

The Harvey Mudd College Faculty Notebook

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The Faculty

SECTION 1. FACULTY GOVERNANCE

(Section Revised May 2010)

1.1 THE FACULTY NOTEBOOK

The Faculty Notebook describes the current rules, policies, and practices for faculty organization and governance, as well as current policies regarding faculty employment and compensation. Academic programs and current policies regarding students are described in the Harvey Mudd College Catalogue and the Harvey Mudd College Student Handbook. The Faculty Executive Committee reviews the Faculty Notebook periodically and when necessary forwards proposals for revision to the full faculty for action and to the Educational Planning Committee of the Board of Trustees for confirmation. The current Faculty Notebook is distributed to all new faculty members at the beginning of their employment. Any revisions to the Faculty Notebook are distributed in a timely fashion to the faculty in hard copy and are also made publicly available on the college website.

1.2 FACULTY MEMBERSHIP AND VOTING PRIVILEGES

Tenure-track faculty ranks are assistant professor, associate professor, and professor. Non-tenure-track faculty ranks are instructor, postdoctoral fellow, adjunct assistant professor, adjunct associate professor, adjunct professor, visiting assistant professor, visiting associate professor, visiting professor, professor emeritus, clinical professor, and visiting scientist.

Instructors are part-time faculty members who teach a small number of courses and typically do not have a terminal degree.

Postdoctoral fellows are associated with a college postdoctoral fellowship program.

Adjunct professors at all ranks are part-time faculty members whose appointments are for a definite term and are presumed not renewable.

Visiting professors at all ranks are full-time faculty members whose appointments are for a definite term.

Professors emeriti are retired tenure-track faculty members of the college.

Clinical professors are adjunct or visiting professors who, by virtue of extraordinary experience, support education in professional practice.

Visiting scientists are non-paid collaborators doing current research with a college faculty member or group.

The voting members of the faculty are the tenure-track faculty members of all ranks and the following officers of the college, who are ex officio members of the faculty:

- The President;
- The Vice President for Academic Affairs and Dean of Faculty;
- The Vice President and Dean of Students;
- The Vice President for Admission and Financial Aid;
- The Chief Information Officer and Vice President for Computing and Information Services;
- The Registrar.

In addition, the following officers of the college and of The Claremont Colleges are non-voting, ex officio members of the faculty:

- The Vice President for Finance and Treasurer;
- The Vice President for College Advancement;
- The Director of Admission;
- The Director of Financial Aid;
- The Assistant Vice President for Institutional Research;
- The Director(s) of The Claremont Colleges Library;
- The Liaison Librarian for Harvey Mudd College;
- The Chaplains;
- The Director of the Health and Counseling Centers.

1.3 FACULTY MEETINGS

Dates for regular faculty meetings are circulated by the Chair of the Faculty to the faculty and staff at the beginning of each academic year. Special meetings may be called as required by the Faculty Executive Committee. In addition, a meeting may be called by petition from at least five faculty members. The petition is submitted to both the Chair of the Faculty and the Dean of Faculty, and the Chair of the Faculty calls the meeting within three weeks. Faculty meetings are chaired by the Chair of the Faculty, or, in her/his absence, by the most senior faculty member on the Faculty Executive Committee in attendance. Meetings are conducted according to Robert's Rules of Order. Both voting and non-voting members of the faculty are encouraged to attend and participate in meetings.

Faculty meetings are normally open to students or others who may wish to observe. Such observers may participate in the discussions with the consent of the meeting chair. All or part of any faculty meeting may be closed by a majority of the voting members present. The Faculty Executive Committee may call special closed faculty meetings when it considers such action appropriate.

During the academic year, a quorum at any meeting of the faculty announced with at least five working days advance notice shall be one-third of the voting members, not counting

those on leave. If a five-day notice is not given, and in any case during the summer period between commencement and the first regular meeting of the fall semester, a quorum shall be a majority of the voting members.

Section 2. Faculty Organization and Committees

(Section Revised May 2010)

2.1 DEPARTMENTS

The departments are Biology; Chemistry; Computer Science; Engineering; Humanities, Social Sciences, and the Arts; Mathematics; Physics; and Athletics and Physical Education (shared with Scripps and Claremont McKenna Colleges). In determining committee memberships, the first seven are deemed academic departments. Among their other duties and functions, the departments are expected to promote learning, determine major requirements for graduation (subject to approval by the Curriculum Committee), offer courses, and assist assigned advisees in meeting graduation requirements.

2.2 CHAIR OF THE FACULTY

The Chair of the Faculty is elected by a majority of the faculty members who voted and serves for a term of three years. Full-time faculty members who are tenured full professors in the academic departments, excluding department chairs and associate deans, are eligible for election. Duties include serving as:

- Chair of the Executive Committee;
- Spokesperson for the faculty;
- Member of the Budget Committee;
- Non-voting ex officio member of the Reappointment, Promotion, and Tenure Committee and the Educational Planning Committee of the Board of Trustees;
- Chair of faculty meetings;
- Mace bearer at Commencement.

2.3 FACULTY STANDING COMMITTEES

Following Roberts Rules of Order (10th edition), faculty standing committees are defined as committees that “are constituted to perform a continuing function, and remain in existence permanently or for the life of the assembly that establishes them.” Unless otherwise stated, membership on faculty standing committees is limited to the tenure-track faculty of the college, the regular term of office on a committee is three years, and all committees select their own chairs. When not in executive session, all faculty standing committee meetings are open to all voting members of the faculty, except for meetings of the Reappointment, Promotion, and Tenure Committee when candidates are being evaluated and the Scholarly Standing Committee when student records and petitions are being reviewed. The Chair of the Faculty distributes a list of committee assignments at the beginning of each academic year and ensures that that list is also publicly available on the college website.

The Faculty Executive Committee, as the committee on committees, conducts all elections and makes all committee appointments after consulting on the latter with the Dean of Faculty and the department chairs. Committee selections are made in the spring,

with duties of new members beginning July 1. Vacancies on the Reappointment, Promotion, and Tenure Committee and on the Faculty Executive Committee are filled by election for the remainder of the unexpired term.

In making committee assignments, the Faculty Executive Committee takes into account any known special or ad hoc assignments for individual faculty members. For those committees with designated representation, the mathematical sciences include computer science and mathematics, and the natural sciences include biology, chemistry, and physics.

The Faculty Executive Committee may from time to time appoint ad hoc committees. Following Roberts, an ad hoc committee is “appointed, as the need arises, to carry out a specified task, at the completion of which—that is, on presentation of its final report to the assembly—it automatically ceases to exist.” Ad hoc committees may not be formed to carry out a task already assigned to a standing committee.

In each academic year, each faculty standing committee other than the Faculty Executive Committee designates a chair. The committee chair is responsible for calling regular meetings, working with the members to establish an agenda, and communicating with the Faculty Executive Committee on activities and procedures. To provide continuity from year to year, all committees are encouraged to document their procedures. If a committee Sakai site is not already in existence, the committee chair should consider establishing such a site to facilitate committee communication and continuity. Each chair submits a report of committee activities to the Chair of the Faculty on an annual basis. Committee chairs may be called upon to make presentations on their activities at faculty meetings.

2.3.1 Elected Committees

2.3.1.1 Faculty Executive Committee

Membership

The membership consists of six members of the faculty, including the Chair of the Faculty, such that there is at least one representative from engineering, one from humanities, social sciences, and the arts, one from the mathematical sciences, and one from the natural sciences, and such that no more than two members come from the same department. Members of the Reappointment, Promotion, and Tenure Committee and department chairs are normally ineligible. Any department not represented on the committee may designate one of the elected members to serve as a liaison who can communicate committee issues to the department and department opinions to the committee. The President, the Dean of Faculty, the Dean of Students, and the ASHMC President (or designee) are non-voting, *ex officio* members.

Function

- To set the agenda for all faculty meetings;
- To prepare recommendations on faculty legislation, with minority reports when appropriate;

- To coordinate and stimulate the activities of all faculty standing committees except the Reappointment, Promotion, and Tenure Committee;
- To appoint members of all standing faculty committees or ad hoc committees after consulting with the Dean of Faculty and the department chairs, except where noted elsewhere in this document;
- To review periodically the Faculty Notebook and bring any proposal for revision before the full faculty for action;
- To facilitate communication between the faculty and the Dean of Students and Student Affairs Office;
- To formulate, with the advice of standing and ad hoc committees, faculty positions on such matters as budgetary priorities, fringe benefits, working conditions, and supporting services;
- To prepare legislation for faculty actions on such matters as reappointment, promotion, and tenure criteria;
- To appoint faculty ad hoc committees on long-range planning as the need arises.

The Faculty Executive Committee meets regularly during the academic year. Minutes are circulated within one week of each meeting. The Faculty Executive Committee has discretionary power to act on behalf of the faculty on matters not otherwise delegated to other standing committees. Resolutions approved and reported in the minutes of the Faculty Executive Committee become resolutions of the faculty five working days after distribution of the minutes to the faculty, unless by that time five voting members of the faculty have requested that the Chair of the Faculty put the resolution to a vote of the faculty.

2.3.1.2 Reappointment, Promotion, and Tenure Committee

Membership

The membership consists of five tenured full professors, one from engineering, one from humanities, social sciences, and the arts, and three from the mathematical and natural sciences, with no more than one from any department. The Chair of the Faculty and department chairs are normally ineligible. The Dean of Faculty and the Chair of the Faculty are non-voting, ex officio members.

Function

- To advise the President on all matters of reappointment, promotion, and tenure for faculty members in the academic departments.

The Reappointment, Promotion, and Tenure Committee maintains a current set of recommended practices that are distributed annually to all new department chairs and all new faculty members; these guidelines are publicly available on the college website.

2.3.2 Election Procedures

Elections for the Chair of the Faculty, the Reappointment, Promotion, and Tenure Committee, and the Faculty Executive Committee are held during the spring semester for

the following academic year. Normally, all eligible tenure-track faculty members are expected to stand for elections. Prior to any elections being held, however, the Chair of the Faculty sends an e-mail to all eligible faculty members asking them whether they wish to withdraw their names from consideration in particular elections. The Chair of the Faculty must receive requests for withdrawal within one week of the initial inquiry. Faculty members are ineligible for election to any position if they are on leave for either semester of the following year or, in the case of the Chair of the Faculty, in any semester of the following two years. Ex officio members of the faculty are ineligible for election.

To minimize the occurrence of a series of runoffs, the Faculty Executive Committee uses an automatic runoff procedure for all elections. The procedure allows for the Chair of the Faculty to be elected first, followed by members of the Reappointment, Promotion, and Tenure Committee, and then by members of the Faculty Executive Committee. Elections are conducted by members of the Faculty Executive Committee. No election shall be conducted by a single person. Ballots are distributed by campus mail and the voting period is four days. All ballots should be returned by mail or in person to a single place. Faculty members on sabbatical during the elections are eligible to vote if they receive ballots by campus mail.

Elections for the Chair of the Faculty and at-large positions on the Faculty Executive Committee utilize multiple ballots. The first is an approval ballot on which all eligible candidates who have not withdrawn their names are listed. Voters indicate, without ranking, which candidates they find acceptable. The five eligible candidates (or more, if there is a tie) who receive the most votes are listed on a second ballot, which is subject to an automatic runoff procedure (see Appendix 1: Automatic Runoff Procedure for Faculty Elections).

In Faculty Executive Committee elections, any necessary constituency elections must precede at-large elections (see section 2.3.1.1 for the required constituencies on the Faculty Executive Committee). In the event that a third faculty member from a single department is elected, the faculty member from that department who has served the longest on the Faculty Executive Committee is replaced by the newly elected member. If the terms of the already serving members are equal, the elections subcommittee of the Faculty Executive Committee randomly selects which member from the same department will be replaced.

The Faculty Executive Committee is authorized to interpret these regulations and to modify the election procedures if any unforeseen problems arise.

2.3.3 Appointed Committees

2.3.3.1 Academic Affairs Committee

Membership

The membership consists of representatives from each academic department and the Core Curriculum Director. The committee is chaired by the Associate Dean for Academic Affairs. The Dean of Students (or designee) serves as an ex officio member.

Appointments are made by the Associate Dean for Academic Affairs in consultation with the Faculty Executive Committee and department chairs. The term of appointment can be for a semester or a year.

Function

- To coordinate the scheduling of exams and homework for courses in the common core;
- To report on the academic performance of students in core and other courses;
- To choose the winner of the Joe and Jean Platt Freshman Prize;
- To track the academic advisories of all students;
- To monitor the Horizontally Integrated Core Curriculum and provide to the Curriculum Committee a summary of the list of integrative skills and contexts addressed in core courses.

2.3.3.2 Assessment Committee

Membership

The membership consists of three faculty members such that there is one representative from engineering, one from humanities, social sciences, and the arts, and one from the mathematical or natural sciences. The Assistant Vice President for Institutional Research, the Dean of Faculty (or designee), and the Dean of Students (or designee) serve as ex officio members.

Function

- To coordinate the assessment of institutional goals and outcomes;
- To assist the faculty and the college generally in developing and implementing assessment practices;
- To disseminate the results of assessments to key college constituent groups;
- To participate in accreditation reviews of the institution;
- To assess its own efforts;
- To coordinate its efforts with the activities of those of the Office of Institutional Research.

2.3.3.3 Budget Committee

Membership

The membership consists of four members of the faculty, including the Chair of the Faculty and one department chair. The President, the Dean of Faculty, and the Treasurer serve as ex officio members.

Function

- To advise the President and the Treasurer about faculty budgetary concerns;
- To assist the President and the Treasurer in establishing budgetary assumptions;
- To communicate with and report to the faculty on the budget and budgetary matters, including compliance with the goals set by the college for faculty compensation.

2.3.3.4 Computing Committee

Membership

The membership consists of three faculty members from different departments. The Chief Information Officer and Vice President for Computing and Information Services and a student representative appointed by ASHMC serve as ex officio members.

Function

- To represent faculty and student computing interests;
- To advise the Chief Information Officer on computing policies and on long-range planning for information technology;
- To advise the faculty and college leadership about information technology needs, policies, and long-range planning.

2.3.3.5 Curriculum Committee

Membership

The membership consists of four faculty members such that there is one representative from engineering, one from humanities, social sciences, and the arts, one from the mathematical sciences, and one from the natural sciences. The Core Curriculum Director and the Registrar serve as non-voting, ex officio members.

Function

- To approve substantial changes in catalogue course descriptions;
- To approve changes in course numbers;
- To review proposed changes in graduation requirements prior to discussion by the full faculty;
- To approve substantial variances from standard course scheduling;
- To approve additions of all new courses or programs;
- To approve deletions of any required courses;
- To approve integrative experience designations for new courses or existing courses undergoing substantial changes;
- To consider petitions for student-designed and student-led integrative experience projects;
- To review the catalogue and ensure that listed courses are offered on a regular basis;
- To work with the Registrar to ensure that the curricular portions of the catalogue are accurate and informative;
- To consider and make recommendations to the faculty for improvements in the curriculum.

Courses that fit under the category of special topics or directed reading need not be approved by the Curriculum Committee unless they are converted into regular offerings. Normally any changes in the graduation requirements for all students are brought to the full faculty for final approval. The Chair of the Curriculum Committee circulates an e-mail at the beginning of each semester requesting proposals for new and substantially revised courses.

2.3.3.6 Research Committee

Membership

The membership consists of three faculty members such that there is one representative from engineering, one from humanities, social sciences, and the arts, and one from the mathematical or natural sciences. A representative from College Advancement, appointed by the Vice President for Advancement, and the Dean of Faculty (or designee) serve as ex officio members. When a Dean of Faculty designee is a faculty member, the faculty membership should consist of one representative from engineering, one from humanities, social sciences, and the arts, one from the mathematical sciences, and one from the natural sciences.

Function

- To advise the faculty, the administration, and the Board of Trustees on matters of faculty research;
- To promote research among the faculty;
- To solicit and evaluate proposals for internal faculty research support and to advise the Dean of Faculty of the committee's recommendations.

2.3.3.7 Scholarly Standing Committee

Membership

The membership consists of four faculty members appointed such that there is one representative from engineering, one from humanities, social sciences, and the arts, one from the mathematical sciences, and one from the natural sciences. The Dean of Students, the Associate Dean for Academic Affairs, the Associate Dean for Institutional Diversity, and the Registrar are non-voting, ex officio members. In cases of a tie vote, the Associate Dean for Academic Affairs may vote to break the tie.

Function

- To interpret and propose academic regulations;
- To evaluate the academic record of each student;
- To consider requests for waiver of existing regulations;
- To serve as an appeals board for students with academic grievances;
- To approve student petitions to return to the college from periods of enforced absence;
- To work with the Registrar to ensure that academic regulations described in the catalogue are accurate and clearly stated;
- To approve any Independent Program of Study requests submitted by students with senior standing.

2.3.3.8 Study Abroad Committee

Membership

The membership consists of three faculty members such that there is one representative from engineering, one from humanities, social sciences, and the arts, and one from the

mathematical or natural sciences. The Director of Study Abroad, a representative from Student Accounts, and a representative from Financial Aid serve as ex officio members.

Function

- To work with the Director of Study Abroad to approve study-abroad programs;
- To prepare information on approved programs;
- To publicize and promote the opportunities for students to study abroad;
- To advise students planning to study abroad;
- To determine the application procedures and select the students for the approved study abroad programs;
- To provide an orientation program for students before they go abroad;
- To maintain a support system for students studying abroad;
- To monitor the quality and appropriateness of the college-approved study-abroad programs, including gathering information from students who have returned from such programs;
- To coordinate committee activities with departmental study-abroad advisers.

2.3.3.9 Teaching and Learning Committee

Membership

The voting membership consists of four faculty members such that there is one representative from engineering, one from humanities, social sciences, and the arts, one from the mathematical sciences, and one from the natural sciences.

Function

- To advise the faculty, administration, and the Board of Trustees on matters related to maintaining and improving teaching effectiveness;
- To promote efforts to improve teaching, teaching facilities, and the atmosphere for learning throughout the college;
- To recommend programs and procedures regarding the evaluation and improvement of teaching and learning.
- On issues where collaboration is warranted, to coordinate its work with other relevant committees (such as the Assessment Committee), offices (such as the Office of the Dean of Faculty), personnel (such as the Director of Learning Programs, the Assistant Vice President for Institutional Research, and educational technology representatives from Computing and Information Services), or student organizations.

