



FACULTY HANDBOOK

July 2010

Office of the Dean of the Faculty



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CLAREMONT McKENNA COLLEGE FACULTY HANDBOOK

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Claremont McKenna College Faculty Handbook

Introduction

This version of the Claremont McKenna College Faculty Handbook is effective August 5, 2008. It is the hope of the College that members of the faculty will find this document a valuable resource that defines overall policies and procedures of the College. These policies have been created and/or modified to maintain the culture and spirit of the College while adhering to federal and state law, where applicable.

The by-laws of the College state that the Board of Trustees shall delegate to the faculty the responsibility to formulate and conduct educational policy subject to approval by the Board of Trustees. In other areas, except as otherwise provided in this Handbook, the College reserves the right to modify, amend, delete or add policies and procedures to the Faculty Handbook, although the College may consult with members of the faculty on those policy changes. Faculty members should note that additional policies and procedures that have been approved by the Dean's office and remain consistent with this Handbook may exist within specific departments.

Any questions regarding the interpretation of the policies and procedures outlined in this Handbook should be directed to the Dean of the Faculty.



CHAPTER 1

MISSION AND HISTORY OF CLAREMONT McKENNA COLLEGE AND THE CLAREMONT COLLEGES

CHAPTER 1: MISSION AND HISTORY OF CLAREMONT McKENNA COLLEGE AND THE CLAREMONT COLLEGES

1.1 MISSION OF CLAREMONT McKENNA COLLEGE

Claremont McKenna College (CMC) is a highly-selective, independent, coeducational, residential, undergraduate liberal arts college. Its mission, within the mutually supportive framework of The Claremont Colleges, is to educate its students for thoughtful and productive lives and responsible leadership in business, government, and the professions, and to support faculty and student scholarship that contribute to intellectual vitality and the understanding of public policy issues. The College pursues this mission by providing a liberal arts education that emphasizes economics and political science, a professoriat that is dedicated to effective undergraduate teaching, a close student-teacher relationship that fosters critical inquiry, an active residential and intellectual environment that promotes responsible citizenship, and a program of research institutes and scholarly support that makes possible a faculty of teacher-scholars.

To execute our mission, we seek to enroll a diverse student body, to recruit a diverse faculty and staff, and to place great value on respect for differences. (See Statement on Diversity and the Mission of Claremont McKenna College.)

1.2 HISTORY OF THE COLLEGE

Established in 1946, Claremont McKenna College has a curricular emphasis on economics, government, and public affairs. Unlike many other colleges, which champion either a traditional liberal arts education or the acquisition of professional and technical skills, CMC builds bridges between the two. By combining the intellectual breadth of the liberal arts with the more pragmatic concerns of public affairs, based on principles established by founding President George C. S. Benson, CMC helps students acquire the vision, skills, and values they will need to lead society.

Originally founded as Claremont Men's College, CMC became coeducational in 1976 and changed its name to Claremont McKenna College in 1981 in honor of one of its founding trustees, Donald C. McKenna. CMC currently has an enrollment of approximately 1,150 students and has over 10,000 alumni. About 75 percent of CMC graduates go on to advanced degrees at prestigious institutions, and one in eight graduates now holds a position in top management. In doing so, they also do honor to the Claremont McKenna College motto: "Crescit cum commercio civitas" (Civilization prospers with commerce).

CMC formed academic departments in the late 1960s and currently has eleven departments. It offers more than three dozen academic programs. CMC also houses ten on-campus research institutes, offering students and faculty the unique opportunity to merge research, teaching and learning.

Claremont McKenna College is accredited by the [Western Association of Colleges](#). The Western Association of Schools and Colleges (WASC) is one of six regional associations that accredit public and private schools, colleges, and universities in the United States, and is an institutional accrediting body recognized by the Council on Postsecondary Education and the United States Department of Education.

1.3 THE CLAREMONT COLLEGES

From its founding, CMC was part of the unique plan conceived by James Blaisdell, the President of Pomona College, to form a group of institutions, called The Claremont Colleges, with common resources. The Claremont Colleges now consists of a consortium of five undergraduate colleges, two graduate institutions, and a central organization that provides services shared by all students, faculty, and staff. Based on the Oxford/Cambridge model, The Claremont Colleges represent the only planned consortium in the United States, offering CMC students diverse opportunities and resources typically only found at much larger universities. The eight institutions support and strengthen each other to become more than the sum of their parts and all but one are located on adjacent campuses. The Colleges are nationally and internationally renowned for academic excellence. The Consortium includes Pomona College, the founding institution (established in 1887), Claremont Graduate University (1925), Claremont University Consortium (1925), Scripps College (1926), Claremont McKenna College (1946), Harvey Mudd College (1955), Pitzer College (1963), and the Keck Graduate Institute of Applied Life Science (1997). The Colleges not only share a library system, athletic facilities, and extracurricular activities, but also offer joint academic programs and cross-registration in courses. CMC faculty will often find that at least a few of their students come from other Claremont colleges. Currently the consortium has over 6,300 students and a combined faculty and staff of over 3,300 members. More than 2,500 courses are available to students in Claremont.

1.4 CLAREMONT UNIVERSITY CONSORTIUM

The Claremont University Consortium (CUC), founded in 1925, is the central coordinating institution of The Claremont Colleges. As such, CUC provides common services for the member institutions. These services include academic support operations such as the Libraries of The Claremont Colleges, Huntley Bookstore, and the Robert J. Bernard Biological Field Station. Student-related central services include the Offices of Black Student Affairs and Chicano/Latino Student Affairs, the Monsour Counseling Center, Student Health Service, and International Place

(operated on the CMC campus). Other central services include Campus Safety, Central Facilities, Central Mail Services, Financial Services, Information Services, Benefits Administration, and the Telephone Office. Each institution operates independently in fund raising, hiring staff, selecting students, devising curricula, and awarding degrees. There is a Chief Executive Officer who manages CUC operations and serves under the Council of Presidents of The Claremont Colleges. Administratively, the college presidents form the Council of The Claremont Colleges; the deans of the faculty form an Academic Deans Committee; and the deans of students collaborate in the Student Deans Committee. The colleges' registrars also participate in an intercollegiate council. The chairs of these committees revolve regularly among the members.

Cooperation among departments in the constituent colleges covers a wide range. Modern Languages are a cooperative effort involving all five Claremont colleges; intercollegiate departments include Asian American Studies, Black Studies, and Chicano Studies; intercollegiate programs include Asian Studies, Media Studies, Neuroscience, and Science, Technology, and Society (STS); there are some cooperative/coordinated programs or departments between two or more Claremont colleges, such as American Studies, Anthropology, Art History, Classics, Math and Computer Science, Gender and Women's Studies, and Religious Studies. Some departments, such as Mathematics, engage in informal cooperation with the other Claremont colleges in scheduling courses. Some academic disciplines in Claremont have "field committees," some of which work to minimize duplication of courses among the different institutions and to ensure that the needs of each field in Claremont are reflected in the appointments at the colleges. Additionally, CMC faculty members may be invited to teach at Claremont Graduate University in fields where graduate degrees are offered. Prior approval of the Dean of the Faculty is required.



CHAPTER 2

GOVERNANCE OF THE
COLLEGE AND THE
FACULTY

CHAPTER 2: GOVERNANCE OF THE COLLEGE AND THE FACULTY

2.1 BOARD OF TRUSTEES

The Board of Trustees is the legally responsible governing body of the College. Composed of approximately 40 voting members, it is a self-perpetuating entity that meets four times a year. The Board has several committees including a Committee on Academic Affairs that oversees the academic program of the College. The Board makes final decisions on faculty personnel matters such as appointment, promotion, tenure, and sabbaticals. The current Chairman of the Board is Harry T. McMahon '75. The President of the College is a member of the Board of Trustees.

2.2 ADMINISTRATIVE GOVERNANCE OF THE COLLEGE

According to the College's corporate by-laws, the officers of the College shall consist of (1) the President of the College, (2) the Vice President for Academic Affairs and Dean of the Faculty, (3) the Vice President for Development and External Relations, (4) the Vice President for Student Affairs, (5) the Vice President and Dean of Admission & Financial Aid, (6) the Vice President for Business and Administration, (7) the Vice President for Alumni Relations, and (8) such other officers as are appointed by the President with the prior approval of the Board of Trustees. The President may appoint "Associate" and/or "Assistant" officers of the College without such prior Board of Trustees approval, but the same shall be disclosed by the President at the next meeting of the Board of Trustees and shall be subject to the Board of Trustees post-appointment approval and ratification. Assistant and Associate Deans shall not be officers of the College. (The "Administration" web page is found at <http://www.claremontmckenna.edu/admin/>)

2.2.1 PRESIDENT OF THE COLLEGE

The Board of Trustees delegates to the President of the College the responsibility for managing the College's operations. The College's corporate by-laws state that the President of the College shall be the chief educational and administrative officer of the College which responsibility shall include the general supervision of discipline; subject to the approval of the Board of Trustees as provided in Article VII, Section 1, shall appoint the officers of the College; shall make recommendations to the Board of Trustees for appointments by the Board of Trustees to the faculty; and, except as otherwise directed by the Board of Trustees or the Executive Committee, shall perform the duties customarily performed by a college president. The President or his/her designee shall be Chairperson of the faculty. The President shall appoint all regular committees of that body with such

exceptions as the President may determine with the concurrence of the Board of Trustees. The President of the College shall also serve as President of the Corporation and is empowered and authorized to affix the signature of the Corporation, and a signature as President of the Corporation, to all documents to be signed in the name of and on behalf of the Corporation. The President of the College serves at the pleasure of the Board of Trustees, subject to contract, if any. The President's Office can be reached at ext. 18111.

