the reporting process on campus and the potential benefits of reporting. Again, you can encourage a student to file a formal report, but you shouldn't force them to do so. Reporting takes a lot of courage, and students should be encouraged to do so of their own volition and in their own time.

Some Things to Think About

First and foremost, the college does not expect faculty or staff members to offer counseling to students. As already noted, Colby's Health Services and Counseling Services offer many resources for those who have experienced sexual violence.

All Colby employees, except those explicitly designated as confidential resources, are considered Responsible Employees. This means that they are required to inform a Title IX Coordinator (within 24 hours) of any instance of sexual or gender-based harassment/violence of which they gain knowledge. For more information about what it means to be a Responsible Employee, visit our Confidentiality on Campus page.

The Office of the Provost encourages faculty to include the following Sexual Misconduct/Title IX statement on syllabi:

Colby College prohibits and will not tolerate sexual misconduct or gender-based discrimination of any kind. Colby is legally obligated to investigate sexual misconduct (including, but not limited to sexual assault and sexual harassment).

If you wish to speak confidentially about an incident of sexual misconduct, please contact Colby Counseling Services (207-859-4490) or the Director of the Gender and Sexual Diversity Program (Emily Schusterbauer, 859-4093).

Students should be aware that faculty members are considered responsible employees; as such, if you disclose an incident of sexual misconduct to a faculty member, they have an obligation to report it to Colby's Title IX Coordinator. "Disclosure" may include communication in-person, via email/phone/text, or through class assignments.

IX. RELATIONS WITH STUDENT ORGANIZATIONS

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

X. STUDENT EVALUATION OF INSTRUCTION

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

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

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

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

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

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

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

AIDS IN TEACHING AND RESEARCH

I. INFORMATION TECHNOLOGY FACILITIES AND POLICIES

Information technology (IT) is a critical tool supporting instruction, research, and creative expression and is vital to the work of both creating and communicating knowledge. Colby makes considerable ongoing investment in IT infrastructure and professional support resources. Students, faculty, and staff have access to high quality software, hardware, internet resources, and to expert consultants committed to responsive delivery of innovative technology solutions.

Classrooms at Colby are all equipped with presentation technology. Academic, administrative, and residential buildings, as well as some outside areas, are blanketed by wireless network access technology. The physical network between buildings on campus and to the internet is regularly upgraded to provide the best possible connectivity to local and global resources. Information security is a priority in the handling and transmission of information pertaining to members of the community and is enabled by appropriate policy and network safeguards.

There are numerous College-provided computers distributed throughout academic buildings, many clustered in general access or discipline specific labs and classrooms. There are IT facilities equipped specifically for video production, quantitative analysis, spatial analysis, language learning, and scientific computation. These include the Oak Foundation GIS Laboratory in Diamond, the Language Resource Center in Lovejoy, the Mule Works Innovation Lab makerspace in Miller, and the Schupf Scientific Computing Center in Olin. Additional high-performance computational capabilities are provided for student and faculty research locally in campus data centers and remotely from internet resources via a dedicated research network. Laptops, digital recorders, and advanced media equipment may be borrowed from the service desk in Miller Library and presentation technology may be requested through Academic ITS for temporary setup in spaces where permanent technology is not available.

IT professionals at the College are continuously examining and evaluating emerging technologies and partnering with the community to integrate and apply them appropriately. Faculty members are encouraged to partner especially with the academic technology professionals on the ITS staff to develop and refine new ideas and investigate novel approaches to problems. The ITS Support Center is the central hub to assist the community and to connect its members with the range of IT resources available. A comprehensive catalog of IT services, a staff directory, Support Center contact information, and listing of IT policies (including Acceptable Use Policy, email Policy, and information security policies) may be found on the ITS website: www.colby.edu/its.

Decisions around IT resources and professional staff are guided by community bodies. The Information Technology Committee is composed of elected and appointed students, faculty, and key administrative staff and advises on mainly academic matters. The Information Technology Steering Group is composed of several members of the College's senior staff and advise chiefly on administrative concerns. Colby's Chief Information Officer (CIO) serves on both committees, providing overall strategic leadership on all aspects of information technology planning, programs, and policy and coordinates the delivery of high value services to the community.

II. SERVICES FROM THE OFFICE OF THE PROVOST

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

III. SERVICES FROM THE REGISTRAR'S OFFICE

Records of students' academic progress are maintained by the Registrar's Office and can be viewed via the myColby portal by academic advisors and chairs of major departments. The Registrar's Office provides copies of student's academic records on a need-to-know basis for purposes of recommendation.

Results of the actions taken by the College Committee on Academic Standing at its various meetings are compiled and forwarded to the faculty advisors of affected students.

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

IV. SERVICES FROM THE COLBY BOOKSTORE

The Colby Bookstore, in the Cotter Union Student Center, is the official agency of the College for handling textbooks, custom coursepacks, and classroom, studio, and laboratory

materials. Academic materials staff at the Bookstore can be reached by e-mailing textbooks@colby.edu, or by calling 207-859-5420.

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

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

The Bookstore is also the official agency for book sales at on-campus conferences and author appearances. Please contact the Trade Book Coordinator at the Bookstore, to schedule a book sale at your event.

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

The Bookstore is open year round, Monday – Saturday, 8 a.m.-5 p.m. with extended hours for the start of the semester, exams, and Family Homecoming, Commencement, and Reunion weekends. Institutionally owned, purchases made at the Bookstore support Colby programs. Additional information is available from the Bookstore website.

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

A. Traditional Textbook Requisitions

1. Due dates for ordering textbooks should be carefully observed to allow the College to comply with the federal law requiring that, to the maximum extent practicable, students have access to information about the course materials necessary for a class at the time that they make their course selection, and that this be through the College’s Internet course schedule. Additionally, timely orders allow for adjustments in case a book is out of stock or out of print. Timely adoptions also save the College money on freight and labor, and students money on their textbooks.
2. To avoid errors, the ISBN should be included for each title. Textbook orders may be placed online through the Timber web interface (<https://colby.timberadopt.com/>) or sent via e-mail to textbooks@colby.edu.
3. Do not wait for pre-enrollment figures before placing orders. The Registrar will supply pre-enrollment figures to the Bookstore, as well as to department chairs.
4. Desk copies are ordered by the professor; 6 to 8 weeks should be allowed for delivery. Desk copies are sent at the discretion of the publisher, usually when a minimum number of copies has been ordered. A desk copy request form template is available at the 'Faculty Help Desk' area of the Bookstore Web site.

B. Custom Publishing

1. Colby Custom Publishing is a service of the Colby Bookstore that produces, in conjunction with faculty members, customized readers and course materials. By selecting only the individual articles or chapters to be taught from a book or journal, faculty can eliminate the need for multiple textbooks and reduce overall costs for Colby students.
2. Because articles and excerpts from books are intellectual property, their authors deserve fair compensation for the reproduction and use of their works. Colby Custom Publishing contacts publishers for permissions, then calculates, collects,

and pays the proper royalties. Identification of the copyright holder is especially important. Faculty using a chapter from an anthology should include the acknowledgment page to help us to identify the original source and copyright holder.

3. Copyright clearance and coursepack assembly is a time- and labor-intensive process. It is often not possible to expedite these orders, so faculty are strongly encouraged to observe the due dates set each semester.
4. Document Prep Service is provided free of charge for all Colby Custom Publishing materials; thus, faculty should provide copy with the cleanest, crispest print obtainable. Colby Custom Publishing will straighten, clean up black edges, and provide other services that will make the customized material look professional.
5. Custom Publishing order forms are available from the Academic Materials Office at The Colby Bookstore, or can be downloaded over the Internet from the 'Faculty Help Desk' link of the Bookstore Web site (www.colby.edu/bookstore).
6. One desk copy of each course pack is provided free of charge.

The Bookstore Director appreciates the chance to discuss problems or to hear ideas that faculty members may have about the operation of the Bookstore. Contact the store Director, or stop by the Bookstore.

V. COLLEGE LIBRARIES

The Colby College Libraries (<https://www.colby.edu/libraries/>) provide our users, (faculty, staff, and students) with a myriad of resources and services that support learning, critical thinking, research, curiosity, and the creation of new knowledge.

The Libraries are central to Colby's scholarship. The Libraries strive to be progressive, diverse, strategic, and collaborative with a talented and team-oriented group of professional staff. The staff are dedicated to maintaining, developing, and continually improving one of the most comprehensive and expansive libraries for undergraduate and faculty research in a liberal arts setting. Additionally, the staff of the Colby Libraries are committed to exploring, utilizing, and teaching about new frontiers of information and knowledge acquisition in the digital age; as well as actively working to preserve and teach about items of cultural and intellectual significance. The Libraries are a member of the Colby-Bates-Bowdoin (CBB) consortium that provides opportunities for collaboration, collection development, and resource sharing across our respective libraries.

The staff of Colby Libraries:

- Collaborate with faculty to help support their individual teaching and research related needs
- Identify, acquire, provide access to and preserve scholarly works and resources that support teaching as well as faculty and student research
- Manage and promote the use of Colby's rare and unique materials, among other primary sources
- Teach and guide students how to discover, evaluate and ethically use information and understand all aspects of information literacy
- Provide user-centered spaces for group and individual research, study, collaboration, and contemplation

There are two physical libraries located on campus and an annex on Washington Street:

- Miller Library - Humanities, Social Sciences, and Natural Sciences materials are located in Miller. *Special Collections and Archives* are also located in this library
- Bixler Art and Music Library - Arts and Music materials are located in Bixler

- Washington Street Annex - Fragile, older, and less frequently used books, bound journal collections, and microfilm, retrieved daily during the academic year

The staff of the libraries are organized into the following groups:

- **Administration** - leads staff development and coordination, manages strategic planning, guides communication and engagement, facilitates space design and management, shepherds research and development for new programs and projects, and oversees organizational growth and assessment.
- **Collections Management (CM)** - purchases, organizes, delivers and maintains a rich diversity of scholarly materials in a variety of formats. CM Negotiates fair pricing and licensing for all academic resource acquisitions purchased by libraries; ensures continuous access to physical and digital collections.
- **Digital Initiatives (DI)** - manages the Libraries' website and virtual presence and delivers user-centric access to information discovery as well as digitization, preservation and discovery of collections of special and archival materials. DI supports library information technologies and tools, digital scholarship, digital curation, and publishing technologies.
- **Public Services (PS)** - coordinates and manages Libraries' operations that affect point of contact services - including circulation desks, physical collection maintenance, resource sharing, and material retrieval and management of and from all physical libraries spaces.
- **Research and Instruction (RI)** - provides reference and research support to students, faculty and staff. RI includes department liaisons who provide support for library and research instruction and collaborate with faculty on development of research assignments, pedagogical resources and instruction for information and data literacies
- **Special Collections and Archives** - promotes the discovery and use of Colby's rare books, literary manuscripts, unique collections, and college archives through curation, preservation, instruction, and engagement.

A. **Colby Library Highlights:**

- [A highly skilled and knowledgeable staff](#) that offers expert support and assistance to help you and your students meet academic and lifelong learning goals
- The [CBB catalog](#) serves as the inventory of record for all cataloged holdings, including physical materials held at the annex. Records include:
 - a. 1,720,000 items, including more than 760,000 electronic books, and access to more than 22,000 print and 130,000 electronic periodicals and newspapers, diverse collection of music scores, sound recordings, streaming videos, DVDs, CD-ROMs and other multimedia material
 - b. Hundreds of popular and authoritative full-text and abstract scholarly research databases, with content across a wide range of disciplines
 - c. Downloadable content from digital archives like Hathi Trust
 - d. Selective depository for U.S. government publications since 1880
- Unique and rare primary sources in Special Collections (<https://www.colby.edu/specialcollections/>)
- Digital media labs, copy machines, short-term computer loans, and access to digital scanners
- Collaborative, as well as quiet study spaces to support research and learning

- Digital preservation and publishing services (<http://digitalcommons.colby.edu/>)
 - a. Digital Commons @ Colby presents the intellectual, creative and scholarly culture of the Colby College Community. It is a collection of outstanding student work, faculty scholarship, college records, campus history, and unique materials from Special Collections and Archives.
- Data management support and services