2.4 OTHER COMMITTEES

Beyond standing and ad hoc committees, several other committees demand the regular participation of faculty members.

2.4.1 Department Chairs Committee

Membership

The membership consists of the chair of each academic department, the Core Curriculum Director, and the Dean of Faculty. Chairs of the academic departments are appointed for renewable term appointments (normally for five years) by the President upon the recommendation of the Dean of Faculty after consultation with the members of the department.

Function

- To advise the Dean of Faculty on administrative questions dealing with the Harvey Mudd College academic program (areas of concern include academic budgets, capital equipment needs, staffing, academic support personnel, space requirements, maintenance of academic facilities, major programmatic changes);
- To serve as an advisory group for major new proposals and for long-range planning of the academic programs of the college;
- To serve as an admissions committee by meeting regularly with and advising the admissions staff.

2.4.2 Institutional Review Board

Membership

The Claremont Graduate University's Office of Sponsored Research and Programs convenes and coordinates an Institutional Review Board in which Harvey Mudd College participates. Consistent with federal regulations, the board is composed of nine members. Committee membership includes at least one person who is not affiliated with the Claremont Graduate University or Harvey Mudd College and who is not part of the immediate family of a person who is affiliated with these institutions. The board reviews applications completed by members of the two sponsoring institutions. Although the Faculty Executive Committee recommends Harvey Mudd College faculty members for the board, the Claremont Graduate University Provost formally appoints all members of the board.

Function

The Institutional Review Board protects the rights and welfare of humans recruited to participate in research activities conducted under the auspices of the Claremont Graduate University and Harvey Mudd College. The board has the authority to approve, require modifications in, or disapprove all research involving human subjects conducted at these institutions, as well as research conducted elsewhere by the faculty, staff, and students of these institutions. Board approval must be obtained prior to any work with human subjects.

2.4.3 Intercollegiate Faculty Council

The Intercollegiate Faculty Council is composed of the Faculty Executive Committee chairs or comparable faculty representatives from each of The Claremont Colleges. The function of the Intercollegiate Faculty Council is:

- To facilitate communication on relevant issues among the faculties of the colleges;
- To improve faculty coordination of and provide faculty input on central programs and services, shared academic resources, and shared facilities;
- To facilitate communication among the faculties and administrations of the colleges, including the Claremont University Consortium;
- To determine agenda items for council meetings;
- To report to the faculties of the colleges through the minutes of Faculty Executive or Administrative Committees and/or through faculty meeting reports.

At the beginning of every fall semester, the Intercollegiate Faculty Council will meet to elect a chair and set its preliminary agenda. That meeting will be called by a convener named at the end of the previous spring semester.

2.4.4 Advisory Board for Library Planning

The Advisory Board for Library Planning enables the communication of faculty and student counsel to the Claremont Colleges Library. The functions of the Advisory Board for Library Planning are to:

- Advise the library about faculty and student needs in library holdings, resources, services, and facilities;
- Work to strengthen the relationships between faculty members and librarians and to encourage innovative curricular and research uses of the library;
- Participate in long-range library planning;
- Consult with the library about budget, expenditures, and acquisitions;
- Make recommendations regarding the holdings of the library and ensure that these recommendations are conveyed to the subject-area specialists;
- Consult with the library about assessment programs;
- Facilitate communication and cooperation between the library and the faculty members;
- Report on a regular basis to the faculties of each of The Claremont Colleges, either through circulated minutes, reports to faculty executive or administrative committees, or reports at faculty meetings.
- Consult with student governments at The Claremont Colleges about library planning;
- Advise the Academic Deans Council regarding library concerns.

Membership will consist of one faculty member from each institution, two librarians, one undergraduate student, and one graduate student from each graduate institution. Faculty members on the board are appointed by the Faculty Executive or Administrative

Committees from each of The Claremont Colleges. Student and librarian members of the board are appointed by the faculty chair of the board in consultation with the home institution. Terms are for two years. Ex officio members will include an academic dean (designated by the Academic Deans Council) and a library director. To the extent possible, the Faculty Executive and Administrative Committees should ensure that faculty terms are staggered so that continuity on the board is maintained, and they should also attempt to broadly represent disciplinary areas (i.e., art, humanities, science, and social science).

2.5 OFFICE OF ACADEMIC AFFAIRS

The Office of Academic Affairs, established by faculty vote, oversees student progress through the curriculum, academic advising, and the structure and academic function of the core curriculum. Two faculty members divide the duties of the office, one serving as the Associate Dean for Academic Affairs, the other as the Core Curriculum Director. Both positions report to the Dean of Faculty. The usual term for both positions is three years. Neither the Associate Dean for Academic Affairs nor the Core Curriculum Director may serve concurrently as a department chair, an associate dean within the Office of the Dean of Faculty, chair of the faculty, or as a member on the Faculty Executive Committee or the Reappointment, Promotion, and Tenure Committee.

The Associate Dean for Academic Affairs:

- Organizes and supervises core advising;
- Serves as the ultimate academic adviser at the college;
- Oversees the regular assessment of academic advising;
- Updates and distributes the Advising Handbook annually;
- Meets regularly and collaborates with the Dean of Students staff;
- Advises students on and approves underloads and overloads;
- Chairs the Academic Affairs Committee;
- Serves on the Scholarly Standing Committee;
- Attends meetings of the Student Affairs Committee of the Board of Trustees;
- Works with the Registrar and the Dean of Students in support of the first-year orientation program;
- With input from the Core Curriculum Director, supervises the Office of Academic Affairs administrative assistant;
- Administers the Office of Academic Affairs budget, including the Leonard Fund;
- Collaborates with the Director of Learning Programs;
- Collaborates with the Office of Admissions as needed;
- Administers the Platt Prize and presents the prize at the annual Convocation;
- Arranges international fellowships meetings;
- Interacts with parents as needed.

The Core Curriculum Director:

- Represents the core curriculum as a member of the Department Chairs Committee;

- Develops and encourages the Horizontally Integrated Core Curriculum;
- Oversees the first-year writing course, including training sessions for faculty members;
- Oversees the regular assessment of the core curriculum;
- In collaboration with the Academic Affairs Committee, coordinates homework and examination schedules for core courses;
- Works with the Registrar and the Department Chairs Committee to address scheduling conflicts, including those arising through elective cross registration;
- Works with the Registrar, academic departments, and the other Claremont Colleges to improve access to electives for first-year students;
- Serves on the Academic Affairs Committee;
- Serves on the Curriculum Committee as a non-voting, ex officio member;
- Attends meetings of the Educational Planning Committee of the Board of Trustees.

Appointments to these positions are made by the Dean of Faculty following an application and nomination process. The Dean of Faculty first announces the opening to the faculty. Faculty members have two weeks to apply or nominate others. After confirming that nominated faculty members will serve if appointed, the Dean of Faculty sends the list of candidates to the faculty and allows five working days for comment (submitted confidentially to the Dean of Faculty). The Dean of Faculty discusses the candidates with the Faculty Executive Committee and the Department Chairs Committee. The Dean of Faculty establishes an appropriate interview team. After conducting interviews, the Dean of Faculty again consults with the Faculty Executive Committee and the Department Chairs Committee. The Dean of Faculty shares any comments with the interview team, which then formulates an unordered list of finalists. The Dean of Faculty does not vote in assembling the list. The Dean of Faculty appoints the new Associate Dean for Academic Affairs or Core Curriculum Director from this list.

2.6 OFFICE OF THE DEAN OF FACULTY

The Office of the Dean of Faculty oversees the academic programs of the college, budgeting and fund allocation for those programs, faculty hiring, assessment and reaccreditation, and institutional research. It collaborates with the faculty and the administration on long-range planning for academic programs.

2.6.1 Role of the Dean of Faculty

The Dean of Faculty typically has a joint appointment as Vice President for Academic Affairs; in this respect, the dean regularly represents the faculty to the administration, and the administration to the faculty. The dean serves as a member of the President's Cabinet and staffs the Educational Planning Committee of the Board of Trustees. The dean chairs the Department Chairs Committee and participates ex officio on various faculty standing committees, including the Faculty Executive Committee and the Reappointment, Promotion, and Tenure Committee. As a member of the Academic Deans Council of The

Claremont Colleges, the dean represents the college's academic programs and needs within the consortium.

The dean works with the Department Chairs Committee to formulate annual staffing plans, to hire new faculty members, to review faculty activities, and to set salaries. In consultation with the Reappointment, Promotion, and Tenure Committee, the dean oversees the reappointment, promotion, and tenure process. The dean administers the academic budget of the college.

2.6.2 Associate Deanships within the Office of the Dean of Faculty

The Dean of Faculty may appoint Associate Deans to be responsible for particular issues or tasks. The dean develops positions of this type to address needs or challenges faced by the college, and does so in consultation with the President, department chairs, and the Faculty Executive Committee. The process by which individuals are selected for these positions should include input from the faculty and should be designed to encourage faculty members to explore the possibility of serving as an associate dean. Portfolios for such positions vary depending on the specific issues or tasks to be addressed. The dean should review the continuing need for these positions periodically. In the past, associate deanships have dealt with such issues as diversity, research, experiential learning, and faculty development.

Faculty Member Employment

Section 3. Employment and Compensation

(Section Revised May 2010)

3.1 CONTRACT AND SALARY

Annual contracts for full-time faculty members start on July 1 and end on June 30. The academic-year salary is paid in twelve equal installments issued on or before the 26th day of each month. Faculty members are expected to be in residence at the college from the start of first-year orientation in the fall through commencement in the spring. Residency at the college during the summer months is not required of faculty members. Any expectation of committee work outside of the academic year should be made clear to the committee members at the time of appointment, though certain positions and committees do include summer obligations. Part-time faculty members are employed, and salary is paid, for specific periods in accordance with individual terms of employment.

The college's maximum monthly rate of pay for work done in the summer (including grant programs) is one-ninth of the academic year salary. Faculty members may receive up to three months of summer salary funded by outside agencies; however, note that some government funding agencies will only pay for two months of summer salary.

3.2 BENEFITS: GENERAL INFORMATION

The Claremont Colleges offer a variety of health and welfare benefits to eligible faculty members and their families. In addition, eligible faculty members may participate in a number of other benefits that are offered through the college.

Unless otherwise stated, faculty members who have an academic year appointment of at least half-time are eligible to enroll in benefits.

The following summary of benefits offers general information and is not an official plan document. Benefits are subject to change. For the most current and detailed description of a specific plan and premiums, please contact the college's Human Resources Office (HMC-HR) or The Claremont Colleges' Benefits Administration Office. Information is also available on the HMC-HR website at:

<http://www.hmc.edu/hrbenefits>.

New faculty members must enroll in most benefit programs during the first thirty days of employment in order to have coverage. During the annual Benefits Open Enrollment, which is held in the fall, changes in coverage are permitted. Such changes include adding or dropping dependents and/or changing plans. Adding or dropping dependents at any

other time of the year is only permitted if a “qualifying event” occurs. Please refer to the Benefits Plan Booklet on the HMC-HR website for a list of qualifying events.

3.3 THE CLAREMONT COLLEGES HEALTH AND WELFARE BENEFITS

3.3.1 Medical Insurance Plans

Eligible faculty members may choose from several medical insurance plans. Coverage is available to spouses, domestic partners, and qualifying dependents. The college and the faculty member share in the cost of premiums.

3.3.2 Dental Insurance Plans

Eligible faculty members may choose from several options for dental insurance. Coverage is available to spouses, domestic partners, and qualifying dependents. The college and the faculty member share in the cost of premiums.

3.3.3 Vision Insurance Plan

Two levels of vision coverage are available to benefits-eligible faculty members, spouses, domestic partners, and qualifying dependents. The Core plan (paid for by the college) provides an annual eye exam through the VSP network and discounts on eye wear. The voluntary Buy-Up plan provides the Core-plan benefits as well as additional eye-wear coverage.

3.3.4 Sabbatical Medical Coverage

Faculty members on sabbatical leave outside of the service area may be allowed to drop their current medical plan in order to obtain other coverage. The faculty member should consult with HMC-HR prior to the beginning of the sabbatical to discuss options and determine if out-of-state coverage is available through a college provider. However, should the faculty member need to purchase other coverage through another organization, such coverage will be subsidized with an additional, taxable contribution up to the college’s usual share of the premium for the faculty member’s current health plan. The faculty member is responsible for transferring and reestablishing coverage with The Claremont Colleges upon completion of the sabbatical leave.

3.3.5 Medical Coverage: Sixty-Five Years of Age or Older

Most medical insurance providers offer plans to individuals sixty-five years or older who are eligible for and enrolled in both Parts A and B of Medicare. Questions and information regarding the coordination of benefits should be directed to The Claremont Colleges’ Benefits Administration Office.

If a faculty member leaves the college's group medical plan because of retirement and the faculty member's spouse/domestic partner is not yet eligible for Medicare, the spouse/domestic partner may elect to continue health insurance benefits through the college's group medical plan under COBRA (about which, see section 3.3.19).

3.3.6 Flexible Spending Accounts

A Flexible Spending Account (FSA) allows faculty members to save money by reducing taxable income to cover qualifying medical/dental, dependent/child care expenses or personally paid health insurance premiums. Contributions that are allocated to an FSA are not subject to federal or state income taxes, or to social security tax. Funds in an FSA must be spent within the calendar year; unspent funds are forfeited. A faculty member may use money in these accounts to pay for eligible expenses with tax-free dollars in accordance with Internal Revenue Code.

3.3.7 Life Insurance Plan

Benefits-eligible faculty members are provided with basic term life insurance for which Harvey Mudd College pays the premium. The benefit is one times the annual base salary (rounded to the next thousand), with a minimum of \$20,000 to a maximum of \$50,000. Faculty members may purchase additional individual life insurance for themselves or for a spouse, domestic partner or qualifying dependent.

New faculty members who enroll in the supplemental life insurance plan within thirty days of employment are eligible to purchase up to two times their annual base salary without proof of insurability. Faculty members wishing to purchase supplemental life insurance above two times their annual base salary must complete an evidence of insurability form and be approved by the insurance company.

3.3.8 Accidental Death and Dismemberment Insurance

Personal accident insurance is available for faculty members and their spouses, domestic partners, and qualifying dependents. The faculty member pays 100 percent of the premium.

3.3.9 Long-Term Care Insurance

Long-term care insurance is available to faculty members and their families to offset incurred expenses in the event that the insured individual needs long-term care services. Coverage can be purchased for relatives subject to evidence of insurability requirements. Long-term care insurance covers stays in a nursing home or residential care facilities, as well as a host of other services including home health care, adult day care, hospice care, and homemaker services.

The premium is paid 100 percent by the individual, and the faculty member does not have to be enrolled in order for a family member to enroll, providing the faculty member is eligible to enroll.

3.3.10 Employee Assistance Program

The Employee Assistance Program (EAP) offers free and confidential counseling and referral services such as legal consultations, psychological counseling, and financial counseling. EAP benefits are provided at no cost to faculty members and their families.

3.3.11 Social Security and Medicare Taxes

Harvey Mudd College pays a matching contribution to each employee's Social Security and Medicare accounts. The faculty member's portion is withheld from each paycheck as required by law.

3.3.12 Travel Accident Insurance

The college pays the premium for travel accident insurance for faculty members who travel on college business.

3.3.13 Academic Retirement Plan

Regular and visiting faculty members with the rank of professor, associate, and assistant professor are immediately eligible for participation in the college's 403(b) Academic Retirement Plan (ARP). Instructors are eligible after one year of continuous service in which 1,000 hours of service is provided, and adjunct professors and lecturers are eligible after two consecutive years of service in which 1,000 hours of service is provided.

The college contributes 12 percent of base salary and vesting is immediate. Faculty members should enroll in the ARP immediately upon eligibility to ensure that contributions are invested in fund accounts of their choosing; otherwise enrollment is defaulted to a lifecycle fund. A faculty member who leaves the college may transfer or withdraw annuities purchased both by the employee and the college, subject to plan rules and legal requirements.

3.3.14 Tax Deferred Annuity Plan

The Tax Deferred Annuity Plan is a defined contribution retirement plan that allows eligible faculty members to make voluntary contributions on a pre-tax basis to 403(b) accounts. Participants may enroll at any time and select their own investment allocation offered by several investment companies.

3.3.15 Disability and Family Care Leave Benefits

Please consult with HMC-HR in the event a leave of absence is needed due to a personal medical condition or the need to care for a family member. Depending on the type of leave, a faculty member may be eligible for leave benefits, some of which are described below.

A faculty member's disability or family care leave may also be designated as leave under state (California Family Rights Act) and federal family and medical leave (Family and Medical Leave Act) laws. These laws provide up to twelve workweeks of family/medical leave within a twelve-month period, so long as the faculty member has:

- More than twelve months of service; and
- Worked at least 1,250 hours during the previous twelve-month period before the need for leave.

State and federal law provides for benefit continuation and reinstatement rights for eligible faculty members.

Under most circumstances, leave under federal and state law runs concurrently. While the law entitles a faculty member to unpaid family/medical leave, it does not prohibit an employer for having policies that provide compensation during such a leave.

3.3.15.1 Voluntary Short-Term Disability Insurance

The Voluntary Short Term Disability Insurance Program (VDI) is designed to provide partial compensation for wages lost if a faculty member becomes disabled by any non-work related physical or mental illness or injury and is unable to work. Faculty members contribute to the VDI plan.

VDI benefits begin with whichever of the following events occurs first, providing medical certification has been submitted:

- The sixth day of disability, or
- The first full day of hospitalization, or
- The first day of treatment in a hospital surgical unit (out-patient) requiring a stay of less than twenty-four hours and an absence related to the disability of at least six days.

3.3.15.2 Long-Term Disability Insurance

The Long-Term Disability Plan (LTD) provides eligible faculty members with financial protection by providing income replacement if a faculty member is unable to perform regular responsibilities due to a physical or mental impairment, which is supported by medical certification and satisfies policy requirements. Benefits begin on the first of the month following six consecutive months of total disability.

3.3.15.3 Paid Family Leave

Paid Family Leave (PFL) is a component of Voluntary Short Term Disability Insurance (see section 3.3.15.1). This program provides partial payment for up to six weeks during a twelve-month period for qualifying employees to bond with a newborn child, adopted or foster child, stepchild, legal ward, a child of a registered domestic partner, or a child of a person standing in loco parentis (guardian) who is under age eighteen or over age eighteen and disabled; to provide care for an ill child, spouse, or registered domestic partner; or to provide care for a biological, foster, or adoptive parent, a step parent, a legal guardian, or other person who stood in loco parentis or served as a guardian when the employee was a child. PFL benefits do not include provisions for parents-in-laws.