The President is assisted in management responsibilities by the members of the Senior Staff, composed of the principal officers of the College, along with the Executive Assistant to the President; Associate Vice President for Admissions and Financial Aid; Dean of the Robert Day School of Economics and Finance; Associate Deans of the Faculty; Chief Technology Officer; Assistant Vice President for Public Affairs and Communications; and Assistant Vice President and Director for Human Resources.

2.2.2 DEAN OF THE FACULTY

The Office of the Dean of the Faculty is responsible, with the faculty, for administration of the academic program including the curriculum, academic personnel matters, research and research institutes, off-campus study, academic standards, institutional research, the Teaching Resource Center, and Claremont-wide academic programs including the libraries. The Dean of the Faculty Office consists of two Associate Deans, the Director of Academic Administration, and the Director of Academic Planning. The Office of the Dean can be reached at ext. 18117. Reporting to the Dean of the Faculty are:

- Office of Forensics, at ext. 72667.
- Office of Information Technology Services, at ext. 70911.
- Office of Institutional Research and the Office of the Registrar, at ext. 18101.
- Office of Research Institutes, at ext.18117.
- Office of Sponsored Research, at ext. 78055.
- The Center for Global Education, at ext. 18267.
- The Center for Writing and Public Discourse, at ext. 74142.

2.3 FACULTY GOVERNANCE (GENERAL)

It shall be the function of the faculty:

- to form such organization of the entire teaching staff, adopt such rules of procedure, and establish such committees as may seem appropriate;
- to initiate and recommend to the Trustees, or to approve directly or through its constituted committees, all policies and actions directly affecting the curriculum and other educational matters, including the establishment or

discontinuance of new courses or fields of instruction, all such action being subject to review and approval by the Board of Trustees;

- to select, when so requested by the Board of Trustees, special committees or representatives to advise with committees of the Board on any matter affecting the life and functions of the College.

By-laws of Claremont McKenna College, Article VIII, Section 2.

2.4 FACULTY MEETINGS

2.4.1 CALL FOR FACULTY MEETINGS

Faculty meetings are called by the Dean of the Faculty with a minimum of three days advance notice. An agenda will normally accompany the notice. Committee or individual recommendations or reports should be given to the Dean of the Faculty sufficiently in advance of the meeting to permit inclusion in the agenda. A meeting shall also be called by the Dean of the Faculty upon the request of ten faculty members. (See Appendix 2.1)

2.4.2 VOTING IN FACULTY MEETINGS

Voting rights in the Faculty Meeting include the President of the College, the Dean of the Faculty, the Associate Deans of the Faculty, the Registrar, tenured members of the faculty, untenured members of the faculty on tenure-track appointments, Keck Science faculty who meet one of the preceding categories and are assigned to CMC, full-time Physical Education faculty on regular appointments and assigned to CMC, and Military Science faculty assigned to CMC. The Faculty may assign special voting rights to specific individuals under the conditions specified in the College Rules of Order. All faculty members, members of the Senior Staff, and the Registrar may attend the Faculty Meeting and may participate in the deliberations.

The Dean of the Faculty of Claremont McKenna College shall be responsible for maintaining a roster of persons eligible to vote in meetings of the Faculty of Claremont McKenna College.

Approved by the Faculty October 20, 2006

2.5 COMMITTEES

Faculty members assigned to committees are expected to attend such meetings as the chairpersons may call. The College has six types of committees on which faculty are asked to serve. The Dean of the Faculty maintains the classification of committees and their membership on a current basis and appoints faculty members to committees unless otherwise provided for. Faculty members may vote on committees in accordance with the established procedures for each committee.

2.5.1 STANDING COMMITTEES OF THE FACULTY

Standing Committees of the Faculty are constituted by action of the Faculty, report to the Faculty, make recommendations for Faculty action, make recommendations to the College administration on academic issues and faculty personnel issues such as appointment, tenure, promotion, and sabbaticals, and must have a majority of their membership drawn from the Faculty, however selected. Members of the Administration and students may be members of such committees. Standing Committees may be chaired by the President, one of the Academic Deans, or members of the Faculty. The Standing Committees include: the Academic Standards Committee; the Administration Committee; the Appointment, Promotion, and Tenure Committee; the Executive Committee of the Appointment, Promotion, and Tenure Executive Committee; the Curriculum Committee; and the Faculty Research Committee.

2.5.1.1 Academic Standards Committee

A. Membership

Seven Faculty Members

President of the College
Registrar
Dean of Students
Associate Dean of the Faculty
Dean of the Faculty (non-voting member)

B. Statement of Purpose

The ASC formulates College policies relating to academic standards and integrity; reviews student petitions for readmission, incompletes, waivers of residency, and other requirements relating to academic matters; and serves as the disciplinary body in cases of violations of academic integrity. The Dean of the Faculty shall act as the appellate for all decisions rendered by the ASC. Administrators and faculty with pertinent information for the issues at hand may be invited to meetings. For example, when eligibility to register is at issue, the Director of Financial Aid might be invited to meetings.

2.5.1.2 Administration Committee

A. Membership

Ten Faculty Members

President of the College
Dean of the Faculty

Faculty Members are divided into three groups:

Group I 4 full professors (including senior lecturers)

Group II 3 associate professors

Group III 3 assistant professors, full-time instructors and/or full-time lecturers.

Each group shall elect its members to serve on the Administration Committee for a three year term for full and associate professors and a two-year term for assistant professors. Terms are to be staggered to ensure continuity.

The committee shall act as the nominating committee. It shall nominate two persons for each position. Five or more members of any one group may nominate one or more additional persons from their group as candidates by submitting their request in writing to the committee. The elections for the Administration Committee should be completed by the end of April of the preceding academic year.

Consistent with current practice, committee members are to be elected by the faculty by respective rank, with the slates for annual elections to be determined by the Administration Committee. The committee shall conduct the election by mail ballots. A majority of the votes cast by the group shall be required for election of a member.

B. Statement of Purpose

The Administration Committee advises the President and the Dean of the Faculty on important matters that affect the welfare of the College and that do not fall within the purview of other existing committees. Its duties include: reviewing the budget; advising the President and the Dean of the Faculty on matters brought before the committee; initiating inquiries or proposals on issues the members consider timely and necessary to raise; and reporting to the faculty at faculty meetings and suggesting agenda items for faculty meetings. Members of the Administration Committee may also be called upon to serve as part of a Grievance Committee to consider faculty grievances not connected to APT decisions.

The committee reports to the faculty. It has no power to decide questions within the purview of other committees. When the President and the Dean of the Faculty wish, they may ask the committee to act as an advisory council on questions they bring to it. No report will be made until the President, the Dean of the Faculty, and the rest of the committee agree to make a report.

2.5.1.3 Appointment, Promotion & Tenure Committee

A. Membership

All Tenured Full Professors
Professor of Military Science

President of the College
Dean of the Faculty

B. Statement of Purpose

The Appointment, Promotion, and Tenure Committee reviews and approves or disapproves all requests for appointment, reappointment, tenure, and promotion of

faculty, including chaired professorships. It also approves or disapproves all academic leave and sabbatical requests.

C. Executive Committee

A five-member Executive Committee of the APT Committee is chaired by the Dean of the Faculty and governed by the following provisions:

1. Terms

Members of the Executive Committee normally serve five-year terms, with at least one new member being elected each year. When necessary to open a new position for the year or to comply otherwise with the duration limits of paragraph 3(b) below, a member may be rotated off the Executive Committee prior to completion of a five-year term. Such rotation, when necessary, shall be determined by lot among those having equal years of service.

2. Nomination and Election

When vacancies on the Executive Committee occur, the Dean of the Faculty shall consult with the President and present to the APT Committee by secret mail ballot a slate of two nominees per vacancy for service on the Executive Committee. Sealed ballots are returned to the Dean of the Faculty's office for tabulation, and the results are announced by the Dean. In composing the slates for nominations, the following shall apply:

- No more than two persons from any one department shall be on the Executive Committee in any year;
- No more than two members of the Executive Committee may have served for more than three of the immediately preceding years;
- No member may serve on the Executive Committee for more than five years without interruption;
- After completing any period of service on the Executive Committee, a member shall not be eligible for re-nomination until two years have elapsed.

3. Functions and Procedures

The Executive Committee shall be responsible for:

- Receiving information from the President on administrative policy affecting personnel.
- Receiving information and reports from departmental tenure and promotion reviews and from FIS reviews.
- Maintaining a schedule for consideration of questions of tenure and promotion.
- Monitoring during the summer months and making recommendations to the President concerning part-time appointments.

- Making recommendations to the full APT Committee in all cases of tenure and promotion.
- Reviewing sabbatical and leave applications before forwarding them to the full APT Committee.