B. Key Services and Policies

1. Accessing and Borrowing Library Materials and Resources: Colby ID cards are needed to checkout materials. A Colby online user ID and login are needed to access online/digital resources. Faculty may borrow materials directly from Bates, Bowdoin, and from the University of Maine System and other Maine academic and public libraries.
2. Loan Periods: Faculty may check out books for one calendar year unless the item is recalled. All books are subject to recall after two weeks. Books may be checked out from Bates and Bowdoin as well for one calendar year. Periodicals may be borrowed for three days (Olin Science) and one week (Miller and Bixler Art & Music). Videos/DVDs circulate to faculty for one week and Bixler sound recordings may be signed out for a semester.
3. *Please consult the Policies section of the Library home page for a complete list of loan periods.*
4. Reserve Services: Faculty members are expected to request, at least one month in advance, the materials they will need placed on course reserve. Please consult the Policies section of the Library home page [at this link](#) for additional information.
5. Purchase of new books, periodicals, audiovisual and multimedia materials: Faculty are urged to recommend books in their field for purchase and will be notified upon receipt. Any type of purchase recommendations may be submitted from the Library home page ([using the Request a Purchase Form](#)) or sent to the department's R&I library liaison or to the Collection Management Department.
6. Interlibrary Loan: Faculty members can request print and digital materials from other libraries directly from the library web (<https://www.colby.edu/libraries/ill/>) page. Loan requests for digital or electronic content may also be made from the web page that appears when we do not have direct access to the content found in print and online library holding/resources. There may be a charge for the Colby library associated with getting access for these materials - if the cost is prohibitive the library will work with the faculty member to find other means of access.
7. Video screenings and Fair Use Guidelines: The Colby Libraries' collection of DVD's and videos support teaching and research. These materials may be used in the classroom under "fair use" guidelines. Public screening and out-of-class viewing of copyrighted video/multimedia materials are not permitted under the fair use information act. Information on "fair use" and guidelines for use can be found on the Media Resources web page (<http://libguides.colby.edu/copyright/fairuse>). Departments will be asked to pay for and often acquire the rights for public viewing of videos, etc.
8. Research and Instruction: Librarians are available to provide library research and instruction assistance to faculty and students. Faculty members are encouraged to request and collaborate in planning library instruction sessions for students. (<http://www.colby.edu/libraries/research-help/researchlibrarians/>)

9. Special Collections: Special Collections (<http://www.colby.edu/specialcollections/>) collects, preserves, and houses the college's rare and early printed books, manuscripts and letters of noted literary figures, and other unique items that help tell the story of our collective past. Our Archives Education teaching program emphasizes active, hands-on learning and deep engagement with primary materials. We work with faculty across all disciplines to support teaching and learning goals for their classes using materials from our collections. To learn more about Special Collections and our teaching program, please contact the Assistant Director for Special Collections or the Archives Education Librarian.
10. The College Archives, housed in Special Collections, is an extensive collection of unpublished and published materials — including photographs, scrapbooks, letters, diaries, artifacts, audio and visual recordings, and college publications — pertaining to Colby, its history, campus culture and alumni/ae.

VI. ADMINISTRATIVE SUPPORT ASSISTANCE

- A. **General Provisions.** The College provides for administrative support services to the various departments through department administrative assistants. Student clerical help is assigned to departments by the Office of the Director of Financial Aid or by other College officers. New faculty are encouraged to talk with their department chair for an understanding of arrangements for administrative support. See Appendix VIII for a description of administrative assistant duties.
- B. **Duplication Services for the Faculty.** Although some departments have their own copying machines, most duplicating of classroom material and examinations should be done through SBS Carbon Copy. Information and scheduled delivery times are available at the Mail Service Center.

Small photocopying jobs can be accomplished in Miller Library, or in various academic buildings. Department budgets provide for reasonable use of photocopiers by faculty members. Department cards ("D cards") for use in photocopiers are available from the Colby Card Office. Faculty should be aware of "Fair Use" laws governing the photocopying of copyrighted materials.

VII. SUPPLIES

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

VIII. FACULTY RESEARCH AND TRAVEL FUNDS

Standard Research and Travel Funds

The College provides faculty members with annual funding to support their scholarly work. These funds may be used to directly support research, scholarship, or creative activities that promote the faculty member's intellectual enrichment and allow them to become a more effective scholar. They may also be used to support attendance at professional conferences or other travel related to one's research.

Tenure-track and non-tenure track continuing faculty members (as defined in the Faculty Handbook) receive a total of \$5,000 of standard research and travel funds in each fiscal year (July through June). Faculty head coaches, faculty librarians, and visiting faculty members receive \$2,000 in each fiscal year. Faculty members with remaining start-up funds or endowed research funds from the College are not eligible for the standard research and travel funding.

The assistance of the Colby College Research Funding should be acknowledged in any

publications that result from the work accomplished. Faculty are encouraged to give an oral report on campus about the work facilitated by these funds. Division lunches and departmental colloquia provide good opportunities for such presentations.

Guidelines For Use of Research and Travel Funds

These funds may be used for research expenses including equipment, materials and supplies, consultation with experts in a particular field, editing services, costs for having specific procedures, analyses, or services performed by outside experts that are essential to completion of the research project, hiring Colby students as research or technical assistants during the academic year, and rental of space or costs for using facilities at off-campus laboratories.

The funds may also be used for travel expenses when travel is necessary to carry out a research project, to collaborate with colleagues at (or from) other institutions on research projects, or for upgrading research skills or background in the faculty member's areas of scholarship. The funds may be used to cover expenses of attending a professional conference, including registration fees, travel, lodging, and meals.

When using funds for travel, the reimbursement rates for travel expenses and the appropriate reimbursement claim procedure may be found in the document entitled "Reimbursement Handbook" which is downloadable from the Business Office web page at <http://www.colby.edu/business/>. Please note that if receipts are not submitted within 30 days of completing your travel, federal law states that your grant must be treated as part of your taxable income.

These funds may be used for purchasing highly specialized books, specialized computer hardware or software needed for research (and unavailable through the budget of ITS). Such books, hardware and software should be ordered through the Colby Library or ITS and must be catalogued as library acquisitions or property of the College. Apparatus and equipment purchased with research funds are the property of the College and must remain at Colby if the faculty member's employment with the college terminates for any reason.

It is the responsibility of each faculty member to track carefully all expenditures and not to exceed the allocated amount. Available funds unused in one fiscal year may not be "rolled over" into the next year.

Supplemental Research Grants:

To support research projects that require resources beyond the standard funding (e.g., international travel, specialized equipment), supplemental research grants are available on a competitive basis. All continuing faculty (except those with remaining start-up funds) are eligible to submit applications for supplemental grants. These should be very strong and focused proposals that significantly advance the long-term scholarship capability of a faculty member. Supplemental grants should have the potential to fundamentally transform the level or area of the applicant's work. Applications for supplemental funding made in consecutive years must be especially compelling.

Supplemental grant applications will be initially considered by the Grants Committee of the academic division with which the faculty member is associated. The division Grants Committee is composed of all the department chairs within the division, and is convened by the Division Chair.

The Interdisciplinary Studies (IDS) Grants Committee accepts proposals from faculty members with a full or joint appointment in an IDS department, or who are significantly involved in an IDS department. IDS grant proposals must be interdisciplinary in nature and the proposed projects must clearly cross disciplinary boundaries.

After applications have been considered by their respective division Grants Committees, the Division Chairs will then meet together with the Provost to make the final decision

on which proposals can be funded.

The maximum amount for a Supplemental Research Grant is \$3,000 for the year. The amount of supplemental funding that each person is awarded will depend upon the funds available, the number and quality of proposals submitted, and the scholarly and creative work originating from Colby College research support during the prior five years. It is the responsibility of the grantee to track carefully all expenditures and not to exceed the grant award.

A link to more information about how to apply for a Supplement Research Grant may be found at the Provost Office [web page](#). Submission deadlines are typically at the beginning of the Spring semester.

IX. SUMMER RESEARCH ASSISTANTS

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

X. EXTERNAL GRANTS ADMINISTRATION

The Office of Grants and Sponsored Programs / Foundation and Government Relations (GSP) provides information, resources, and expertise to faculty and administrators for navigating the grant discovery and proposal development process. GSP plays an integral role in both the pre-award and post-award phases of a grant and is the designated office at Colby for grant submissions to foundations and state / federal government offices, sub-awards with other institutions, and grant administration, including fulfillment of ongoing reporting requirements, research administration, risk assessment, and relationship management.

Colby's grants web site can be found at www.colby.edu/grants/ or easily found via an internet browser using the words "Colby grants." The GSP staff encourage faculty to contact the office to generate and frame proposal ideas and discuss specific projects, and to visit the faculty area of the grants web site to tap into a plethora of resources, tools, and federal guidelines, including GRANTS DIGEST which is a curated list of near-term grant opportunities published monthly during the academic year. Faculty can send inquiries to grants@colby.edu or call the office directly at tel: 207.859.4342 or email the GSP staff to schedule a meeting.

A. Grants Process

STEP 1: Discovering Funding Opportunities

Once the proposal idea is outlined, the first step is to identify grant-funding organizations with a program or interest area that aligns with the proposed project. The Pivot grants database which can be found on the grants website or through the Colby Library database listing is a powerful tool for searching grant opportunities worldwide. At this stage of the grants process, it can be helpful for a principal investigator or proposal lead to submit the **Intent to Seek External Funding** form to enable the grants office to anticipate deadlines and begin planning. Faculty forms are easily accessible on the GSP web site.

STEP 2: Proposal Development and Submission

Once a decision has been made to proceed with developing a proposal, a **Grant Proposal Endorsement** form is required to complete an internal approval process. In addition to thinking through proposal strategies and risk factors, GSP offers guidance and expertise for developing and packaging the components of a grant proposal, including: executive summaries, narratives, budgets, financials, letters of support, external partnerships information, and all required documentation. GSP helps to establish timelines for proposal development and has a strong track record for submitting grant proposals ahead of

deadline. During the proposal development phase, GSP and faculty work closely with the Office of the Provost and the Office of the Vice President for Administration. The Office of Administrative Financial Services plays an integral role working with GSP and faculty in developing budgets during the early phases of proposal planning.

The grants office is often the lead administrative relationship manager between Colby and external grant organizations and serves as a clearinghouse for contacting program managers at foundations and government agencies. The grants office also facilitates the timing of proposal submissions and keeps track of changes to foundation and government guidelines and programs.

STEP 3: Managing Awards

Post-award activities are just as important as pre-award activities and are more time consuming over the life of the grant. Meeting the goals of the project as outlined in the grant award letter and fulfilling the reporting requirements are paramount in order to maintain the award and to stay eligible for future grants. GSP works with principal investigators and administrators to ensure that all of Colby's obligations are fulfilled for the life of the grant and that thoughtful consideration is given to plans for funded programs and initiatives after the grant term expires. The Workday system is an important source of current post-award grant information for GSP and faculty.

The grants process is designed to increase the probability of a proposal being awarded, and to establish an effective and efficient system to facilitate communication and cooperation among faculty and administration for institutional and individual proposal planning and submission. The process is also designed to facilitate Colby's endorsement of proposals, to assure sound proposal budget development, to maintain grant records for the College, and to ensure timely reporting.

BENEFITS AND PRIVILEGES FOR ELIGIBLE FACULTY

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

I. BENEFITS

The following descriptions of benefits are provided solely as a guideline for general reference. Detailed information is available from the Human Resources Department in the form of descriptive booklets, summary plan descriptions, and the controlling plan documents. In this summary format, we are unable to provide all of the details of the various benefit programs and, to the extent there is any discrepancy between this summary and the plan documents, the plan documents control.

Colby College expects to maintain the benefits described in this handbook. However, to guard against unforeseen circumstances, the College must reserve the right to amend, modify, or discontinue any or all of said benefits.

The Office of Human Resources has administrative responsibility for all of the fringe benefit programs at the College. The Office of Human Resources provides assistance to faculty members, spouses, and families with enrollment in various insurance programs and the retirement plan, filing of claims, and conversion privileges. Questions about any of the benefits or privileges described below should be directed to the Human Resources Department.

It is important for faculty members who will be away from the campus on an extended, approved leave of absence to consult with the Office of Human Resources. Information can be given on programs that can be continued and the costs involved. Faculty members should advise the Office of the Provost of any change in address or telephone number.

Faculty members appointed to positions that are less than half time are not eligible for the listed benefits and privileges except social security, workers' compensation, and unemployment compensation under certain circumstances.

A. Medical, Dental, Vision, Life, and Long-Term Disability

Colby provides a comprehensive plan of benefits designed to provide opportunities for preventive and routine care and provides protection against costs incurred from catastrophic injury and/or illness. The College and the employee share the cost of coverage, and employee contributions are generally made on a tax-sheltered basis through payroll deduction. Dependent coverage is available to qualifying same-sex and opposite-sex marital partners. Continuing employees who work half-time or more are eligible to participate. Coverage is not automatic, and enrollment must be made within the first 30 days of employment; otherwise, you need to wait until the next open enrollment process.

For faculty who start on the first day of any month, benefits are effective immediately. For those whose start date is after the first of the month, benefits are effective on the first date of the following month.

For details of the current medical, dental, vision, life, and long-term disability plans, consult the Office of Human Resources or the benefits website at www.colby.edu/humanresources/benefits/.