A faculty member is not eligible for PFL if another family member is ready, willing, able, and available to provide care to the ill or injured family member.

For the college's Faculty Parental Leave Policy, see section 3.8.3.

3.3.15.4 Pregnancy Disability Leave

Full-time or part-time women faculty members may be eligible for a Pregnancy Disability Leave (PDL) which provides a maximum of four months of leave for disabilities due to pregnancy. PDL may not run concurrently with leave for the birth or placement of a child in foster care under state law, but it may run concurrently with family/medical leave under federal law. (See also section 3.8.3.)

3.3.15.5 Faculty Medical Leave of Absence

This program is available to all full-time faculty members with a minimum of one year of service at the college.

When it is necessary for a faculty member to cease provision of services to the college due to a period of disability that is certified by a medical provider, the faculty member must apply for short-term disability benefits. The college will continue monthly salary payments for the first six months of certified disability, reduced by the amount of the VDI benefit to equal the faculty member's base monthly pay at the time of disability.

Should the disability continue for six months and it is determined that the faculty member is not able to return to work in the near future, the faculty member may be eligible for Long-Term Disability benefits. The application for LTD benefits is initiated and coordinated by The Claremont Colleges Benefits Administration Office and is typically started prior to the sixth month of disability.

If the faculty member's disability continues beyond six months, and only if application for benefits was made in a timely manner and the LTD carrier does not immediately accept the claim, the college will continue to coordinate monthly salary with monthly VDI benefits to equal 66⅔ percent of the faculty member's monthly base pay at the time of disability, to a maximum combined benefit of \$10,000 per month, for up to an

additional six months. If the carrier accepts the claim during the second six months of disability, the college will cease payment of any salary.

At the end of one-year of disability, the faculty member's employment and any salary payments may be terminated. Under certain conditions, however, the faculty member may be granted an additional one-year leave of absence without pay. The Dean of Faculty and the relevant department chair shall jointly make this determination on a case-by-case basis.

3.3.16 Military Leave

The college is committed to protecting the job rights of faculty members absent on military leave. In accordance with federal and state law, it is college policy that no faculty or staff member will be subjected to any form of discrimination on the basis of that individual's membership in or obligation to perform service for any of the Uniformed Services of the United States. Specifically, no person will be denied employment, reemployment, promotion or other benefit of employment on the basis of such membership. Furthermore, no faculty or staff member will be subjected to retaliation or adverse employment action because the employee has exercised his or her rights under this policy. Detailed information about a faculty member's rights regarding military leave under state and federal law is available from HMC-HR.

3.3.17 Workers' Compensation Insurance

A faculty member who experiences a work-related injury or illness may be eligible for Workers' Compensation benefits in accordance with state law. Insurance premiums are paid by the college. Work-related injuries or illnesses should be reported immediately to the relevant department chair and/or the Dean of Faculty, who is required to submit a *Supervisor and Employee Report of Accident*. Workers' Compensation claims and benefits are administered by the Disability Administrator in the Benefits Administration Office. Benefits provided to injured faculty members may include medical care, a percentage of salary to replace lost wages if the faculty member is temporarily disabled, permanent disability benefits, death benefits, and certain other benefits.

3.3.18 Unemployment Insurance

Unemployment compensation insurance provides benefits for faculty members who may become unemployed through no fault of their own and who meet the eligibility requirements as provided by the Unemployment Insurance Code of the State of California. The college pays the entire cost of this program.

3.3.19 COBRA Benefits

COBRA (Consolidated Omnibus Budget Reconciliation Act) benefits give faculty members and families who lose their health benefits the right to continue group health

benefits provided by their employer for limited periods of time under certain circumstances such as voluntary or involuntary job loss, reduction in the hours worked, transition between jobs, death, divorce, and other life events. Qualified individuals may be required to pay the entire premium for coverage up to 102 percent of the cost of the plan.

3.4 HARVEY MUDD COLLEGE BENEFITS

3.4.1 Scholarship Plan for Dependent Children

The college offers scholarships to eligible children of Harvey Mudd faculty members and staff working at least half-time who have been at the college for the equivalent of three full-time years. Scholarships may be granted to children pursuing full-time undergraduate courses as candidates for degrees at accredited college-level institutions. The maximum award is one-half of the tuition and fees (excluding the cost of books and supplies and room and board charges) required of undergraduate students at the institution attended. However, no scholarship may exceed one-half of the current tuition and uniform fees applicable to students at Harvey Mudd College. The award for part-time faculty members and staff is pro-rated on the basis of their appointment. A complete statement of the scholarship policy and application process is available from HMC-HR or the HMC-HR website.

3.4.2 Emeriti Retirement Health Solutions

Emeriti Retirement Health Solutions is a consortium of higher-education institutions and related nonprofit organizations that have partnered with Fidelity Investments, Aetna Life Insurance Company, and Acclaris to provide a program of health-care benefits in retirement for faculty and staff of member institutions, such as Harvey Mudd College. The college provides a monthly contribution to a faculty member's account at Fidelity Investments. The contribution, earnings on accumulations, and the payout for qualified medical expenses in retirement are tax-free.

Faculty members may make voluntary, after-tax contributions to their account at Fidelity as well. Investment earnings on accumulations of individual contributions and the payout for qualified medical expense in retirement are also tax free.

3.4.3 Back-Up Care Advantage Program

Harvey Mudd College has partnered with Bright Horizons to offer faculty members back-up care when they need to be at work and regular child or adult/elder care is unavailable, for example:

- The regular caregiver or spouse is unavailable;
- A child's regular center or school is closed;
- A loved one is mildly ill or recovering from surgery;
- There are gaps between full-time care giving arrangements.

Faculty members have access to the following: center-based child care, in-home child care, in-home mildly ill child care, and in-home adult/eldercare.

3.4.4 Rideshare Program

Harvey Mudd College provides a variety of incentives to faculty members who do not drive alone to campus or who travel to the college by alternative modes of transportation (for instance, by bicycle).

3.4.5 Housing Assistance Program

The Housing Assistance Program was established to attract and retain highly qualified faculty members by providing assistance in the purchase of a home and by making homeownership more affordable. Eligibility is not a guarantee of receiving assistance under the program. Assistance will be provided at the discretion of the Dean of Faculty. Information about eligibility requirements, terms, and conditions is available from the Office of the Dean of Faculty and the Business Affairs Office. The program is managed by the Business Affairs Office.

3.5 BENEFITS OFFERED BY THE OFFICE OF THE DEAN OF FACULTY

3.5.1 Partial Support for Personal Computer

The college has a one-time benefit of reimbursing 50 percent of the cost of personal computer equipment for tenure-track faculty members up to a total of \$2,000 for faculty members hired after July 1, 1990. (The total is \$3,500 for those hired earlier.) Details are available from the Dean of Faculty. This is a taxable benefit and is reimbursed via payroll.

3.5.2 Meal Privileges at the Hoch-Shanahan Dining Hall

The college encourages faculty members to meet with students outside of class. The Office of the Dean of Faculty provides funding for each faculty member to eat lunch with other faculty members, staff, or students twice a week at the Hoch-Shanahan Dining Commons. In addition, there are special events each year when faculty members and their families are invited to college-funded events such as student picnics, dinners, or parties.

3.6 OTHER BENEFITS

3.6.1 AT&T Discount

The Claremont University Consortium established a qualified agreement between AT&T and The Claremont Colleges for a savings and discount program. The program offers faculty and staff a 15 percent reduction in the cost of a monthly plan and savings on eligible devices and accessories. There is a one-time enrollment fee and a two-year agreement on a qualified plan is required. Faculty members may enroll through the website that has been established for The Claremont Colleges at:

<http://www.att.com/wireless/claremontcolleges>

Or visit any AT&T location (the faculty member's college identification card and a flyer available from HMC-HR must be presented).

3.6.2 Claremont Club Discount

Faculty members receive a discount membership at the Claremont Club, located at 1777 Monte Vista Avenue in Claremont. Members have access to tennis courts, swimming pools, personal training, fitness classes, and many other services. Information is available on the HMC-HR website.

3.6.3 Campus Fitness Facilities

Faculty members and their dependents have access to the college's Linde Activity Center at no cost. Registration information is available from HMC-HR.

Faculty members also have access to swimming and fitness facilities at Scripps and Claremont McKenna Colleges. Information about access, hours of operation, charges, and facilities is available from each college.

3.6.4 Credit Union

The Claremont Colleges offer faculty members and staff access to two credit unions: First City Credit Union and Chaffey Federal Credit Union. Information about each one is available from HMC-HR and on the HMC-HR website.

3.6.5 Discount Entertainment/Recreation Tickets

The Claremont Card Center of the Claremont University Consortium sells discount tickets for movies, theme parks, and various recreational activities. To purchase or order tickets, contact the Card Center directly at extension 72273. A list of attractions and pricing information is available on the HMC-HR website.

3.6.6 Huntley Bookstore Discount

Faculty members are eligible for a discount on most merchandise from the Huntley Bookstore. A college identification card must be presented at the time of purchase to obtain the discount.

3.6.7 Library Privileges

Faculty members may activate their borrowing privileges at the Claremont Colleges Library, located at 800 Dartmouth Avenue, by presenting their college identification card at the circulation desk. In addition to its own collections, the library has reciprocal faculty borrowing agreements with numerous California colleges and universities. For information on these agreements and on the institutions involved, see:

<http://voxlbris.claremont.edu/servicesandpolicies/borrowing/visitors-borrowing.asp#reciprocal>

<http://voxlbris.claremont.edu/servicesandpolicies/borrowing/reciprocalinstitutions.asp>

3.6.8 Parking

Parking permits are available from Campus Safety. A driver's license and vehicle registration must be presented in order to obtain a permit. There is no fee for parking at this time.

3.7 SABBATICALS

3.7.1 Sabbatical Leave Eligibility

In order to increase the value of their further service to the college and to enhance their professional development, all tenured full-time faculty members are expected to take sabbatical leave on completion of each six years of full-time service or equivalent with Harvey Mudd College. Sabbatical leaves are normally for a complete academic year. In exceptional cases the President may also grant sabbatical leave to tenured faculty for one semester at the end of three years of full-time service or equivalent. Tenured faculty members with at least half-time appointments may also take sabbatical leaves after every six years of service to the college.

An untenured faculty member in the tenure track is eligible to apply for a one-semester sabbatical leave after three years of full-time service or equivalent with Harvey Mudd College at the rank of assistant professor or above. Normally, this leave would be taken during the fourth year. An untenured faculty member who has been reappointed is expected to return to the college for at least one semester following the leave. The next sabbatical leave for which the faculty member may be eligible would be one semester in the seventh year. A faculty member who is denied reappointment may not take a

sabbatical in any semester following the negative decision, but may complete a sabbatical leave that is in progress. The criteria for reappointment, promotion or tenure will be the same regardless of whether a faculty member takes a pre-tenure sabbatical leave.

Tenured faculty members taking year-long sabbaticals are expected to return to the college for at least one year immediately following leave. Only in exceptional cases will consecutive sabbaticals and other leaves be approved. If a sabbatical leave is postponed at the request of the college, the period of postponement will be subtracted from the next period of required full-time service.

Plans for space requirements, travel expenses, and research support should be made on the assumption that the college contribution to a person on sabbatical is limited to the compensation arrangements outlined directly below. Exceptions may be made in special cases.

Each department schedules sabbatical leaves so that no substitutes are required. Only in exceptional cases will the President authorize the appointment of a substitute to replace a faculty member on sabbatical leave.

3.7.2 Sabbatical Compensation

Sabbatical salary is 80 percent of the base academic year salary for the period during which the leave is taken. Tenured faculty members with at least half-time appointments will receive 80 percent of their contract salary during this leave.

If sabbatical pay is supplemented by pay from an outside source, the college contribution is limited to the extent that it does not cause the total pay received (exclusive of travel) to exceed 150 percent of the professor's regular pay for the sabbatical leave period. The college expects that faculty members on sabbatical leave will normally continue to avail themselves of full participation in the combined health, accident, and life insurance programs offered by The Claremont Colleges. The college will continue its contributions to the Academic Retirement Plan at up to 80 percent of its normal contribution.

Faculty members proceeding on sabbatical leave or on a leave of absence are advised to visit HMC-HR or the Benefits Office well in advance of their departure. Individual arrangements should then be made with regard to continuation of benefits covering retirement plans, group life and health insurance, and other insurance matters.

3.7.3 Proposal for Sabbatical Leave and Post-Sabbatical Reporting

A preliminary plan for the proposed sabbatical leave must be submitted to the faculty member's department chair and the Dean of Faculty for comments and suggestions by December 1 of the year preceding the sabbatical leave.

Upon return from sabbatical, faculty members are required to provide a report of their sabbatical activities. The college keeps a record of these activities. This report normally

includes a statement of the scholarly accomplishments of the year and a report on travel. If the college has participated in the financial support of the year's work, an approximate statement of total costs and sources of support should be part of the report. The report and the proposed program that was filed before the sabbatical was taken will be used to help establish the merit of the sabbatical leave in salary reviews and recommendations for promotion.

3.8 OTHER LEAVES

3.8.1 Leaves Without Pay

The college allows leaves without pay for professors of all ranks as an alternative to college duties if such service appears to enhance the professor's value to the college and the college is not seriously inconvenienced by the professor's absence.

3.8.2 Family Care Leave

Faculty members (at least half-time) who have worked at The Claremont Colleges for at least twelve continuous months, or who have provided at least 1,250 hours of service prior to the leave, may be entitled to unpaid family care leave in connection with the birth or adoption of a child, or the care of a child, spouse, or parent during serious illness. This is in compliance with the California Family Rights Act of 1991. Family care leave may be granted for up to a total of twelve weeks in any twelve-month period.

Faculty members applying for family care leave may be asked to provide a certificate from a health care provider or other official as verification of the need for the leave. Leave to care for a child will not be granted to an employee if it would allow the employee and the child's other parent family-care leave totaling more than twelve weeks in a twelve-month period. Leave to care for a child will not be granted to a faculty member whose spouse is unemployed or already on a family care leave. Other exceptions may apply.

When possible, faculty members should inform their department chairs in advance of the need for a family care leave. HMC-HR will be able to answer questions about the use of family care leave.

3.8.3 Faculty Parental Leave Policy

Parental leave is designed to help support faculty members following the birth, adoption, or placement for foster-care of a child in order to care for said child. Such leaves are limited to one per event. Regular, full-time tenured or tenure-track faculty members of either gender with one year or more of service are eligible. If both parents are employed by the college, leave may be taken by either parent or may be shared.

3.8.3.1 Leave Options

The faculty member may choose one of the following leave options:

1. A full semester leave compensated at 75 percent of the faculty member's semester salary with full benefits. Academic Retirement Plan contributions will be based on the amount of salary actually paid. For birth mothers, Voluntary Short-Term Disability Insurance benefits will be combined with regular salary to total 75 percent of regular gross pay during the disability period.
2. A one-course reduction in teaching load for one semester with full pay.
3. A six-week leave compensated at the faculty member's full salary and benefits. For birth mothers, Voluntary Short-Term Disability Insurance benefits will be combined with regular salary to total gross regular pay during the disability period.
4. At the discretion of the faculty member and with the concurrence of the member's department chair and the Dean of Faculty, an alternative leave arrangement may be negotiated for the mutual convenience of the faculty member and the college, subject to the condition that the proposed arrangement not be more costly to the institution than the greater of options 1 or 2.

In all these options, it is assumed that faculty members will try to make themselves available for advice and assistance to students should the need arise.

In addition, Family Medical Leave, as required by law, is available for up to twelve weeks per year when it is in connection with the birth, adoption, or placement for foster-care of a child. A faculty member eligible for Family Medical Leave (see section 3.3.15.3) might therefore choose to augment the six-week paid leave of option 3, above, with an additional six week unpaid leave to equal the twelve weeks allowed by law. For birth mothers, the twelve weeks of Family Medical Leave may be augmented by Pregnancy Disability Leave for up to four months, when medically necessary and certified by a health care provider.

3.8.3.2 Replacements

In departments in which teaching loads are unbalanced, faculty members should expect to arrange their teaching schedule to exercise option 1 in a semester in which they would have the lighter load. In departments in which such an arrangement is not practical, the faculty member and department chair will work to arrange the course loading in an equitable manner. The college will normally provide replacement for no more than half the normal single semester teaching load when the faculty member chooses option 1 and it will normally provide no replacement for persons exercising options 2 or 3. When a department is faced with multiple leaves under this policy during a single year, the college will give special consideration to supporting replacement personnel.

3.8.3.3 Notification

In order to facilitate planning, the faculty member should notify the department chair and the Dean of Faculty as soon as possible to arrange for the appropriate leave, but not later than four months prior to the expected beginning of the leave.

3.8.3.4 Tenure and Sabbatical Considerations

Before the end of a parental leave, an untenured faculty member may elect to have the tenure clock delayed for up to one year per event, with a maximum of two years.

Any leave, such as that under option 1 above, in which the faculty member does not have teaching or administrative obligations to the college, will not ordinarily count toward time of service for a sabbatical leave. When partial leaves are taken that constitute less than a 50 percent reduction in workload, as under option 2, or option 3 when no subsequent period of unpaid leave is taken, time of service shall count as if there had been no leave. When special arrangements are negotiated, as under option 4, sabbatical credit shall be allocated under the principle that when a 50 percent or greater workload is carried, the faculty member has reason to expect that there will be no delay in the normal sabbatical clock because of the leave, although it is understood that faculty members may be asked to delay taking a sabbatical for other reasons.

3.9 JURY DUTY

Given their teaching commitments during semesters, faculty members generally choose to postpone jury duty to summer or winter break, although doing so is not a requirement of the college. The college puts no limit on the extent of jury service, and salary is unaffected by such service.

3.10 RETIREMENT POLICY AND PROCEDURES

It is the policy of the college to provide for an orderly retirement for eligible faculty. This policy describes alternatives for the timing of retirement, phased retirement and full retirement.