4. Executive Committee's Reviewing Responsibility

In effect, the Executive Committee is the APT Committee's agent for reviewing all relevant information bearing on promotion, tenure, and part-time appointments. It makes evaluations, makes recommendations, and may request revisions and/or additional information. It reviews the work of the departmental and FIS review subcommittees, using the data obtained to make careful and candid comparisons among candidates and to frame its own judgments. Although the reports of the field investigation subcommittees go to the full APT Committee, the Executive Committee can question or criticize the work of the field investigation subcommittees.

Although the Executive Committee makes recommendations to the full APT Committee on all tenure and promotion questions, the full APT Committee continues to debate these questions, and is free to accept or reject any recommendations received from the Executive Committee.

2.5.1.4 Curriculum Committee

A. Membership

Chairs of all CMC Academic Departments (incl. Keck Science Dept., MS, and PE)	President of the College Dean of the Faculty Associate Dean of the Faculty Registrar Dean of Students Two Students
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B. Statement of Purpose

The Dean of the Faculty or designee will chair the Committee's meetings. The Curriculum Committee is responsible for maintaining the quality and balance of the College's curriculum, and assuring its academic integrity and reputation. Recommendations for changes or additions to the curriculum are normally submitted to the Committee by individual departments. If the Committee does not approve a recommendation, it can be returned to the department for reconsideration. The Committee can form a subcommittee from its membership to study problems and make recommendations on matters that transcend departmental lines, for example, the Leadership Sequence and the Ethics Sequence. The Committee may appoint to these subcommittees Claremont McKenna College faculty who are not members of the Committee but who have special expertise in the matters being studied.

All new majors, individualized majors, or courses taken outside The Claremont Colleges must be approved by the Curriculum Committee. The Committee is also responsible for overseeing the General Education program at the College.

As a committee of the faculty, all curricular changes forwarded by the Curriculum Committee must be approved at a subsequent faculty meeting. The Committee's recommendations must be received by the Faculty in advance of its meeting, and these recommendations must be communicated in writing.

2.5.1.5 Faculty Research Committee

A. Membership

Three Faculty Members

President of the College

Dean of the Faculty (or designee)

B. Statement of Purpose

The Faculty Research Committee reviews and makes funding decisions on faculty applications for research funds from the Dean of the Faculty's office. It reviews and recommends action on applications for research sabbaticals and the enhancement of those sabbaticals before forwarding them to the APT Executive Committee.

2.5.2 COLLEGE COMMITTEES

College Committees are constituted by the Administration or as a result of initiatives from the Faculty. They make policy recommendations outside the areas of academic issues and faculty personnel issues to either the Administration or the Faculty or to both. In some cases, such as the Institutional Review Board or the National Awards Committee, they make decisions on behalf of the College in their areas of responsibility. Membership may include faculty, staff, students, and others. College Committees may be chaired by members of the Administration or the Faculty. College Committees include: the Admission and Financial Aid Committee; the Athenaeum Advisory Committee; the Committee on Academic Computing; the Institutional Review Board for Human and Animal Subjects Research; the National Awards Committee; the Off-Campus Study Committee; and the Teaching Resources Committee.

2.5.2.1 Admission and Financial Aid Committee

A. Membership

Five Faculty Members

Dean of Admission

Director of Financial Aid

Dean of Students

Dean of the Faculty

Two Students

B. Statement of Purpose

The Admission and Financial Aid Committee meets periodically to review admission and financial aid policies.

2.5.2.2 Athenaeum Advisory Committee

A. Membership

Five Faculty Members	Director of Athenaeum
	Manager of Athenaeum
	Dean of Students
	Dean of the Faculty
	Eight Students

B. Statement of Purpose

The Committee advises and makes recommendations to the Athenaeum Director, who reports to the Dean of Students, concerning policy and procedures pertaining to programs, attendance, and selection of the Athenaeum fellows.

2.5.2.3 Committee on Academic Computing

A. Membership

Six Faculty Members	Chief Technology Officer
	Two Students (one of whom is ASCMC CTO)

Faculty members will be appointed by the President under consultation with the Dean of the Faculty.

B. Statement of Purpose

The mission of the Committee is to recommend policy for the academic computing program and to review the ITS budget. It will assist the Chief Technology Officer in formulating policies governing the use of CMC’s computing and information resources by faculty and students for academic purposes. It will review purchases of hardware, software, and networking for instructional purposes.

C. Procedures

The committee will meet at least twice a semester and will report to the Faculty once a year. The minutes of its meetings will be available on the CMC web site.

2.5.2.4 Institutional Review Board

A. Membership

Five Faculty Members	Public member
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If Keck Science faculty members are asked to serve on the committee, they do not necessarily have to be affiliated to CMC for that particular academic year. Psychology faculty from Scripps may also serve on the IRB.

B. Statement of Purpose

The Institutional Review Board for Animal and Human Subjects Research reviews research projects involving human subjects to ensure that they conform to federal and other guidelines on the use of human subjects. This review covers faculty research and student projects. In the case of student projects, the chair has routinely dealt with approvals. In the case of federal grants, the committee has met formally to approve such applications.

2.5.2.5 National Awards Committee

A. Membership

Six to Eight Faculty Members

Fellowships Coordinator

B. Statement of Purpose

The National Awards Committee identifies and helps to prepare students to apply and compete effectively for various national academic awards.

2.5.2.6 Off-Campus Study Committee

A. Membership

Five Faculty Members

Director of Off-Campus Study

Registrar

Dean of Students

Three Student Members

B. Statement of Purpose

The Duties of the Off-campus Study Committee are:

- To establish guidance for study off-campus, whether in the United States or abroad;
- To evaluate and oversee off-campus study programs;
- To approve all student applications for study abroad, domestic and international exchanges and applications to domestic programs, with the exception of the Washington Semester Program, which is administered by the Government Department;
- To review student experiences in off-campus study; and to determine whether students will receive academic credit for study off-campus.

C. Procedures

The Off-Campus Study Committee normally meets three times each semester and as needed. When classes are not in session, decisions are made by the chair in consultation with the Director. When the Off-Campus Study Director is not available, decisions concerning academic matters will be made by the Dean of the Faculty in consultation with the chair of the Off-Campus Study Committee.

2.5.2.7 Teaching Resources Committee

A. Membership

Five Faculty Members

Director of the TRC
Associate Dean of the Faculty
Dean of the Faculty

B. Statement of Purpose

The Responsibilities of the Teaching Resources Committee are:

- To set long-term goals and objectives for the Teaching Resources Center (TRC).
- To provide guidance for all programs and activities of the TRC.
- To assist the Director of the TRC in development of these programs and activities.
- To evaluate the programs and activities of the TRC toward the achievements of its goals.

2.5.3 SPECIAL COMMITTEES

Special Committees are constituted by the Administration to provide advice and counsel for various policy areas on an on-going basis. Some, such as the Judiciary Board, make decisions on behalf of the College in their areas of responsibility. Membership may include faculty, staff, students, and others. Special Committees may be chaired by members of the Administration or the Faculty. Special Committees include: The CMC Magazine Editorial Board; the College Judiciary Board; the Diversity Committee; the Environmental Concerns Committee; the ROTC Advisory Committee; the Safety Committee; and the Student Recruitment Committee.

2.5.3.2 CMC Magazine Editorial Board

A. Membership

Two Faculty Members

Director of Public Affairs
Staff representatives
Student representatives
Alumni representatives

B. Statement of Purpose

The CMC Editorial Board serves the magazine staff in an advisory capacity regarding editorial coverage, design, and other planning issues. It meets two to three times annually. Faculty members are particularly helpful in suggesting story coverage and advising on editorial content and balance.

2.5.3.2 College Judiciary Board

A. Membership

Seven Faculty Members

Dean of Students
12 Student judges

B. Statement of Purpose

The Judiciary Board is the committee which reviews all non-academic cases which result from alleged violations of: the Basic Rule of Conduct; the Policy on Demonstrations at The Claremont Colleges; Residence Hall Regulations; Rules which govern conduct on the campuses of the other Claremont Colleges; conduct of students which is campus related; and cases resulting from summary suspension.

2.5.3.3 Diversity Committee

A. Membership

Five faculty members

Five staff members from departments including Admissions & Financial Aid, Human Resources, Dean of Students, and the Dean of the Faculty

The Chair is appointed by the President.

B. Statement of Purpose

The Committee meets two or three times a semester as needed to foster discussion of issues pertaining to diversity through promoting diversity in the curriculum, offering diversity-related programming and training sessions, reviewing Campus Climate survey results, engaging in cooperative efforts with other Claremont Colleges, and discussing diversity issues that arise on campus and providing recommendations to the President on those issues.

2.5.3.4 Environmental Concerns Committee

A. Membership

Three to Five Faculty Members

Treasurer of the College
Director of Planned Giving
Director of Facilities
Director of Human Resources
Director of Student Activities
Seven Students

B. Statement of Purpose

The mission of the Environmental Concerns Committee is to enhance awareness among campus constituents, i.e., students, faculty, and staff, of environmental concerns in three areas: air quality, recycling, and water conservation.

2.5.3.5 ROTC Advisory Committee

A. Membership

One to Three Faculty Members Dean of Students

B. Statement of Purpose

The Committee communicates with and advises the Professor of Military Science.