B. Retirement Plan

1. Social Security and Medicare taxes. Colby College participates in the federal Social Security and Medicare program. Deductions as required by law are made from the employee's salary up to the maximum standard set for each calendar year. All such deductions are matched by the College.
2. TIAA. The Colby College Retirement Plan provides contributions to individually owned retirement annuity contracts issued by Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA). Contributions to the annuity contracts are immediately vested and participants currently may allocate contributions among different investment funds.
 - a. Group Supplemental Retirement Annuity (GSRA): Any faculty member paid by the College may participate in a voluntary GSRA account by completing a salary reduction agreement with the College and enrolling with TIAA. Within limits prescribed by law, such contributions are not subject to federal and state income tax; rather, earnings will be taxed when received as benefits upon withdrawal. Voluntary contributions can start, stop, or be changed monthly. Note there is no waiting period to participate in a GSRA and contributions can begin as soon as your account is established with TIAA.
 - b. Retirement Annuity (RA): Participation in the plan begins after two years of continuous eligible employment, regardless of rank. The retirement plan requires contributions from both the College and the faculty member. The College contributes 8% on the first \$84,900 of base salary and 10% on eligible earnings above \$84,900. Faculty members will contribute 2% of their salary and these contributions will be made on a salary reduction basis as a condition of employment.

Faculty members' mandatory pre-tax contributions will be deducted from monthly salary payments. These contributions must be made on a tax-deferred basis as a condition of employment. Additional voluntary contributions beyond the mandatory 2% are permitted, subject to an executed salary reduction agreement.

Under certain conditions, accumulations may be paid out to faculty members in a lump sum or over a fixed period after termination of employment.

3. Faculty members hired prior to July 1, 1989 may be eligible for a special payment reflecting the change in retirement plan contributions for Professors. The payment, representing 5% of earnings above the Social Security wage base, is payable in January of each year and subject to payroll taxes. Faculty members may be able to tax defer that payment by making a contribution to an annuity contract.

Faculty members should contact the Office of Human Resources for additional information about the retirement plan and enrollment procedures.

4. Upon retirement at any age, a faculty member may receive a monthly or other periodic income under one of the options set forth in TIAA annuity contracts. Lump-sum distributions are permissible, subject to annuity contract provisions. Contributions by the College to employee retirement plans will terminate when employees retire.

C. Retiree Medical Benefits

Upon retirement, the retired employee and their family may opt to remain covered under the medical plan, provided the employee has attained age 60 and has at least ten years of continuous service after age 40. Once the retired employee is eligible for Medicare (Parts A and B), Medicare becomes the primary insurance, and the College plan becomes supplemental.

Contributions by the College toward the cost of retiree health coverage vary on the basis of employment and retirement. For employees retiring on or before August 31, 2003, the College presently pays the premium for the retired employee. For faculty whose official date of employment, per the records of Human Resources, was prior to September 1, 2002 and who retire after August 31, 2003, the College will pay 90 percent of the individual premium. For faculty whose official date of employment, per the records of Human Resources, was after August 31, 2002, the retired faculty member will pay the premium for individual coverage. Family coverage, if desired, is paid by the retired employee.

The Office of Human Resources has further details, enrollment information, and claim forms to receive retiree benefits under the plan.

D. Employee Assistance Program

The Employee Assistance Program (EAP) is a confidential consulting service offering a range of assessment, information, referral, and counseling services for a variety of personal concerns. It is designed to assist employees and household members deal with issues such as emotional distress, marital difficulties, financial problems, legal questions, and child- and elder-care challenges, among others. The EAP also offers a 30-minute legal consult service. For more information, refer to the EAP brochure or contact Human Resources.

II. UNEMPLOYMENT COMPENSATION

Upon employment, all employees of the College are covered by the Maine Employment Security Law and are entitled to all applicable benefits under that act. The College pays on a direct reimbursable plan whereby the College is billed for all claims filed. The law is administered by the Maine Employment Security Commission.

III. WORKERS' COMPENSATION INSURANCE

As required by Maine law, every employee of the College is covered by Workers' Compensation Insurance for accidental injury and/or occupational illnesses sustained while an employee is actually in the performance of duty at the College. The entire cost of the coverage is paid by the College. To the extent provided by Maine law, this insurance will pay for the cost of medical and hospital care and will help to compensate for loss of earnings resulting from injuries on the job. This insurance also provides for a lump-sum payment in the event of death resulting from such injury. Any on-the-job accident, no matter how minor, must be reported as soon as possible but no later than 24 hours to the department chair, the Provost, and the Director of Safety.

IV. TUITION SUBSIDY FOR DEPENDENT CHILDREN

The College provides certain faculty and staff members of Colby College with tuition subsidy benefits for the undergraduate education of their eligible children. The benefit is earned on the basis of one year of tuition credit for each year of service completed and is payable up to 38.1 percent of Colby's comprehensive fee. The benefit is payable for tuition only; room and board and fees are not eligible expenses.

A. Eligibility to participate

1. Full-time faculty members who hold a full academic year or full fiscal year appointment in a regular and continuing capacity.
2. An individual holding a shared appointment for a full-time position will be treated as a full-time employee.
3. An employee designated as an officer or a full professor of the College if (i) as of their hire date by the College, they had satisfied all eligibility and vesting requirements under a tuition reduction plan described in Code section 117(d) which was sponsored by their immediately preceding employer; and (ii) they were hired by the College within 180 days after terminating employment with their immediately preceding employer.

B. Waiting period and qualifications for benefits

1. Participants will be eligible to receive tuition benefits after they have earned six years of tuition credit. NOTE: There is no waiting period for officers or full professors of the College.
2. The dependent child must be enrolled on a full-time basis at a regionally accredited, four-year institution offering a bachelor's degree or a regionally accredited, two-year institution offering an associate degree in a field in which the associate degree is considered terminal or a program of study which at the end of two years permits transfer to a four-year, accredited institution.
3. Child must be a dependent as defined by the Internal Revenue Service.
4. Spouses, both of whom work full-time at Colby and both of whom meet the other eligibility requirements, can combine their benefits and apply the double benefit to a single child in a single year, although at no time could the benefit amount for the child exceed the total dollar value of Colby tuition in that year or the amount of tuition in another institution, whichever is lower.
5. In the event an employee dies, becomes totally disabled, or retires with the permission of the College, even though a full waiting period may not have been completed, the number of earned and unused tuition years (which equals the number of full-time paid years of service at Colby minus the number of years already used) would be made available to eligible children when they reach college age.

C. Limitation for which benefits will be paid

1. Tuition benefits paid on behalf of any one eligible child may not exceed the equivalent of four academic years (i.e., eight semesters, twelve trimesters, sixteen quarters, or the equivalent four-year measure at a qualified institution).
2. Tuition benefits paid on behalf of any one eligible child for any one semester, trimester, or quarter shall be prorated based upon the number of semesters, trimesters, or quarters (as applicable) in an academic year.
3. Tuition benefits paid on behalf of any one eligible child may not exceed the equivalent of one academic year (i.e., two semesters, three trimesters, four quarters, or the equivalent one-year measure at the applicable qualified institution) in any one fiscal year.
4. Tuition benefits will be paid for a summer term only if the eligible child is enrolled on a full-time basis in a summer session sponsored by a qualified institution. If tuition benefits are paid for a summer term,
 - a. the term will be treated as a regular quarter, trimester, or semester (depending on the number of credits carried), and
 - b. the amount of the benefit will be calculated based on the College's comprehensive fee for the semester immediately succeeding the summer term in question.
5. If an eligible child withdraws before or during a quarter, trimester, or semester with respect to which tuition benefits have been paid, that quarter, trimester, or semester shall count for purposes of the foregoing limitations unless such tuition benefits are refunded in full to the College.

D. Administrative Provisions

1. An application for each semester, trimester, or quarter for which the benefit is requested, must be completed and submitted to the Office of Human Resources. Each application shall be accompanied by an itemized billing statement from the attending college or university that clearly indicates the tuition charge. NOTE: It is the responsibility of the parent to notify the Office of Human Resources if their dependent withdraws before or during the period for which the tuition was paid. Upon approval of the tuition subsidy application, a check from Colby will be mailed directly to the institution that rendered the bill.
2. The President is authorized by the Trustees to interpret provisions of the Tuition Plan.

V. COURSE PRIVILEGES

Spouses, domestic partners, and dependent children of continuing full-time employees may enroll at Colby in courses for credit without payment of tuition on a space-available basis. Such enrollment should be arranged through the Office of the Registrar. Spouses and domestic partners are eligible to enroll as either matriculating or non-matriculating students and are not limited as to the number of courses taken for credit. Dependent children may enroll as non-matriculating students up to a maximum of four courses for credit (no more than two courses in any semester) without payment of tuition. Eligible dependent children are those who are currently in high school, currently enrolled as undergraduates in a college or university, or undergraduates on an approved leave from a college or university. Regularly enrolled Colby students will have priority in any class in which registration is limited. Spouses, domestic partners and dependent children may audit any course with permission of the instructor. The standards for admission, and standards and requirements for graduation, will be the same as those applied to all students. For more information,

go to http://www.colby.edu/administration_cs/humanresources/benefits/ and follow the link to the Colby College Statement on Non-Traditional Students at Colby in the Tuition section.

Faculty instructors will not be permitted to have family members enrolled in their courses.

VI. MORTGAGE LOANS

Faculty members in tenure track or non-tenure track continuing positions moving to accept employment at the College may apply for a mortgage program benefit. More details about the mortgage program can be found in the Staff Handbook Appendices on the Human Resources web site.

http://www.colby.edu/administration_cs/humanresources/staffhndbk.cfm

VII. FACULTY EMERITUS PRIVILEGES

- A.** Issued special Colby ID cards that provide full use of all campus facilities.
- B.** May apply for faculty parking sticker.
- C.** Access to Colby email continues for five years post-retirement and may be extended upon request to the Provost.
- D.** Will be invited to join academic processions at First-Year Student Assembly, Baccalaureate, and Commencement.
- E.** Will be supplied Colby stationery and mail privileges for Colby-related business.
- F.** Services of department administrative assistants will be provided for College-related work.
- G.** Will be invited to the annual meeting of emeritus faculty by the President or Dean.
- H.** Will have continued library privileges.
- I.** May be called on from time to time to serve on ad hoc committees or task forces.

OTHER INSTITUTIONAL SERVICES AND INFORMATION FOR FACULTY MEMBERS

I. IDENTIFICATION CARDS

Identification cards are issued to faculty and spouses by the Colby Card Office in Garrison-Foster. Identification photos are taken in the Colby Card Office. These cards serve as identification for admission to home athletic events, for use of athletic facilities, in the library or bookstore, and at any other time or place in which it would be useful to establish official association with the College.

II. FACULTY OFFICE SPACE

Whenever possible, the College will provide each faculty member with a private office. Office space is assigned to departments, and in certain cases to individual faculty members, by the Office of the Provost.

The college will provide each faculty member with office furniture including a standard desk, chair, bookcase, and filing cabinet. If an office is missing any of these items, it may be obtained from the surplus furniture stores at Facilities Services. If a needed item cannot be obtained from Facilities, then the provost's office will cover the cost of purchasing it. If the office already has serviceable furniture, but the occupant wishes to obtain different furniture, it is the responsibility of the department or the individual to cover the costs of such furniture.

If a medical accommodation necessitates a specific type of desk, chair or other furniture, the provost's office will support such needs.

III. **FACULTY LOUNGE**

A room on the second floor of the Lovejoy Building was specifically included in the construction of the building and reserved as a faculty lounge. This is a space for personal and private use by faculty and staff members. It is not for use by students or by faculty-staff children except when accompanied by an adult. The faculty lounge is not available for classes, committee meetings, or for conferences with students except by special arrangement through the Faculty Lounge Committee. It is not available for receptions until after 5:00 p.m., for which reservations must be made in advance. A small kitchenette is provided for use by the faculty or staff when the occasion may call for refreshments, and coffee and tea are available during days when the College is in session.

IV. **CAMPUS MAIL**

- A. Incoming Mail.** Colby's branch post office, located in the Cotter Union, offers stamps and other services to the campus at large. Incoming mail addressed to faculty at College addresses is delivered to the Mail Service Center in the Cotter Union at regular delivery hours.
1. When College is in Session: Faculty mail is either picked up by departmental representatives or carried by a student mail carrier to stations in the buildings where there are faculty mailboxes. Departmental secretaries place the mail in individual faculty boxes.
 2. During Holidays: Since no student carrier is employed for these periods and no formal service exists for carrying mail beyond the mail room, or for sorting, other than by building or department, faculty members may pick up incoming mail at the Mail Service Center in Cotter Union.
- B. Outgoing Mail.** Mail from departments and/or faculty members' offices for students living on campus, administrative offices and other departments, and outgoing mail to be posted, is collected daily at each College building by a student mail carrier during periods when College is in session. Mail is brought directly to the Mail Service Center where it is sorted or rerouted for delivery.
- C. Personal Mail.** Personal mail will be handled by the campus mail service, but postage on personal correspondence is not provided by the College. During the academic year, postage stamps are available at the Student Post Office in Cotter Union; in the summer, postage is available in the Mail Service Center. Packages or certified letters may be mailed through the Mail Service Center, but there is no provision at the College for handling registered or insured items.
- D. Parcels.** The Mail Service Center is a receiving and sending point for the United Parcel Service and Federal Express. Individuals pick up incoming packages by signing a form in the Service Center, and UPS packages may be dispatched from the same place by paying the requisite fees. UPS also has an office in Waterville for major dispatches; when faculty members have large or many shipments to make, they are advised to use the Waterville office.

