



Hamilton

Dean's Guidelines For Department Chairs

Revised August 2009
This edition replaces all previous manuals

Dean's Guidelines for Department Chairs

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I. PLANNING CALENDAR FOR THE 2009-2010 ACADEMIC YEAR

July

- Incoming Department Chairs' term begins (July 1)

August

- President's Reception for Adirondack Adventures (August 14)
- New Faculty Orientation (August 18-20)
- President's Reception (August 22)
- Advising for first-year students (August 24-25)
- Convocation (August 26)
- Fall semester classes begin (August 27)

September

- Chair receives tenure files from the Dean's Office for departmental recommendation (September 1)
- Faculty Meeting (September 1)
- Last day to add a course, 3 PM (September 3)
- Submit names for possible promotions to Dean's Office
- Pre-reappointment meeting with candidates and Associate Dean

October

- Tenure files and departmental recommendations to the Dean's Office (October 1)
- Chairs receive budget-planning information for the next fiscal year from the Dean's Office. Includes operating budget, equipment, office improvements, adjunct, and nonacademic personnel requests as well as the Faculty Slot Tracker (Early October)
- Spring course schedule information due to Registrar's Office (October 2)
- Fallcoming (October 2-4)
- Faculty Meeting (October 6)
- Initial materials for tenurable position reappointments due from candidate to Dean's Office (October 15)
- Last day to drop a course, 3 PM (October 21)
- Family Weekend (October 31-November 1)

November

- Advising and pre-registration for the spring 2010 semester (tentative, November 2-20)
- Faculty Meeting (November 3)
- Deadline for departmental budget requests including operating budget, equipment requests, computer requests, office improvements, adjunct, and nonacademic personnel requests (Mid-November)

December

- Initial promotion materials due from candidate to Dean's Office (December 1)
- Faculty Meeting (December 1)
- Final Examinations (December 14-18)

January

- Tenurable position reappointment file due from candidate to Dean's Office (January 10); file conveyed to Chair
- Promotion file due from candidate to Dean's Office (January 15)
- Spring semester classes begin (January 18)
- Last day for Seniors to declare a minor (January 22)
- Last day to add a course, 3 PM (January 22)

February

- Reappointment recommendations due from Chair to Dean's Office (February 1)
- Annual review of tenured faculty for calendar year 2009 due to DOF (February 1)
- Faculty Meeting (February 2)
- Sophomores declare concentration (February 8-12)
- Request for Staff and Administrators' performance appraisals to Chairs
- Fall course schedule information due to Registrar's Office (February 26)

March

- Names of tenure and reappointment candidates to Dean's Office (March 1)
- Deadline for meeting between faculty member and Chair to discuss faculty annual report (March 1)
- Faculty Meeting (March 2)
- Last day to drop a course, 3 PM (March 12)
- Pre-tenure meeting with candidates, Chair of COA, and Associate Dean
- Final operating budget for next fiscal year sent to Chairs (late March)
- Staff performance appraisals due to Human Resources and Dean's Office
- Advising and pre-registration for the Fall 2010 semester (March 29-April 23)

April

- Requests for continuing faculty positions where vacancies will occur and for leave replacements due to Dean's Office (April 1)
- Annual reviews due from department Chair to DOF (April 1)
- Promotion recommendations due from Chair to the Dean's Office (April 1)
- Advising and pre-registration for the Fall 2010 semester (March 29-April 23)
- Advising loads reallocated
- Faculty Meeting (April 6)
- Periodic Leave proposals for the 2011-2012 academic year due to Dean's Office (April 15)

May

- Review catalog copy for upcoming year
- Graduation Certification due to the Registrar's Office (May 7)
- Faculty Meeting (May 4)
- Class and Charter Day – classes end at 11:50 a.m. (May 7)
- Final Examinations (May 10-14)
- Faculty Meeting (May 19)
- Commencement (May 23)

June

- Finalize details with the Associate Dean regarding departmental office space for upcoming year
- Reappointment files for renewable term positions due to Dean's Office (June 15)
- Chairs notified about equipment approvals for next fiscal year
- Departmental annual reports for 2009-2010 due to DOF (June 30)

- Outgoing Department Chairs' term ends (June 30)

II. DEPARTMENTAL LEADERSHIP

Thank you for agreeing to serve in a leadership capacity on campus. As Department Chair, you are asked to manage the day to day resource and personnel issues (e.g. budgets, office space, recruiting, etc.) for your department. The Chair's role, however, also involves acting as a facilitator working for the collective good of the Department and the College. In that role, Department Chairs should, in discussion with their colleagues, set goals and objectives, perhaps establishing a three to five year plan that provide clarity and direction for a department's decisions.

In leading a department, effective communication is critical to establishing your role as facilitator. The style and content of the conversations that you conduct can have a crucial impact on the culture of your department. You can help foster departmental collegiality by maintaining open communication at regular departmental meetings, circulating meeting agendas in advance, and setting agenda items that invite direct, frank and respectful discussions related to department policies, decision-making processes and collective vision. You should consider leading discussions related to:

Students and Student Learning: Establishing a departmental commitment to high standards for students, creating a student-friendly environment, evaluating and assessing the curriculum on an ongoing basis, coordinating course offerings with challenging courses for both majors and non-majors, providing good advising and mentoring of students, responding to student needs.

Scholarship: Encouraging department members to remain active in their fields by attending regional, national, and international conferences, presenting their research before their peers, and assisting them as needed in bringing their research to published form.

The Dean is available to you as a resource in working toward greater effectiveness. Please call if you need help.

III. FACULTY RECRUITMENT

A. EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION

The primary goal in faculty recruiting is to bring to the College the best-qualified teacher-scholars while furthering the diversity of the faculty. Departments may set particular criteria with regard to academic specialization, but all concerned are committed to carrying out the recruitment of new faculty without discrimination on the basis of sex, race, color, religion, age, sexual and affectional preference, handicap, national or ethnic origin, or marital status, and with the belief that a diverse faculty is essential to our educational mission.