3.10.1 General Information

A retirement is normally effective at the close of the college's fiscal year, June 30. Current federal Social Security policies are described at:

<http://www.ssa.gov>

3.10.2 Phased Retirement

Partial retirement may be requested by members of the tenured faculty any time after the 55th birthday in accordance with the plan described below. The college must maintain a

full complement of teaching faculty members and an election by a faculty member of phased retirement is normally irreversible since a tenure-track replacement would occur. If the request is approved, the following will apply:

- The faculty member agrees to a date of full retirement;
- The faculty member's teaching load is reduced to one-half time throughout the academic year (subject to departmental approval, a half-time appointment may involve one semester of leave or part-time teaching throughout the year);
- Salary is reduced to one-half of the annual base salary;
- Annual percentage changes in base salary are determined using the same criteria as for full-time faculty;
- Academic Retirement Plan contributions are based on the salary actually paid;
- Suitable office and laboratory space are provided;
- Continued sabbatical eligibility is calculated according to teaching load;
- Continued access to departmental travel funds is provided, with the faculty member counted as full-time in determining the departmental travel budget;
- Continued access to all faculty and college services is provided;
- The faculty member continues to serve on academic committees to an extent proportional to teaching load.

3.10.3 Full Retirement

A tenured faculty member who chooses to retire after fifteen years of full-time service at the college and after age 55 will normally be granted emeritus status. The college will consider how such a request to retire fully may be facilitated. For further information, contact the Dean of Faculty.

3.10.4 Notification of Intent to Retire

A faculty member who intends to retire should provide written notification of his or her intent to the Dean of Faculty and his or her department chair. This written notification should be provided at least nine months before the effective date of retirement.

3.10.5 Other Retirement Benefits

A faculty member planning to retire should check with the Risk Management and Benefits Administration Office to make certain that arrangements are made for Academic Retirement Plan and Social Security benefits.

Changes in group life and health insurance currently occur at age 65; an employee on this plan will be apprised of these changes shortly before the 65th birthday.

3.10.6 Privileges of Emeriti/ae Professors

All emeriti/ae will receive the following privileges:

- Remaining on the college mailing list for all publications;
- Listing with other faculty members in the catalogue and The Claremont Colleges Staff and Faculty Directory;
- A campus mailbox;
- A faculty identification card;
- A faculty parking sticker;
- Access to and borrowing privileges from the Claremont Colleges Library;
- Invitations to participate in public ceremonies such as commencements, academic processions, and convocations, as well as to attend faculty meetings and all college functions open to the faculty.

Emeriti/ae wishing to continue research, teaching, or other academic activities on behalf of the college will receive the following privileges:

- Priority consideration for departmental part-time teaching;
- As available, office space, telephone service, secretarial service, free use of computer and word processing facilities for personal research, stationery and supplies, and mailing privileges;
- As available, laboratory space for research (when such space is limited, regular faculty members who have need of space will have first priority; the allocation of laboratory space to emeriti will be reviewed annually, as is the current practice for all academic space; priority in allocation of laboratory space will go to those emeriti/ae with demonstrated need);
- Continuation of grants, contracts, and other funded research and institutional support for proposals submitted to funding agencies;
- Access to a small college fund maintained by the Dean of Faculty to pay for research and publications costs incurred when presenting a paper or chairing a session at professional meetings;
- Eligibility to supervise masters and doctoral dissertations, and to serve on masters and doctoral committees;
- Selective invitations to serve on college committees, advisory boards, or as guest lecturers in classes.

To maintain and foster the relationships between emeriti/ae faculty members and the college, as well as among emeriti/ae faculty members as a group, the Dean of Faculty hosts an annual event to which all such members are invited.

Section 4. Recruitment, Appointment, Reappointment, Promotion, and Tenure for Academic Departments

(Section Revised May 2010)

4.1 CONCURRENCE WITH AAUP RECOMMENDATIONS

With minor exceptions, Harvey Mudd College subscribes to the American Association of University Professors “1940 Statement of Principles on Academic Freedom and Tenure,” as well as to the “1970 Interpretive Comments” related to that statement. These documents can be found in full at the AAUP website:

<http://www.aaup.org/AAUP/pubsres/policydocs/contents/1940statement.htm>

The following section from the “1940 Statement” is particularly helpful in defining the concept and purpose of academic tenure in a college or university:

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

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

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or 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 the 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 should be given at least one year prior to the expiration date of the probationary period if the teacher is not to be continued in service after the expiration of the period.
3. During the probationary period, a teacher should have the academic freedom that all other members of the faculty have.

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

Note that the adopted policy of the college differs from the AAUP recommendations quoted above in that the probationary period at Harvey Mudd College may be more than four years even though the faculty member may have served more than three years in other institutions.

4.2 RECRUITING TENURE-TRACK FACULTY MEMBERS

The recruitment of new faculty members for tenure track positions is of central importance to the college. The successful search for persons who can make outstanding contributions to a department and to the college as a whole is essential if the college is to fulfill its mission.

Harvey Mudd College seeks to hire outstanding teachers and scholars who contribute to a rich and diverse intellectual environment for our students. To achieve this goal, it is imperative that faculty searches be conducted methodically to develop a high quality applicant pool and to evaluate applicants thoughtfully and fairly. Outlined here is a process for faculty searches that endeavors to assist departments, search committees, and the Dean of Faculty to work collaboratively towards this end. Additionally, the Dean of Faculty, in consultation with the Department Chairs Committee, creates and distributes to search committee chairs a document reflecting budgetary and scheduling requirements specific to the academic year in which the search takes place.

The search process provides considerable autonomy for departments and search committees while also ensuring that broad institutional objectives are considered. The process consists of several steps. The department chair, the search committee, and the

Dean of Faculty concur that each step has been completed satisfactorily before proceeding to the next step.

4.2.1 Characterizing the Search

The department and Dean of Faculty determine the nature of the position and breadth of the search. The practice of the college is normally to hire faculty at the assistant professor level to encourage a mix of faculty members within the ranks in each department. Exceptions may occur, especially when there are no qualified applicants for an assistant professor position or when there is a perceived need for leadership at a higher level or for diversity within the department. It is the policy of the college that except under unusual circumstances (see section 4.2.8), no new faculty appointments are made with tenure, although prior teaching or equivalent professional experience may reduce the normal six-year review period before tenure is granted.

4.2.2 The Search Committee

When a search for a tenure-track position is approved, the department establishes a search committee and designates one member to serve as chair. The committee comprises a diverse set of members, where diversity includes seniority, gender, and ethnicity to an extent possible without overburdening such groups. The composition of the search committee requires the approval of the department chair and the Dean of Faculty. The committee must include at least three members of the department and at least one faculty member (preferably a full professor) with full voting rights on the committee who comes from outside the department. When appropriate, the outside member may be from one of the other Claremont Colleges, either in substitution for or in addition to the Harvey Mudd College members from outside the department.

4.2.3 Establishing the Search Process

To ensure all candidates are evaluated objectively and fairly, the search committee establishes the search process prior to soliciting applications. This process includes:

- Writing a job description that is as broad as possible for the position in order to yield a large and strong applicant pool;
- Discussing and documenting both the required and desirable criteria for selecting candidates;
- Developing a protocol for evaluating applicants consistently at each stage in the search (the protocol is designed to minimize bias and ensure that all applicants are evaluated fairly based on objective criteria; to facilitate these goals, the committee creates an evaluation form to be used by each committee member when evaluating an applicant).

In keeping with the mission of the college, it is important for the college community to reflect the diversity of the society that it serves. In particular, the community benefits

from the contributions of underrepresented minorities in positions of expertise and authority. For these reasons, the creation and maintenance of diversity within the faculty constitutes a legitimate consideration in evaluating candidates for all positions. Search committees should confer with the Associate Dean for Institutional Diversity and the Associate Dean for Diversity, Research, and Experiential Learning when establishing the search process.

4.2.4 Constructing the Applicant Pool

The search committee, with approval from the Dean of Faculty, prepares advertisements and places them in appropriate publications and online resources, taking care to ensure that the job description reaches underrepresented groups. Every advertisement for a tenure-track appointment should include the following two statements in appropriate places: “Among the criteria for appointment are experience with students from diverse backgrounds and/or the ability to teach those students effectively”; “Harvey Mudd College is an equal opportunity employer and is committed to the recruitment of candidates historically underrepresented on college faculties.” The search committee makes additional efforts to find applicants, such as posting the opening at professional meetings and contacting other schools and organizations, particularly those that are likely to bring the position to the attention of women and minority candidates. All members of the department are encouraged to identify colleagues and personal contacts to help reach out to prospective candidates.

4.2.5 Screening of Applicants

The screening process follows the protocol developed by the search committee (see section 4.2.3). Every application receives a careful evaluation by at least two members of the search committee, who note their scores and comments on the evaluation forms. Information on the forms is aggregated, with special care being taken to reconcile disparate ratings of the same applicant. In particular, applicants are not automatically “deselected” on the basis of a single weak review. In an effort to ensure that qualified women and underrepresented minority candidates are not “deselected” due to bias, the search committee is encouraged to design a review mechanism. For example, women and minority applicants may receive an additional reader.

The committee keeps accurate files of all applicants, along with the summary sheets. The committee screens the applications according to the defined criteria and obtains recommendations for the more qualified candidates. It then prepares a “short list” of those who look most promising, based upon the application material, references, and any additional information the committee may seek.

4.2.6 On-Campus Interviews

The search committee next prepares a list of candidates for invitation to the campus. Typically, three or four candidates are invited. Invitations to visit are extended by the

chair of the search committee with the approval of the department chair and the Dean of Faculty.

While the components of interviews may vary somewhat among disciplines and departments, the following practices help to ensure that the dual objectives of evaluation and recruiting are met:

- Candidates receive a clear explanation of the interview format before they arrive on campus;
- Candidates are asked to prepare a classroom session/demonstration in addition to a research presentation;
- Candidates are asked in advance if there is anyone on campus or at The Claremont Colleges that they would particularly like to meet (working with the department chair and the Dean of Faculty, the search chair attempts to organize such meetings);
- Female candidates meet with a group of women faculty members (it is useful to have all candidates do so);
- Faculty members from underrepresented groups are given an opportunity to meet with the candidate;
- All attendees of the candidate's teaching and research presentations are encouraged to submit comments to the search committee;
- Each search committee ensures that there is consistent student evaluation of each candidate, typically by organizing a small group of students that meets with all candidates;
- Each candidate meets with the Dean of Faculty for an hour, preferably near the end of his/her visit;
- Whenever possible, candidates meet with the President.

Impressions from all parties who have interacted with the candidate are collected by the search committee and summarized for the department and the Dean of Faculty.

4.2.7 Recommendation

Before an offer is made, the chair of the search committee and the Dean of Faculty discuss the search to ensure that the process proceeded as planned, to confirm that sufficient efforts were made to avoid bias, and to identify any lessons learned for future searches.

The search committee prepares a written recommendation that assesses each of the candidates who visit the campus. The search committee reports to the department and to the department chair. If the department and department chair agree on a top candidate, the chair presents the recommendation to the Dean of Faculty. The Dean of Faculty then forwards that recommendation and his or her own recommendation to the President, who makes the decision. It is understood that the President's decision is subject to approval of the Board of Trustees as specified in the college's by-laws.

4.2.8 Appointments with Tenure

When both the department and the Dean of Faculty feel that a candidate's credentials warrant appointment as an associate or full professor with tenure, the department chair will write a letter to the Reappointment, Promotion, and Tenure Committee (RPT Committee) presenting both evidence for the case and the department's judgment. The letter should incorporate the results of a thorough investigation of the teaching record and professional qualifications of the candidate.

The RPT Committee will meet with the department chair and representatives of the search committee to discuss the case. It may ask the department to obtain additional information or may seek additional evidence itself. After full committee discussion, the committee chair asks for a straw vote. If this vote indicates a potential for disagreement with the department, the committee chair asks the department chair to meet again with the committee to discuss the disagreement before the committee makes its recommendation to the President.

If the President's judgment differs from that of the RPT Committee, the President will refer the case back to the committee with his/her views and any materials the President believes have a bearing on the case. If the President and the RPT Committee continue to differ, a meeting of the President, the RPT Committee, and the candidate's department chair will take place in an effort to resolve the difference. Forwarding a positive recommendation to the Board of Trustees by the President requires the concurrence of both the President and the RPT Committee.

A candidate who is not approved for tenure at the time of appointment may nevertheless be appointed and considered for tenure at a later time.

4.3 EQUAL OPPORTUNITY IN EMPLOYMENT

Harvey Mudd College practices Equal Opportunity Employment (EOE) in all offices of the college. Operating an effective faculty EOE program requires the support, understanding, and cooperation of the entire faculty and administration.

4.3.1 Equal Opportunity Practices for Hiring

Key elements of the EOE plan as it pertains to hiring faculty members include:

- Each faculty position to be filled is accompanied by a set of general job specifications, including a list of minimum requirements for the position;
- Vacant faculty positions are widely advertised with particular attention to extending a search for qualified women and minorities;
- Department chairs keep records of their faculty searches;
- A selection committee screens candidates' applications to narrow the field to top candidates, devising a consistent and objective system or approach that ensures non-discrimination (the group of finalists invited for a campus interview must be approved by the Dean of Faculty, who will ensure that

women and minority group members have been included on the list to the extent possible);

- Per the Office of the Dean of Faculty's guidelines, particular care is taken in planning and conducting interviews of candidates;
- The position is filled by the person most qualified for the job without any discrimination because of age, disability, genetic information, national origin, pregnancy, race/color, religion, or sex (when several comparable applicants are available, efforts are made to hire a member of a minority group or a woman).

4.3.2 Equal Opportunity Practices for Reappointment, Promotion, and Tenure

In accordance with the United States Equal Employment Opportunity Commission's list of discriminatory categories, the guidelines for recruitment, reappointment, promotion, and tenure established in the Harvey Mudd College Faculty Notebook (sections 4.3 and 4.4) are followed without discrimination on the grounds of age, disability, genetic information, national origin, pregnancy, race/color, religion, or sex. For a broader set of categories, see section 4.3.4, "Harvey Mudd College Statement on Nondiscrimination."

4.3.3 Other EOE Practices

4.3.3.1 Dismissal Procedure

Dismissals must be handled with care and tact. Supervisory personnel must carefully document reasons for dismissal. Documentation should include regular evaluations, letters of merit, letters of reprimand, and any other pertinent data. In most cases involving faculty members, such material is presented during the reappointment procedure. Department chairs should not assume that poor performance will improve with time. They should apprise faculty members well before they are eligible for review if their performance is not satisfactory and should assist if possible in rectifying the situation.

4.3.3.2 Grievance Procedure

Harvey Mudd College has a grievance procedure (see section 6) as a method for solving personnel problems. Its scope includes, but is not limited to, allegations of discrimination.

4.3.3.3 Employment of Relatives

The college does not discriminate against spouses or other relatives of faculty members with respect to eligibility of employment. There is no college policy against members of the same immediate family being simultaneously employed except that faculty members

will not initiate or participate in decisions involving a direct benefit (initial appointment, reappointment, promotion, salary, leave, etc.) to members of their immediate family.

4.3.3.4 Parental Leave and Parental Delay of Tenure Decision

The guidelines set forth for faculty parental leave in the Faculty Notebook (see section 3.8.3) are followed without discrimination on the grounds of age, disability, genetic information, national origin, pregnancy, race/color, religion, or sex.

4.3.4 Harvey Mudd College Statement on Nondiscrimination

Harvey Mudd College does not discriminate on the basis of age, disability, ethnic origin, gender or gender identity, genetic information, marital status, national origin, pregnancy, prior military service, race/color, religion, sex, or sexual orientation in any of its policies, procedures and practices, including admission policies, educational policies, scholarship and loan programs, employment policies, and other college-administered programs and activities. This statement is in compliance with Title IX of the Educational Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and other requirements of federal and state law. Harvey Mudd College's Human Resources Director is responsible for coordinating the college's nondiscrimination effort. Inquiries or complaints concerning the application of Title IX, Section 504, or any other equal opportunity legal requirements of this institution should be referred to the Human Resources Directors.

4.4 APPOINTMENT, REAPPOINTMENT, PROMOTION, AND TENURE

The length of an appointment or reappointment is stated in the individual contract. Part-time, visiting, and adjunct appointments are generally for one semester or one year and terminate unless explicitly extended by the college.

Appointments at the level of assistant professor or above are assumed to be tenure-track appointments unless otherwise stated, though no promise of tenure is implied.

4.4.1 Areas of Evaluation of Faculty

Recommendations for reappointment, promotion, and tenure are based upon assessment of the faculty member's contribution to the major educational goals of the college and of the reflection of those goals in his/her own growth as a faculty member. There are three areas of evaluation of faculty:

1. Ability as a teacher is of prime importance. The faculty member must be able to fulfill the basic role of communicating a subject discipline to students and of guiding them so as to enhance their educational growth.
2. Continuing growth as a scholar and teacher is also required. The faculty member must continue to expand, intensify, and demonstrate an

understanding of the disciplines related to his/her teaching assignments at the college.

3. Engagement with and service to the institution are essential. The faculty member fulfills a role in the development and health of the institution through communication with others, organization of activities, committee service, mentoring and evaluation of colleagues, and development and leadership of new programs.

Recommendations are based on a thorough review of a candidate's performance in all three areas. Although the first two areas have greater importance, the third area has real significance. Recommendations for term appointments are based on promise and early demonstration of progress in all three areas of evaluation. Recommendations for tenure or for promotion to the rank of associate professor are based on excellence in 1, growth in 2, and continuing participation in 3. Promotion to the rank of full professor is based on continued excellence in 1, substantial growth in 2, and full participation in 3.

4.4.2 Sources of Evidence Relating to Evaluation Criteria

Reappointment, promotion, and tenure evaluation of a candidate is based upon evidence relating to the three areas of evaluation (see section 4.4.1). Sources of this evidence are as follows:

1. The departmental letter (see also section 4.6, point 3). This letter is written to the President directly. It includes a summary of the department's evaluation of the candidate as well as the chair's personal judgment on the case. Ordinarily, the department's evaluation is based on an evaluation of student opinion as well as its assessment of the faculty member's scholarship and teaching as integral parts of the department's activities. The department may continue to provide additional information to the RPT Committee at any time before the final committee recommendation is submitted to the President. Any such information will be documented in writing and appended to the original letter from the department.
2. Evaluations by the faculty member's departmental colleagues, which are ordinarily submitted as individual letters.
3. Evaluations by former and current students of the faculty member. Such evaluations include course evaluations on file and any individual letters submitted by students at the request of the college.
4. Evaluations by Harvey Mudd College faculty members who are outside the candidate's own department. These are ordinarily submitted as individual letters.
5. Evaluations from qualified people outside of Harvey Mudd College. The candidate is asked to submit the names of some prospective evaluators and

the department is encouraged to identify additional evaluators. The entire list of those from whom evaluations might be sought is provided to the candidate before they are solicited.