V. **COLLEGE PUBLICATIONS**

From time to time the College publishes various items of interest to the faculty, students, alumni, and prospective students. These are available to the faculty:

- A. The Colby College Catalogue.** Published each summer, secured from the Registrar's Office and also available on the Web.
- B. Directory of Faculty, Staff, and Students.** Available online, at: (http://www.colby.edu/directory_cs/).

- C. **Colby Magazine.** A quarterly, containing articles on Colby history, reviews, and other subjects of interest to Colby alumni and faculty; welcoming research as well as the exchange of opinion between faculty and alumni; distributed to faculty members through campus mail.
- D. **The Student Handbook.** Available at the webpage of the Office of the Dean of the College.

VI. CALENDAR OF EVENTS

The College calendar of events is maintained by the Scheduling office in the Eustis building, first floor. The Scheduling Manager keeps a daily record of College activities occurring outside the curricular schedule, including lectures, concerts, talks, forums, club meetings, exhibitions, etc. Prior to arranging the event, faculty members planning any such function should consult with the Scheduling Manager to determine the availability of dates, times, and spaces. All events held before 5 p.m. in academic buildings are scheduled by the Registrar's Office. The Scheduling office is responsible for scheduling rooms in academic buildings after 5pm and the daylong scheduling of rooms on the second floor of the Roberts Building. Cotter Union rooms are scheduled by the Director of Student Activities. Residence hall lounges are scheduled for use on Sunday-Thursday by the head resident of each building, and for use on Friday and Saturday by the Director of Student Activities.

VII. ORGANIZATIONAL MEMBERSHIP

There are several organizations open to College faculty members. These are voluntary organizations including members of the various constituencies of the College and of the local community. They include:

- Colby Community Symphony Orchestra, Band, and Chorus
- Colby Music Associates
- Colby Museum of Art Friends of Art

Inquiries should be directed to the Department of Music and/or the Colby Museum of Art.

Private lessons at cost on a variety of instruments may be arranged through the Music Department.

VIII. NOTARY PUBLIC SERVICE

A certified notary public is available, without charge, to all members of the faculty. Inquire at the Office of the Provost.

IX. CAMPUS CAR REGISTRATION AND PARKING

Members of the faculty, staff, and student body are required to display on their cars a Colby College parking sticker if they use the College parking areas during the academic year. Faculty parking stickers are obtained without cost from the Office of Security in the Roberts Building. A copy of the Traffic Regulations is issued with each sticker when the vehicle is registered. These regulations should be read carefully.

Parking facilities for faculty members are generally available near all academic buildings.

X. DEPARTMENT OF SECURITY

The Department of Security operates from the Roberts Building. The traditional role of patrolling the campus 24 hours a day is still the prime function of the department. Security officers are hired to protect members of the Colby community and the property of the College.

Other services offered by the Department of Security include:

- Lost and Found is centralized through the Security office in Roberts. Please turn in any "found" items there.
- Campus Patrols
- Student Campus Patrols check doors and windows on campus during the evenings. They supplement the security officers.

XI. TELEPHONE SERVICE

Telephone service is maintained at the College by Media Resources of ITS. The main College number is 859-4000. Information about the telephone system is available at www.colby.edu/its/media.

Colby's emergency number for Security for campus phone extension users is 5911 (207-859-5911 from off-campus). General (non-emergency) information may be obtained from Security at extension 5530. Waterville's emergency number is 911.

College telephone numbers and building locations of Colby personnel are listed in the Directory of Faculty, Staff, and Students. Information on College offices and student residences are also available in the online directory.

XII. FACILITIES SERVICES

Facilities Services maintains the campus. Janitorial service is provided in all buildings. Problems of furniture, heating, wiring, and major moving should be referred to the Facilities Services Department.

XIII. SALARY PAYMENT

Upon arrival at the College, new faculty should see the Payroll Office and Office of Human Resources to complete those forms necessary to place them on the payroll and to activate benefits; this may also be done at new faculty orientation.

Faculty appointments normally begin on September 1 or on July 1, and faculty members are paid in twelve installments on the last business day of each month. Direct-deposit arrangements can be made for most financial institutions. Details of such arrangements are available at the Payroll Office.

Colby prohibits improper deductions from faculty members' pay. If a faculty member has any concerns about his/her paycheck, feels as though there have been unauthorized or improper deductions or feels that any other error to his/her pay has been made, the faculty member should report it to the payroll office immediately. Reports of payroll errors will be investigated promptly. If it is determined that an error has been made, Colby will reimburse the faculty member as soon as possible.

XIV. FACULTY USE OF ATHLETIC FACILITIES

The athletics department website posts information on athletics facilities and hours.

XV. HOUSING

The College does not provide housing, except for those faculty who occupy living units as faculty-in-residence.

XVI. RECREATIONAL PROPERTIES OF THE COLLEGE

The Colby-Hume Center on Messalonskee Lake, seven miles from campus, has 450 feet of lakefront. It was given to Colby in 1991 by Alan and Dorothy Hume, where Dorothy still resides in a private house. Facilities available include a picnic area, a small beach for swimming, and two small bath/changing houses with toilets. Additional information on the use of the Colby-Hume Center is available from the Office of Special Programs (ext. 4731).

The Colby Outing Club property, on the east side of Great Pond, some six miles from campus, has a dock, bathhouse, and picnic shelter. There is no exposed beach, and facilities are not especially suitable for very young children. The Colby Outing Club is an excellent resource for campers.

XVII. PERSONAL AND EXTRACURRICULAR USE OF COLLEGE FACILITIES

Faculty members may request use of the Lorimer Chapel, various rooms on the second floor in the Roberts Building, Cotter Union, and classrooms for certain purposes. Such requests should be directed to the Scheduling and Facilities Manager, who will provide information on availability, charges (if any), and rules for the use of the facilities.

The Scheduling and Facilities Manager cooperates with the Director of Special Programs, whose office plans and coordinates the many conferences held at Colby, particularly during the summer. Faculty members involved with professional organizations considering Colby as a meeting site are urged to consult the Director of Special Programs for details of Colby's conference facilities.

Colby maintains a Guest House, located next to the Wales tennis courts. Departments and offices may use the Guest House for visitors who might otherwise be lodged in a local motel. A descriptive brochure is available and may be sent to guests in advance of their visit. For reservations and further information, contact the Scheduling and Facilities Manager.

XVIII. ANIMALS ON CAMPUS

Students (except with special permission) are forbidden to keep pets on campus as a safety and health measure. Faculty (except those residing on campus) are expected to refrain from bringing pets, especially dogs, to the campus, as well. Unleashed dogs violate state law as well as a Waterville city ordinance.

XIX. PERSONAL PROPERTY LOCATED ON CAMPUS

The College does not insure or accept responsibility for any employee personal property located on College premises. Such property can usually be covered by the employee's homeowners or renter's insurance policy. Employees should consult with their insurance agents.

XX. USE OF PERSONAL VEHICLES ON COLLEGE BUSINESS

Employees are encouraged to use College-owned or rented vehicles for all travel on Colby business, thus assuring that insurance coverage is provided by the College. If a personal vehicle is used for Colby business, the employee's personal automobile insurance will provide the primary coverage for any accidents that might occur.

Appendix I: COLBY COLLEGE VALUES

In the 2002-2003 academic year, President William Adams appointed a Task Force on Statements of Values whose charge was to review current statements of values and to explore the desirability and feasibility of revised or new statements, compacts, or codes, with special attention to academic integrity, behavior within the Colby community, valuing differences, civility, and inclusiveness among community members.

As part of its final report, the task force recommended that the College publish, where appropriate, a summary of its various statements of values and goals. That summary follows.

Mission and Goals:

Colby is committed to the belief that the best preparation for life, and especially for the professions that require specialized study, is a broad acquaintance with human knowledge. The Colby experience is designed to enable students to find and fulfill their own unique potential. It is hoped that students will become critical and imaginative thinkers who are: welcoming of diversity and compassionate toward others; capable of distinguishing fact from opinion; intellectually curious and aesthetically aware; adept at synthesis as well as analysis; broadly educated with depth in some areas; proficient in writing and speaking; familiar with one or more scientific disciplines; knowledgeable about American and other cultures; able to create and enjoy opportunities for lifelong learning; willing to assume leadership roles as students and citizens; prepared to respond flexibly to the changing demands of the world of work; useful to society and happy with themselves.

Colby stands for diversity; for respect for various lifestyles and beliefs; and for the protection of every individual against discrimination. In the classroom and outside, there is freedom to study, to think, to speak, to work, to learn, and to thrive in an environment that insists upon both civility and the free and open exchange of ideas and views. The behavior of individuals may often affect the rights and wellbeing of others, therefore all members of the campus community are responsible for fostering an environment in which teaching, learning, and research flourish. (Colby College Catalogue.)

Diversity:

Colby is dedicated to the education of humane, thoughtful, and engaged persons prepared to respond to the challenges of an increasingly diverse and global society and to the issues of justice that arise therein. The College also is committed to fostering a fully inclusive campus community, enriched by persons of different races, gender identities, ethnicities, nationalities, economic backgrounds, ages, abilities, sexual orientations, political beliefs, and spiritual values.

Non-discrimination:

Colby is a private, coeducational liberal arts college that admits students and makes personnel decisions on the basis of the individual's qualifications to contribute to Colby's educational objectives and institutional needs. The principle of not discriminating on the basis of race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs, veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job or course of study requirements is consistent with the mission of a liberal arts college and the law.

Non-harassment:

Harassment based on race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs, veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job or course of study requirements results in loss of self-esteem for the victim and in the deterioration of the quality of the classroom, social, or workplace environment. Neither the law nor College regulation permits harassment as defined in these policies. Harassment by one's peers, by any student, or by any employee of the College will not be tolerated. Possible penalties for those found guilty of harassment include probation, suspension, expulsion, termination of employment, and civil or criminal lawsuits. Those in positions of authority in all sectors of the College community must recognize that there can be an element of power in their relationships with persons having less authority. Faculty members must be aware that they are persons in authority over all students, because faculty can, sometimes unexpectedly, find themselves responsible for the instruction or evaluation of any student at the College. Supervisors are persons in authority over subordinate employees in their departments. It is the responsibility of the person in authority not to abuse that power. Relationships between consenting adults that would otherwise be acceptable can pose problems when one of the two has authority over the other. Such relationships should be avoided. (Student Handbook)

Sexual Assault:

Sexual assault is sexual activity, of any kind, with a person without that person's consent. Colby College will not tolerate sexual assault in any form. Sexual assault is an act of violence prohibited, in separate ways, by Maine law and Colby policy. Students found responsible for sexual assault will be subject to disciplinary action, which can include suspension or expulsion. (Student Handbook)

Residential and Social Life:

Because Colby is a residential college, students create a community that is simultaneously intellectual and social. The patterns and programs of social and residential life are administered so as to enhance faculty-student ties beyond the classroom, assure respect for persons and property as well as the individual rights, wellbeing, and dignity of others, promote understanding among all people, and foster personal growth and the opportunity to make lasting friendships. In the conduct of its social life Colby is committed to several principles. First, while not every social event can or should be open to every student, campus social life as a whole should be open and welcoming to all students. Second, students must retain the right to avoid social engagements when they so choose. To this end, departments, residence halls, teams, clubs, and other groups should strive to ensure that participation in social activities is neither formally nor informally required. Third, personal conduct at social events should be governed by respect for the rights and wellbeing of others. (Student Handbook)

Appendix II: Two Policy Statements on Tenure

(1976) Colby College expects to retain and offer tenure to those who demonstrate the potential to sustain both very superior teaching effectiveness and scholarly or creative endeavors which inspire both students and colleagues. No teacher whom Colby strongly desires to retain should be denied tenure. The College cannot afford to lose from its permanent faculty those persons who seem likely to fulfill substantial promise and extend the significant services that this College must provide in the future. The following general principle is central:

Who is tenured is more significant to the welfare of the College than how many are tenured.

Basic components of the criteria for tenure and promotion are teaching and advising (advising includes the whole range of student-faculty relationships outside the classroom), scholarship, and service to the College and academic discipline. Teaching effectiveness is paramount, and Colby should require superior or outstanding, and not merely satisfactory, achievement. Recognizing that the College situation is never static and that each case requires evaluation of the position as well as the candidate, these criteria should be applied as firmly and as consistently as possible. The procedures for their application should be comprehensive and clear.