AFFIRMATIVE ACTION STATEMENT

Hamilton College seeks to act affirmatively to increase the number of faculty, administration and staff positions held by people of color and women. To that end we have instituted certain hiring procedures. Special attention will be paid to the following: definition of the position; advertising and other means of creating the widest possible pool of candidates; assessment of the adequacy of representation in the pool during the search; close attention to the decisions as to whom we interview; and substantial consideration of our objectives in the decision to offer the position. In addition, we will continue our efforts to ensure an environment that is conducive to the recruitment and retention of people of color and women, including working conditions, compensation, and opportunities for advancement.

Responsibility for the implementation of our efforts rests with the Office of the President. Administrative supervision of search procedures for faculty hiring rests with the Dean while day-to-day responsibility for implementing and monitoring the procedures is delegated to the Associate Dean of the Faculty, the designated Affirmative Action Officer for faculty hiring.

The Dean will assess each year the results of hiring for the previous year and report to the Equal Opportunity Committee and to the community.

B. HIRING PROCESS, INCLUDING AFFIRMATIVE ACTION POLICY PROCEDURES

1) Authorization

All positions must be filled in accordance with Hamilton's Affirmative Action Policy. All full-time faculty positions must be filled through a national search, although in some cases, after consultation with the Dean and the Affirmative Action Officer, visiting positions may be offered to faculty already at the College or by invitation to outstanding candidates when a diversity hiring opportunity arises, as described in Hamilton's Affirmative Action Policy.

Authorization to open a job search is made by the Dean. After discussing the specific criteria of the position with departmental colleagues and consulting with the Dean about specific terms of the position (levels of experience, rank, salary range, tenurability, and any special conditions), the Department should submit a Request for Authorization to Open a Search form (Appendix B). This form should be returned to the Dean's Office for approval of position criteria and Affirmative Action Policy procedures. The latter includes review of the job advertisement copy and articulation of a clear strategy by the chair of the search committee for recruiting candidates of underrepresented groups; the Associate Dean for Diversity Initiatives (ADDI) will work with department chairs to develop this strategy (see below).

In some cases, the Dean will discuss requests with the Committee on Academic Policy before giving authorization to proceed. Except for leave replacements and certain other special appointments, a decision on the request will be made in accordance with the procedures outlined in the section on "Allocations."

2) Job Definition/Advertisement/Search Strategies

Advertisement copy, placement, and other search strategies must be submitted to and approved by the Affirmative Action Officer (see Appendix B).

Chairs should routinely contact the Affirmative Action Officer and the Associate Dean for Diversity Initiatives at the outset of their searches to discuss ways in which to develop a strong pool of women and minority candidates.

Approval of ad copy for faculty positions will be based on careful attention to the potential impact of the job definition and required credentials on the applicant pool. Ads should assure the widest possible applicant pool within the technical requirements of the position. Sub-field specialties and rank of the position, as they affect the possibility of the appointment of a person from an underrepresented group, should be given special attention.

The College has adopted the following affirmative action statement that must be included in every advertisement: "Hamilton is an affirmative action, equal opportunity employer and is committed to diversity in all areas of the campus community." In addition, the Dean will review ad copy for style consistency among all search ads for the academic year.

In paying special attention to advertising and other means to create the widest pool of candidates, search committees should review the composition of the potential available pool of candidates through the Survey of Earned Doctorates (NORC, U. Chicago) and composition of recent past searches, if available. This information will be provided by the Affirmative Action Officer. Departments and search committees are advised to advertise widely, especially to contact the appropriate professional organizations for people from underrepresented groups related to

their disciplines. The Affirmative Action Officer can assist in identifying such organizations. Advertisements may be placed in professional journals. All positions will be posted on the College website and *HigherEdJobs.com* by the Dean's Office.

Chairs are further advised to use personal contacts or letters of inquiry and announcement, especially to professional colleagues at institutions that typically prepare significant numbers of members of underrepresented groups.

Whenever there is not a person of color or a woman on the search committee, Chairs are strongly urged to invite a faculty member from an appropriate related discipline to participate in the search. The presence of a woman or faculty member of color is especially important during the interviewing process, both on campus and at professional meetings.

Chairs, or their designates, may request authorization from the Dean to travel to professional meetings for the purpose of interviewing candidates. The Faculty Travel Funding Authorization Form (downloadable form on /DOF website) should be used for this purpose.

3) Assessment during Search of the Candidate Pool

Search committees will work with the Affirmative Action Officer and Associate Dean for Diversity Initiatives in the gathering of assessment and statistical information for each search. Assessment of the pool of candidates will proceed through two avenues:

a) To gain more specific demographic data on the pool, the Affirmative Action Officer will direct the Chair or search committee to e-mail all applicants directing them to the Affirmative Action Office Information Gathering Form at <http://www.hamilton.edu/college/dof/aa>.

b) The Chair of the department or search committee shall keep a complete roster of applicants, including all information available about their sex, race or ethnicity, to be submitted to the Affirmative Action Officer as soon as the application deadline has passed.

The Affirmative Action Officer will confer with the search chair and Associate Dean for Diversity Initiatives concerning the number of people of underrepresented groups included in the candidate pool and advise the Dean on whether the search should proceed, or whether the search committee should consider ways to further build the candidate pool.

4) Consideration of Candidates

In order to pay special and close attention to the decisions as to whom to interview, and substantial consideration of Affirmative Action objectives in the decision to offer the position, the Associate Dean for Diversity Initiatives will participate as a non-voting member on the search committee.

The Associate Dean for Diversity Initiatives will review the applicant pool to determine whether candidates have been afforded thorough consideration, and encourage additional consideration when appropriate, and report on this aspect of the Affirmative Action Policy to the Affirmative Action Officer.

The chair of the search committee shall submit to the Dean and the Affirmative Action Officer the names and vitae of those candidates it wishes to invite for an on-campus interview. The Dean shall consult with the Affirmative Action Officer and the chair before approving the invitations to campus. The chair should be prepared to discuss the applications of the most highly ranked candidates from underrepresented groups should none be included among the top three.