6. Material submitted by the candidate in the candidate's personnel file.

In connection with the evaluation of ability as a teacher in any personnel action, the committee must seek to supplement evidence from point 3 above with alternative sources of information which might include one or more of the following: self-assessments; evaluations by co-teachers or graduate assistants; comments of departmental colleagues with first-hand knowledge of the candidate's teaching performance; comments from non-departmental colleagues at the college or elsewhere with first-hand knowledge of the candidates' teaching performance. Candidates are to indicate several colleagues from whom teaching evaluations might be solicited, but the RPT Committee may go beyond that list.

In the first two-year reappointment, letters from qualified people outside of the college are not generally solicited, and the Dean of Faculty, on behalf of the RPT Committee, solicits internal evaluations from of the entire full-time faculty.

In the second two-year reappointment, for promotions to associate professor with tenure, and for promotions to full professor, letters from qualified people outside of the college are solicited, and the letters are included in the candidate's reappointment, promotion, and tenure file. Additionally, the Dean of Faculty, on behalf of the RPT Committee, solicits internal evaluations from the entire full-time faculty.

4.4.3 Activities and Qualities Consistent with RPT Criteria

The following lists are intended to be indicative of the kinds of activities and qualities that are considered to be consistent with the reappointment, promotion, and tenure criteria. Evidence in support of a candidate's case for reappointment, promotion, or tenure should indicate significant development in several areas similar to those illustrated here.

1. Regarding ability as a teacher: demonstrated awareness of the strengths and weaknesses of one's students and the ability to make suitable adjustments to the content, organization, and pacing of course work; care and imagination in the preparation of course material, with attention to the relation of this material to the college curriculum and the students' educational needs; development of particularly effective strategies for the educational advancement of all students, including those strategies that contribute to the diversity of the campus; competence in and enthusiasm for the subject taught; demonstrated attention to high standards of scholarship; encouragement of creative activity and an enthusiasm for learning in one's students.

2. Regarding continuing growth as a scholar and teacher: advanced studies or professional activities in the areas of one's established competence, involving research, engineering design and development, or other original work; studies in breadth leading to new areas of competence, particularly if new areas of teaching can be developed or if the educational goals of the college are directly served; original course or program development, particularly if this leads to the creation of materials or techniques that can be used by others; contributions to the educational literature or to the advancement of professional or educational practice, including contributions to the advancement of equitable access and diversity in the profession; leadership or service to professional societies or other education-related institutions, e.g., through editing, refereeing, or committee duties; communication of scholarly activity, teaching innovations, or other creative activities to other colleagues, especially to those outside of the college, through publication of papers or other scholarly writing, or presentation at colloquia or meetings.
3. Regarding service to the institution: Effective participation in the normal committee structure of the institution and service on special committees and task forces; effective service as department chair, clinic director, associate dean, or in other appointive offices; special efforts in curricular development or institutional development that might not be recognized under categories 1 or 2; contributions furthering diversity and equal opportunity within and beyond the college through participation in such activities as recruitment, retention, and mentoring of colleagues and students; participation in forms of community service that bring academic recognition to the institution.

4.5 REVIEW SCHEDULE

4.5.1 Reappointments

Reappointment reviews normally fall in two-year intervals with tenure consideration during the eleventh semester of full-time service. The normal schedule is illustrated below. Other review schedules are permitted and are normally indicated in the original letter of appointment. Accelerated review schedules can be negotiated by the candidate with the Dean of Faculty, in consultation with the appropriate department chair.

The normal schedule for reappointment reviews is:

1. During an initial two-year appointment, reappointment review occurs in the third semester of the appointment. In case of non-renewal, no further appointment is offered.

2. During a second two-year appointment, reappointment review occurs in the eighth semester of continuous employment. In case of nonrenewal, a one-year terminal appointment is offered.
3. During a third two-year appointment, review occurs in the eleventh semester of continuous employment and must be for reappointment with tenure. In case of nonrenewal, a one-year terminal appointment is offered.

4.5.2 Tenure

The normal schedule for tenure consideration is during the eleventh semester of full-time service. Ordinarily there is no early tenure unless the faculty member has previous service elsewhere at a comparable professional level. In such cases, the prospective faculty member and the college must agree at the time of appointment on the length of the probationary period and, hence, the time for tenure review. Such an agreement is stated in the initial letter of appointment.

4.5.3 Promotions

Normally the college considers promotions to associate professor six years after appointment to assistant professor, and to full professor six years after promotion to associate professor. However, promotions can be considered at any time and can be reconsidered in succeeding years if denied. As in the case of tenure, if prior experience is to be used to reduce the normal time before considering promotion to associate professor, the extent of that reduction is to be stated in the initial letter of appointment.

Leaves-of-absence are not ordinarily included when calculating periods of full-time service, but they may be included subject to advance agreement with the Dean of Faculty and the department chair.

4.5.4 Non-Renewal Notification Dates

Notification of nonrenewal of an appointment is given before April 1 for a one-year appointment and before February 2 of the second year of an initial two-year appointment. In all other cases of nonrenewal, the faculty member is given at least twelve months notice before termination. A tenure consideration that is denied requires termination through a one-year terminal appointment when the consideration is in the sixth year or at the time established in the original letter of appointment.

4.5.5 Annual Review Schedules

At the end of each academic year, the RPT Committee chair and the Dean of Faculty establish a review schedule for the following year. This schedule must allow the committee enough review time to meet the notification schedule (see section 4.5.4) and to provide information to the President and to candidates with sufficient time for the

candidate to provide additional information, if desired, as described in section 4.6, bullet point 6. It is then the responsibility of each candidate and department chair to provide material to the committee by the dates stipulated. If materials do not reach the committee by the time stipulated in the schedule, though the committee shall make every reasonable attempt to evaluate files in time to meet the notification schedule, decisions may be delayed to the following semester.

4.6 REAPPOINTMENT, PROMOTION, AND TENURE PROCEDURES

Reappointment, promotion, and tenure evaluation of a candidate proceeds through the steps outlined below. The standards applied for reappointment, promotion, or tenure are deemed to be the same regardless of when consideration occurs.

1. Action on reappointment, promotion, and tenure is initiated via a letter to the RPT Committee. Usually this is done by the department chair or the Dean of Faculty, but a peer or the faculty member concerned can also initiate an action.
2. The faculty member should prepare complete and accurate personnel files for both the department and Reappointment, Promotion and Tenure Committee reviews. These files must contain a complete curriculum vitae and other materials demonstrating the candidate's contributions to teaching, scholarship, and service. Such materials may include:
 - a. A brief statement of a candidate's teaching activities, which could include a description of courses taught, teaching aims or goals, or a self-evaluation of teaching.
 - b. Innovative teaching materials or other evidence of teaching endeavors.
 - c. A brief statement of the candidate's research activities.
 - d. Reprints, preprints, or other products of scholarly work.
 - e. Any other material that the candidate would like to be considered by the RPT Committee.
3. The department chair, in collaboration with department members, reviews the faculty member's personnel file and prepares a letter detailing the department's recommendation. This letter also summarizes the department's process for discussing and voting on reappointment, promotion, and tenure actions. The departmental letter is addressed to the President, but submitted to the RPT Committee. A copy is sent to the candidate at the same time, thus affording the candidate an opportunity to address any perceived errors in the letter before the RPT Committee completes its recommendation.

4. The RPT Committee collects, discusses, and assesses evidence relevant to the candidate's case for reappointment, promotion, or tenure. The candidate's department chair is invited to discuss the case in person with the committee. The President is also invited to meet with the RPT Committee for the purpose of exchanging views and discussing the primary issues and concerns raised during the committee's deliberations after the committee's deliberations are well advanced but before the committee's vote and letter to the President are finalized. After full committee deliberation, the committee chair asks for a straw vote. If this vote indicates a potential disagreement between the RPT Committee and the position of the candidate's department, the committee chair asks the department chair to meet with the committee to discuss the disagreement before the committee makes its recommendations. At the end of this review, the committee makes a recommendation to the President. The Dean of Faculty participates fully in the RPT Committee's discussions of each candidate and communicates to the President his or her agreement or disagreement with the RPT and the department actions. The Dean of Faculty also apprises the candidate of the schedule and its progress through this review.
5. Since the Department Chairs Committee advises the administration on staffing needs in the light of the academic programs of the college, under extraordinary circumstances this committee may make a recommendation to the President concerning a particular candidate. Such a recommendation will be concerned only with whether or not the candidate's area of expected contribution is supportive of the college's programmatic requirements. If the recommendations of the RPT Committee and the Department Chairs Committee do not agree, the Dean of Faculty convenes a joint meeting to attempt a resolution. The RPT Committee may not consider programmatic requirements in carrying out its charge (see section 4.10.2).
6. Before the recommendation is transmitted to the President, the Dean of Faculty meets with the candidate to discuss both the department's evaluation and the RPT Committee's recommendation. A written copy of the RPT recommendation is given to the candidate. If there is a recommendation from the Department Chairs Committee (see above), this is also discussed. A candidate who is dissatisfied with the recommendation or the review, as outlined, may submit additional information directly to the President within ten days. The Dean of Faculty also submits a copy of the RPT Committee's recommendation to the department chair.
7. The President prepares a recommendation or report to the Educational Planning Committee of the Board of Trustees (EPC) based upon the recommendations made by the department and by the RPT Committee,

documents presented by the candidate, and his/her own knowledge of the case. The President reports the substance of that recommendation to the RPT Committee. If the President's judgment confirms that of the RPT Committee, the President notifies the candidate of the intended recommendation to the EPC. If the President's judgment differs from that of the RPT Committee, a meeting of the President, the RPT Committee, and the candidate's department chair must take place in an attempt to resolve the difference; then regardless of whether the President and RPT Committee agree, the President notifies the candidate and the RPT Committee in writing of the intended recommendation or report to the EPC. In cases where the President notifies the candidate of a decision not to promote or not to renew an appointment, the notification must be in writing (see section 4.7). Once the President has informed both the RPT Committee and the candidate of his or her intent, then any of the three parties may choose to appeal the decision(s) of the RPT Committee, the President, or both, subject to the conditions set out in section 4.8. Note that no recommendation or decision that is a part of the procedures described in this section are grievable under the procedures set out in Section 6.

4.7 FINAL DECISIONS

If the President and RPT Committee concur in a positive recommendation, that recommendation is made to the Educational Planning Committee of the Board of Trustees by the President. The final decision to advance a candidate is made by the Board of Trustees or by the EPC, acting as the agent of the Board, upon the recommendation of the President.

If the President decides to recommend positively on any personnel action in which the RPT recommendation is negative, the recommendations of the President and the RPT Committee, as well as the report of the Appeals Board if there was an appeal, shall be presented to the EPC for final determination. In such a case the President, the RPT Committee chair, and a representative of the Appeals Board (when relevant) shall all be given opportunities to present their views to the EPC in a single meeting at which all of the aforementioned parties are present.

A decision not to promote or not to renew an appointment is reported to the EPC, but does not require the committee's approval. The President will communicate his/her decision not to promote or not to renew an appointment to the candidate in writing. If the candidate so requests, the President shall put the reasons for the decision in writing. If the candidate or the RPT Committee informs the Dean of Faculty of their intent to appeal the President's decision, the President will delay his/her report to the EPC pending the outcome of the appeals process.

4.8 APPEALING REAPPOINTMENT, PROMOTION, AND TENURE

DECISIONS

4.8.1 Initiation of an Appeal

An appeal of a reappointment, promotion, or tenure decision can be initiated by one of two separate procedures.

1. In the event that the RPT Committee and the President do not reach an agreement, an appeal may be initiated by the RPT Committee, the President, or the candidate.
2. In the event that the RPT Committee and the President have agreed upon a negative decision, the candidate may appeal the decision based on the criteria outlined in section 4.8.3.

In accord with section 4.6, bullet point 7, the appellant (the candidate, the RPT Committee, or the President) has ten working days after the President's written notification of his or her decision to both the candidate and the RPT Committee to inform the Dean of Faculty of the intent to appeal. The appellant shall have an additional three weeks from the date of notifying the Dean of Faculty of the intent to appeal to provide the Dean with all supporting evidence or arguments.

4.8.2 Selection of the Appeals Board

The Dean of Faculty asks the Department Chairs Committee, acting in the absence of the Dean and the candidate's department chair, to select three members drawn from the tenured full professors of Harvey Mudd College, exclusive of members of the candidate's department and members of the RPT committee, to constitute an Appeals Board. Normally, the Dean of Faculty will make such a request within forty-eight hours of receiving the notice of intent to file an appeal.

4.8.3 Criteria for Appeal

The Appeals Board may only consider or be asked to consider one or some combination of the following questions as bases for appeal:

1. Were the proper facts and criteria brought to bear on the decision?
2. Were improper or extraneous criteria brought to bear on the decision?
3. Were there any procedural irregularities that substantially affected the outcome of the matter?
4. Given proper facts, criteria, and procedures, was the decision one which a person in the position of the decision-maker might reasonably have made?

In considering an appeal, criteria 1–3 must be considered first if any one or more of them are indicated as grounds for the appeal. Only if criterion 1 is answered or stipulated in the affirmative, and both criteria 2 and 3 are answered or stipulated in the negative, shall criterion 4 be addressed.

4.8.4 Scope of the Appeal

The Appeals Board shall not retry the case or substitute its collective judgment on the merits of the case for that of the RPT Committee or the President. In any appeal, the burden of proof shall be on the person or group filing the appeal. If multiple parties appeal a single decision, the several appeals shall be heard as a single case.

4.8.5 Appeals Board Procedures

The Appeals Board shall elect its own chair, and establish and document its own procedures, consistent with the constraints imposed by the Faculty Notebook. It shall have access to all materials made available to the RPT Committee and the President, plus any new material or information, including advice from consultants, attorneys, or other professionals, as it deems necessary to conduct an adequate review. The Appeals Board may also review memoranda on file with the Dean of Faculty from previous Appeals Boards regarding procedures employed in similar reviews. Once the Appeals Board is organized, the chair informs the candidate, the President, the Dean, and the chair of the RPT Committee that the Board is ready to proceed. Except for the communications explicitly required in this document, the deliberations and reports of the Appeals Board shall be confidential.

Submission of the evidence and arguments for an appeal will not automatically entail a full investigation. The first obligation of the Appeals Board shall be to determine whether the request for appeal merits further consideration. The Appeals Board will communicate this finding to the candidate, the President, and the chair of the RPT Committee in a timely fashion.

If the appeal merits further consideration, the Appeals Board will aim to issue its final report within four months after initiation of the appeals process. If the outcome of an appeal is still pending on April 1 of the academic year in which the appeal was initiated, the candidate may take an unpaid leave-of-absence for the following academic year without prejudicing the deliberations of the Appeals Board, providing the leave is requested by April 1 or within four weeks of the communication of the initial decision, whichever is later.

4.8.6 Report of the Appeals Board

Upon the conclusion of the review, the Appeals Board shall report its findings to the candidate, the President and the RPT Committee. The President and the RPT Committee shall meet to consider the report from the Appeals Board and attempt to reach agreement on the recommendation or to amend their decision(s).

The final written report of the Appeals Board and all supporting documents will be filed with the President. All working drafts and personal notes in the possession of members of the Appeals Board will be destroyed. The President may release the final report at his or her discretion to parties with a need to know.

Following conclusion of the appeal, the chair of the Appeals Board shall write a memorandum to the Dean of Faculty regarding the procedures employed by the Board in the course of the review.

4.9 REVIEWS FOR NON-TENURE-TRACK FACULTY

The RPT Committee conducts a review of any full-time, non-tenure-track faculty member who teaches more than two years at the college. The review occurs prior to reappointment and uses the same criteria as for a tenure-track appointee. The committee also follows the same procedures as for a tenure-track review. A final decision on the reappointment of the faculty member is made by the President, normally on the basis of excellence in teaching, and does not require approval by the Educational Planning Committee of the Board of Trustees.

4.10 COLLEGE POLICIES RELATED TO REAPPOINTMENT, PROMOTION, AND TENURE PROCEDURES

4.10.1 Notes Relating to RPT Files

A new RPT file for a candidate is set up at the initiation of an evaluation. These files are the only files maintained by the RPT Committee.

All materials collected for RPT evaluation must go into the candidate's RPT file, which is to be closed after the committee has acted. Materials or copies are not to remain in departmental files or in the general files of the Dean of Faculty; only the author of a letter has the right to retain a copy for future reference. The RPT Committee treats all information in the candidate's RPT file confidentially. A detailed summary of data on which the RPT Committee's decision was based, as well as a copy of the committee's letter of recommendation to the President, are to be placed in the RPT file. Committee discussions and the progress of the review procedure are treated confidentially by committee members.

1. Only materials submitted by the candidate may be posted electronically. A local backup copy will be kept in the Office of the Dean of Faculty.
2. The RPT Committee may reopen its files when necessary: for example, when required for an appeal or to provide materials in a subsequent personnel action.

3. Evaluation materials are considered to be letters of reference (see Appendix 2: Personnel Files) and are not available for inspection by the candidate.
4. Upon promotion of any faculty member to the rank of tenured full professor, his/her RPT files are to be destroyed.
5. Upon initiation of an RPT review, copies of prior RPT Committees' letters to the President are automatically placed into the current RPT file.
6. The RPT Committee may decide to use other materials from prior RPT reviews for comparative purposes.
7. The candidate may request to have any other prior materials used again.

4.10.2 Other Considerations

The RPT Committee may consider factors having to do with equal opportunity employment policies (see section 4.3) when evaluating a candidate but may not consider programmatic needs or the number of tenured positions in the department.

4.10.3 General Reduction of Faculty

In the event of a general reduction of the faculty, terminations that result are reviewed jointly by the President and the Faculty Executive Committee, and the following principles are observed:

1. The department in which the reduction is to be made is determined solely on the basis of the college's programmatic needs, without regard to the presence or absence of non-tenured faculty in that department. In particular, the lack of non-tenured faculty in a given department shall not be the cause for that department to receive preferential treatment.
2. A tenured professor whose service in a department is terminated will have every opportunity to be considered for another position in the college. His or her qualifications, however, will be examined in comparison with those of all other aspirants for that position.
3. In the event a reduction in the faculty of a department is required, recommendation to the President as to which individual should be released shall be made by that department according to a documented process. The Faculty Executive Committee shall then advise the President as to the consistency of the department's recommendations with the programmatic needs of the college.