The long-range needs of the department and the College, present and projected enrollments, and changing financial circumstances must be accommodated in any personnel planning. Nevertheless, the primary objective in making a tenure decision shall be quality of educational programs.

The ratio between tenured and non-tenured faculty in the College as a whole must regularly be monitored and reasons for any unusual imbalance of either too many or too few should be studied. A ratio, however, is not an objective. There is no substitute for sound judgment. Reliance on a quota, a ceiling, or a minimum number, denies the exercise of judgment and reduces decision-making to a clerical routine without regard to individual and educational requirements.

* * * * *

(1982) When, in the early 1970s, the Board of Trustees adopted as College policy the American Association of University Professors 1940 Statement of Principles on Academic Freedom and Tenure, thus aligning Colby with other institutions nation-wide in its policies and procedures for the granting of tenure, the Board recognized that a certain proportion of the Colby faculty would have continuous tenure at any one time. That proportion, however, was to be determined with certain policy limits: e.g., the necessity to maintain staffing flexibility under the pressure of changing curricular needs; funds available in the instructional budget; and the student/faculty ratio. Therefore, a balance between tenured and untenured members of the Colby faculty remains a matter of concern to all segments of the Colby community.

First of all, the general principle central to the Trustees' policy statement on tenure is reaffirmed: who is tenured is more significant to the welfare of the College than how many are tenured. Based upon projections of changes in the composition of the faculty during the next two decades, it is likely that the number of tenured faculty will vary—increasing during the eighties, declining during the nineties.

In order to maintain a balance between tenured and untenured faculty consistent with the policies described above, an average of two-thirds of those eligible each year may be granted tenure over the next twenty years.

However, recognizing that in any single year more or less than two-thirds of the candidates might merit the granting of tenure, no fixed annual quota should be imposed. The overriding principle continues to be the educational welfare of the College during the next two decades.

The Trustees' policy statement on tenure, moreover, calls for regular monitoring of the ratio between tenured and untenured faculty at the College. In order to facilitate communications between the faculty and the Trustees, the President will convene a meeting in each academic year of subcommittees of the Educational Policy Committee of the Board and the faculty Committee on Promotion and Tenure which will review: (a) tenure policies in the light of long-range projections of the number of tenured faculty; and (b) the probable number of candidates for continuous tenure in that academic year.

APPENDIX III

TENURE REVIEW SCHEDULE

DUE BY FEBRUARY 10 from the tenure candidate:

1. Recommendation for the unaffiliated member(s) of the department committee
2. Current c.v.
3. The names of colleagues to whom the committee will write
4. A list of recommended individuals to serve as external objective referees for the candidate's scholarship. This list should include information on potential reviewers' professional affiliations and relationship with the candidate and contact information including email address and telephone number.

Note: #1, 3, and 4 should be submitted, in writing and electronically, to your department committee chair; after consultation with department committee chair, item #1 must also be sent to the Provost so that a formal appointment(s) can be made.

DUE BY APRIL 15 from the tenure candidate:

1. Copy of manuscripts, articles published, books, etc. (Note: The College will pay for additional copying of articles and manuscripts; we will also pay for books that will need to be ordered)

DUE BY MAY 30 from the tenure candidate:

1. List of courses taught by semester and year, with enrollments
2. Teaching portfolio
3. Course evaluations (except for Spring courses currently in progress)
4. Updated C.V. (where appropriate)
5. Statements on peer review of teaching (normally the department chair will have these)
6. Copy of the sixth semester review report and any follow-up correspondence
7. Any other material the candidate would like included in the dossier

DUE BY AUGUST 1:

By August 1, the department committee should have received the following:

1. Reviewer letters
2. Student letters
3. Peer letters
4. The candidate's personal statement

DUE BY SEPTEMBER 10:

Committee report and dossier (delivered to the Office of the Provost by the committee chair)

Appendix IV: Timetable for Promotion Considerations

DEADLINE FOR DOSSIER SUBMISSION: 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 committee and the preparation of the dossier:

By June 1

- Provide written notification to the Provost of intent to apply for promotion in the upcoming academic year

By September 15

- Formation of the department committee, including the outside member(s), with chair of committee determined
- All relevant course evaluations assembled
- All materials (including 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 15

- 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 15

- 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 20

- 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 Office of the Provost.

Appendix V

CRITERIA FOR REVIEW AND REAPPOINTMENT FACULTY HEAD COACHES

Process

1. An effective review process ensures that many sources of information are considered in a balanced and holistic way, so as to provide meaningful and timely feedback. In preparation for the review, each head coach may supply a written personal statement, peer review letters, and any other materials that they believe help to provide context for and insight into their activities and accomplishments. These materials, in addition to the student-athlete evaluations administered by the college, will be part of the final evaluation dossier that will be forwarded to the Provost's office. The submission of additional materials is not required.
2. Each area for evaluation will have a rating of "meets expectations, partially meets expectations, or does not meet expectations." Each subject area will allow for comments and narrative to be written by the head coach, sport administrator, and the athletic director.
3. The athletic director will make every best effort to host a meeting with the head coach and sport administrator within 30 days of the final contest of the season (or as soon as possible thereafter). This meeting will be to review many of the topics outlined in the appraisal to gain a real time perspective of the direction of the program and to identify both strengths and achievements and any items in need of enhancement, improvement, or support going forward.
4. Coaches will be provided the annual appraisal document in late May to complete the self-assessment portion and provide comment. Like fall and winter coaches, spring coaches will have a recap meeting prior to submitting the self-assessment portion of the appraisal.
5. Self-assessments will be submitted to the athletic director and sport administrator by an early June date communicated in writing. The athletic director and sport administrator will then complete their assessment portion of the appraisal.
6. The head coach, sport administrator, SWA (when appropriate) and the athletic director will meet in June to review the completed appraisal document. In addition, goals will be discussed and developed for the coming year.
7. At the conclusion of the meeting, the appraisal will be signed by both parties and the athletic director will submit recommendations for appointment to the Provost for final approval. The athletic director, sport administrator, and head coach will be able to provide a written summary at the bottom of the appraisal.
8. In the event the two parties do not agree on the final recommendations proposed by the athletic director, the Provost will provide a final determination.
9. Notices of non-renewal will be provided at least six months prior to the end of the final contract year.
10. All head coach contracts will be effective Sept. 1 and will run for 1, 2, 3, or 5 year terms.
11. The appraisal process will be completed annually to establish a body of documentation for each head coach's performance, regardless of contract length.

Criteria

1. Team performance

Team and/or individual performances are demonstrating progress toward, or achieving, institutional objectives of competing regularly for conference or league championships.

2. Recruiting:

Creates a dynamic and inclusive recruiting plan for the program. Leads the effort to recruit the most high-achieving student athletes, including those from geographically and demographically diverse populations. Identifies prospective student athletes through scouting athletic events, reviewing film, developing industry contacts, and analyzing various performance indicators. Supervises all correspondence with prospective student athletes, coaches, and parents. Works collaboratively and effectively with the office of admissions and the program's admissions liaison.

3. Productivity and teaching

Demonstrates a level of knowledge and expertise for their particular sport. Analyzes performance and successfully instructs athletes in game techniques and strategies in preparation for and during athletics competition. Clearly plans and organizes duties, using time and resources efficiently to maximize work flow. Handles multiple tasks/activities simultaneously. Originates and/or implements new programs and procedures, as needed. Effectively identifies problems that relate to position responsibilities, researches and evaluates alternative courses of action, and responds in a timely manner with logical and efficient solutions. Offers constructive suggestions and embraces change.

4. Communication:

Communicates effectively and responds to students, public, peers, supervisors and leaders, both orally and in writing, in a timely way. Exercises tact, courtesy and respect in all communications. Listens actively, adds clarity, and responds appropriately. Ensures effective upward, downward and horizontal communication. Deals with others in a straightforward and honest manner even when decisions or conversations are difficult. Produces reports, memos and messages that are accurate and readily understood. Utilizes information and insights from diverse constituencies to build organizational support for initiatives.

5. Dependability:

Reports to work, meetings or appointments on time. Provides appropriate notice of absences and follows departmental & college procedures. Works independently with minimal follow-up. Accepts suggestions and feedback professionally. Takes responsibility for duties, successes, and mistakes. Demonstrates flexibility and ability to adjust to changing job and organizational requirements. Demonstrates the desire and initiative to learn new functions to advance their coaching skills. Shows commitment to excellence in carrying out duties and responsibilities. Maintains professional appearance appropriate for position.

6. Leadership:

Keeps staff or team members informed of relevant information in a timely manner. Assesses strengths and development needs of others accurately. Motivates people of varied abilities, skills and styles. Recognizes employees' contributions and accomplishments. Hires and/or trains high-quality staff with complementary strengths. Demonstrates respect for others and shows she/he values others' thoughts and ideas. Inspires support for college priorities and initiatives by guiding and influencing employees throughout the organization. Provides a high quality student athlete experience and develops students of character who are committed to fostering a campus environment of respect and inclusion.

7. Judgment and problem solving:

Analyzes challenges, develops solutions, and makes sound, timely decisions. Identifies issues, problems and opportunities to complete work assignments. Analyzes information to

produce creative and effective solutions. Accepts responsibility for decisions. Utilizes strong judgment with internal/external customers and vendors. Eliminates safety hazards through thoughtful risk management. Complies with all guidelines, rules, and regulations set forth by Colby College, the New England Small College Athletic Conference, and the NCAA.

8. Interpersonal and teamwork:

Works effectively with all levels of staff and general public, including peers, students, supervisory administrators and professional associates outside the College. Builds and maintains effective, harmonious work relationships within and across departments. Respects the opinions of others and acts inclusively. Collaborates well on individual and group projects. Deals calmly and fairly with others in conflict situations. Leads work efforts by setting a positive example and speaking up courageously when needed. Demonstrates understanding of the importance of a diverse work force to the college's overall success. Mentors and coaches future leaders by providing guidance, feedback and support to maximize performance and establish a supportive environment for professional development.

9. Institutional commitment and organizational awareness:

Embraces commitment to the institution by presenting a positive/professional image on behalf of the college during work or any voluntary involvement in college committees and/or other college events and activities. Understands and complies with general college administrative rules and procedures, department structure and philosophy, and federal/state/local laws, including equal opportunity/equal access policies. Follows college policies and values. Understands students' academic needs, communicates with academic liaisons, identifies any issues that may occur, and provides direction and guidance when necessary.

10. Resource management and fundraising:

Understands how resources such as money, time, technology, equipment, buildings and people should be utilized to meet the programs strategic goals. Adheres to budget and HR cost containment requirements. Uses College materials, equipment and facilities responsibly. Understands and responds to program and/or funding changes during the fiscal year, and follows college policies in a fiscally responsible way. Engages regularly with internal and external entities, including Friends of Colby Athletics, the C Club, and the greater Waterville community. Creates strategies to successfully reach fundraising goals that are collaboratively developed between the head coach, director of athletics and the director of Friends of Athletics.

APPENDIX VI

Colby's Statement Concerning Student Projects Involving Human Participants

Colby College is committed to study and learning that reaches beyond the college classroom and community. In order to realize this goal students are encouraged to become involved in projects of research and/or documentation which involve the use of human as sources of data or of images. However, the College is also concerned to make sure that in every such project, proper consideration is given to ethical implications, and that each project be formulated and carried out in such a way that no one—investigators, or research participants—is exploited, placed at serious risk, or treated otherwise than with complete dignity and respect. We recognize that projects differ very considerably and that it is therefore very difficult if not impossible to formulate a set of regulative guidelines which fits every one and might appropriately be imposed mechanically on every project director and participant. But we are convinced that there are certain general principles which ought to guide every person who undertakes such a project. We also recognize that some projects, particularly those with certain external funding sources, must conform to more formal regulations. Thus we attempt here to state a set of generally agreed upon conventions to guide us all, with the understanding that certain departments and disciplines will develop more detailed regulations pertaining to faculty research and especially to research funded by governmental sources.