5) On-Campus Interview Scheduling

Before invitations for on-campus interviews are considered, the Chair should ensure that the files of the selected interviewees are complete. In consultation with members of the department, the Chair is encouraged to use telephone interviews to answer questions about the candidates' qualifications, levels of interest, etc. The number of candidates invited to campus should not normally exceed three, and it should be less if three interviews are not necessary to identify the strongest candidates. On-campus interviews with more than the three will be authorized by the Dean if necessary to give serious consideration to promising candidates from underrepresented groups.

Before finalizing interview dates, the Chair should provisionally schedule appointments with the Dean and Associate Dean (only the latter for visiting positions), departmental colleagues, and other appropriate or interested parties. Each interviewer should be provided with a copy of the candidate's file, including the curriculum vitae and all letters of reference and supporting material. Whenever possible, the file should be accompanied by a full schedule of the candidate's visit.

Each candidate is normally expected to provide a writing sample and give an oral presentation in her or his field to departmental faculty and students. Subsequently, the attending students should be asked for their opinions by whatever procedures are agreed upon by the faculty of the department. Should a candidate wish to discuss salary during the visit, the Chair should consult with the Dean. Following the candidates' visits, the Chair should consult with his/her colleagues and then with the Dean for an evaluation and advice.

6) Appointment

Following the department's or search committee's deliberations; the Chair shall submit to the Dean a Faculty Recruiting Report (Appendix C) naming the candidate whom the department or committee recommends hiring. Please include the candidate's curriculum vitae, clearly indicate why this candidate was selected over the other finalists and indicate whether or not all those involved in the interviewing process supported the recommendation.

The Dean's response to the departmental recommendation will be subject to the final approval of the President. When the Dean accepts the recommendation, he or she will instruct the Chair to make a provisional offer of appointment by telephone in accordance with the agreed-upon terms. The offer will include provisions for salary and moving allowance. In the absence of the Dean, the departmental recommendation may go directly to the President. The Dean will make the initial offer of appointment only in the absence of the Chair or at her or his request, and in neither case will the Dean do so without consultation with the Chair. In some cases, slight changes in the terms of appointment may be negotiated between the Chair and the candidate, with the approval of the Dean.

The Dean will issue a formal letter of appointment as soon as possible after the Chair reports a provisional agreement has been reached with the candidate and has relayed a written statement of the terms of the agreement. The Dean rarely will make a formal offer prior to being informed that a verbal acceptance has been secured.

7) Employment of Non-U.S. Citizens

After an employment offer has been made and accepted, it is important to identify as soon as possible those individuals who may have to adjust their legal status in order to undertake the appointment offered. Employment authorization applications for certain categories of appointment are fairly straightforward and can be expected to be processed quickly. Other categories, or the individual's particular circumstances, may require a more complicated and lengthy process that could delay his/her effective starting date. In most cases, applications to adjust status must be filed either wholly or in part by the College as the authorized employer. The Dean's office will consult with the Director of Human Resources if the individual hired is not a U.S. citizen or permanent resident of the United States.

8) General Search Procedures and Responsibilities

The Chair of the department or search committee is responsible for supervising the conduct of a search; special care should be taken to ensure that all applicants for an advertised position, including internal candidates, are treated similarly at every stage of the process: from the submission of the initial letter of interest, through written acknowledgement, during the narrowing of the applicant pool, through the selection of conference and/or campus interviews, right up to the final recommendation of the search committee.

The Chair is also responsible for collecting, assembling, and maintaining files for all applicants. Any materials submitted in support of a candidate should automatically become part of an applicant's file, and should be considered by all members of the search committee. All files for each search must be retained by the department for a minimum of three years.

Along with the Chair, the members of the department or the search committee are expected to maintain the highest level of professionalism in ensuring the integrity of the search. All discussions, conversations and exchanges among search committee members should be considered strictly confidential, unless indicated otherwise, and colleagues should comport themselves appropriately. Communications with prospective candidates should be made through the Chair. Any deviations from these guidelines should be brought to the immediate attention of the Dean.

The Dean will cooperate with Chairs to ensure that all candidates are treated with respect and fairness. On those occasions when candidates with current or prior Hamilton experience are under consideration, the Dean will clarify the relationship of the temporary or visiting position to the appointment for which the individual is being considered. The Dean will also address the status of any prior or existing professional and evaluative material compiled at Hamilton, and, when appropriate, invite the inclusion of such matter for consideration.

9) Recruiting/Hiring Records and Reports

In compliance with Government regulations, as well as our commitment to equal opportunity and affirmative action, and to assist the President in his or her annual assessment of hiring results, the College must keep detailed records of its recruitment activity and maintain these records for a period of three years. Following the completion or close of each search, the Chair of the department or search committee shall submit to the Affirmative Action Officer a report summarizing the hiring procedures and outcome. A Faculty Recruiting Report form (Appendix C) is available in the Dean's Office and the associated affirmative action records will be held there, as well.

10) Expenses

The cost of faculty recruitment is borne by the Dean's Office. The College will reimburse visiting candidates for all reasonable expenses, including transportation, lodging, and meals. Chairs should forward to the Dean, or have candidates so forward, an accounting of their expenses along with receipts for all items. Authorization for reimbursement will be issued from the Dean's Office to the Business Office.

Expenses incurred by Chairs and faculty colleagues, as consequence of recruitment will be reimbursed by the Dean's Office upon receipt of a written account that includes the names of the individuals who attended, the nature of the expense, and the amount to be reimbursed. A limit of three faculty members per each candidate dinner will help maintain recruitment spending within reasonable limits, which normally should not exceed \$150. Any amount over that limit will be borne by the department or individual incurring the costs. The cost should be charged on a department member's Hamilton corporate credit card, and reimbursements are received through the Dean's Office.

11) Unsuccessful Candidates

The Chair should notify candidates who are not hired as soon as possible after a decision regarding their candidacy has been made. When necessary, applicants for advertised positions should be advised that the College's internal grievance procedures apply only to personnel decisions involving reappointment, tenure and promotion.