2.5.3.6 Safety Committee

A. Membership

One Faculty Member Dir of Human Resources (Chair)
Assoc. Dir of Facilities (Vice-Chair)
Dean of Students designee
Representative of Building Attendants Crew
Representative of Grounds Staff
Representative of Office Support Staff
Representative of Ducey Gym
Representative of ROTC Staff
Keck Science Dept Coordinator
1 representative of 5-Colleges safety office
Head Resident Assistant (student)

B. Statement of Purpose

The purpose of the Safety Committee is to discuss issues related to student, faculty, and staff safety.

2.5.3.7 Student Recruitment Committee

A. Membership

One Faculty Member per Dean of Admissions and Financial Aid
department and program

B. Statement of Purpose

Members of the Student Recruitment Committee attend all on-campus Admissions functions designed to recruit students to the College and serve as that department's or program's public relations representative, discussing the College and answering questions concerning that department or program. With the exception of an initial

orientation meeting, the Student Recruitment Committee never holds formal meetings. Members are expected to be available for the two Saturday "On Campus Days" in the Fall, the Saturday McKenna Scholars Program in early March, and the two Friday "Inside CMC Days" in April.

2.5.4 INTERCOLLEGIATE COMMITTEES

Intercollegiate Committees are constituted by actions of The Claremont Colleges to coordinate or oversee consortium programs and activities. Membership may include members of the Administration, often in ex officio roles, as well as faculty. Intercollegiate Committees may be chaired by staff or faculty. Intercollegiate Committees include: the Athletics Council; the Committee on Religious Affairs; the Faculty Athletic Representatives; the Keck Science Reappointment, Promotion, and Tenure Committee; and the Physical Education Reappointment, Promotion, and Tenure Committee. Periodically, intercollegiate ad hoc committees may be formed by The Claremont Colleges for special purposes.

2.5.4.1 Athletic Council

A. Membership

One CMC Faculty Member

One faculty member from Harvey
Mudd College
One faculty member from Scripps
College

B. Statement of Purpose

The purpose of the CMS P.E. and Athletics Program is to provide (1) training, instruction and participation opportunities in intercollegiate athletic competition; (2) training, instruction and participation in athletic and fitness classes; and (3) encouragement and some supervision for intramural athletics and fitness activities, working with the three student governments.

2.5.4.2 Committee on Religious Affairs

A. Membership

Two CMC Faculty Members

One CMC Student Member

B. Statement of Purpose

The Committee on Religious Affairs (CORA) deals with the religious activities of the Colleges and advises the Office of the Chaplains.

2.5.4.3 Faculty Athletic Representatives

A. Membership

One or two CMC faculty members (4 year terms)
Appointed by CMC Athletic Director

B. Statement of Purpose

- Serve as CMC representatives on body that governs the College's athletic conference.
- Advise the Athletic Director on all issues regarding faculty and athletics.
- Serve on appointment, reappointment, and tenure review teams.
- Assist the Athletic Director with recruitment of athletic staff for CMC joint teams.

2.5.4.4 Joint Physical Education Reappointment and Promotion Committee

A. Membership

*Two Faculty Members

Dean of the Faculty (chair)
Director of Athletics (non-voting)
Two HMC faculty members
Two Scripps faculty members

** (from CMC: one from APT, the other is Faculty Athletic Representative)*

B. Statement of Purpose

The purpose of this committee is the appointment and promotion of Joint Athletic personnel.

2.5.4.5 Keck Science Reappointment, Promotion, and Tenure Committee

A. Membership

* Two CMC Full Professors

Deans of the Faculty (CMC,
Pitzer, Scripps. Non-voting)
Chair/Dean of the Keck Science Dept.
Two Pitzer faculty
Two Scripps faculty
Three additional Keck Science faculty

** (must be non-scientists, and members of CMC's APT Committee)*

B. Statement of Purpose

The purpose of this committee is the appointment, reappointment, promotion, and tenure of Keck Science Personnel.

2.5.5 ADVISORY COMMITTEES

Advisory Committees are constituted by the Administration as needed for ad-hoc purposes as issues arise needing special attention. They are not permanent committees, and are intended to study an issue, provide advice and recommendations, and cease operations. Membership may include faculty, staff, students, and others. Advisory Committees may be chaired by members of the Administration or the Faculty. Examples of Advisory Committees include the Role of Science Committee and the WASC Re-accreditation Steering Committee.

2.5.6 BOARD OF TRUSTEES COMMITTEES

Board of Trustees Committees provide for faculty and student input by means of membership on various committees, subcommittees, and ad hoc committees. Board Committees with faculty members include: Academic Affairs, Research, and Research Institutes; Buildings and Grounds; College Advancement; and Student Affairs. Voting is limited to Trustees.

2. 6 GUIDELINES FOR MAJORS

The following categories for majors have been developed to clarify administrative jurisdiction, staffing obligations, and powers of oversight for all majors at CMC and The Claremont Colleges. Categories are determined by the institutional structure of a program, especially the degree of departmental and college (CMC) academic oversight. Assignment of a major to a category does not imply a greater or lesser endorsement of the academic value of a major. This categorization does not preclude the addition of new majors, or proposals for the change in the status of existing majors.

2.6.1 CMC MAJORS

A. Regular

Courses: Approved by Curriculum Committee (CC) and CMC faculty (FAC).
Requirements for major: Approved by CMC department, CC, and FAC.
Administration of program: CMC department fully responsible.
CMC offers sufficient courses for students to complete the major.
Examples: Economics, Economics-Accounting, Government, Literature, Psychology.

B. Interdisciplinary (but not intercollegiate)

Courses: Approved by CC and FAC.
Requirements for major: Approved by CMC committee, CC, and FAC.
Administration of program: CMC committee fully responsible.
CMC offers sufficient courses for students to complete the major.
Examples: IR, PPE.

C. Cooperative program to expand course offerings

Courses: CMC courses approved by CC and FAC.
Requirements for major: Approved by CMC department, CC, and FAC.
Administration of program: CMC department in cooperation with department(s) at other school(s).
Sufficient courses are offered for students to complete the major.
Other: Formal agreement with other school(s).
Examples: History, Mathematics, Philosophy, Religious Studies.

2.6.2 JOINT MAJORS

A. Faculty with joint appointments

Courses: All courses approved by CC and FAC.

Requirements for majors: Approved by joint department, CC, and FAC.
Administration of program: Joint department that reports to the academic deans.

Sufficient courses are offered for students to complete the major.
Examples: Biology, Chemistry, Physics, Management-Engineering (ME), Science & Management, Environment, Economics, and Politics (EEP).

B. Faculty without joint appointments

Courses: CMC courses approved by CC and FAC.
Requirements for majors: Approved by CMC department, CC, and FAC.
Administration of program: CMC department in cooperation with department(s) at other school(s).
Sufficient courses are offered for students to complete the major.
Examples: French, German, Spanish.

2.6.3 INTERDISCIPLINARY COOPERATIVE MAJORS (INTERCOLLEGIATE)

Courses: CMC courses approved by CC and FAC.
Requirements for majors: Approved by CMC department or CMC committee, CC, and FAC.
Administration of program: CMC department or CMC committee.
Sufficient courses are offered for students to complete the major and that CMC students will have access to courses in the program offered at other schools.
Other: (1) CMC offers at least 20-25% of the courses in the program; (2) CMC has a formal agreement with other cooperating schools.
Examples: Asian Studies, Film Studies, European Civilization¹, Philosophy & Public Affairs.

2.6.4 CROSS-REGISTRATION (OFF-CAMPUS) MAJORS

Courses: Only CMC courses (if any) approved by CC and FAC.
Requirements for majors: Approved by other school(s).
Administration of program: Other school or intercollegiate committee.
CMC does not offer sufficient courses to complete the major unless otherwise mandated by intercollegiate agreement.
Other: CMC has no obligation to staff the program.
Examples: Black Studies, Chicano Studies, American Studies², Classics, Legal Studies², Theatre.

¹not cooperative; guarantees only apply if students select foreign language emphasis offered at CMC.

²listed as CMC major; CMC requirements/courses by CC and FAC. No guarantee of courses or staff.

2.6.5 SEQUENCES AND OPTIONS

Courses: CMC courses approved by CC and FAC.

Requirements: Approved by CMC departments/Committee, CC and FAC.

Administration of program: CMC Committee, department of faculty member.

Examples: Ethics sequence: completion w/CMC courses

Computer Science option: Completion w/CMC courses

Leadership sequence: completion w/CMC courses

Women's Studies sequence: cannot be completed w/CMC courses.

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**APPENDIX 2.1
EXCERPTS OF THE CORPORATE BYLAWS OF CLAREMONT McKENNA
COLLEGE RELATING TO FACULTY GOVERNANCE**

ARTICLE VII

OFFICERS OF THE COLLEGE AND THEIR DUTIES

Section 1. The officers of the College shall consist of (1) the President of the College, (2) the Vice President, Dean of the Faculty, (3) the Vice President, Development and External Relations, (4) the Vice President for Student Affairs, (5) the Vice President and Dean of Admission & Financial Aid, (6) the Vice President for Business and Administration, (7) the Vice President for Alumni Relations, and (8) such other officers as are appointed by the President with the prior approval of the Board of Trustees; provided that the President may appoint "Associate" and/or "Assistant" officers of the College without such prior Board of Trustees approval, but same shall be disclosed by the President at the next meeting of the Board of Trustees and shall be subject to the Board of Trustees post-appointment approval and ratification. Associate Deans shall not be officers of the College.