General Conventions

1. Every research or documentation project undertaken in a setting of higher education and involving interaction with human participants is likely to involve a measure of tension between very urgent concerns to protect the rights, dignity, safety, and confidentiality of the participants, and the very important matter of the academic and personal freedom of the faculty member(s) and/or the student(s) directing the project. A delicate balance of these distinct values will often be involved. In those few cases where it is uncertain that both values can be fully sustained [e.g. where there are serious questions about the competence of the participant(s) to give informed consent, or where more than minimal risk to the participant(s) and/or the investigators is likely to be involved], the rights, dignity, safety, and confidentiality of the participants must be overriding.
2. Nearly every discipline to which those who undertake such projects or studies belong [e.g., psychology, sociology, anthropology, biology, modern languages, education, etc.] has a code of ethics devised by the professional society of the discipline and designed to set standards for behavior related to teaching and research within the discipline. Colby College explicitly directs the attention of any faculty or staff member(s) contemplating sponsoring a student project to the appropriate code of ethics. Where projects or studies are interdisciplinary, the codes of all disciplines involved should be carefully consulted. Wherever this document provides more specific guidelines, they will override the more general guidance offered by disciplinary codes of ethics.
3. Instructors in courses that involve such projects will ensure that syllabi and/or lectures will include material that requires students to discuss matters of responsibility, ethics, and consent.
4. Students will be instructed in appropriate interview techniques.
5. The principle of informed consent always will be fully and carefully explained to participants. Consent forms or the disciplinary equivalent will always be obtained from participants by project directors.¹

¹ NOTE: In some disciplines, e.g., anthropology, professional standards do not *require* the use of consent forms. An acceptable alternative in such cases is a *field note* by the project director recording the time, place, and date at which the discussion of informed consent with the participant was held.

6. Directors of projects will explain what they are doing to participants and will allow participants to withdraw at any point.

Guidelines for Informed Consent

It is important that when working with humans in any projects, we clearly inform them about what to expect when involved in our respective projects. Participants must be allowed to make a fully informed decision about whether they are truly willing to participate.² Specifically, informed consent to participate in a project at Colby College involves being informed (and understanding) the following points prior to participation:

1. The purpose and goals of the project
2. The procedures the participant will be involved in
3. Any expected risks (and benefits) involved in participating in the project
4. The right to confidentiality to the extent permitted by law.
5. The right to voluntary participation
6. The right to discontinue participation at any point (with no negative consequences), even once a project has been completed
7. The right to ask questions about the project and about how the information will be used.

Consent must be obtained either using the attached generic consent form (Colby College consent form) or the disciplinary equivalent (either a specific consent form, or an agreed-upon method of achieving participant consent). See the Research Resources portion of the Psychology Department website for other examples of consent forms and for forms for submitting projects for review to the Colby College Institutional Review Board (<http://www.colby.edu/psychology/>).

² The College recognizes that particular care must be taken when working with populations that are especially vulnerable or at risk (e.g. minors, the mentally ill, prison inmates, the homeless), when studying topics of heightened sensitivity (e.g. eating disorders, sexual activity), and when researching illegal activities (e.g. illegal drug use, child abuse, domestic violence, rape). Each discipline has developed its own special procedures and safeguards to insure the safety and dignity of populations in such settings. It is the strict responsibility of each faculty member to be sure that research conducted concerning groups or topics of this kind conform fully to the procedures current in his/her discipline.

Colby College Consent Form

Title of Project: _____

Voluntary Participation: Participation in this project is completely voluntary. You may decide not to continue at any point during this process.

Confidentiality: Your participation in this project is confidential [to the extent permitted by law] unless you agree to the use of your name, words, and/or image, in the space provide below:

I agree to the use of _____

Questions: Any questions regarding this project will be answered by the project supervisor:

Name(s) _____

who can be reached at the following telephone number: _____

At the conclusion of the project, and at any point in the future, any additional questions you have will also be answered.

I understand the above, and I freely consent to participate in this project:

Signature of Participant

Date

Signature of Parent/Guardian (for those under 18)

Date

Appendix VII
Colby College Policies and Guidelines
When Academic and Athletic Events Overlap

The following information is being provided to students, head coaches and faculty members and is intended to summarize college policies and guidelines on missed class time due to athletic contests.

NCAA and Colby Rules

- NCAA and Colby rules state that students are not permitted to miss a class for a practice.
- Colby rules state that students are permitted to miss a class for a contest but only at the discretion of the professor of that class.

Instructor's Obligations

- Individual instructors determine whether students may be excused from classes or scheduled course events.
- The instructor's attendance policy must be stated on the syllabus and/or web site for that class at the beginning of the semester.
- Instructors are permitted to schedule up to four required class sessions within the "zone" of 4-7 p.m. The zone is generally reserved for extra-curricular activities (lectures, meetings, rehearsals, practices, events etc.). All required classes (dates and times) must be included on the course syllabus.
- Faculty are encouraged to contact the head coach or the Athletic Director with any questions or issues that arise. The link to the staff directory for all head coaches is: http://www.colby.edu/athletics_cs/staff/

Coach's Obligations

- Coaches are instructed to provide practice and game schedules, including departure times for away contests, to all members of the team prior to the start of each season. For fall sports, students should have this information by the Friday of the first week of classes. For winter and spring sports, students should receive this information as soon as possible after tryouts are completed.
- It is the responsibility of the coaching staff to help each student athlete understand that academic life has priority over all other aspects of life at Colby, including athletics.

Student's Obligations

- Once students obtain their game schedules and departure times for away contests, they should compare their athletic schedule with their class schedule and any other scheduled class events to identify any overlapping commitments.
- After reviewing the professor's attendance policy and, if any, class participation policy, the student needs to communicate with the professor directly and as soon as possible about any scheduled class events he or she is seeking permission to miss. It is recommended that students speak to their professor(s) in person and not initiate these discussions through, for example, email. These conversations should occur during the first several days of the semester.
- Students are responsible for any work missed.
- Students on academic probation cannot be excused from any class for extracurricular events, including athletic contests.

Appendix VIII

ACADEMIC DEPARTMENT ADMINISTRATIVE ASSISTANT GUIDELINES

I. TASKS ACADEMIC DEPARTMENT ADMINISTRATIVE ASSISTANTS ARE EXPECTED TO PERFORM (Priorities and scheduling will vary somewhat among departments)

DEPARTMENT TASKS SUCH AS:

- Assist Chairs in maintaining search materials, monitor/type all correspondence pertaining to the search
- Maintain tenure, promotion, merit dossier and contract renewal materials
- Assist in preparing for Visiting Committees
- Assist chairs in preparing for visiting lecturers, i.e., invitations, scheduling, travel and housing, and posters
- Assist in preparing departmental newsletters, handouts, room assignments, comp exams, work on special projects
- If requested by the chair, monitor budgets
- Maintain department records, along with endowed chair records
- Maintain office supplies and equipment
- Coordinate departmental purchases
- Coordinate the work of 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 the files on department majors, make preparations for department receptions, awards, etc.

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

- Proctor make-up exams
- Word-processing of course-related documents

III. TASKS ADMINISTRATIVE ASSISTANTS SHOULD NOT BE ASKED TO DO

- Advise students, sign advising forms (or any other work related to advising)
- Record grades
- Pack, unload or document shipments of department lab or research equipment and supplies
- Handle chemicals
- Maintain individual faculty appointment calendars
- Large-scale projects not listed above, unless discussed in advance with lead department chair **
- Personal favors, including work for organizations or initiatives not associated with Colby

**IF A CONFLICT IN WORKLOAD AND TIMING ARISES, SUPERVISOR(S) SHOULD BE CONSULTED FOR ASSISTANCE IN PRIORITIZING.

Appendix IX

Drug-Free Schools and Communities Act

The Drug-Free Schools and Communities Act Amendments of 1989 require Colby to certify that it has adopted and implemented a program to prevent the illicit use of drugs and the abuse of alcohol by its students and employees. This program must include the annual distribution of the following to each student and employee:

- standards of conduct that clearly prohibit, at a minimum, the unlawful possession, use, or distribution of drugs and alcohol by students and employees on an institution's property or as any part of the institution's activities;
- a description of the applicable legal sanctions under local, state, and federal law for unlawful possession, use, or distribution of illicit drugs or alcohol;
- a description of the health risks associated with the use of illicit drugs and the abuse of alcohol;
- a description of any drug and alcohol counseling, treatment, or rehabilitation program that are available to students and employees; and
- a clear statement that the institution will impose sanctions on students and employees (consistent with local, State, and Federal law) and a description of these sanctions, up to and including expulsion or termination of employment and referral for prosecution for violation of the standards of conduct.

The Act requires Colby to review program effectiveness on a periodic basis.

Policy on Alcohol and Illegal Drugs

Alcohol

The use, possession and sale of alcohol on campus and at College functions must comply with state and local laws and ordinances and Colby's Alcohol Policy. Violations of the laws and policies will result in disciplinary action up to and including suspension, termination of employment and referral for prosecution.

Illegal Drugs

The possession, use, manufacture or distribution of illegal drugs is prohibited at any time on College property and as part of any Colby activities. "Illegal drugs" does not mean the use of drugs under a valid prescription. Employees and students found to use, possess, manufacture or distribute illegal drugs are liable to Colby disciplinary action up to and including suspension, termination of employment and referral for prosecution.

Substance Abuse Policy

Students, faculty, and staff are responsible individuals and thus expected to obey the law and take personal responsibility for their conduct. Colby recognizes that substance abuse is a complex problem that is not easily resolved solely by personal effort and may require professional assistance and/or treatment. Accordingly, the College has designated a number of individuals to assist students, faculty, and staff who seek referral for assistance with a substance abuse problem. Students, faculty, and staff with substance abuse problems are encouraged to take advantage of available diagnostic, referral, counseling, and prevention services. However, those seeking assistance will not be granted special privileges or exemptions from standard human resources practices applicable to job performance requirements and from standard academic and student conduct requirements. Colby will not excuse acts of misconduct committed by students, faculty, and staff whose judgment is impaired due to substance abuse.

Disciplinary Sanctions

Students, faculty and staff who violate Colby policy will be subject to disciplinary action by the College. The severity of the imposed sanctions will be appropriate to the violation. Violations of Colby policies concerning illegal drugs and alcohol will result in the imposition of one or more of the following sanctions in accordance with established College policies insuring due process:

- Participation in a rehabilitation program
- Restitution
- Probation
- Suspension
- Official Censure or Reprimand
- Termination of employment
- Referral for prosecution
- Other actions the College deems appropriate

What Does the Law Say about Alcohol?

Furnishing Liquor to a Minor or a Visibly Intoxicated Person

Maine law makes it a crime for any person to knowingly give liquor to a minor or a visibly intoxicated person or to allow any minor under that person's control or in any place under that person's control to consume liquor. Violation of this law can result in a minimum fine of \$500 and up to six months in jail.

Illegal Sale of Liquor

It is a crime to sell liquor without having a liquor license issued by the Maine Bureau of Alcoholic Beverages. Violation of this law can result in fines of \$500 plus 30 days in jail for the first offense. Subsequent offenses are punished by greater fines and jail time.

Illegal Possession with Intent to Sell

Any person who possesses liquor with the intent to sell it is in violation of Maine liquor laws and subject to a fine of between \$100 and \$500, and possible incarceration from two to six months.

Seizure and Forfeiture of Vehicle

Any vehicle used to transfer liquor intended for illegal sale may be impounded at the time of the violation or seized following the violation.

Special Liquor Laws Relating to Minors

Illegal Possession of Liquor

Any minor (a person under the age of 21 years) who is found to be in possession or control of alcohol is guilty of a civil infraction and shall be subject to a fine of:

- 1st offense, \$200 to \$400
- 2nd offense, \$300 to \$600
- 3rd and subsequent offenses, \$600

Teen Drinking Laws

An individual under the age of 21 years shall have his/her license suspended for one year if he/she operates a motor vehicle with a blood alcohol concentration of greater than 0.00%, Maine has a zero tolerance law regarding operating under the influence by minors. Refusal to submit to a chemical test will result in a one-year suspension of a driver's license. One can of beer, one glass of wine or one ounce of distilled spirits can result in a blood alcohol level of 0.02% or more.

Illegal Transportation

No minor shall transport alcohol in a motor vehicle except in the scope of his/her employment or with the parent's knowledge or consent. The penalty is a 30-day driver's license suspension. A reinstatement fee will be charged to get a license reinstated. Points will be assessed against the offender's license. A fine of \$500 may be imposed.

Operating Under the Influence

Maine law prohibits drinking while operating a motor vehicle. Any person who violates this law commits a civil violation for which a maximum fine of \$500 may be imposed.

Maine motor vehicle law makes it a crime for any person to operate a motor vehicle in Maine under the influence of alcohol or drugs or with an excessive blood alcohol level. Penalties for operating under the influence are as follows:

1st Conviction: If your blood-alcohol content is 0.08 to 0.14 percent:

- A fine of at least \$500, and
- Loss of license for at least 90 days.
- Refusal to be tested results in a loss of license for 180 days.

If your blood-alcohol content is 0.15 percent or more, or you are traveling 30 M.P.H. or more over the speed limit, or you attempt to elude an officer of the law, or you refuse to submit to a blood test:

- A fine of at least \$500
- At least 48 hours in jail, and
- Loss of license for at least 90 days
- Penalties for second and subsequent convictions include greater fines and mandatory jail time.

Vehicle Seizure or Forfeiture

A person operating under the influence while under suspension for a previous OUI or refusal, is subject to vehicle seizure and forfeiture.