IV. ALLOCATIONS

The distribution of personnel resources among departments and programs is one of the most important annual tasks before the Dean and the Committee on Academic Policy. The Committee, with the full concurrence of the Dean, has adopted procedures to govern its annual advice to the Dean and President on the allocation and reallocation of faculty positions. In many cases, not including cases in which tenure was denied, the requests from departments for authorization to recruit must go through such procedures before the Dean grants or withholds such authorization. The Dean will make every effort to communicate decisions by July 1 of the academic year in which the search will occur.

In making a request, Chairs should address enrollment pressures, faculty loads, and service to the College with respect to general education, other departments and interdisciplinary programs, sophomore seminars, and concentrators. Enrollment data for courses in the department for the preceding three years (at a minimum) should be included if enrollment pressure is a significant justification for continuing or creating a position. Chairs should specifically address how senior projects are counted as part of the faculty load. Chairs should discuss the role of the requested position in the department's current and future program and plans, including documentation of departmental needs in annual reports and the most recent external review. Chairs may wish to document the comparative strength of their departments compared to peer institutions.

The allocation procedures of the Committee on Academic Policy are as follows:

By April 1, Chairs will submit to the Dean their arguments for new positions or for continuation of positions where vacancies will occur. These positions would commence July 1 of the following calendar year.

Arguments for new positions should make clear the role the position has or will have in the curriculum. In considering these requests, the Committee on Academic Policy will weigh the following:

- 1) the role of the requested position in the department's current and future program plans, including
- 2) documentation of departmental needs in annual reports and the most recent external review documented enrollment pressures
- 3) contributions of the department and position to the proseminar and college seminar programs
- 4) contributions of the position to other departments and interdisciplinary programs
- 5) documented comparative strength or weakness of departments vis-à-vis their peers at similar institutions

Before submitting these arguments, Chairs are encouraged to consult with colleagues so that as complete a case as possible may be made. While there are a limited number of positions to allocate in any given year, the Committee on Academic Policy nonetheless encourages departments to make requests, to help the committee and the Dean plan for future needs even if the requests cannot be fulfilled in the current year.

The replacement of faculty members on periodic leaves will be determined by combined consideration of curricular integrity, instructional continuity, and fiscal responsibility.

In those cases where there is a possibility that the Committee on Academic Policy might recommend that a department or program lose an existing position, the Chair will be invited to meet with the Committee on Academic Policy.

The Committee on Academic Policy will normally make its recommendations to the Dean by May 15. The Dean will then forward these along with his or her own recommendations to the President.

V. FACULTY PERSONNEL PROCEDURES

A. REAPPOINTMENT, TENURE AND PROMOTION

The annual department report should be filed with the Dean by June 30. This report shall include a list of current faculty for whom reappointment, tenure and promotion is to be considered for the upcoming academic year. In the case of tenure decisions, in particular, the Dean and the department will both begin to amass evidence in the summer prior to the academic year in which the tenure review is scheduled.

The College's procedures for preparing recommendations on personnel actions are specified in the *Faculty Handbook*. (Refer to Appendix D for a Calendar of Dates for Personnel Actions.) For promotion candidates for Associate Professor with tenure, please refer to the *Faculty Handbook* for procedures and practices to be used in tenure reviews.

The Department Chairs' role is to clarify the tenure process by bringing a sense of order and understanding to this review period. Chairs, along with the Dean and the Committee on Appointments, must recognize that the tenure process is long and at times difficult and trying for many candidates. It should not be so impersonal or mysterious as to discourage faculty from asking questions or expressing concerns.

For other reappointments the following text is provided as a supplement to the handbook.

- 1) Chairs should take the initiative to inform candidates for reappointment or promotion that they have the responsibility to provide the Dean with materials that will be helpful to an adequate consideration of their cases, including a personal statement on teaching, scholarship, and service and any additional relevant information or documents. (See Reappointment Checklist, Appendix E.)
- 2) The Dean will solicit letters from ten former or present students whose names were provided by the candidate; letters from twenty former or present students randomly selected by the Registrar, including concentrators and non-concentrators and students from both lower- and upper-level courses; letters from members of academic program committees on which the candidate has served; letters from departmental colleagues who are not eligible to vote on the personnel decision.

The Dean will then provide to the Chair a complete file for consideration by the voting members of the department. After the voting members of a department or program have evaluated the relevant evidence, the Chair should submit a recommendation read and signed by all voting members of the department to the Dean. This recommendation should include a detailed statement on the candidate's performance as a teacher (including first-hand evidence of teaching effectiveness by at least two voting members), a scholar and faculty colleague, a report of the departmental vote, and a summary of the views of voting department members.

- 3) In cases of assistant professors who have not yet reached the stage of being reviewed for tenure, it is sometimes the case that the department will wish to recommend positively but retains reservations about committing the institution to another three-year contract and a terminal year thereafter. In such relatively rare cases, a Chair may wish to explore with the Dean the possibility of scheduling a review earlier than the third year of the reappointment period. The Dean will agree to such mid-term reviews only in exceptional circumstances and only on the understanding that the candidate will be warned at the time of reappointment of the reservations that have led the department to act on such a review.
- 4) The Dean is obligated to provide candidates for reappointment with a clear assessment of their teaching, scholarship, and service. The Dean may consult with the Chair about the evaluative paragraph before sending it to the faculty member, but the more interpretation and evaluation of the candidacy the Chair provides, the more likely she or he is to influence the evaluative statement.
- 5) The *Faculty Handbook* states "at least some voting departmental or program colleagues should be in a position to assess from firsthand knowledge the classroom effectiveness of the instructor, and all should be in a position to evaluate to some degree the instructor's knowledge and mastery of the discipline." (VI.F.1) The first part of this statement requires team-teaching, videotaping, or a departmental visitation program. The Chair is strongly advised to adopt a standard and periodic visitation policy in which each of the courses a

candidate is teaching is observed by at least one tenured colleague at least once a semester. The class or classes visited should be agreed upon between the Chair and the faculty member, and the day of the visit should be agreed upon in advance. The visitor should discuss the class with the faculty member at an early opportunity after the visit, and a written evaluation should be provided to the Chair and the faculty member for the latter's departmental file. Chairs are expected to discuss the substance of the evaluation with the candidate (including possible ways to improve or strengthen teaching) and to include the faculty member's written response in his or her file.