Section 2. President of the College. The President of the College shall be the chief educational and administrative officer of the College which responsibility shall include the general supervision of discipline; subject to the approval of the Board of Trustees as provided in Article VII, Section 1, shall appoint the officers of the College; shall make recommendations to the Board of Trustees for appointments by the Board of Trustees to the faculty; and, except as otherwise directed by the Board of Trustees or the Executive Committee, shall perform the duties customarily performed by a college president. The President or his/her designee shall be Chairperson of the faculty. The President shall appoint all regular committees of that body with such exceptions as the President may determine with the concurrence of the Board of Trustees. The President of the College shall also serve as President of the Corporation and is empowered and authorized to affix the signature of the Corporation, and a signature as President of the Corporation, to all documents to be signed in the name of and on behalf of the Corporation. The President of the College serves at the pleasure of the Board of Trustees, subject to contract, if any.

Section 3. Functions of the Board of Trustees and Faculty. The Board of Trustees, under the laws of the State of California and the Articles of Incorporation, is given the power and duty to conduct the operations of the College. The Board of Trustees shall delegate to the faculty the responsibility to formulate and conduct educational policy subject to approval by the Board of Trustees.

Section 4. Appointments, Re-appointments, and Dismissals. In matters of appointments, re-appointments, dismissals, leaves of absence, sabbaticals, changes in salary, and other matters relating to the faculty, administrative personnel, or staff personnel, who are not College officers or "Associate" or "Assistant" College officers, the President of the College shall be empowered to act for the Board of Trustees in general accord with established faculty and administrative staff personnel guidelines and procedures published in the faculty and staff manuals, such guidelines and procedures to be approved by the Board of Trustees; provided, however, that the President shall disclose to the Board of Trustees at its next meeting any appointments of associate deans. In all these matters the Board of Trustees retains the power of final decision.

ARTICLE VIII

THE FACULTY

Section 1. The faculty is comprised of the President of the College, all the teachers irrespective of rank who have been regularly appointed at Claremont McKenna College by the Board of Trustees, and such other persons as have been appointed to the membership in the faculty by the Board upon the recommendation of the President of the College.

Section 2. It shall be the function of the faculty:

- (a) to form such organization of the entire teaching staff, adopt such rules of procedure, and establish such committees as may seem appropriate;
- (b) to initiate and recommend to the Trustees, or to approve directly or through its constituted committees, all policies and actions directly affecting the curriculum and other educational matters, including the establishment or discontinuance of new courses or fields of instruction, all such action being subject to review and approval by the Board of Trustees;
- (c) to select, when so requested by the Board of Trustees, special committees or representatives to advise with committees of the Board on any matter affecting the life and functions of the College.

Section 3. Degrees in course shall be conferred by the Board of Trustees only on recommendation of the faculty. Suitable diplomas shall be issued, signed by the President of the College and Chairperson of the Board, to which the seal of the College shall be affixed.

ARTICLE IX

RIGHT OF INDEMNITY; ADVANCEMENT OF EXPENSES

Section 1. Right of Indemnity. To the fullest extent permitted by law, this Corporation shall indemnify its Trustees, officers, employees, and other persons described in Section 5238(a) of the California Corporations Code, including persons formerly occupying any such position, against all expenses, judgments, fines, settlements, and other amounts actually and reasonably incurred by them in connection with any "proceeding," as that term is used in that Section and including an action by or in the right of the Corporation, by reason of the fact that the person is or was a person described in that Section.

"Expenses," as used in this By-law, shall have the same meaning as in said Section 5238(a).

Section 2. Approval of Indemnity. On written request of the Board of Trustees by any person seeking indemnification under Section 5238(b) or Section 5238(c) of the California Corporations Code, the Board of Trustees shall promptly determine under Section 5238(e) of said Code whether the applicable standard of conduct set forth in said Sections have been met and if so the Board of Trustees shall authorize indemnification. If the Board of Trustees cannot authorize indemnification because the number of Trustees who are parties to the proceeding with respect to which indemnification is sought prevents the formation of a quorum of Trustees who are not parties to that proceeding, the Board of Trustees shall promptly proceed to obtain such authorization by the means and in the manner as may then be provided by the California Corporations Code or by other applicable law.

Section 3. Advancement of Expenses. To the fullest extent permitted by law and except as otherwise determined by the Board of Trustees in a specific instance, the expenses incurred by a person seeking indemnification hereunder in defending any proceeding so herein provided shall be advanced by the Corporation before final disposition of the proceeding, on receipt of the Corporation of a sufficient undertaking or on behalf of that person that the advance will be promptly repaid unless it is ultimately determined that the person is entitled to be indemnified by the Corporation for those expenses.

ARTICLE XV

AMENDMENTS

Full power and authority are hereby delegated to the Board of Trustees from time to time to repeal and amend these By-laws or any part of them, and to adopt new By-laws or amended By-laws, by an affirmative vote of two-thirds (2/3) of the Board of Trustees.

APPENDIX 2.2
BY-LAWS OF THE FACULTY OF CLAREMONT McKENNA COLLEGE

ARTICLE I THE FUNCTIONS OF THE FACULTY SHALL BE:

Section A. To perform the teaching duties customarily performed by college faculties.

Section B. To initiate and recommend to the Trustees, or to approve directly or through its constituted committees, all policies and actions directly affecting the curriculum and other educational matters, student-related extracurricular matters, and intercollegiate matters.

Section C. To establish its own procedures for Appointment, Promotion, and Tenure subject to approval by the Board of Trustees.

Section D. To recommend to the Board of Trustees, after certification by the Registrar, candidates for degrees to be conferred by the College.

Section E. To advise on questions addressed to the Faculty by the Board of Trustees, and to elect, when so requested by the Board of Trustees, special committees or representatives to advise with committees of the Board on any matter affecting the life and functions of the College.

Section F. To consider any question which concerns the College brought to it by any member of the Faculty.

ARTICLE II MEMBERSHIP IN THE FACULTY SHALL INCLUDE:

Section A. The President of the College and all teachers irrespective of rank who have been appointed to membership by the Board of Trustees upon the recommendation of the President of the College and the Faculty.

Section B. Faculty ranks commonly include the following: full professors, professorial lecturers, associate professors, assistant professors, instructors, and lecturers.

Section C. Voting rights in regular meetings of the Faculty shall be determined by Faculty vote in said meeting and shall thereafter be contained in the Rules of Order of the Faculty of Claremont McKenna College.

ARTICLE III OFFICES OF THE FACULTY AND THEIR DUTIES

Section A. Ordinarily, the Dean of the Faculty shall preside over meetings of the Faculty. The Faculty may, from among its members, elect a presiding officer for Informal Meetings of the Faculty. When the Dean of the Faculty wishes to participate substantively in discussion, the dean shall appoint a temporary presiding officer. When the Faculty moves into Committee of the Whole in accordance with Robert's Rules of Order, Newly Revised, the dean shall also appoint a temporary presiding officer.

Section B. The Dean of the Faculty is responsible for determining the time and place of Faculty meetings, the preparation of an agenda to be received by members of the Faculty at least three days before the meeting is to occur, and supervising the preparation of the minutes of previous meetings.

Section C. The Dean of the Faculty shall appoint an individual who shall be responsible for recording the minutes of the Faculty Meetings, recording the names of those members who are present and those who are absent, and reading the minutes of previous meetings.

Section D. The Parliamentarian is appointed by the President of the College upon recommendation of the Dean of the Faculty and is responsible for aiding the presiding officer in determination of parliamentary procedure.

ARTICLE IV MEETINGS

Section A. Regular meetings of the Faculty shall occur at least four regularly scheduled times per term during the academic year, unless canceled for lack of business, and informal meetings of the faculty may occur whenever it seems desirable or necessary.

Section B. Regular meetings of the faculty may not take place unless a quorum is present. A quorum shall consist of thirty percent of voting members of the faculty as determined at the beginning of each academic year.

Section C. No quorum is required for an informal meeting of the faculty and no matters may be decided at such meetings, their function being a forum for discussion only.

Section D. All regular meetings of the faculty and all informal meetings of the faculty are to be called by the Dean of the Faculty, acting on the dean's own initiative, or upon the recommendation of the Board of Trustees, the President of the College, or any ten voting members of the faculty. The dean shall provide and announce a simple procedure for faculty members to request meetings.

ARTICLE V COMMITTEES

APPENDIX 2.3

RULES OF ORDER OF THE FACULTY OF CLAREMONT McKENNA COLLEGE

VOTING RIGHTS

Paragraph 1. Voting rights in the Faculty Meeting include the President of the College, the Dean of the Faculty, the Associate Deans of the Faculty, the Registrar, tenured members of the faculty, untenured members of the faculty on tenure-track appointments, Keck Science faculty who meet one of the preceding categories and are assigned to CMC, full-time Physical Education faculty on regular appointments and assigned to CMC, and Military Science faculty assigned to CMC. The Faculty may assign special voting rights to specific individuals under the conditions specified in the College Rules of Order. All faculty members, members of the Senior Staff, and the Registrar may attend the Faculty Meeting and may participate in the deliberations.

Paragraph 2. For any person seeking voting rights in meetings of the faculty, determination of whether the individual's terms of employment fulfill the provisions of Paragraph 1 above shall be the prerogative of the Committee on Appointment, Promotion, and Tenure of Claremont McKenna College; should the Committee on Appointment, Promotion, and Tenure fail to make this determination, the faculty may do so by a two-thirds vote of those members present and eligible to vote under Paragraph 1 above.