Maine Liquor Liability Act

The Maine Liquor Liability Act serves to prevent alcohol related injuries, deaths and other damages among Maine's population. This law makes one liable civilly for the negligent or reckless service of alcohol to a minor or to a person who is visibly intoxicated. Monetary damages may be awarded for the negligent or reckless serving of alcohol, which causes property damage, bodily injury or death.

State Drug Offenses

Maine law prohibits the knowing, intentional and unauthorized possession, furnishing (distributing or giving away) and trafficking (selling) of scheduled drugs. Scheduled drugs include, for example, cocaine, lysergic acid diethylamide (LSD), heroin, and steroids.

Definitions

To furnish drugs is to give the drugs to another, dispense it, administer, or transfer it to another regardless of profit.

Trafficking is to sell, barter, trade, exchange or furnish an illegal drug for consideration.

Aggravated Trafficking in an illegal drug can be "aggravated" if the crime of "trafficking" is committed with facts that include the following "aggravating factors":

- Trafficking while within 1,000 feet of an elementary or secondary school, regardless of whether the sale took place in a private home or whether the school was in session
- Trafficking while on a school bus
- The trafficking involves a minor (under 18 years of age)
- Trafficking in 112 grams (approximately 4 ounces) or more of cocaine
- The trafficking involves a firearm

Aggravated trafficking is a crime one class more serious than trafficking and consequently carries longer terms of imprisonment and greater fines.

Federal Drug Offenses

The criminal offenses most commonly charged under the Federal Controlled Substances Act are the knowing, intentional, and unauthorized manufacture, distribution, or dispensing of any controlled substance or the possession of any controlled substance with the intent to manufacture, distribute or dispense. Federal law also prohibits the knowing, intentional, and unauthorized creation, distribution, dispensing, or possession with intent to distribute or dispense a "counterfeit substance."

Simple possession without necessarily an intent to distribute is also forbidden by federal law and carries a penalty of imprisonment. Furthermore, "attempts" and/or conspiracies to distribute or possess with intent to distribute controlled substances are crimes under federal law.

Federal law prohibits certain specific drug crimes which carry greater penalties, including:

- The distribution of narcotics to persons under 21 years of age
- The distribution or manufacturing of narcotics near schools and colleges
- The employment of juveniles under the age of 18 in drug trafficking operations
- The distribution of controlled substances to pregnant women

Penalties

The penalties for violating federal narcotic statutes vary considerably. The penalties may be more harsh based on two principal factors: the type of drug involved (heroin, cocaine, marijuana, LSD, etc.) and the quantity of the drug involved.

With the exception of simple possession charges which result in up to one-year imprisonment, maximum penalties for narcotic violations range from 20 years to life in prison. Certain violations carry mandatory minimum prison sentences of either five years or ten years. For example, the possession with intent to distribute one kilogram or more of a substance containing a detectable amount of heroin carries a term of imprisonment of a 10-year minimum and up to life imprisonment. The possession with intent to distribute 500 grams or more of a mixture or a substance containing a detectable amount of cocaine carries a sentence of not less than five years and not more than 40 years.

Harsher penalties will be imposed if a firearm is used in the commission of a drug offense. If a drug offense results in death or serious bodily injury to an individual who uses the drug involved, the penalties are also more harsh. Questions sometimes arise as to what amount of narcotics found in the possession of a person is considered to be for personal use as opposed to the more serious offense of possession with intent to distribute. You should be aware that federal law, as a general rule, considers anything more than a dosage unit with regard to any particular drug as being sufficient from which to infer an intent to distribute. In other words, the greater the quantity possessed by the individual, the more likely it is that an individual possessed such quantity with an intent to distribute.

Health Risks Associated with Alcohol and Drug Abuse

Alcohol abuse and drug use problems have become a national health concern. Alcohol is a chemical. So are drugs. Any chemical is potentially harmful to someone. Some of the health risks associated with alcohol and drugs are listed on the pages that follow. For additional information about health risks associated with substance abuse, a listing of currently available resources is provided at the end of this pamphlet.

Alcohol

- Slowing down of brain function, judgment, alertness, coordination and reflexes
- Attitude and/or behavioral changes such as uncharacteristic hostility or increased risk taking (such as reckless driving)
- When taken with other drugs alcohol can intensify the drug's effects, alter the desired effect, cause nausea, sweating, severe headaches, and convulsions
- Addiction or chemical dependency
- Memory blackouts
- Uncharacteristic family, school, work, or legal problems
- Physical problems such as cirrhosis of the liver
- Birth defects and mental retardation in user's children

Cocaine

- Destroy nasal tissues
- Kidney damage
- Stroke
- Diseases of the lungs, heart and blood vessels
- Cardiac arrhythmias, convulsions, seizures, suppression of respiration, sudden death
- Intense anger, restlessness, paranoia, fear
- Hear and/or see imaginary things
- Malnutrition

Heroin

- Loss of appetite
- Addiction with severe withdrawal symptoms

- Drowsiness, clouding of mental processes, apathy, slowing of reflexes and physical activity
- Infection, hepatitis, or AIDS
- Death from overdose

LSD

- Experience frightening hallucinations
- More serious problems are triggered in a person who has a history of mental or emotional instability
- Distortions of reality such as feeling that the unusual and sometimes frightening effects of the drug will last forever
- Tolerance with repeated use means that increased amounts are needed to bring about the same effects
- Recurrence of effects (flashbacks) days or weeks later even without further use of LSD
- Death may result from suicide, accidents

Marijuana

- Elevated blood pressure, coughing, dryness of the mouth and throat, decrease in body temperature, sudden appetite, swollen red eyes
- Panic reaction, paranoia
- Distortions of time, reality, and perception, often impairing short-term memory
- Possible addiction
- Dysfunctions related to thinking, learning, and recall
- Impairment of ability to drive and do other things that require physical and intellectual capabilities
- Irritates lungs, aggravates asthma, bronchitis, and emphysema
- Listlessness, tiredness, inattention, carelessness about personal grooming, withdrawal, and apathy
- Chronic lung disease and lung cancer

Steroids

- Liver disease
- Cancer
- Growth problems
- Testicular atrophy
- Bone fusions
- Acne
- Psychological problems
- Rage and uncontrolled anger
- AIDS
- Breast reduction or enlargement
- Failure of secondary sex characteristics
- Sexual dysfunctions, sterility (reversible), impotence
- Fetal damage

Help

Assistance is available on campus at the Garrison-Foster Health Center. The College has designated individuals to assist students and employees in dealing with a substance abuse problem. You may

also choose to raise your concerns with supervisors, hall staff, College physicians and counselors, or your personal physician.

Students call:
Katherine Barlow
Coordinator of Alcohol and Drug Programs Health
Center
Ext. 4460

Faculty call:
Margaret McFadden
Provost and Dean of Faculty Eustis 305A
Ext. 4772

Staff call:
Cora Clukey
Director of Recruitment and Equal Employment Opportunity Roberts
Union 122
Ext. 5511

Some financial assistance for off-campus treatment programs is available under the health insurance plans provided to students and employees.

Additional information may be obtained by contacting the following:

- 1-800-499-0027 Substance Abuse Information and Resource Center to receive information on treatment services
- 1-800-452-6457 Maine Bureau of Drug Enforcement Marijuana Hotline to confidentially and anonymously report information about the illegal trafficking of drugs
- 1-800-COCAINE Cocaine Hotline

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Appendix X

ACADEMIC INTEGRITY

Honesty, integrity and personal responsibility are cornerstones of a Colby education and provide the foundation for scholarly inquiry, intellectual discourse and an open and welcoming campus community. These values are articulated in the Colby Affirmation and are central to the academic endeavor. Colby students are expected to aspire to the highest standards of integrity; to understand what is expected in each course or program; submit their best work; accurately represent sources; give credit to anyone whose work is relied upon; and to seek help when struggling with an assignment rather than resorting to unethical means. Course assignments and exams are given to facilitate and evaluate learning required to earn a Colby degree. These are compromised when academic dishonesty occurs. Students are encouraged to contribute to a culture of academic integrity in their interactions with classmates, faculty and College staff. Ethical behavior is highly valued and expected not only at Colby, but also by future employers.

To facilitate ethical college practices, Colby students need to actively learn effective college study and time-management habits. Frequently, study habits used successfully in high school need to be expanded and refined in college. Well in advance of an exam or major assignment, pursue discussions of general, course, and/or discipline-specific study strategies with appropriate members of the Colby community (e.g., from the list of resource individuals below). Such study strategies include efficient in-depth reading, actively taking notes, appropriately spreading out study sessions for exams, breaking major assignments into manageable smaller pieces, etc. Using a planner/calendar system to document assignment due dates and test dates; to plan daily activities; and to effectively divide up larger assignments and exam studying sessions is prudent. Reflecting on experiences for each course after every major assignment or exam and at the end of the semester helps to determine what is working well and should be continued, and what needs to be modified to improve. Some college students find a few weeks into a semester that they have inadvertently overloaded themselves with academic, extracurricular, and other obligations. At that point, it is acceptable to seek help in prioritizing and deciding how to best deal with the situation, which may be best handled by dropping one or more nonessential activities.

The Colby experience is primarily about learning and growing, both personally and academically. Only students that have the potential to succeed at Colby are accepted into Colby. However, no student is expected to know everything. Thus all students that submit their own work will make mistakes and misassumptions, which provide some of the best (and most memorable) learning opportunities. Exploration (not avoidance) with a goal of competence (not perfection) is an appropriate strategy to move forward educationally. Strive to understand the value of the work assigned in each class (what is to be learned from the exercise or why the professor bothered to assign this work), develop a growth mindset, and learn what constitutes ethical behavior in college and in your chosen discipline. Be aware that each Colby course/department has its own policies and accepted practices as does most every company/institution and division outside of Colby.

Be sure you clearly understand what is or is not acceptable for each course and don't hesitate to ask the instructor for clarifications to do so. For example, is collaboration allowed on an assignment? If so, with whom can you collaborate, and to what extent are these collaborations acceptable? Can electronic resources be used on an assignment? If so, what are the limitations? Never assume that the accepted practices are the same between venues, such as between high school and Colby, or between Colby classes, even those taught by the same instructor. For example, while using and reposting images and text passages without acknowledgement is accepted and even encouraged in social media, the same behavior is almost always considered to be plagiarism in a college course.

There are ample resource individuals available at Colby that are willing and able to help students with various aspects of their education to ensure the best experience possible. These include course professors (for instance, in office hours or an appointment set up by e-mail), an assigned academic advisor, an assigned advising dean, a course teaching assistant or laboratory instructor, a librarian, a tutor, or even a coach, team captain, faculty liaison, learning consultant, counselor in the Health Center or community advisor, when applicable. If you feel desperate and are considering making a poor choice that is academically dishonest, first seek help from an individual that can help you consider other ethical options (e.g. - one of the resource

individuals listed above that you feel comfortable consulting). Also realize that the grade penalty in a course for late or substandard work done honestly will be much less than the grade penalty incurred by a sanction for academic dishonesty in that course.

Failure to meet standards of academic integrity at Colby may result in a report of either academic dishonesty or academic negligence. The reporting professor decides whether a particular situation warrants a report of academic dishonesty or academic negligence based on the following guidelines.

Academic dishonesty includes, but is not limited to:

- Violating clearly stated rules for taking an exam, completing homework or working on any other academic assignment (such rules may be found in the course syllabus or given in the exam or assignment directions);
- Plagiarism (including material from sources without a citation and/or quotation marks around any borrowed words);
- Claiming another's work or a modification of another's work as one's own;
- Buying or attempting to buy papers or projects for a course;
- Fabricating information or citations;
- Misrepresentations to a faculty member within the context of a course, an academic assignment or an academic record;
- Submitting the same work (such as an essay) in more than one course without the permission of the respective faculty members;
- Knowingly assisting others in acts of academic dishonesty.

Academic dishonesty is a serious offense. Sanctions for academic dishonesty are assigned by an academic review board and may include no credit for the assignment, failure in the course, or suspension or expulsion from the College. As with all College disciplinary findings, a finding of academic dishonesty is placed in the student's file (though not on the transcript or academic record) until six years after graduation or leaving the College. Many applications to educational institutions, such as to graduate or professional schools, request that discipline or academic dishonesty findings be disclosed and addressed. If addressed appropriately (responsibility for the action taken, combined with an authentic statement of the lessons learned), such findings do not usually preclude acceptance into those institutions unless a finding is quite egregious or there are multiple findings.

Academic negligence consists of a minor, usually unintentional lapse of ethical academic behavior that the student should have known. It may result from misunderstanding expectations; inadequate pre-college preparation; or improper citation practices due to cultural differences. Regardless of intent, academic negligence is a serious matter that identifies a need for further education, for instance on academic honesty and dishonesty or the U.S. standards for use of sources in academic writing. A finding of academic negligence, unlike a finding of academic dishonesty, is not a disciplinary finding of the College. A student should not receive more than one report of academic negligence while at Colby. Multiple reports of academic negligence are generally treated as academic dishonesty, especially when similar in nature.