Should there be more than one tenured member of the department, at least two should be involved in the visitation program for each faculty member, with the Chair using her or his judgment where a particular pairing of observer and observed seems inappropriate. Chairs should feel free to ask members of other departments or programs to serve as visitors when the department contains no suitable visitors. Normally, those to be observed should be consulted about non-departmental visitors.

- 6) The Chair should consult with the candidates for reappointment to find out if there are academic program committees that should be asked to evaluate aspects of the candidacy and to pass on such information to the Dean.

B. PROMOTION FROM INSTRUCTOR TO ASSISTANT PROFESSOR: COMPLETION OF PH.D. REQUIREMENTS

Faculty who have not completed their doctoral or other appropriate terminal degree are hired at the rank of instructor. Once the degree requirements are complete, the Chair must notify the Dean's Office before any change in rank or possible salary adjustments can be made. Notification includes official documentation from the degree granting institution stating the candidate has fulfilled all of their requirements.

VI. ANNUAL DEPARTMENT REPORTS

A. FACULTY ANNUAL REVIEW PROCESS

Tenure-track and tenured faculty members are reviewed by the department chair on a calendar-year annual basis. The annual report is used to evaluate career development, progress toward tenure or promotion, and annual merit increases to salary. The reports are due electronically to the Dean of Faculty Office by February 1. The DOF Office will in turn provide electronic copies to chairs.

The annual report consists of web-form completion of the "Summary of Activities" and electronic submission of a current vita and a personal statement addressing teaching, scholarship, service, and other considerations regarding the past year's activities. The personal statement normally should not exceed two single-spaced pages. It is expressly understood that annual reports are confidential documents that will be held in the offices of the Dean and the President. The Committee on Appointments and Appeals Committee may ask to see annual reports in the course of their deliberations.

Department chairs are reviewed by the most senior member of the department, following the same timetable as other reviews.

During the month of February, faculty will meet with their chair and discuss the contents of the annual report. These meetings are mandatory for tenure-track faculty, and recommended for tenured faculty. By April 1, chairs and program directors will file their reports on each faculty member with the Dean's office, and provide a copy to the faculty member.

Throughout the month of April, the Dean will review the materials and arrange meetings with chairs to discuss the reports. The Chair is responsible for assessing the overall performance of each colleague in teaching, scholarship, and service to the College, and for indicating to the Dean whether in his or her opinion each is deserving of an above average, average, or below average rating. The annual reports will be a reference for the Dean in merit considerations.

Instructions and links to the appropriate form can be found at <https://my.hamilton.edu./college/DOF/review.html>

B. DEPARTMENTAL ANNUAL REVIEW

As noted earlier, on or before June 30 of every year the Chair must submit to the Dean a report that:

- 1) formally identifies personnel changes or actions to be considered during the forthcoming year
- 2) addresses the adequacy of the current curriculum and any long-term plans for change
- 3) lists those classes that were observed by peers. Please indicate the class observed (class and professor) and the faculty member who observed the class.**
- 4) Summarizes research and creative activity in the department.**

Chairs are free to include additional narrative on whatever topics they choose. Annual Department Reviews should be considered college documents available for review by any faculty member.

Requests for authority to recruit should not be submitted to the Dean at the same time as the annual report. All such requests, whether they are requests for new positions, or to fill existing positions opened by termination, resignation, retirement, or leave, should have been presented in the previous spring, according to the Committee on Academic Policy procedures outlined in the section on "Allocations".

VII. BUDGET PROCEDURES

A. PREPARATION

In the middle of the fall semester each year, the Dean will ask each Chair for a preliminary budget request. The Business Office will enable Chairs to input budget recommendations on-line for line items covering regular instructional costs. Using the appropriate forms provided by the Business Office, Chairs may also propose expenditures for the renovation of facilities or for non-recurring items such as equipment. The specific deadline for preliminary budget requests will be provided in the budget materials, which are due in the Dean's Office in mid-November.

Chairs may be asked to meet with the Dean or the Academic Budget Manager to discuss requests if such discussions have not been part of the annual report. Since the Dean will ultimately have to speak to the merit and feasibility of every proposal, Chairs may be asked to provide additional information in support of their requests.

The Dean will combine the departmental and program budgets to provide the Vice President for Administration and Finance with a total proposed instructional budget. The instructional budget is reviewed by the Seniors Officers and the President in the context of the entire institutional budget. The Vice President for Administration and Finance normally presents the preliminary budget for the whole College to the Board of Trustees at its December meeting and makes further adjustments prior to the Board's action on a final budget at the March meeting. As soon as possible after Board approval is secured the Dean will provide each Chair with a copy of the departmental budget for the coming fiscal year.

B. BUDGET ADMINISTRATION

It is the responsibility of the department through its Chair to keep expenditures under each line item within the total amount allocated. **In no case may total expenditures exceed the total budget.**

The Chair supervises all departmental accounts unless alternate stipulations are made after consultation between the Chair and the Dean. The Chair alone is authorized to incur financial obligations on behalf of the department. To enable the Chair to view her or his expenditures regularly, Chairs have access to their respective accounts on-line. It is most important, however, that you maintain records of commitments to future expenditures to use in conjunction with the information on prior expenditures in the monthly accounts. **You are expected to keep your colleagues fully informed of your department's expenses and allocations.**

C. SUPPLEMENTARY REQUESTS

The College holds only limited funds in reserve to meet unforeseen requirements or to cover emergencies. Chairs are encouraged to bring requests for budgetary supplements to the Dean at any time. However, supplementary expenditures will be approved only if funds are available and if the circumstances are extraordinary.

VIII. FACULTY LEAVES

A. POLICIES

The *Faculty Handbook* provides detailed information regarding requests for personal and professional leaves (without pay) as well as College-supported periodic leaves. The following information is intended to supplement the *Faculty Handbook's* description of the policies and procedures regarding Hamilton's periodic leave program.