Paragraph 3. The privilege of voting in meetings of the faculty of Claremont McKenna College may be extended or withdrawn from other officials of The Claremont Colleges by a two-thirds vote of those members present and eligible to vote under Paragraph 1, above, a quorum being present.

Paragraph 4. The Dean of the Faculty of Claremont McKenna College shall be responsible for maintaining a current roster of all persons eligible to vote in meetings of the faculty of Claremont McKenna College.

VOTING RULES

Paragraph 1. Voting in meetings of the faculty of Claremont McKenna College shall be by voice vote or by a show of hands, the actual method or methods in each case to be determined by the presiding officer. A motion shall be in order immediately prior to any vote to hold such a vote by voice or by show of hands.

Paragraph 2. A motion for a secret vote shall be in order and take precedence over paragraph 1, above, immediately prior to any vote and shall be approved by the affirmative votes of any five voting members of the faculty. Blank voting papers shall be distributed to each voting member of the faculty present, and shall be collected and counted by the presiding officer or his/her appointees.

Paragraph 3. A motion for a secret vote by campus mail shall be in order and take precedence over Paragraph 1 and Paragraph 2, above, immediately prior to any vote and shall be approved by the affirmative votes of any fifteen voting members of the faculty. The Registrar shall prepare, distribute, receive, verify, count, and communicate the results of a secret campus vote. The exact procedures for such a vote shall be determined by the Registrar. The Registrar shall be assisted in such votes by two voting members of the faculty appointed by the presiding officer.

STUDENT PARTICIPATION

Paragraph 1. Meetings of the faculty shall be open to members of the Student Senate and the Executive Committee.

Paragraph 2. Students eligible to attend meetings of the faculty shall have the right to speak and to introduce motions when recognized by the presiding officer, but they shall not have the right to vote.

Paragraph 3. A motion to go into executive session shall be in order at all times and may be moved by a voting member of the faculty or by the presiding officer; if approved, all students and non-voting members of the faculty must retire from the meeting place.

Paragraph 4. Students eligible to attend shall be given notice of meetings of the faculty at the same time such notice is given to members of the faculty.

Paragraph 5. Students shall not have the right to attend informal meetings of the faculty without the express invitation of the Dean of the Faculty.

FACULTY COMMITTEES

Paragraph 1. All ranks excepting part-time and visiting positions may be represented on Standing Committees of the Faculty. The President and Dean of the Faculty or their designees shall be ex-officio members of each standing faculty committee. Other members of the administrative staff shall hold positions on standing faculty committees or other committees as is appropriate: for example, Admissions officer on Admission and Financial Aid and Study Abroad, Athenaeum Director on Athenaeum Committee, Registrar on the Academic Standards Committee, Curriculum, Study Abroad, and the Dean of Students on the Academic Standards Committee.

Paragraph 2. All full-time faculty of the Keck Sciences and full-time members of the Physical Education department assigned to Claremont McKenna College during an academic year are eligible to serve on faculty committees. The chair of the Military Science department serves as a member of the Curriculum Committee.

Paragraph 3. Committee assignments are normally made by the President of the College acting on the recommendation of the Dean of the Faculty, who may consult with the committee chair.

Paragraph 4. An exception to paragraph 3, above, is made in the case of the Administration Committee, which shall have **ten** members to be elected by the Faculty in the following manner: the Faculty shall be divided into Group I, consisting of full professors including professorial lecturers; Group II, consisting of associate professors; and Group III, consisting of assistant professors, instructors, and lecturers. Each of these three groups shall by secret campus mail ballot vote to elect its members to serve on the Administration Committee. Groups I and II shall serve staggered three year terms, Group III shall serve staggered two-year terms. The Administration Committee shall serve as its own committee of nomination and shall nominate two persons as candidates for each position on the committee. Five or more members of any of the three groups of the Faculty noted above may nominate one or more additional candidates by submitting the names of their nominees in writing to the Administration Committee. A majority of votes cast by the group shall be required for election of a member. In the event of a tie or the lack of a majority vote, there shall be a second secret mail ballot between the top two candidates to determine the winner. If no winner emerges, then the members of the Administration Committee shall select one of the final candidates to fill the position.

Paragraph 5. An exception to paragraph 3, above, shall be made in selecting the membership of the College Judiciary Board. Seven members of the faculty of Claremont McKenna College shall serve on the Board and the method of their selection shall be as follows: the candidates, two of whom shall be tenured, shall be nominated by the President of the College, after consultation with the Administration Committee, and shall be submitted to the Faculty for final approval. All Board members shall serve a term of two years, after which they may be re-nominated. A member of the faculty who serves on the Board may only be removed for substantial cause and only by vote of the Faculty.

Paragraph 6. An exception to paragraph 3, above, shall be made in selecting members to serve on the Faculty Senate of The Claremont Colleges. The faculty shall elect one representative for each ten full-time faculty members and in no case fewer than one representative. In addition, ten at-large members shall be elected by mail ballot of the combined faculties of The Claremont Colleges. Representatives shall serve for three years.

Paragraph 7. An exception to paragraph 3, above, shall be made in selecting members to serve on the Appointment, Tenure, and Promotion Committee of Claremont McKenna College. All tenured Full Professors of the College are members of the APT Committee.

Paragraph 8. An exception to paragraph 3, above, shall be made in selecting members to serve on the Executive Committee of the Appointment, Tenure, and Promotion Committee of Claremont McKenna College. The Executive Committee shall be composed of five members of the APT Committee who are elected by APT

members by secret mail ballot, with two nominees selected by the Dean of the Faculty for each vacancy. EC members will normally serve five year terms, but may be rotated off to ensure that at least one new member is elected per year in accordance with the procedure established in section 2.5.1.3.

Paragraph 9. Members of the faculty of Claremont McKenna College on leave may retain committee assignments in cases thought appropriate by the Dean of the Faculty.

Paragraph 10. When nominations are necessary for faculty committees, they shall include no fewer than twice the number of nominees needed to fill the positions. If the number of nominees is insufficient of this number, the presiding officer shall select other nominees from among those eligible members of the faculty who are not on leave and are not present at the meeting of the faculty at which nominations are called for. Members of the faculty shall, notwithstanding, have the right to decline nomination for good cause.

REPORTS

Paragraph 1. Reports to the faculty shall ordinarily be submitted in writing, to be distributed with faculty meeting agendas, and the preparers or presenters of reports shall be present at faculty meetings for questions and discussion.

Paragraph 2. The Dean of the Faculty shall report regularly on the referral of business to committee, and faculty committees shall report periodically on their business according to a schedule announced by the Dean of the Faculty.

Paragraph 3. Committees of the faculty of Claremont McKenna College, working on plans for institutes or significant new academic programs, policies, and procedures shall report their preliminary proposals to the faculty in the form of written statements to be distributed with the agenda prior to meetings of the faculty and prior to the submission of such proposals to the Board of Trustees. The preparers of the reports will be available for questions and a discussion during the meetings.

ADJOURNMENT

Paragraph 1. A deadline for adjournment shall be announced in the agenda for each regular faculty meeting and may be postponed within the faculty meeting only by a majority vote taken at least one-half hour prior to the announced time.

SELF-DENYING ORDINANCE

Paragraph 1. No matter calling for resolution by means of a vote of the faculty may be brought to such final vote unless:

- (1) it has been moved from the floor at a prior meeting of the faculty; or
- (2) it has been circulated to the faculty in an official agenda at least three (3) full days in advance of a meeting of the faculty; or
- (3) having been moved from the floor, it is passed without a dissenting vote.

ATTENDANCE

Paragraph 1. It is a privilege and a duty of members of the faculty of Claremont McKenna College to take an active interest in the activities and deliberations of the faculty. The most efficacious manner in which this may be accomplished is by regular attendance at meetings of the faculty, and the names of those present as well as absent shall be recorded in the minutes of the meetings of the faculty.

Paragraph 2. Members of the faculty of Claremont McKenna College are under no obligation to attend meetings of the faculty while on leave from the college but they may attend, and they may vote in such meetings as they desire to attend. Only if they attend a meeting where a secret mail ballot is voted will they receive a mail ballot.



CHAPTER 3

APPOINTMENT, PROMOTION, AND TENURE

CHAPTER 3: APPOINTMENT, PROMOTION, AND TENURE

3.1 INTRODUCTION

The College has formulated the standards and procedures set forth in this chapter based on a number of sources, including the AAUP 1940 Statement of Principles on Academic Freedom and Tenure and 1970 interpretations,³ the College's understanding of best practices, and the customs of the College.

3.1.1 SUMMARY

Authorization for faculty positions is determined by the President. Appointments to the faculty are recommended by departments and the Dean of the Faculty. They are approved by the Appointment, Promotion, and Tenure Committee and presented to the President. Full-time appointments, promotions, and tenure decisions require approval by the Board of Trustees.