Academic Integrity Process:

What will happen when a faculty member reports Academic Negligence?

Upon determining that a student has engaged in academic negligence, faculty are required to submit a report. Reports of academic negligence are sent automatically to the student, the advising dean and the academic advisor(s). Students who are found responsible for academic negligence are required to successfully complete an educational module on academic honesty and ethics. Students are typically required to complete the sanctions by the deadline for grade submission for the semester in which the negligence occurred or receive an administrative incomplete in the course.

What will happen when a faculty member reports Academic Dishonesty?

1. The Dean of Conduct and the Academic Integrity Coordinator will be notified and they will contact the reporting faculty member and the student in question (in that order) to learn more details.

2. An academic review board will be formed to handle the case.

An academic review board consists of the following people: (1) The Academic Integrity Coordinator (currently Rebecca Conry and Jen Coane serve as co-coordinators). The Academic Integrity Coordinator chairs the board, unless this is the person bringing the charge of academic dishonesty; in which case another faculty member from the Academic Honesty Committee becomes acting Academic Integrity Coordinator. (2) The faculty member bringing the charge, unless that faculty member chooses to opt out of the academic review board. As a member of the academic review board, the reporting instructor is encouraged to participate in the decision-making process and suggest an appropriate sanction, but does not have the authority to assign a sanction on their own. Likewise, at their discretion, they may choose to opt out of the sanctioning process. (3) Another faculty member, from a pool of 3 faculty members on the Academic Honesty Committee. (4) Two students, from a pool of 7 appointed students. (5) The Dean of Conduct (a non-voting member of the board.) The Dean also provides guidance to the student through process and is responsible for record-keeping.

If the student accepts responsibility for the violation, the academic review board will determine and assign a sanction in keeping with established norms for similar cases. In general, sanctions range from failure on an assignment, to failure in the course, to suspension or expulsion. Cheating on a low-stakes assignment or a small amount of plagiarism will generally result in receiving no credit for the assignment plus an additional grade reduction in the course. Cheating on a major project or exam will generally result in automatically failing the course. Students found responsible for academic dishonesty a second time are almost always suspended, and a third finding of academic dishonesty typically results in expulsion. Lying to the academic review board investigating a case of dishonesty will generally result in additional penalties. Often sanctions will include an additional educational or restorative justice component. These guidelines are intended to give an idea of the range and type of sanctions; the sanctions applied in any particular case depend heavily on the details of that case.

If the student does not accept responsibility for the alleged violation, members of the academic review board will investigate the case by talking with all concerned parties, interviewing witnesses, and examining relevant evidence. The process may involve multiple conversations with any and all of the concerned parties. The academic review board may also, in its discretion, consult with other officials or specialists as part of this investigation. The committee will work deliberately and carefully, but as efficiently as possible, since it is in everyone's interests for cases to be wrapped up in a timely manner. The academic review board does not hold hearings; students are asked to submit written responses to reports of academic dishonesty.

If the academic review board finds a student not responsible for the alleged violation, no sanction will be applied. The standard of proof for determining whether a violation has occurred is a preponderance of the evidence; that is, was it more likely than not that the violation occurred. If the academic review board finds that the student is responsible for the violation, then the academic review board will assign a sanction.

There is no right of appeal from a decision of the academic review board. However, a student or faculty member may seek reconsideration of a decision by submitting a written request (preferably a letter) to the Academic Integrity Coordinator (or acting Academic Integrity Coordinator for the case) within ten days of that student's receipt of the written finding. A reconsideration may only be sought for one of the following reasons: (i) a significant procedural error resulting in a denial of rights under this policy or impacting the fairness of the board's investigation/proceedings; (ii) the existence of new evidence, not available and not known during the proceedings, which would have significant bearing on the decision; or (iii) aggravating or mitigating circumstances, the existence of which the student or faculty member seeking reconsideration must prove, that would definitely affect the severity of a sanction and that were not previously presented to or considered by the board. The written request for reconsideration should contain all information, evidence and explanations to support the request. A reconsideration may not be sought purely because of dissatisfaction with the decision or sanctions. The Academic Integrity Coordinator (or acting Academic Integrity Coordinator for the case) will review the request, and may consult with the board and other officials or experts to determine the merit of the request.

The Coordinator will determine, typically within fifteen days of receipt of the request, whether to grant or deny the request. If the request is granted, the academic review board will review any new evidence/ information, and/or address the claimed error or violation and determine whether the finding and/or sanction would or would not change and why. During the reconsideration process, sanctions will remain in effect unless the Academic Integrity Coordinator decides otherwise.

Appendix XI

PROCEDURES FOR REAPPOINTMENT AND PROMOTION FOR NON-TENURE TRACK CONTINUING FACULTY

Non-tenure track continuing faculty members with the rank of (Distinguished/Senior) Lecturer contribute to the mission of the College through their teaching, advising, and service.

Non-tenure track continuing faculty members with the rank of (Assistant/Associate) Professor contribute to the mission of the College through their teaching and advising, scholarship and creative research, and service.

These areas constitute the relevant areas for assessment in personnel reviews, including reappointment, review, and promotion. Evidence required for a review dossier will vary, depending on the nature of the review, and the type of appointment. Evidence of scholarship and/or creative research is often dependent on field and/or discipline and candidates should consult with chairs and the Provost.

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

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

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

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

A. Nomination Procedures.

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

All discussions and communications within committees and between the committee and the Provost and the President will be strictly confidential.

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

B. Reappointment

1. **Committee Membership.** All those of higher rank in the department in which the candidate is appointed are eligible to serve on a committee, under the leadership of the department chair, to decide upon the recommendation of a candidate's reappointment. When the candidate is already at full rank (Professor or Distinguished Senior Lecturer) all other department members who are at full rank are eligible to serve on the committee. When department chairs lack appropriate rank, the department committee shall select its own chair. Such department chairs may serve on and be eligible to chair reappointment committees if so desired by the candidate. If such chairs do not serve on the committee and wish to submit an evaluation of the candidate, they must contribute that evaluation to the candidate's dossier before it is considered by the departmental committee.

Reappointment committees shall consist of at least three members, including at least one member of appropriate (higher) rank from outside the department in which the candidate is appointed. Upon the recommendation of the candidate and in consultation with the committee chair, the Provost shall appoint committee members. All members of the department may submit materials to the committee.

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

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

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

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

For faculty under review for reappointment during the first year, the dossier will include a CV, peer review of teaching, student course evaluations from the first semester and a personal statement that summarizes the candidate's own view about present and future growth as a

teacher (and scholar, for the “professor” ranks). The personal statement offers a venue for responding to the first semester student course evaluations. If a jointly appointed candidate is being reviewed in the first year, the candidate has the right to request a peer evaluation from both departments. The dossier will also include evidence of scholarship (for the “professor” ranks). Committee members are reminded that the scholarship evidence may be similar in theme and quantity to the material presented at the time of hiring.

For faculty under review for further reappointments after the first year, the chair of the review committee, in collaboration with the candidate, shall assemble a dossier to serve as the basis for deliberations. This dossier will include:

- a. A chronologically ordered vita that includes all professional and College activities as well as other information.
 - b. The candidate's teaching portfolio, i.e., instructional materials produced by the candidate for all courses, such as course syllabi, assignments, examinations, laboratory instructions, and so forth.
 - c. All scholarship and/or creative research material published and/or submitted by the candidate and any reviews published of that material, if the faculty member holds one of the “professor” ranks.
 - d. A concise statement from the candidate that summarizes the candidate's own view of his or her present and future growth and development as a teacher and advisor, (accomplishments and promise as a scholar), and contributions to the department, College, and discipline.
 - e. Evaluations from individuals who have detailed familiarity with one or more of the following: the candidate's teaching and advising, (scholarship), contributions to the College, and professional activities. Such evaluations should be solicited by the chair of the department review committee in consultation with the candidate.
 - f. Peer reviews of the candidate's teaching using the procedures described on the first page of this appendix.
 - g. All official College or department student course evaluations that have been submitted by students in the candidate's courses, and any statements that have been submitted by student committees.
 - h. The committee report from the candidate's previous (reappointment) review.
 - i. Any additional information or letters that the candidate might wish to submit or that might come to the review committee's attention.
3. Report. In those cases in which the committee recommends reappointment, it shall forward a report of its final vote together with the candidate's dossier to the Provost. The Provost shall inform the candidate of the College's decision on reappointment.

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

Should the committee decide against favorable action, it shall forward a report of its final vote together with the written material in the candidate's dossier to the Provost. The committee shall also inform the candidate of its decision in writing. If reappointment is not recommended, or if reappointment is not granted, the reasons for this decision will be expressed in writing by the Provost at the time to the candidate. Candidates may seek redress through the Faculty Grievance Committee only on grounds that the decision resulted from a failure of due process or inadequate consideration, and was, therefore, unfair; or that the candidate's academic freedom was violated; or because of discrimination against him/her based on his/her race, color, age, sex, sexual orientation, gender identity or expression, religion, caste, national or ethnic origin, marital status, genetic information, political beliefs,

veteran or military status, parental status, pregnancy, childbirth or related medical conditions, physical or mental disability unrelated to the job, or any other protected class recognized under federal, state, or local law, or the College.

C. Promotion to Assistant Professor

- a. Members of the faculty holding appointments at the rank of instructor who receive terminal degrees in their academic fields will normally be recommended for promotion to the rank of assistant professor (or lecturer) by the Provost.

D. Promotion to Associate Professor, Professor, Senior Lecturer, or Distinguished Senior Lecturer.

Non-tenure track continuing faculty members will be reviewed for promotion to a higher rank at the recommendation of their department, or if they themselves request such a review. This will normally occur after six or more years in the current rank. Faculty in the “professor” ranks will be expected to have the same quality of scholarship as tenure-track faculty, but not as high a quantity.

1. Committee Membership. All those of higher rank in the department in which the candidate is appointed are eligible to serve on a committee, under the leadership of the department chair, to decide upon the recommendation of a candidate's promotion. When chairs lack appropriate rank, the committee will select its own chair. Such department chairs, however, may serve on and be eligible to chair the promotion committee if so desired by the candidate. If the department chair does not serve on the promotion committee and wishes to submit an evaluation of the candidate, such evaluation must be included in the candidate's dossier before it is considered by the committee.

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

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

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

2. Dossier. Dossiers for candidates for promotion shall be up-to-date versions of their previous reappointment dossiers, including letters from current and former students taught or advised.

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

3. Report. Should the committee decide against favorable action, it shall forward a confidential report of its final vote together with the written material in the candidate's dossier to the Provost. The committee shall also inform the candidate of its decision in writing. The reasons for this decision will be expressed in writing if the candidate so requests. If promotion is not recommended, the candidate's dossier should still be forwarded for consideration by the

Committee on Promotion and Tenure unless the candidate, upon being informed of the committee's decision, requests that it not be forwarded.

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

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

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

NOTE: In determining which faculty members are of "higher rank" for the purposes of serving on a reappointment committee (p. 134), the following guidelines shall be used. Faculty members at the rank of either Associate Professor or Senior Lecturer are of higher rank than those at the rank of either Assistant Professor or Lecturer. Faculty members at the rank of Professor or Distinguished Senior Lecturer are of higher rank than the other ranks mentioned above.

Appendix XII

BENEFITS AND PRIVILEGES FOR FACULTY APPOINTMENT CATEGORIES

The benefits and privileges provided to faculty members in the different appointment categories (see p. 10) include the following.

Tenure Track

The right to be considered for tenure and promotion.
The right to apply for sabbatical leave.
The right to receive standard research and travel funds (\$5,000/year).
The right to apply for Colby supplemental research grants.
The right to apply for Colby-funded Summer Research Assistants.
The right to apply for paid family and medical leaves.
Tuition subsidy for dependent children, and course privileges for spouses and dependent children.
Office space and computer.

Non-Tenure Track Continuing

The right to be considered for promotion.
The right to apply for sabbatical leave (if on “Professor” track).
The right to receive standard research and travel funds (\$5,000/year).
The right to apply for Colby supplemental research grants.
The right to apply for Colby-funded Summer Research Assistants.
The right to apply for paid family and medical leaves.
Tuition subsidy for dependent children, and course privileges for spouses and dependent children.
Office space and computer.

Visiting

The right to receive standard research and travel funds (\$2,000/year).
Office space and computer.

Faculty Librarian

The right to be considered for promotion.
The right to apply for sabbatical leave.
The right to receive standard research and travel funds (\$2,000/year).
The right to apply for paid family and medical leaves.
Tuition subsidy for dependent children, and course privileges for spouses and dependent children.
Office space and computer.

Faculty Head Coach

The right to receive standard research and travel funds (\$2,000/year).
Tuition subsidy for dependent children, and course privileges for spouses and dependent children.
The right to apply for paid family and medical leaves.
Office space and computer.