Eligibility for periodic leaves is determined by the number of semesters of full-time teaching. Tenured faculty are eligible to request, through application to the Dean and the Committee on Appointments, a one-term leave at full salary or a one-year leave at half salary, after each ten semesters of teaching at the College. Tenure-track faculty are eligible to request periodic leaves on the same basis after their first six semesters of teaching at the College. The eligibility and scheduling of leaves for faculty who come to Hamilton with prior teaching experience will be determined at the times of appointment. All leaves should be taken in the two-course term of an annual five-course faculty teaching load.

Request for Hamilton leaves should be accompanied by a written statement from the Chair of the department in which the faculty member holds appointment. The Chair is expected to evaluate the proposal, make a recommendation to the Dean, and make clear how, if the leave is granted, the Department intends to staff its instructional program.

B. APPLICATIONS FOR FACULTY LEAVES

Applications should be submitted to the Dean no later than April 14 at least one full calendar year in advance of the beginning of the academic year for which the leave is sought.

No form for the application is specified, but Chairs should ensure that applicants have provided the following for the consideration of the Dean, the Committee on Appointments, and the President:

- 1) The terms (fall, spring) for which the leave is sought
- 2) The year of the last College leave held while at Hamilton
- 3) A comprehensive and substantive statement about the goals, methods, and intended results of the study and research
- 4) An account of any special facilities or resources that will be required in its support

- 5) Copies of any prior publications upon which the proposed project is based
- 6) An explanation of the way in that it fits in the previous work and with the applicant's long-term teaching, scholarly, and creative plans
- 7) Name of outside sources or agencies to which application also has been or will be made
- 8) An estimate of funds, if any, besides salary that are needed for the successful completion of the project
- 9) A letter of support from the department chair; or, if the applicant is the chair, a senior member of the department.

Proposals for College leaves should approximate in detail and substance the submission of applications for outside funding.

Chairs are encouraged to help members of their department, particularly newer colleagues, plan and apply for periodic leaves by encouraging them to submit thoughtful and detailed proposals. Chairs are also encouraged to draw their colleagues' attention to fellowship opportunities like those of the Guggenheim Foundation, NEH, ACLS, NSF, NIH, and others funded from outside the College. Chairs should familiarize themselves with the sections of the *Faculty Handbook* that cover the means by which colleagues may seek leaves on their own charges for personal reasons or for purposes of professional growth. In all areas of faculty development, including the planning of leaves, the Dean stands ready to advise Chairs or the members of their departments.

C. MATERNITY, ADOPTION AND PARENTAL LEAVE

The Faculty Handbook (p. 65) describes the terms for maternity, adoption, and paternal leaves. During the period of disability, which is typically 6-8 weeks but could be longer, the faculty member on leave should have no professional responsibilities to the College. Chairs should work with the faculty member well in advance to ensure that the period of disability is unaffected. It is important that Chairs and faculty members "discuss their plans with the Dean as soon as possible so that the range of options can be fully explored and arrangements approved." Chairs need to be flexible with regard to these leaves, particularly with respect to providing colleagues with a "redefined teaching load".

IX. FUNDS FOR TRAVEL AND RESEARCH

The College supports the professional development of the faculty by providing grants for travel to professional meetings from the DOF faculty travel funds and for research purposes from endowed or grant activity funds. Applications for support, with the endorsement of the departmental chair, should be submitted to the Associate Dean well in advance of proposed expenditures. Applications will be considered on a rolling basis.

Chairs are expected to offer advice and counsel to colleagues regarding the nature, significance, and appropriateness of such requests. If you have any questions concerning the professional criteria to be used, please consult the Associate Dean.

Applicants will be informed of the decision as soon as possible after submission. In order to ensure equity in the allocation of funds for professional support, faculty members should inform Chairs of their research and travel needs as fully as possible by early September of each academic year.

Applications for travel funds to be used primarily for recruitment will be funded out of other sources than faculty professional travel.

Guidelines for professional travel: Guidelines for professional travel and research expenses are included in the *Red Book* and on the Dean of Faculty website. Please consult that statement or contact the Dean's Office.

X. FUNDS FOR INDIVIDUAL FACULTY GRANT PROPOSALS

The Dean of Faculty office has an annual grant activity budget for support of individual faculty (rather than institutional) grant proposals to external grant agencies. The purpose of the fund is to encourage proposal development, strengthen submissions, demonstrate institutional support for proposed activities, and increase funding rates. The fund offers several broad categories of support:

A. Proposal development support

- * Proposal-writing workshop attendance
- * Consultations and collaborations on proposal development.
- * Preliminary data collection and analysis (may include stipends).

B. Supplemental salary

- * Supplemental salary and benefits ("top-up") on external awards of partial support for personal leaves for professional activity or one-year periodic leaves (e.g., NEH, NEA fellowships).

C. Cost-sharing

- * Up to 30% (unless agency-specified otherwise) in cost-sharing on specific non-salary expenses/ requests (e.g., equipment, supplies, travel).

D. Indirect costs redirection

- * For grants that reimburse the college for indirect costs (e.g., NSF and NIH grants with salary and wages), the equivalent of 10% of those costs may be requested for project/ grant development-related (non-salary) expenses.

E. Internal project awards

- * For individuals who have demonstrated "strenuous effort" in seeking grant support but not secured funding, despite strong proposal submissions, substantial support may be provided towards moving the proposed project forward.

Application for any of the above should be made well in advance of proposal deadlines to the Associate Dean of Faculty, from whom more details are available. Overall support for a particular project will be limited, and so a plan for proposal development, pre-award commitments, and post-award support should be considered together. Note that Amy Lindner in the grants office provides a range of additional grant development support, and general guidelines on proposal submission are available at http://www.hamilton.edu/college/communications_development/OFCGR/guidelines.html

X. COLLEGE SPEAKER FUNDS (downloadable form available on DOF website)

A. PURPOSE

The College Speaker Fund is intended to bring to the College scholars from outside the Hamilton community who can address faculty and students within their particular discipline.