3.1.2 FACULTY RANKS

The ranks of assistant professor, associate professor, and professor refer to full-time tenured or tenure track faculty. The title of instructor is used for faculty appointments for individuals without a terminal degree. "Visiting" is appended to professorial or instructor titles when the appointment is temporary. The title of lecturer or senior lecturer is used in special circumstances in which the appointment is not tenured or tenure track and a professorial or instructor title is not appropriate. Unusual cases will be addressed by the APT Executive Committee and APT Committee. Emeritus status is automatically conferred on all tenured faculty members upon retirement. Its conferral on other retiring faculty members may also be recommended by a majority vote of the Committee on Appointment, Promotion, and Tenure after preliminary review by the APT Executive Committee. All ranks of faculty are guaranteed academic freedom.

3.2 CMC APPOINTMENT, TENURE, AND PROMOTION PROCEDURES

3.2.1 INTRODUCTION

The academic profession demands several loyalties of its members. They share a local attachment to an institution of higher education and a field attachment to an honorable profession. On the one hand, faculty members are responsible for the educational advancement of their students and for the well-being of the institution of which they are members. On the other hand, they are active participants in fields of inquiry. To give relative weights to these areas of professional activity-teaching and scholarship-is a practical impossibility. Activity in each area is necessary for the growth and advancement of the individual and of the College.

³ see <http://www.aaup.org/AAUPpubsres/policydocs/contents/1940statement.htm>

As a vital center of undergraduate education, the College seeks to evolve the model of the teacher-scholar whose ability and interest in teaching are maintained at a high level and whose scholarly activity is of genuine professional value to his or her discipline.

The College, for its part, has a similar dual function. Not only must it assume responsibility for the quality of the education it imparts, but it must also uphold the standards of the academic profession. It performs these functions while entering into a special relationship with its faculty by granting tenure. In most cases this relationship is severable only by the move of a faculty member to another position, by retirement, or by death. Since tenure is often granted early in a faculty member's career, the College commits itself to providing employment over a long period of time. Given the uncertain nature of any faculty member's future development, the College must be extremely careful before making a tenure commitment. Two alternatives to the thoughtful exercise of the tenure commitment and the maintenance of high standards are the tenure freeze and the tenure quota, neither of which is desirable.

Promotion to full professor is also an important decision, because that academic rank is the highest a faculty member may attain. Full professors sit as members of the Appointment, Promotion, and Tenure Committee (APT), and are thereby directly responsible for maintaining and improving the quality of the faculty. The person who holds the position of full professor should therefore exemplify the teacher-scholar and show by the quality of his or her own work a capacity to judge the work of others.

Clearly the College must evolve the highest standards for its faculty and must apply these standards fairly and consistently.

Passed by unanimous vote of APT, September 29, 1978

Approved by Faculty, October 23, 1978

Amended, December 8, 1986, February 10, 1987

3.2.2 STATEMENT ON HIRING AND PROMOTION FOR ANY POSITION

The College is committed to, and maintains an expectation that any persons involved in the appointment/hiring/promotion process will follow a policy of equal employment opportunities for all applicants. Please refer to Section 10.10 for a complete description of the College's equal employment opportunity policy.

3.2.3 PROCEDURES FOR TENURED OR TENURE-TRACK APPOINTMENTS

3.2.3.1 Authorization of a Faculty Position

The President has the authority to approve all new faculty positions and the job descriptions for new positions. An opening in an existing faculty position must be re-approved. The President shall seek the recommendation of the Dean of the Faculty and the appropriate Department before authorizing a specific job

description and position. (All references in this chapter to “department” or “departmental” include the Robert Day School of Economics and Finance.) The President and the relevant departmental chairs shall also discuss descriptions of, and authorizations for, new and newly-opened existing positions with the Executive Committee of the APT Committee (APT/EC) in order to ensure consideration of college-wide interests and the College's mission.

3.2.3.2 The Search & Appointment Process: Tenure & Tenure-Track Appointments

1. In instances where a member or members from outside the Department may add useful expertise to a departmental search committee, the Department is encouraged to add one or more outside members to the search committee. At the Department's discretion, the external faculty may be voting or non-voting members of the search committee. Examples of such expertise include: familiarity with the field; familiarity with relevant non-departmental CMC programs; and familiarity with the CMC search process. If the Department wishes to add such a member or members, it shall do so in consultation with the Dean of the Faculty.

2. After reviewing application materials, the Search Committee recommends a list of candidates to the Department for further reviewing and interviewing by the Department and the Search Committee, and concurrently submits the list and supporting documentation to the Dean of the Faculty and the President for a preliminary review of the candidates' fit with the job description. If the President or the Dean of the Faculty disapproves a candidate or candidates as not fitting the job description, the Dean shall explain the reasons in writing to the Search Committee and the Department. Normally the Dean of the Faculty and the President participate in the campus interview process and forward their comments to the Search Committee and the Department in a timely fashion.

3. The Department recommends a candidate or ranked list of candidates to the Dean of the Faculty and the President for final approval. The departmental recommendation is normally based on the deliberation of all members of the Department and a subsequent vote by all tenured departmental members of equal or higher rank to the position being filled. Those Departments basing their recommendations upon groups other than the tenured faculty of equal or higher rank must establish and publish a written policy governing voting on candidates. If one or more candidates are not approved by the President or the Dean of the Faculty, the Dean of the Faculty shall explain the reasons in writing to the Department and the APT/EC.

4. Once the candidate or candidates are approved, the Dean of the Faculty then forwards the recommendation, along with any comments by the Dean of the Faculty and the President on the merits of the candidate(s), to the APT/EC.

5. Within 30 days of making an offer, the Department will forward to the Dean of the Faculty a Hiring Report. The Hiring Report will normally include a brief description of the search process (such as the composition of the search committee, the advertising method, the number of applicants, the names of those interviewed on campus, and the departmental decision-making process), a summary of the qualities of the successful candidate, an explanation for why the Department selected the candidate, a copy of the candidate's curriculum vitae, and the candidate's original letters of reference.

6a. Entry-level positions: Upon receiving the departmental recommendation for appointment of a candidate for an entry-level tenure-track position (that is, an individual who does not have enough previous experience to warrant a tenure review by his or her third year or earlier), the APT/EC shall decide whether to recommend an appointment. The APT/EC shall base its recommendation on a review of the candidate's curriculum vitae, other materials collected by the Search Committee and the Department, the departmental report, and any written comments from the Dean of the Faculty and the President. If the APT/EC recommends that the offer shall be made, the President shall convey *its* recommendation to the Board of Trustees. The APT/EC shall report all recommendations to the APT Committee.

6b. Non-entry-level positions that are not lateral tenure appointments: Upon receiving the departmental recommendation for appointment of a candidate to a non-entry-level, tenure or tenure-track position, the APT/EC shall recommend to the full APT Committee whether to approve or disapprove the recommendation. The APT/EC shall base its recommendation on a review of the candidate's curriculum vitae, other materials collected by the Search Committee and the Department, the departmental report, and any written comments from the Dean of the Faculty and the President. The APT Committee shall decide on a recommendation. If the APT Committee recommends that the appointment shall be made, the President shall convey its recommendation to the Board of Trustees. (For lateral tenure appointments, see Section 3.2.3.3.)

7. Background checks. All candidates being considered for employment must agree to submit to a background check in accordance with the background check policy outlined in Appendix 3.3.

8. All offers of employment are contingent upon the candidate's ability to provide valid verification their first day of employment that he/she is legally authorized to work in the United States pursuant to federal immigration laws.

9. The terms and conditions of new appointments should be stated in writing and be in the possession of both institution and candidate before the appointment is consummated.

3.2.3.3 Lateral Tenure Policy

When the College appoints a new faculty member at the Associate or Full Professor rank, it occasionally, in cases of special circumstances, may wish to award tenure concurrently, to scholars with truly distinguished academic records. Normally, such a person will have a tenure position at another college or university. Such an appointment calls for an APT review. The Department Chair will notify the Dean of the Faculty that the Department is extending a campus visit to a candidate who may qualify for lateral tenure. During the candidate's on-campus visit, the Dean will inform the candidate that he or she may be considered for lateral tenure and will outline for the candidate the CMC lateral tenure process.

If the Department decides to move forward with a faculty appointment and tenure review process, the Department Search Committee will be the committee responsible for assembling all relevant materials for tenure review, including teaching evaluations, letters from students, scholarship, and external and internal reviews of scholarship. The departmental evaluation will be made in the context of CMC's commitment to its mission and to the liberal arts. The departmental valuation will also explain what distinguishes the candidate's case from the more common case of a candidate appointed at the same rank without an award of concurrent tenure. The Search Committee will submit these materials and its report to the relevant group of tenured members of the home department for recommendation. The Department will forward its recommendation and materials to the APT/EC. Once the department and candidate have agreed to proceed, the Dean will promptly appoint an *ad-hoc* review committee of three members of the APT Committee whose primary appointments are outside of the Department conducting the search. This *ad-hoc* review committee will interview the candidate, by telephone or videoconference if necessary, particularly eliciting information about the candidate's teaching and the nature of his or her research subfield.

The *ad-hoc* review committee will promptly submit to the APT/EC a report evaluating the soundness of the departmental evaluation, using the same criteria that the field investigation subcommittees use in the tenure review of a CMC faculty member. On the basis of this report, the APT/EC may direct the Department to provide additional information. The APT/EC will then make a recommendation to the full APT Committee.