4.11 HONORARY DEGREES

Harvey Mudd College awards honorary doctoral degrees in Engineering, Science, and Humane Letters (all honoris causa). Names of candidates may be submitted by anyone to the President. Ordinarily nominations must be made before February 1 to be considered for the following commencement. The selection criteria state that the recipient:

- Must have made a distinguished contribution to the advancement of engineering, science, or a related field;
- Must have a record of contribution to society consonant with the ideal embodied in a Harvey Mudd College education.

Honorary degrees are considered precious by the college community and are awarded with great selectivity.

4.11.1 Selection Procedures

The RPT Committee screens all nominations for honorary degrees, serving as the President's Advisory Committee on Honorary Degrees. The committee advises the President of those candidates who, in its opinion, meet the qualifications for an honorary degree at the college. If the President chooses to recommend one or more of these candidates for an honorary degree, their names are given to an appropriate committee of the Board of Trustees following confirmation by the faculty. Thus, no name is presented to the full Board without screening by the RPT Committee and approval by the faculty, the President, and the committee of trustees.

Past recipients of Honorary Degrees are listed on the college website:

(Insert link here)

SECTION 5. CLAREMONT-MUDD-SCRIPPS PHYSICAL EDUCATION AND ATHLETIC DEPARTMENT POLICIES ON APPOINTMENTS, REAPPOINTMENTS, AND PROMOTION

(Section Revised May 2010)

5.1 APPOINTMENT, REAPPOINTMENT, AND PROMOTION POLICIES

Harvey Mudd College, Scripps College, and Claremont McKenna College share a Physical Education and Athletic Department. For personnel issues, Claremont McKenna is the lead college. The Claremont McKenna College Faculty Handbook establishes guidelines and general procedures by which Physical Education and Athletic Department faculty members are appointed, reappointed, promoted, or terminated. The policies stated in the Claremont McKenna College Faculty Handbook apply to all benefits and processes not enumerated by those guidelines and procedures. That Handbook is available at:

<https://www.claremontmckenna.edu/dof/handbook/2009FacultyHandbook.pdf>

5.2 THE REAPPOINTMENT AND PROMOTION COMMITTEE

As noted in the Claremont McKenna College Faculty Handbook, the Reappointment and Promotion Committee in the case of Physical Education and Athletic Department actions reports directly to the President of the lead college. The committee consists of the Dean of Faculty of the lead college, who serves as chair; one representative from each of the Appointment, Promotion, and Tenure Committees at Claremont McKenna College and Scripps College; one representative from the Reappointment, Promotion, and Tenure Committee of Harvey Mudd College; the faculty athletic representatives from the three colleges; and the Director of Athletics as a non-voting member.

SECTION 6. FACULTY GRIEVANCE PROCEDURES

(Section Revised May 2010)

6.1 THE GRIEVANCE

A grievance is a complaint in writing made by one or more faculty members (the Grievant) to the college concerning a decision, made by a person or group of persons acting in an official college capacity (the Respondent), that directly affects the Grievant as an individual in his/her professional or academic capacity. A grievance does not include dissatisfaction with a college policy of general application challenged on the ground that the policy is unfair to all faculty members or is inadvisable. Such dissatisfaction with policy may be pursued in the department, the Faculty Executive Committee, and in faculty meetings. A grievance could, in some cases, be applicable if a policy has been unfairly applied specifically to the Grievant.

Decisions about reappointment, promotion, and tenure are not subject to grievance under this section. Procedures for the appeal of reappointment, promotion, and tenure decisions are presented in section 4.8, “Appealing Reappointment, Promotion, and Tenure Decisions.” Grievance procedures, however, may be invoked when a decision is made to terminate employment within the term of an appointment.

Prior to filing a written grievance, the faculty member is encouraged to seek information and assistance from colleagues, including as appropriate the relevant department chair, the Dean of Faculty, the Chair of the Faculty, or the Director of the Human Resources Office. It is strongly recommended that faculty members avail themselves of these consultations prior to undertaking a written grievance.

6.2 GRIEVANCE PROCEDURES

6.2.1 Initiation of Grievance

Grievance procedures are initiated by filing a written complaint with the Chair of the Faculty. The complaint must identify the Grievant and the Respondent(s) and must specify the action complained of and the procedure or standard allegedly violated.

6.2.2 The Grievance Committee

Upon receipt of a written complaint, the Chair of the Faculty will work with the Faculty Executive Committee to appoint a Grievance Committee. A Grievance Committee consists of not more than five members of the faculty appointed by the elected members of the Faculty Executive Committee in executive session for the particular case to be heard. No person involved as a party in the complaint may appoint or be appointed to a Grievance Committee. The chair of the Grievance Committee shall be an elected member of the Faculty Executive Committee, unless the entire Faculty Executive Committee is a

party in the complaint, in which case the Dean of Faculty shall appoint the Grievance Committee, including its chair. At the request of the chair of the Grievance Committee, before the initiation of a formal hearing, the Faculty Executive Committee may increase the size of the Grievance Committee, subject to the five-person maximum. The chair of the Grievance Committee should review the procedural memoranda in the confidential files of the Office of the Dean of Faculty to consider the procedures followed in prior Grievance Committee actions (see below).

All meetings, discussions, and deliberations of the Grievance Committee, both formal and informal, are confidential.

Except in the case of malfeasance, the Grievance Committee cannot be held liable in a legal action.

6.2.3 Informal Grievance Procedures

The Grievance Committee will consider the written complaint and advise the Grievant about whether a formal hearing seems merited under this section of the Faculty Notebook.

Having received the advice of the Grievance Committee, the Grievant may choose an informal grievance procedure. Such a procedure may vary from case to case, and it may involve the Grievance Committee in brokering discussion between the Grievant and the Respondent. If the informal procedure results in a resolution of the complaint, no further actions will be taken and the Grievance Committee will not file a report.

The Grievant always has the right to file a formal grievance, even if the Grievance Committee advises against doing so or if the Grievant has already followed an informal grievance procedure.

6.2.4 Formal Grievance Procedures

A formal complaint may be filed by any faculty member(s). A grievance complaint may be filed against any officer of the college administration (except the President, who always makes the final decision about any formal grievance), any faculty member(s), or any component of the faculty, such as a department or a committee. This person or persons is hereafter designated the Respondent. A complaint cannot be filed against the faculty organization of Harvey Mudd College or the Intercollegiate Faculty Council of The Claremont Colleges. Proceedings will normally be limited to the following considerations:

1. Were the proper facts and criteria brought to bear on the decision?
2. Were improper or extraneous criteria brought to bear on the decision?

3. Were there any procedural irregularities that substantially affected the outcome of the matter?
4. Given proper facts, criteria, and procedures, (i.e., satisfactory conclusion of the prior considerations) was the decision one which a person in the position of the decision-maker might reasonably have made?

In considering a grievance, criteria 1–3 must be considered first if any one or more of them are indicated as grounds for the grievance. Only if criterion 1 is answered or stipulated in the affirmative, and both criteria 2 and 3 are answered or stipulated in the negative, shall criterion 4 be addressed.

6.2.4.1 Procedures for Processing Formal Grievances

Within two weeks of the filing of the complaint, the Faculty Executive Committee must appoint the Grievance Committee, and the chair of the Grievance Committee must specify a time and place for the hearing to be conducted. Both parties must be notified. The hearing should be scheduled at a time and place that is convenient for all parties, and it should be concluded in a timely manner.

6.2.4.2 Conduct of the Hearing

The Grievance Committee shall hold a formal confidential hearing to consider the allegation made in the complaint. The chair, in consultation with the other members of the Grievance Committee, shall determine the appropriate policies and procedures to be followed in the conduct of the hearing. Copies of the complaint will be made available to the Respondent and a notice of time and place of the hearing given to both parties.

The hearing will be closed unless the Grievant and Respondent agree otherwise. Neither the Grievant nor the Respondent will be permitted legal counsel at the hearing. When the Respondent is a committee, no more than two members may act as representatives for purposes of the hearing. The Grievant may have one regular faculty member of his/her choice to act as a consultant at the hearing. A record (preferably an audio recording) of the hearing will be made.

The burden of proof shall be on the Grievant. Findings will be based solely on the hearing record. Findings, conclusions, and recommendations shall be by a majority vote of the Grievance Committee.

6.2.4.3 Report of the Grievance Committee

The Grievance Committee will prepare a written report of its findings, conclusions, and recommendations and submit a copy of its report to each of the parties. The Grievant and the Respondent shall have a period of not less than five working days nor more than ten working days to write a response to the report of the Grievance Committee. The report of

the Grievance Committee, with the responses of the parties attached, will be transmitted to the President, who has the final authority to resolve the Grievance.

6.2.4.4 Procedural Memorandum by the Chair of the Grievance Committee

The chair of the Grievance Committee will, upon completion of the other activities of the Grievance Committee, prepare a confidential memorandum that details the general nature of the case and the procedures followed in the conduct of the hearing, along with any suggestions for further adaptations of procedure that might be useful to future Grievance Committees. The memorandum shall be constructed in such a way that the names of the parties and the specific details of the complaint are not included as part of the memorandum. Upon completion of the memorandum, which will be placed in the confidential files in the Office of the Dean of Faculty, the chair of the Grievance Committee will report to the Faculty Executive Committee that the work of the Grievance Committee has been completed.

6.2.4.5 Decision by the President

The final resolution of the complaint is by the President, who will transmit his or her decision in writing to the Grievant, the Respondent, and the chair of the Grievance Committee.

Faculty Member Responsibilities

SECTION 7. TEACHING

(Section Revised May 2010)

7.1 TEACHING

Teaching is the principal activity of the faculty at Harvey Mudd College. Excellence in teaching is the primary criterion for appointment, reappointment, and promotion, and faculty members are expected to develop their skills and methods over time. The college encourages and supports the development of creative pedagogies and experiential learning opportunities for students. This section provides an introduction to teaching at the college, to guidelines for managing courses at the college, and to some of the resources available to support faculty members' development as teachers.

7.2 PROCESS

The Harvey Mudd College Portal, which is referred to frequently below, is a web-based tool used extensively by faculty members for grade submission and course registration. It is available at:

<https://portal.hmc.edu>

7.2.1 Planning Courses

Teaching assignments are set for each semester by department chairs or their designees in consultation with faculty members. Scheduling of class times and assignment of appropriate classroom spaces for each semester are done by the Department Chairs Committee and the Registrar in the first half of the preceding semester. If textbooks will be used in a course, instructors are responsible for ordering them prior to pre-registration. Textbooks are typically ordered through the Claremont University Consortium's Huntley Bookstore; if another provider is used, the ordering information should still be supplied to Huntley so that the bookstore can make a book list available to students through the Portal. Students pre-register for courses in the second half of the preceding semester. At that time, preliminary registration numbers are made available through the Portal.

The Curriculum Committee sends out a call for new and significantly revised course proposals in the first month of each semester for courses to be offered in the following semester. New courses, however, are often taught as "special topics" courses, which do not require the approval of the Curriculum Committee. If a course is to be offered on a regular basis thereafter by a regular faculty member, it should be reviewed by the department, approved by the Curriculum Committee, and added to the catalogue.

Every course should have a syllabus. A syllabus generally includes items such as contact information, a clear expectation of student work, grading policies, course goals, learning objectives, and details about the instructor's policy on collaboration within the Honor Code. Section 7.6 contains more information about the Honor Code, including standard language that may be used in syllabi to make policies clear to students.

Regarding student workload, a widely accepted guideline is to expect students to work between three and four hours per week (including class time) for every unit of credit earned for the course. Typically each credit unit carries at least fifty minutes of instructor contact per week. In laboratory or other formats where contact time is greater than fifty minutes per unit per week, the work expected outside of class time should be adjusted accordingly.

Instructors should not plan assignments that would require work to be done during breaks.

According to a schedule set by the Registrar, the regular meeting time of a class determines its scheduled final exam time. The scheduling of all major assignments and exams for core courses is coordinated by the Academic Affairs Committee. Otherwise the scheduling of assignments is done by individual instructors.

7.2.2 During Courses

At Harvey Mudd College it is assumed that teaching takes place both inside and outside of the classroom. Faculty members are expected to communicate to their students when and how they are available for help outside of regularly scheduled class times. Faculty members might make themselves available through posted office hours, an open-door policy, individual appointments, or some combination of these practices.

Occasionally faculty members may miss or reschedule a class session for professional or personal reasons. It nonetheless remains the faculty member's responsibility to meet the stated course objectives within the regular limits of the semester.

Feedback on homework, exams, and other student work should be given in a timely manner. Instructors should send Academic Advisories as early in the semester as possible to students whose performance is of concern. Academic Advisories may also be used to congratulate students who are performing particularly well in a course. The Academic Advisories system in the Office of Academic Affairs can be accessed at:

<https://www.hmc.edu/cgi-bin/advisory3.pl>

The Dean of Students notifies instructors at the beginning of each semester of any students in their classes who, for medical or other documented reasons, require special accommodation on examinations, in-class writing assignments, or other academic work. Faculty members should consult with the Dean of Students if they have questions about academic accommodation.

7.2.3 Concluding Courses

To enable students to manage their workloads at the end of each semester, faculty members follow several guidelines when scheduling assignments and final examinations. The goal of these guidelines is to stagger workloads so that students have adequate time for writing papers, completing projects, taking in-term quizzes and examinations, and preparing for and taking final examinations. In-term assignments, such as papers and projects, are typically due before the final examination period starts. All work for a course, including in-term assignments and take-home examinations, must be completed by the end of the examination period for the scheduled class. As opposed to in-term examinations, which measure a student's ongoing progress in a course, final examinations are considered to be comprehensive examinations that test a student's mastery of all course content. Because students should be given sufficient time to focus on both in-term assignments and final examinations, instructors must not require the completion of final examinations before the end of the scheduled examination period. Both in-term and final examinations must have a time limit.

In the spring semester, Harvey Mudd College courses end three working days before they conclude at the other Claremont Colleges to allow for student presentations during Projects and Presentations Days. The two days following presentations are used for senior finals and as reading days for non-seniors. Final examinations for non-seniors should be held during the regularly scheduled period, and not during reading days. Reading days allow students to prepare for their final examinations, and so assignments should not be due during that period.

Final grades must be entered through the Portal by a date specified by the Registrar each semester. A student may only be given a grade of Incomplete by arrangement with the Associate Dean of Academic Affairs.

7.3 RESOURCES

7.3.1 Student Resources of Interest to Faculty Members

Several campus resources available to students may also be of particular interest to faculty members.

- The Academic Excellence Program conducts student-led sessions to encourage students to work together as they learn material in core chemistry, mathematics, and physics courses. A schedule is available at:

http://www.hmc.edu/academicsclinicresearch/academicresources/learning_programs1/academicexcellenceprogram.html

- The Writing Center is staffed by trained student consultants who help other students improve their writing process through individual consultations. Students can make appointments at:

<http://www.hmc.edu/academicsclinicresearch/academicresources/learningprograms1/writingcenter.html>

- The Office of Career Services provides career guidance and job and internship resources for students.

<http://www.hmc.edu/about/administrativeoffices/careerservices.html>

- The Associate Dean for Academic Affairs works with students who are on Probation or Warning or who have issues that may affect academic performance.

<http://www.hmc.edu/about/administrativeoffices/academicaffairs.html>

- The Harvey Mudd College Associate Dean for Student Emotional Health and the The Claremont Colleges Monsour Counseling Center provide short-term mental health counseling and emergency services. Contact information is available at:

<http://www.hmc.edu/studentlife1/claremontcolleges1/studentservices.html#health>

Faculty members who suspect that a student is undergoing academic, personal, or psychological struggle should consult with the Associate Dean for Academic Affairs or the Associate Dean for Student Emotional Health.

7.3.2 Faculty Resources

Teaching activities at the college are supported by college-wide and departmental resources and programs. Each department has a mentoring program for new faculty members, and mentors may be another good source of advice on developing teaching skills.

The Teaching and Learning Committee website describes programs through which faculty members may get constructive feedback on their teaching from colleagues and learn about effective pedagogical methods:

<http://www.hmc.edu/about/administrativeoffices/deanoffaculty1/acadcomm/tlc.html>

Logistical support for teaching is provided through:

- The Sakai Collaborative Learning Environment, which can be used to post class resources and encourage student interaction. Sakai sites for all classes are automatically created at the beginning of each semester. Workshops on using Sakai are conducted by Computing and Information Services (CIS). The Sakai home page is at:

<http://sakai.claremont.edu>

- The Educational Technology and Media Services personnel in CIS, who support the use of new teaching technologies and presentation equipment in classrooms. Specific resources may be requested by email to av-request@hmc.edu or with a form available at:

<http://www.hmc.edu/about/administrativeoffices/cis1/audiovisualoffice1.html>

- The Assistant Vice President for Institutional Research in the Office of the Dean of Faculty, who can assist faculty members with institutional research and assessment questions.
- The librarians at the Claremont Colleges Library:

<http://voxlbris.claremont.edu/contact/directories/librarians.asp>

<http://voxlbris.claremont.edu/>

- Student graders and laboratory assistants, who are made available at the discretion of departments. Student graders should be asked to grade homework only, not examinations.
- Student rosters and photos, which are available on the Portal and on Muddshots, a site maintained by CIS (internal.hmc.edu/dir/courses/)

<http://www.internal.hmc.edu/dir/courses/>

7.4 EVALUATION OF COURSES

Student evaluation of courses is administered through the office of the Dean of Faculty. Because ability as a teacher is the primary criterion in the reappointment, promotion, and tenure process, all faculty members who are not tenured full professors are evaluated in each class every semester, although student evaluations are not the only means by which ability is assessed. Tenured full professors are also encouraged to seek student evaluations each semester, but they must be evaluated at least every third semester of full-time service. Evaluation forms for each course are distributed to instructors, but the process should be administered by a student in the course according to instructions included with the forms.