B. REQUESTING FUNDING

Faculty should request speaker funding from the Dean using the College Speaker Fund form (Appendix F). The form normally requires the signature of a department chair.

C. REIMBURSEMENT

Speakers should normally be offered reimbursement for their actual expenses. To secure such expenses, the Chair should submit to the Dean on the College Speaker Form (Appendix F) a statement of costs incurred by the

visitor for transportation, meals, and/or lodging. Any honorarium should also be specified at this time. The Chairs should provide the name in which a check should be drawn and the full home address to which it should be sent. **The W-9 form is required for honorarium payment.**

XI. LIBRARY

In liaison with the staff of the Burke Library, it is the responsibility of Chairs or their designates to assist the College with its acquisitions by recommending materials deemed appropriate to the development and maintenance of a balanced collection representative of the teaching and research needs of the students and faculty.

A. ALLOWANCE

During the course of July, August, and early September, after the general Library budget has been approved, the Librarian will contact Chairs to discuss their departmental/program needs. After collecting requests, the Librarian will make allocations to departments on the basis of their request and the Librarian's judgment on the most effective distribution of funds to support the teaching and research activities of the faculty. Departments chairs learn of the amounts allotted in early September and thereafter may charge their purchase recommendations against the appropriate figures.

B. ACCOUNTING

Acquisition allowances do not appear as line items on departmental budgets because they are held centrally in the Library budget. Expenses incurred by departments are recorded by the Library staff, with monthly amount spent, the amount encumbered, and the current balance.

C. ORDERS

Notice of materials to be purchased should be sent to the Acquisitions Department on request forms available in quantity from the Library. When the material arrives, the person who ordered it is notified that it has been received. Upon request the Circulation Department will hold the material at the desk for one week, after that it is placed in open stacks. If the material ordered is already held by the Library, the order form is returned to the person who signed it with the appropriate call number written upon it.

D. A.V. MATERIALS

Audiovisual materials are housed in the Resource Center located in the Christian A. Johnson building. The Audiovisual Services Division has a central budget for the rental of films and for the purchase of audiovisual materials. Requests for rentals and purchases should be sent to the AV Director. Departments should not purchase audiovisual equipment except after consultation with the Director of Audiovisual Services.

XII. USE AND SCHEDULING OF COLLEGE-OWNED VEHICLES

A. PRIORITIES:

- 1) academic trips that are integral parts of a course and required of all members
- 2) academic trips that are optional parts of a course and so recommended by instructors
- 3) intercollegiate athletic activities
- 4) activities of established organizations such as volunteer service groups, musical groups, clubs, and conferences
- 5) faculty and administrative use on College business
- 6) other legitimate uses (e.g., group travel to area concerts, lectures, and musical events)

No priorities will apply to requests made within the two weeks prior to the proposed trip. If vehicles are

available, they will be reserved on a first-come, first-served basis. No person who has reserved a vehicle will be “bumped” or deprived of that vehicle during the week prior to the proposed trip, except in the event of mechanical difficulties that make the vehicle unavailable.

Required academic trips (priority #1) may initially be scheduled for two dates, one as a stand-by in case weather interferes with the preferred time. Requests for use under priorities 1, 2, 3, and 5 should be directed to the Office of the Director of the Physical Plant. All other requests should be directed to the Office of the Director of the Bristol Campus Center.

Acute scheduling conflicts that cannot otherwise be resolved will be referred to the Dean.

B. ELIGIBLE DRIVERS AND CHARGES

Faculty and administration and their spouses, who hold valid driver’s licenses, may drive College-owned vehicles. An undergraduate must be designated an “eligible driver” in order to drive College student-travel vehicles. A minimum requirement for such designation is a valid driver’s license and three years of experience without moving violations. Requests for such designation should be directed to the Director of Environmental Protection and Safety. A charge of 48.5 cents per mile, and the cost of driver time where applicable, will be assessed for the use of College vehicles. Where appropriate, this charge will be made to the account of the department or organization using the vehicle. In other instances, payment is to be made to the Business Office by the individual user. The cost of gas purchased for College vehicles will be deducted from the user charge upon presentation of a purchase receipt.

Faculty members should remember that those trips that require exempting students from normal classroom obligations may only be taken after receiving the written permission of the Dean. Permission to use a vehicle does not carry with it permission of this sort, nor, conversely, does permission for students to be exempt from their obligations carry with it entitlement of the use of vehicle. For the sake of convenience, faculty members are encouraged, where it is appropriate, to file their requests for permission to take a trip and permission to use a vehicle at the same time.

APPENDIX A

AFFIRMATIVE ACTION CATEGORIES

Candidates of color should be identified in relation to the five racial/ethnic categories used for federal reporting purposes.

- 1) American Indian or Alaskan Native: a person having origins in any of the original peoples of North America and who maintains cultural identification through tribal affiliation or community recognition.
- 2) Asian or Pacific Islander: a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This includes, for example, people from China, Japan, Korea, the Philippine Islands, American Samoa, India and Vietnam.
- 3) Black, non-Hispanic: a person having origins in any of the black racial groups of Africa, except for those of Hispanic origin.
- 4) Hispanic: a person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
- 5) White, non-Hispanic: a person having origins in any of the original peoples of Europe, North Africa, the Middle East, except for those of Hispanic origin.

APPENDIX B

REQUEST FOR AUTHORIZATION TO OPEN A SEARCH

Department/Program: _____ Field: _____

Rank: Professor Associate Professor Assistant Professor Instructor

Type: Tenure Track Visiting: leave replacement Visiting: terminal

New OR replacing (name): _____ Length of term: _____

Please attach a copy of the advertisement. The following statement must be included in all ads: **“Hamilton is an affirmative action, equal opportunity employer and is committed to diversity in all areas of the campus community.”**

Closing date for applications: _____

Dates for conference interviews (if appropriate): _____

Approximate dates for on-campus interviews: _____

Search Committee Members: _____

Publications in which ad will be placed: _____

Other potential sources of applicants (conferences, letters to graduate schools, etc.): _____

Department Chair

Date

I hereby authorize that a search be opened for this position and advise that recruitment follow the procedures outlined in the Hamilton College Affirmative Action Policy and coordinated by the Affirmative Action Officer for faculty hiring.

VP for Academic Affairs and Dean of the Faculty

Date

I hereby confirm that the advertising and descriptions of this position comply with the guidelines of the Hamilton College Affirmative Action Policy.

Associate Dean of the Faculty/AA and EO Officer for Faculty

Date

I hereby confirm that strategies for promoting diversity within the candidate pool have been discussed and will receive support from the Associate Dean of Faculty for Diversity Initiatives. [term and tenure-track searches]

Associate Dean for Diversity Initiatives

Date

APPENDIX C

FACULTY RECRUITING REPORT

Department _____ Position _____

Advertising:

Location of ads: _____

Letters to graduate programs: _____

Professional meetings: _____

Other: _____

	All			Minority (where known)		
	Male	Female	Total	Male	Female	Total
Applications received						
Applicants on short list						

On-Campus Interview Summaries

Indicate which person is to be hired and why (list person who accepted offer first)

Name

Comments

- 1) _____
- 2) _____
- 3) _____
- 4) _____
- 5) _____

Dept./Prog. Chair _____ Date _____
 Vice President/ Dean of the Faculty _____ Date _____
 Associate Dean/AA and EO Officer _____ Date _____

APPENDIX D

Calendar of Dates for Personnel Actions

Reappointment for renewable (term) positions

June 15*	File (6 copies) and student names due from candidate
October 15*	Recommendation from Department
November 15**	Recommendation from COA
December 15**	Recommendation sent to President
January**	Reappointment conveyed to candidate by DOF

Reappointment for tenurable positions

October 15*	Student names due from candidate
January 10*	File (6 copies) due from candidate
February 1*	Recommendation from Department
March 1**	Recommendation from COA
March 15**	Recommendation sent to President
April 1**	Reappointment conveyed to candidate by DOF

Tenure

April 1*	CV, paragraph statement of teaching/scholarship, possible reviewer names, and student names due from candidate. Names of possible reviewers from Department Chair.
June 1*	File (11 copies) due from candidate and sent to outside evaluators
September 1*	File to Department
October 1*	Recommendation received from Department
November 1**	Recommendation received from COA
December 1**	Recommendation sent to President
December 20**	Tenure recommendation conveyed to candidate by DOF

Promotion

December 1*	CV, paragraph statement of teaching/scholarship, possible reviewer names, and student names due from Candidate. Names of possible reviewers from Department Chair.
January 15*	File (10 copies) due from candidate and sent to outside evaluators
April 1*	Recommendation received from Department or Program
May 1**	Recommendation received from COA
May 15**	Recommendation sent to President
June 1**	Promotion recommendation conveyed to candidate by DOF

PHYSICAL EDUCATION POSITIONS

One-year and minor two-year/four year reappointments

January 15*	CV, personal statement and candidate file. Recommendation received from Department.
February 15**	Recommendation received from COA
March 1**	Recommendation sent to President
March 20**	Reappointment recommendation conveyed to candidate by DOF

Major two-year/four-year reappointment/promotion

January 15*	CV, personal statement, outside evaluator names, student names and candidate file Names of possible reviewers from Chair Recommendation received from Department Recommendation received from COA Recommendation sent to President
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* Dates from *Faculty Handbook*

** Target dates implied by DOF office

APPENDIX E

REAPPOINTMENT CHECKLIST

This is a summary of the materials that must be included in reappointment files. The candidate should forward **six copies** of each to the VP/Dean's Office. Please refer to the Faculty Handbook and the Chairs Guidelines for details.

- 1) Current **curriculum vitae** from the candidate.
- 2) **Personal Statement** on teaching, scholarship, and service from the candidate - may include discussion of new courses developed and old courses revised; innovative teaching methods; participation in departmental/program curricular offerings; work in interdisciplinary courses; guidance of independent studies; teaching philosophy. These issues also should be discussed in the departmental/program recommendation as part of the assessment of teaching.
- 3) **Syllabi** and related course materials from the candidate.
- 4) Copies of **scholarly works** - publications, portfolio, works in progress, etc., from the candidate.

APPENDIX F

COLLEGE SPEAKING EVENTS and the SPEAKER FUND

Use this form to notify the Dean of Faculty of public speaking events by external guests, and, as needed, to request funding for public events or classroom visits. If you plan only a classroom visit by a guest, and no funding is sought, this form need not be used. To request funding for a series of speakers, use multiple forms.

Date(s) of Visit _____

Event is a _____ public lecture _____ classroom visit _____ both _____ part of a lecture series

Description of Event _____

Person/Department Coordinating Lecture _____

Name of Speaker _____

Title or Occupation _____

Institutional Affiliation _____

Home Address _____

A W-9 form must be on file for U. S. citizens and permanent residents. The form can be found at:
https://my.hamilton.edu/college/business_office/payroll/W-9.pdf

If the speaker is not a U.S. citizen, a copy of his/her visa must be provided prior to requesting payment for an honorarium or reimbursement. Please note that certain types of visas do not permit payment of any kind.

_____ **Speaker Fund support not needed; source of event funding:** _____

_____ **I request support for this event from the Speaker Fund:**

Estimate of Expenses:	Honorarium	_____
	Travel	_____ (indicate air, rail, or mileage: \$.55 x _____ miles)
	Lodging	_____
	Meals	_____ (\$250 max including meal with speaker, \$150)
	Other	_____ (cab, publicity, etc.)
	Total	_____

Less funding from other source(s) (_____) Identify source(s): _____

Total request from Speaker Fund: _____

Please remember to list your event on the Hamilton College calendar by following the instructions at <http://www.hamilton.edu/applications/calendar/addevent.html>.

Submit this completed form to Karen Perry in the Dean of Faculty Office. Once funding is approved, the honorarium is normally mailed to the speaker after the coordinator of the event verifies that the lecture has taken place and provides any receipts for reimbursement. (Original receipts are required for all expenses.)

Coordinator's Signature

Department/Program Chair Signature

VP/Dean Approval

Date

Amount Approved

Acct (4512/7900)