Faculty members are encouraged to seek feedback on teaching outside of the official college-run process that is used for evaluation of teaching. The collected information need not be shared with others. Most instructors conduct mid-semester evaluations in their classes, and the Teaching and Learning Committee website has a sample form that may be used for this purpose:

<http://www.hmc.edu/about/administrativeoffices/deanoffaculty1/acadcomm/tlc1/links/feedback.html>

7.5 STUDENT RIGHTS WITHIN COURSES

7.5.1 Involuntary Disenrollment from a Course

The Harvey Mudd College Student Handbook contains a policy for the involuntary disenrollment of a student from a course. For the convenience of faculty members, that policy is quoted in full here:

When a prompt response may be essential, the Dean of Faculty has the authority to intervene in cases in which a student, after warning from the instructor, continues to engage in conduct which results in the substantial impairment of teaching or learning in a course.

In such rare cases, the Dean of Faculty will interview the student, the instructor, other students in the course, and any additional persons deemed relevant, to determine a course of action—up to and including an involuntary withdrawal from the course. The student may invite any member of the HMC community to act as an advocate on his/her behalf.

This process is intended to remedy a situation which is disturbing the educational opportunities of other students and should not be interpreted as a disciplinary process. It thus does not preclude a case being filed with the appropriate judicial body if any party believes that the disruptive conduct constitutes a violation of any college code or policy.

7.5.2 Grade Changes and Disputes

7.5.2.1 Grade Changes

In case an error has been made in determining, reporting, or recording the grade in a Harvey Mudd College course, a change of grade form must be submitted to the Registrar by the instructor. If the change of grade occurs beyond the end of the semester immediately after the course was taken, the Registrar must submit the request for change to the Scholarly Standing Committee for its approval.

7.5.2.2 Grade Disputes

A student with a grade dispute is encouraged to seek a satisfactory settlement with the faculty member teaching the course. If this is not successful, he/she may ask the department chair or the Dean of Faculty to mediate the dispute. If no agreement is reached, the student may appeal to the Scholarly Standing Committee in cases of alleged incorrect, arbitrary, or capricious grading. The Scholarly Standing Committee will:

- Request the department head (or the Dean of Faculty should a department head be party to the dispute) to investigate the facts of the case and to make a recommendation;
- If still necessary, interview the appellant(s) and faculty member(s) involved, in the presence of each other whenever possible;
- If still necessary, hold its own private deliberation and take action by majority vote.

The Scholarly Standing Committee may elect to uphold the grade or to make an appropriate change. Before the final action of the Scholarly Standing Committee, the committee does not disclose the identities of the disputants nor make any public statement about the case in its minutes or elsewhere, beyond acknowledging that an appeal is in progress.

The final action and report of the committee is communicated to the disputants and to the immediate administrative superior of the faculty member involved. A summary of the action, excluding names, is included in the minutes of the committee. The report itself is kept in the committee files.

By action of the Academic Deans Committee, grievances concerning grades in cross-registration situations are handled by the procedures of the college sponsoring the course. See Section 7.6.2 for policies regarding academic dishonesty cases.

7.5.3 Student Rights: FERPA

The Family Educational Rights and Privacy Act of 1974, informally known as the Buckley Amendment or FERPA, affords students certain rights regarding their educational records. The primary purpose of this legislation, as it affects the college, is to permit students the “right to inspect and review all official records, files, and data directly related” to them and to deny access to others without written consent of the student except under limited and specific circumstances. Access to a student’s file is available to faculty members and other authorized college personnel.

These restrictions on the release of student grade reports preclude both posting grades and allowing general access to graded papers that carry a letter grade and/or considerable qualitative criticism. Such restrictions do not apply to weekly problem sets carrying numerical evaluations or short tests that have no major bearing on a final grade.

For a fuller discussion of FERPA, see “Notification of Student Rights” in the Harvey Mudd College Student Handbook, or see the full text of the college’s FERPA policy at:

<http://www.hmc.edu/about/administrativeoffices/dos1/studenthandbook1/policies1/ferpa.html>

7.6 THE HONOR CODE

The Honor Code describes student-developed standards for academic and personal integrity. Its rules and procedures are described in the Harvey Mudd College Student Handbook:

<http://www.hmc.edu/about/administrativeoffices/dos1/studenthandbook1/policies1/studentconduct.html>

7.6.1 Faculty Obligations to the Honor Code

Although cases of suspected academic dishonesty are handled by the student Honor Board, faculty members have responsibilities under the Honor Code. The Honor Code states that a student is to self-report to the Judiciary Board (JB) Chair when he/she has committed a violation. However, an instructor who suspects a violation should discuss the matter with the JB Chair directly, either before or after bringing the issue to the attention of the student. An instructor may reach an out-of-court settlement with the student; this should always be done in consultation with the JB Chair so that any previous violations may be accounted for. In all cases, the final settlement must be reported to the JB Chair to be included in Honor Board records.

Instructors should be clear in their syllabi about what constitutes fair collaboration and fair use of materials. The Honor Board has developed standard language that faculty members may include on syllabi or appropriately modify for specific courses (see Appendix 3: Honor Code Policies for Course Syllabi). This document also specifies the assumptions that the Honor Board will make about fair conduct in the absence of such language in a syllabus.

Faculty members should communicate to students in writing which resources are and are not allowed during a take-home exam, and how much time is permitted (including whether breaks are allowed).

7.6.2 Honor Code Cases Involving Cross-Registration

By action of the Academic Deans Committee, a student charged with academic dishonesty in a course taken outside his/her home college shall be tried according to the procedures for handling such cases in the home institution. An instructor is obligated to accept the decision of the student's college and may not impose a penalty should the appropriate hearing panel fail to find guilt. Any student grievance concerning a grade given by an instructor as a result of such a hearing decision will also be handled according to the rules of the student's home college.

7.7 GRADUATE UNIVERSITY RELATIONSHIPS

Where Harvey Mudd College shares areas of instruction with the Claremont Graduate University and/or the Keck Graduate Institute, the college may contribute teaching

services to the graduate institutions. In addition, members of the Harvey Mudd College faculty may be eligible for membership in a graduate faculty. The Harvey Mudd College Dean of Faculty should be consulted for the details of these arrangements.

SECTION 8. SCHOLARLY ACTIVITY

(Section Revised May 2010)

8.1 THE IMPORTANCE OF SCHOLARLY ACTIVITY

Scholarly activity accords with the primary purpose of the college, which is to provide the best undergraduate education possible for the students. A vigorous program of scholarly activity enhances student education and training by, for example:

- Increasing the professional competence and the enthusiasm of faculty;
- Providing current examples of the application of principles and techniques;
- Providing opportunities for students to participate in scholarly activity.

Student participation should:

- Provide mutual benefit to projects and students;
- Be encouraged when it is compatible with the nature or the difficulty of the activity.

8.2 SOURCES OF SUPPORT

8.2.1 External Funding

Most financial support for research and professional activities at the college comes from outside sources, such as private corporations and foundations and state and federal agencies, including the National Science Foundation, the Department of Education, the Howard Hughes Medical Institute, the National Institutes of Health, and NASA. Joint programs involving work with other colleges or universities or with private companies are also encouraged. The Dean of Faculty and the Office of College Advancement can assist a faculty member in identifying potential sources of funds and in completing proposals.

8.2.2 Internal Funding

8.2.2.1 College Research Support

The college has several internal sources of funding to support faculty and student scholarship. These sources include endowed research funds, annual gifts and grants from foundations, and other special funds. Some of these funds are distributed by the Research Committee, while others are distributed by specific groups such as the Center for Environmental Studies. The Research Committee and other groups managing internal funds send a solicitation for proposals to the faculty each year. A page on the college website is updated each year to reflect current funding for scholarly and creative activity:

<http://www.hmc.edu/about/administrativeoffices/deanoffaculty1/grants1/internal.html>

Additional support, such as the Clinic Professional Development Fund, is available from some departments. Information about these funds may be obtained from department chairs.

8.2.2.2 Summer Research Grants

The college regularly supports faculty and student research in the summer through grants from special research funds administered by the college and by some individual departments. The grants are competitive in nature and are intended to further the education of students and the training of faculty members in their individual capacities. They do not represent compensation for services rendered or for future services to be rendered. In addition, any allowances specifically designated for travel, equipment, etc., are not considered to be taxable income, provided these allowances are actually used for their intended purpose as described in a proposal.

8.2.2.3 Beckman Faculty Research Incentive Awards

Faculty Research Incentive Awards—supported by income from the Arnold and Mabel Beckman Research Grant Program endowment fund—provide a tangible form of recognition to faculty members who raise outside funds in support of on-campus student and faculty research. To be eligible, a faculty member must receive a new grant for research from an agency outside both the college and The Claremont Colleges. The award must be for research, and the proposal must go through the normal faculty proposal process. The principal investigator must be a tenure-track or tenured member of the faculty. Multi-year grants are eligible for only one incentive award even when the funds are released one year at a time. However, a totally new grant to extend an ongoing project is eligible for an incentive award.

Incentive awards are a supplement to the grants received by faculty members. While these awards cannot support faculty stipends, they may be used for such purposes as the purchase of equipment, books, or supplies; travel; or student assistance. Funds need not be expended in the year awarded. The awards are given each year in late summer on a fiscal-year cycle. Co-authors of a successful proposal must themselves decide how to share the award.

For grants supporting faculty and student salaries, incentive amounts are:

- \$500 for grants \$5,000 but less than \$50,000
- \$750 for grants \$50,000 but less than \$100,000
- \$1,000 for grants exceeding \$100,000

All equipment grants exceeding \$5,000 are supplemented by a \$500 incentive award.

No faculty member shall receive more than \$1,000 per year in incentive awards. These awards cover only faculty fund raising for research. There are no supplements for clinics, for on-campus consulting through the college, for the sale of college-developed software, and for private foundation proposals submitted by the President and the Office of College Advancement. These awards do not recognize fund raising for non-research purposes such as scholarships, curriculum or faculty development, training programs, or seminars on campus.

8.2.2.4 Faculty Travel

Each department has a travel budget to support travel to professional meetings. The department chair or department administrative assistant should be consulted well in advance of a proposed trip. In addition, a travel budget is maintained by the Dean of Faculty to provide support when the departmental budget is insufficient. From this budget, priority is given to faculty members actively participating in meetings, to junior faculty members, and to special travel needs.

Information on travel advances, travel insurance, and car rentals is available in the Office of the Dean of Faculty.

8.2.2.5 The Mudd European Travel Fund

The Harvey S. Mudd Memorial Fund provides approximately \$3,000 per year to support research or study in Europe or to bring scholars from England or the Continent to Claremont. The fund is open, in order of preference, to students, recent graduates, and faculty members. Requests for awards must be made in writing to the Dean of Faculty and must explain the purpose for which funds are requested, the amount requested, and any other funds which may (or will) be used for this purpose. The awards committee consists of the Dean of Faculty and the Dean of Students. Under the terms of the gift, preference is given to proposals involving research in fields relating to mining engineering (materials science, for example), but all proposals are considered to the extent that funds are available.

8.2.2.6 Support for Page Charges

Upon approval by the Dean of Faculty, the college may pay all or a portion of journal page charges. Requests for this purpose should be made as far in advance as possible. It is expected that page charges will be paid for by an outside funding agency if at all possible.

8.3 CONSULTING

Consulting is a form of scholarly activity. During the nine-month academic year, a full-time faculty member may consult up to one day per week (or teach one course per semester at other institutions). Such employment must be scheduled so as not to interfere

with duties at Harvey Mudd College and should be consistent with the faculty member's professional commitment to the college. Consultation and outside teaching assignments must be reported to the faculty member's department chair and the Dean of Faculty.

8.3.1 Negotiating Consulting Contracts

Consulting is usually arranged privately between an outside organization and an individual faculty member. Occasionally, however, an industrial firm or a government agency seeks to establish a consulting arrangement through the college. The college has established the following procedure when such a request is made:

1. All consulting contracts must involve research or design activity that supports the mission of the college. The work should provide opportunities for professional development of the faculty, staff, and students working on the project.
2. The college overhead is at least 20 percent of the total grant (excluding capital equipment purchases) for work done on campus and 10 percent for work done exclusively off campus. These funds are transferred to the college automatically as payments are received. The college is responsible for providing normal overhead services such as space, library services, utilities, marketing and administrative support, and general accounting. Contracts will include a liability limitation agreement comparable to that used in the standard clinic contract.
3. There is an administrative fee of 10 percent of the total grant (exclusive of capital equipment purchases) for work done on campus. These funds are transferred to a restricted department account automatically as they are received. The department handles billing for all work and is responsible for any losses due to budget overruns or unpaid client bills. The department also pays any legal fees or other unbudgeted direct expenses from this restricted account.
4. Consulting contracts are normally budgeted to include charges for any supplies, telephone tolls, clerical services, computer time, shop services, and any other direct expense anticipated for the project. Major pieces of equipment budgeted for the project may be purchased with the contract funds and normally become the property of the client when the project is completed.
5. Salaries for students follow the standard college student pay rates. Salaries for faculty members are based on one of two options. The first option is released time. Under this option, the client pays one-sixth of a faculty member's salary for each course of released time granted to the faculty member. The second option is per diem compensation. Under this option, the faculty member is paid a daily consulting rate for up to one day of

work per week during the academic year, and up to five days per week in the summer. There are normal charges for fringe benefits on all faculty and student salaries using the fringe benefits pool rate.

6. Before being accepted, each consulting contract must be approved by the principal investigator, the department chair, the Dean of Faculty, the Treasurer, and the Vice President for Advancement, or their designees. Contracts that specify research on human subjects, including using Harvey Mudd College students as research subjects, must also be approved by the Institutional Review Board (see section 2.4.2).

8.4 PAID NON-TEACHING ASSIGNMENTS

Faculty members may undertake paid non-teaching assignments on campus during the academic year provided these assignments are externally funded and have the approval of the Dean of Faculty. The time spent on such assignments plus outside consulting should not exceed one day per week.

8.5 POLICIES APPLICABLE TO RESEARCH AND CONSULTING

8.5.1 Scientific Conduct

The definition of inappropriate scientific conduct covers a wide variety of practices, including but not limited to the following: fabrication, falsification, plagiarism, deception, intentional deviation from standard practices involving credit for work performed or not performed, and failure to comply with federal and other requirements affecting specific conduct of research such as the protection of research subjects.

There are certain standards within the scientific community, which are essential to ensure the quality and integrity of research. It is important that new investigators (students, research assistants, and postdoctoral fellows) be introduced to scientific research by experienced members of the college. The guidelines for research conduct include, but are not limited, to the following:

1. Mandatory supervision of each junior investigator (student, research assistant, or postdoctoral fellow) in any research unit. The number of investigators supervised should be small enough to insure adequate control. Supervisors should not place unreasonable expectations on the investigators which could lead to falsification of data.
2. Each investigator must retain the original primary data generated by his or her research unit, and original experimental results should be recorded in an organized form. Primary data should remain in the area assigned to the research unit at all times and should be kept for a reasonable period of time.

3. The senior investigator shall assume responsibility for the integrity of the work done and for the integrity of the way it is reported. Every co-author who has made a contribution to the study and manuscript must have the opportunity to review the manuscript prior to submission for publication.
4. Faculty must disclose in advance any proposed activities that might present a conflict of interest or commitment, including any financial interest. The college will provide a person or persons who can act as adviser as to what constitutes conflict of interest and screen and monitor proposed agreements with industry or outside agencies.

Any member of the college community may bring a complaint of scientific misconduct before the Dean of Faculty. The Dean of Faculty will, in turn, present the complaint to the Faculty Research Committee (excluding the dean, who serves as an ex-officio member on that committee) for review. If the complaint is found to be without substance, the committee will report this finding to the dean and no further action will be taken. If the complaint is considered worthy of further review, the dean will consult with the individual(s) and provide such individual(s) with the opportunity to present an explanation of the matters at issue. In all instances, every attempt will be made to protect the due process rights of the accused and to insure the confidentiality of the review process.

The dean will relay the response of the individual accused of misconduct to the Research Committee, which will decide whether a full investigation and hearing are warranted. In the event of a full investigation and hearing, the college may take interim action against any faculty member to prevent violations of the law; to protect the health, safety and welfare of research subjects, other researchers or bystanders; and to protect property. Normally, any funding agency or journal affected will be notified at the conclusion of the investigation if the occurrence of improper conduct has been determined.

If an investigation is deemed necessary, the chair of the Research Committee shall give the researcher(s) specific notice of the allegations of scientific misconduct against him or her, and of the possible sanctions that might be imposed by the President if the allegations are proven true. In this notice, the chair shall indicate the proposed date, time and place of the hearing before the Hearing Committee. The Hearing Committee shall consist of three faculty members. Faculty members on the Research Committee (other than the chair) will automatically serve on the Hearing Committee; the remaining member(s) shall be elected from the Faculty Executive Committee by the faculty members of the Faculty Executive Committee. An untenured member of the Research Committee or the Faculty Executive Committee may decline a position on the Hearing Committee if he or she feels strongly that his or her professional career may be jeopardized. If possible, the hearing should take place within thirty days from the delivery of the notice. The chair of the Research Committee shall take charge of the investigation on behalf of the complainant and the college. The researcher and the college must notify each other of the identities of the proposed witnesses at least five days prior to the hearing.

The chair of the Hearing Committee, elected by and from the Hearing Committee members, may at his or her discretion permit additional witnesses to testify. Unless both parties waive the requirement, notice of this decision must be given at least five days before the witnesses are called to testify. The purpose of the hearing is to give the researcher and the college the opportunity to present their cases. Both may submit written arguments concerning any related matters, and the chair of the Hearing Committee may request such written arguments. The hearing shall be conducted informally, and technical rules of evidence and procedure shall not apply. Nonetheless, both the researcher and the college may opt to have attorneys present. Both parties must be notified in writing at least five days in advance if an attorney is to be present. The hearing will be closed unless both parties agree that it be open.

Subject to the standards of fairness, the Hearing Committee shall consider the existing record in the case together with the oral, written or other evidence admitted. The researcher and the college may introduce witnesses who may be questioned by members of the Hearing Committee and by the researcher, the college and/or their representatives (such as legal counsel). The burden of proof is on the college to establish its allegations by clear and convincing evidence.

Unless the Hearing Committee gives notice that a delay is possible, the report will be sent to the President within thirty days of the final completion of all hearings in the case. In its report, the committee will recommend to the President either that there are no grounds for sanctions, or that certain sanctions should be imposed, or that one or more of several alternative sanctions should be considered. Such sanctions include, but are not limited to, dismissal from any or all positions within the college, withholding of research funds, temporary or permanent suspension from any or all research, and written or oral reprimands. Committee recommendations must be accompanied by specific findings of fact and explanations of the recommendation of sanctions. A copy of the report must be sent to the researcher or his or her representative or counsel at the time that it is transmitted to the President.

The President shall consider the recommendations of the Hearing Committee in making a final decision on whether sanctions should be imposed on the researcher, and if so, what those sanctions should be. If possible, the President's decision should be made and transmitted to the researcher and the Committee within ten days of receiving the Committee's report.

8.5.2 Intellectual Property

8.5.2.1 Ownership of Intellectual Property

All faculty members and students of Harvey Mudd College have full ownership of any intellectual property that they produce during the course of their involvement with the college, except when external sponsorship of the work requires the assignment elsewhere,

as in clinic projects, and/or the individual(s) and the college have entered into specific written agreements to the contrary.

Written agreements assigning ownership of the intellectual property of the college may be required when the college is sponsoring the work directly, through release time or faculty research grants for example, or when the college is providing facilities or equipment specially acquired, altered, or assigned for the purpose of carrying out the work. The request for sponsorship, either internal or external, or the need to acquire or use special facilities will typically invoke a review of the possible need for a written agreement. The Dean of Faculty will oversee the review and, in collaboration with the Office of Business Affairs and the President's Office, will execute written agreements when appropriate and according to the spending limitation authorization policy as adopted by the Board of Trustees. When such an agreement is executed, all resulting royalty and license revenue, net of directly attributable development and promotion costs, will be shared 50 percent by the author(s)/inventor(s) and 50 percent by the college, unless otherwise stipulated. Should the participants in the work wish to appeal the dean's proposed agreement, a hearing board composed of the President, the Chair of the Faculty, and the Treasurer will hear the appeal.

When there is a written agreement, or upon the request of the author(s)/inventor(s), the college may choose to employ its best efforts, either directly or through an agent such as a publisher or the Research Corporation, to protect the intellectual property through copyright or patent and to develop its full revenue potential.

Unless otherwise stipulated in the agreement, the college may employ such property on a royalty-free basis during the development process, but the author(s)/inventor(s) will receive their full share of royalty revenue from college use once the property becomes a commercial product.

If there is a written agreement, but the college declines to exercise its option to protect the property and to initiate the development of its revenue potential within the time frame stipulated within the agreement, ownership shall revert to the author(s)/inventor(s), and the faculty or students involved are encouraged to protect and develop their property themselves.

8.5.2.2 Procedures

If the college chooses to pursue the patentability of intellectual property, it may do so by employing its own lawyers or through the services of Research Corporation for Science Advancement (RCSA):

<http://www.rescorp.org/>

In the latter case the college has entered into an agreement with RCSA to provide management services for intellectual property so as to assist employees with their inventions. Basically, the agreement provides that employees may submit their inventions

to RCSA for evaluation. If the evaluation is favorable, RCSA will enter into a letter agreement with the inventor. RCSA, at its own expense, will file patent applications covering the invention and will use its best efforts to introduce the invention into public use and to secure a reasonable revenue therefrom by issuing licenses or otherwise. Under the terms of the agreement, RCSA will pay to the college the first 15 percent of the gross revenue it receives from the invention. After the deduction of certain RCSA expenses, the remainder of the revenue will be divided equally between RCSA and the college.

Unless other arrangements are agreed upon by the college and the inventor, all revenue received by the college from RCSA will be distributed as follows:

1. Full reimbursement is made to the college of any identifiable expenses incurred in creating the intellectual property (unless prior agreement to the contrary has been reached);
2. Of the remainder, 70 percent is paid to the person or persons developing the patent or copyright, 20 percent to the college, and 10 percent to the college department or departments of such person or persons.

Employees desiring further details on the arrangement with RCSA may secure copies of the agreement from the Dean of Faculty.

8.5.3 Financial Disclosure Policy

8.5.3.1 Definition and Terms of Disclosure for Principal Investigators Submitting Proposals to the National Science Foundation

A conflict of interest may take various forms, but it certainly arises when an investigator is or may be in a position to influence such operations as the business of the college, research activities, or other decisions in ways that could lead to any form of personal gain for the investigator and/or any member of the investigator's family (spouse and/or dependent children). A financial disclosure is required to reveal all significant financial interests of an investigator (and his/her spouse and dependent children) that would reasonably appear to be directly and significantly affected by research or educational activities funded or proposed for funding by the National Science Foundation. The term "significant financial interests" encompasses any item of monetary value, including but not limited to salaries and payments for services (e.g., consulting fees, honoraria); equity interests (e.g., stocks, stock options, ownership interests); and intellectual property rights (e.g., patents, copyrights, royalties). Income from public or nonprofit institutions for seminars, lectures, and/or service on advisory or review committees is excluded from disclosure. Financial interests in business enterprises are also excluded if the composite value of such interests for the investigator, spouse, and dependent children is less than \$5000 or represents less than a 5 percent ownership. This statement of financial

disclosure is to be completed by all investigators of research projects funded or proposed for funding by the National Science Foundation. It is available from the Office of the Dean of Faculty or on the college website:

<http://www.hmc.edu/about/administrativeoffices/deanoffaculty1/fnb1/organdinfo1/findiscform/findisc.html>

The term “investigator” is interpreted to mean a principal investigator, co-principal investigator, or any other employee of Harvey Mudd College responsible for the design, conduct, and/or reporting of research or educational activities funded or proposed for funding by the National Science Foundation.

8.5.3.2 Procedures for Financial Disclosure

A statement of financial interests is to be submitted to the Dean of Faculty at the time of submission of a proposal for funding to the National Science Foundation, on an annual basis upon award of funding, and at the completion of the project. The Office of the Dean of Faculty will call for annual updates as required. Financial disclosures should also be updated as new significant financial interests are obtained. As potential or actual conflicts of interest arise, the Dean of Faculty will determine the conditions or restrictions to be imposed to manage, reduce, or eliminate actual or potential conflicts of interest, including one or more of the following:

- Making public disclosures of the significant financial interests;
- Monitoring of the research activities by independent reviewers;
- Modifying the research plan or disqualifying the investigator(s) from participation in the portion of the NSF-funded research that would be affected by the significant financial interests;
- Securing the divestiture of the significant financial interests or a severance of the relationships that create actual or potential conflicts.

If the Dean of Faculty determines that the institution of conditions or restrictions on the investigators would be ineffective or inequitable, or if they would have a negative impact of scientific progress, technology transfer, or public health and welfare, then the dean may allow the research to proceed without imposing such conditions or restrictions on the investigators. Failure to disclose financial interests that would reasonably appear to be directly and significantly affected by the research or educational activities funded or proposed for funding by the National Science Foundation or to comply with imposed restrictions would lead to a review and possible sanctions as outlined in the Faculty Notebook (see section 8.5.1). The National Science Foundation will be informed of all instances in which the institution finds that it is unable to satisfactorily manage an actual or potential conflict of interest. Records of all financial disclosures and of all actions taken to resolve actual or potential conflicts of interest will be maintained until at least three years after the later of the termination or completion of the award to which they relate or after the resolution of any government action involving those records.

8.5.3.3 The Responsibilities of the Dean of Faculty

The Dean of Faculty is identified as the responsible official for overseeing institutional policies regarding the college's Principal Investigator Financial Disclosure Policy. The Dean shall:

- Certify, as required, that the institution has implemented a written and enforced conflict of interests policy that is consistent with NSF policies;
- Secure and review financial disclosures at the time that proposals are submitted to the NSF;
- Certify that, to the best of his/her knowledge, all financial disclosures required by that conflict of interest policy have been made;
- Resolve actual or potential conflicts in accordance with the college's policies or inform the National Science Foundation of conflicts that are not resolved to the satisfaction of the institution;
- Maintain records until at least three years after the later of the termination or completion of the award to which they relate or after the resolution of any government action involving those records;
- Call for the annual update of disclosures.

SECTION 9. SERVICE

(Section Revised May 2010)

9.1 SERVICE EXPECTATIONS

Faculty members at Harvey Mudd College engage in a wide variety of service to the institution. This service varies from elected or appointed leadership positions, such as department chair, faculty chair, associate dean, or clinic director; to work on standing or ad hoc committees; to faculty and student mentoring activities; to individual initiatives, such as representing the college at professional conferences or in the context of advancement and admissions events. As the reappointment, promotion, and tenure guidelines in this Faculty Notebook suggest, effective service to the institution is a responsibility for faculty members and a necessary component of successful faculty governance (see sections 4.4.1 and 4.4.3).

Within this variety of service opportunities, active participation in two kinds of service—committee membership and student advising—is required of all faculty members. There are two exceptions to this requirement. So that they can engage fully in course development and professional activities, faculty members in their first year of employment at the college are not required to serve on committees or carry an advising load. Faculty members on sabbatical or leave are not required to engage in institutional service.

9.1.1 Committees

As described in section 2.3, the Faculty Executive Committee assigns faculty members to all non-elected, faculty-standing and ad hoc committees. Committee members should attend regularly and contribute to the work of the committee. Faculty members who would like to serve on a particular committee should communicate that interest to the Chair of the Faculty, who will in turn communicate it to the Faculty Executive Committee as it prepares to make committee assignments in the spring semester. The Faculty Executive Committee makes every attempt to assign faculty members to a single committee each year, but in some cases multiple assignments cannot be avoided.

9.1.2 Advising

All students have multiple advisers during their time at the college. This practice ensures that students will receive specialized guidance for each part of the college's curriculum, including the core; the humanities, social sciences, and the arts; and the academic major. This advising system connects students directly to faculty members who can provide year-specific guidance that will ensure that students benefit from the educational opportunities and resources in place at the college.

Faculty members participate regularly as core advisers, as well as serving either as a humanities, social sciences, and the arts adviser or as a major adviser. The Harvey Mudd

College Advising Handbook contains extensive information for advisers, as does the Humanities, Social Sciences, and the Arts Advising Handbook. These documents are available at:

<http://www.hmc.edu/about/administrativeoffices/deanoffaculty1/advising.html>

<http://www.hmc.edu/files/humanities/Advising%20Handbook>

SECTION 10. SAFETY

(Section Revised June 2005)

10.1 SAFETY

Safety hazards exist in any organization, and correcting unsafe practices must be a continual commitment for everyone. In addition to normal hazards such as stairwells and boilers, Harvey Mudd College as an educational institution has other hazards such as chemicals, power machinery, sailboats, high voltages and fields, low temperatures, and radioactive materials.

It is college policy to teach students how to deal safely with apparatus and equipment as part of their professional training. But the habit of safety—of knowing what can go wrong, avoiding risks, and knowing what to do when an accident does occur—serves each of us well and will serve our students and those who work with them throughout their professional careers.

National Safety Council studies show that safety programs reduce injury rates. Moreover the college is required to meet minimum health and safety standards as specified by both federal and state law. In accordance with Title 8, Section 3203 of the California Code of Regulations, Harvey Mudd College has adopted a written Injury and Illness Prevention Program. This program is available for review in the office of the Dean of Faculty. The program establishes procedures for the identification and correction of workplace hazards and safety training for employees. An Employee Safety Committee has also been established with the approval of senior staff to assist in the administration of the college's safety program. Members of the Safety Committee are employee volunteers.

Safety Policy

The following statements on Harvey Mudd College safety policies have been adopted by the Board of Trustees.

1. Students, faculty members, and employees have the right to expect a safe place in which to study and to work.
2. It is the college's desire to provide a safe work place with safe equipment for its employees and to establish and insist upon safe methods and practices at all times.
3. It is the basic responsibility of all faculty and staff members, and in particular all supervisors, to make the safety of other human beings their concern, whether in offices, on the grounds, in classrooms, laboratories, or other places of work.

4. This responsibility is shared by everyone who has a part in the affairs of the college.
5. It is the policy of the college, therefore, to provide and maintain safe and healthful working conditions and to follow operating practices that will safeguard all employees and result in safe working conditions and efficient operations.
6. The supervisor, whether instructional or staff, is the key person in the safety program because of constant contact with students and employees. The responsibility can be met only by continuing to promote safe work practices.
7. Safe practices on the part of college employees and students must be part of all operations, including residential living on the campus.

EMERGENCY COMMUNICATIONS

Student Medical Service	Ext. 72252
Campus Safety	Ext. 72000/18170
Fire Department Paramedics	624-9671

All emergency and hazardous conditions should be reported immediately to campus safety at extension 72000.

Safety concerns and safety issues may be reported to CUC, Manager of Environmental Health and Safety, Anthony Pennington, at extension 18538 and to the HMC Safety Coordinator, Roland Phillips, at the Facilities and Maintenance Department, extension 70403.

General Safety Practices for Shop and Laboratory Areas

- No smoking.
- No food or drink.
- Minimum wearing apparel includes a shirt/blouse, pants/skirt, and shoes with tops.
- Safety or personal prescription glasses must be worn at all times.
- At least two people must be in the work area at all times.

Performance of unauthorized experiments, or unauthorized removal of equipment or chemicals from a laboratory, are cause for dismissal from the course and possibly from the college.

Regulations for Biology Laboratory Areas

1. At the first meeting of each laboratory or research course, the instructor will review the emergency instructions and indicate where copies are posted.
2. The instructor will announce the times when the laboratory safety standards of Harvey Mudd College are applicable. These are determined by the nature of the work to be performed
3. No food or beverages are to be consumed in the biology labs, even when the college standards are inapplicable.
4. Specific standards for intertidal field trip (Biology 54):
 - a. All participants are to wear sneakers and full-length pants. Shorts, leather- soled shoes, and thong sandals are inappropriate.
 - b. No participant is to work alone near the water's edge.

Regulations for Chemistry Laboratory Areas

1. It is not advisable to wear contact lenses in a laboratory; glasses or safety glasses must be worn in the laboratory.
2. Long hair or loose clothing should be worn in a manner not presenting a hazard during the course of experimental work.
3. The general regulations are to be followed except in those areas where, on a daily basis, the instructor in charge determines and so states whether the day's activities may be at variance with the general regulations.
4. No work outside of normal working hours is permitted except by written permission of the instructor. Normal working hours are Monday through Friday, 8:00 a.m. to 5:30 p.m.

Harvey Mudd College has a Chemical Hygiene Plan, a CAL OSHA required document covering all employees of the college, which contains standard operating procedures for work with chemicals. There is also, a larger more comprehensive document, Safe Laboratory Practices in Chemistry, available that lists detailed information for the safe use of chemicals. Both documents are available on line at the Chemistry Department's website under "Resources", subcategory, "Safety". Penny Manisco is the Chemical Hygiene Officer. She may be contacted at extension 74217 or 18092.

Regulations for Engineering Laboratory Areas

1. When using both 110, 220 v. power, all connectors must be properly grounded and all instruments must be properly fused. Further, connection to higher voltage power sources must be supervised by Claremont University Consortium, Environmental Health and Safety.
2. When using compressed gases or house air above 20 psig., all hoses and connectors must meet the standards set out by the vendor and/or the appropriate codes. No proof testing of pressure vessels should ever be done with a compressible gas.
3. When using hydraulic fluids, care must be taken to ensure that the system does not leak by testing at lower pressures before proceeding to proof pressures. Appropriate connectors, valves, hoses, etc., should always be used.
4. When using rotating machinery, no loose clothing may be worn. Long hair should be tied back. All rotating elements must be surrounded by a protective shield to prevent accidental contact by the user, or to contain parts should the rotating element fail.
5. Before using hazardous materials, refer to the Material Safety Data Sheets for information regarding special handling, storage and disposal methods. The area containing the hazardous materials must be clearly marked, and special care must be taken to wear appropriate clothing.
6. It is the responsibility of the appropriate faculty supervisor to ensure that the testing and experiments performed under his/her direction, meet the appropriate safety standards.

Regulations for Physics Laboratory Areas

1. Physics laboratories generally have multiple voltage electrical mains. The voltages are 440 (30), 208 (30), and 120 volts. Personal injury and fire can easily result from plugging equipment into an incorrect main. If there is any doubt about the correct voltage to use, ask a professor to measure the voltage at the main.
2. Laboratories are equipped with air and gas. Both are under pressure and should be used with care. The same applies to cylinder gas and liquid gas containers.
3. Some experimental work requires the use of radioactive materials or x-rays. This is a special case and all persons must follow the Radiation Safety Manual available in the Physics Department office and stock room.

Professor Richard Haskell is the Radiation Safety Officer. He may be contacted at extension 72768 or 18024.

Fire Procedures

In the event a fire or smoke is detected in a building, remember that protecting lives is the primary concern. Fire extinguishers and fire hoses are placed in all buildings for the suppression of minor fires only. Sound the alarm system at the manual alarm station if the automatic alarm has not been activated. Fires should also be immediately reported to Campus Safety, Ext. 72000.

When the fire alarm is activated in your building, evacuate immediately. If you are in a room when the alarm sounds and if it is safe to do so, turn on the lights and close the doors and windows as you leave. Do not re-enter the building until officials in charge give approval.

Earthquake Procedures

Earthquakes occur every day in California, and several times a year there are strong earthquakes somewhere in the state. As a precaution, the number of items stored in overhead shelves should be minimized and the remaining items secured or retained to prevent them from falling in the event of a quake. If a serious earthquake occurs during normal working hours, the following procedures are suggested.

During an earthquake:

1. Remain calm
2. Do not exit building unless instructed to do so.
3. Get under a desk, bench, or table away from glass, shelves and heavy or electrical equipment. Interior doorways of the building should not be used for cover since they may not have the structural composition to provide adequate protection and mechanical equipment may be located directly overhead. If you are unprotected from falling debris, assume a crouched position with your back up and head down. Shield your head with your arms.
4. If you are outdoors, stay away from overhead utility lines and stand clear from buildings and trees.

After an earthquake:

1. An emergency command center will be established in Linde Activities Center.
2. Do not treat an injured person unless you are qualified to do so.

3. Do not move injured persons unless they are in immediate danger of further injury.
4. Report to an evacuation site and remain there until released.
5. In the case of evacuation, all faculty, staff, and students should report to the nearest evacuation site (as shown on the evacuation plan diagram on page 70). Faculty members with knowledge of first aid may be needed and should report their presence at the assembly site. As an added precaution, all employees are encouraged to keep emergency supplies in their cars or offices. These items might include a flashlight, blanket, first aid kit, and a small supply of water and some easily opened, non-perishable food.