In September of each academic year, the Dean of the Faculty shall report to the APT Committee the following information on searches and appointments at the ranks of Associate Professor and Full Professor during the preceding academic year: (a) the number of instances in which departments did not initiate procedures for possible concurrent tenure reviews of candidates for appointment, (b) the number of instances in which departments initiated procedures for possible concurrent tenure reviews of candidates for appointment, (c) the number of instances in which departments finally recommended concurrent tenure, (d) a summary of review committee assessments of the departmental reports, (e) the number of instances in which the APT Committee finally recommended concurrent tenure, and (f) among all the candidates recommended by the APT Committee for appointment at the Associate and Full Professor level, a summary of the criteria distinguishing

candidates recommended by the Committee for concurrent tenure from those not recommended for concurrent tenure. These reports shall be kept on file for guidance in future years.

Revised December 12, 2008; December 14, 2000; Approved by APT, November 3, 2000

3.2.3.4 Endowed Professorships

The President determines whether to appoint an existing faculty member or to recruit an outside candidate. The President will consult with the involved department and the Dean of the Faculty prior to final determination.

If an existing faculty member is to be appointed, the President will request a formal recommendation from the involved department, from the Dean of the Faculty, and from the APT Executive Committee. The President will take the recommendations to the APT Committee for final approval prior to submission to the Board of Trustees.

If an outside candidate is to be recruited for a named professorship, the President will formally appoint the search committee after consultation with the involved department and the Dean of the Faculty. Generally, the search committee will be not less than three nor more than five people. The search committee will normally be chaired by a faculty member from the involved department and include the Dean of the Faculty. Where appropriate, the search committee may include a faculty representative from outside the involved department. The regular affirmative action and APT procedures will be followed.

3.2.3.5 Privileges

Upon receiving a regular appointment at Claremont McKenna College (an appointment other than a part-time or temporary appointment), a faculty member becomes a full member of a department and is granted the full rights and privileges within the department that are associated with the member's rank and tenure status. If another department wishes to grant privileges to the faculty member, it may do so at its discretion, subject to the President's approval. With the mutual agreement of the faculty member and the department, a faculty member holding such a position in another department may retain full membership in the department to which the member was originally appointed. A change in the locus of the member's primary departmental appointment requires action by the APT Committee and the Board of Trustees.

Approved by APT: April 28, 2000; revised by the Faculty March 10, 2009

3.2.4 STANDARDS FOR REAPPOINTMENT, PROMOTION, AND TENURE

Tenure and promotion are determined by the value of the faculty member's activities in the three areas of teaching, scholarship and research, and service to the College. Service, in the sense of sharing in the administrative responsibilities of institutional life, is an integral but lesser part of the teacher-scholar's relationship to

the College. Lack of service can, however, play an important role in the denial of promotion and tenure. Reappointment and tenure decisions are made on the basis of merit within the framework of the College's present and anticipated future staffing needs. Although a candidate may have an exemplary record, reappointment or tenure may be denied or not considered if the staffing needs of the College do not warrant continuation of the position occupied by the candidate.

1. Reappointment

Reappointment is normally the first of three major faculty advancement decisions. It is a serious decision to "be made with the standards for tenure in mind," but it differs from the tenure decision in that promise, as well as performance, may be invoked. A candidate who shows strong promise as a teacher and a scholar may be granted a full three-year reappointment. Where serious reservations are exposed about a candidate's performance or promise in teaching or scholarship, the candidate should be offered at most a terminal one-year contract. In some cases, where opinion is mixed, or the evidence of teaching and scholarship too incomplete, the candidate may be offered a two-year probationary contract. In no case should reappointment be considered tantamount to tenure.

2. Promotion/Tenure

Tenure normally occurs upon promotion to the rank of associate professor unless otherwise determined by the procedures contained herein or by contractual provisions. Only by meeting high standards of teaching and scholarship does a candidate qualify for promotion and/or tenure at the College. Candidates must be skilled in communicating their knowledge to students and in contributing to their students' intellectual growth. Such skill is normally assessed by informed faculty judgment based on course syllabi, student evaluations, student interviews, grade distributions, and alumni comments. In their scholarship, candidates must have demonstrated a mastery of an area of knowledge by making contributions of obvious professional value to their discipline. Such contributions may take various forms. The most common is research reflected in scholarly writing that appears in professional journals and books, but other forms may be appropriate to particular fields. The crucial element is the value of the contribution. Within a college emphasizing public affairs, lecturing, speaking, or writing for the general public receives consideration.

3. Promotion to Full Professor

Promotion to full professor should not be automatic. Before promotion to full professor occurs, clear signs should exist that a candidate's teaching effectiveness and scholarly activities are growing, not slackening, and that his or her other contributions to the College have continued at a high level.

Passed by unanimous vote of APT, September 29, 1978

Approved by the Faculty, October 23, 1978

3.2.5 PROCESS FOR REAPPOINTMENT, PROMOTION, AND TENURE

3.2.5.1 Mentoring for Junior Faculty

CMC has a policy to aid junior faculty as they acclimate to CMC and as they prepare for reappointment and tenure processes. That policy includes the following elements:

1. Two-day orientation for new faculty.
2. Annual departmental review and meeting with the Dean of the Faculty (see below).
3. Third-year reappointment review (see below).
4. Periodic general sessions to provide junior faculty with more general advice on career strategies and tenure standards; held at least once annually.
5. Assignment of a senior faculty member as a mentor for a junior faculty member, if that junior faculty member agrees that having a formal mentor is appropriate. This decision will be made near the beginning of the junior faculty member's second semester at CMC.
6. Conveyance of departmental tenure standards by senior faculty to the Appointment, Promotion, and Tenure Committee, and annual discussion of those standards by the departmental chair with the junior faculty member.

The policy in its entirety is included as Appendix 3.4.

3.2.5.2 Annual Departmental Review

A departmental review process will be used for all untenured faculty on tenure tracks.

This process begins with an annual report by the untenured faculty member on his or her activities during the preceding year. This is the same report that all faculty members submit as part of their annual performance review. This report will be submitted to the Dean of the Faculty and will cover three areas: teaching, scholarship and research, and service. The faculty member's report becomes a part of his or her personnel file.

The Dean of the Faculty makes the report available to the chairperson of the faculty member's department and, within a month of the report's submission, meets with the chair to discuss the report.

The Dean of the Faculty and the department chairperson then meet with the faculty member to discuss his or her report in light of the departmental discussion.

3.2.5.3 Reappointment

Because non-terminal appointment in a tenure-track position normally indicates satisfactory progress toward tenure, the reappointment decision should be made with the standards of tenure in mind.

Reappointment decisions will normally occur in the final year of a candidate's contract. In preparation for the reappointment decision the Dean of the Faculty shall request:

a. A statement from the candidate on his or her activities relevant to the reappointment decision, and

b. A full report and recommendation from the candidate's department, which is normally based on a survey of all tenured members of equal or higher rank in the department. (Where necessary in individual cases, because of existing contract conditions, the timing of the reappointment decision may be modified.)

2. The Dean shall transmit the candidate's report and the departmental report and recommendation to the EC, which shall make a recommendation to the full APT Committee on the basis of its review of the candidate's vitae and statement, the departmental report and recommendation on reappointments, and any other relevant information in the Dean of the Faculty's office or which the EC may obtain. (All written information except confidential letters from referees shall be made available to the candidate for his or her written comment.)

3. Both the departmental report and recommendation and the EC recommendation shall go to the full APT Committee. The Dean shall inform the candidate as soon as the APT recommendation is known and shall discuss the reasons with the candidate.

Passed by APT/EC, March 31, 1992

Passed by APT, April 23, 1992

3.2.5.4 Information on Tenure and Promotion Procedures and Schedule

The Dean of the Faculty gives all new and untenured faculty on tenure tracks, and all tenured faculty who have not reached the rank of full professor, information on the procedure and general schedule governing tenure and promotion decisions. Each individual is also given a timetable of the expected sequence of events in his or her review process, including the approximate dates when the Dean of the Faculty and the EC will commence review and the full APT Committee will meet to make the recommendation on tenure and/or promotion to the Board of Trustees, via the President.

For candidates not previously tenured elsewhere, decisions in regard to tenure and promotion to associate professor normally shall be made in the third year of the second three-year contract. Contracts offered to such individuals may include a reduction in the probationary period prior to a tenure decision to account for time served at another institution.

Candidates previously tenured elsewhere normally will be considered for tenure no later than one year before their contract ends.

Consideration for promotion to full professor normally will occur during the seventh year in rank as a tenured associate professor.

All candidates for tenure and/or promotion are informed of the initiation of the review process before it begins and in time for them to compile and submit any necessary information and materials.

3.2.5.5 Review Procedures

The Dean of the Faculty begins the process by notifying the candidate that he or she is eligible for consideration, asking if the candidate desires to be considered, and if so, requesting the candidate to submit a statement of his/her achievements in teaching, scholarship and research, and service, with supporting materials. The candidate's personal statement and curriculum vitae should follow guidelines available in the Dean of the Faculty's office. A candidate may request an earlier date of consideration, or a later date of consideration. A request for early consideration should also include a statement of achievements. (Sabbaticals and other leaves are normally included in years of service if they clearly contribute to the faculty member's professional advancement and are in the interests of the College.)

Requests for consideration for promotion, tenure, or reappointment are normally submitted on or about July 1. These requests will be accompanied by the candidate's statement and supporting materials. Any anticipated delay from the circumstances of an individual case must be resolved in advance by consultation between the Dean of the Faculty, the APT/EC, and the candidate's department.
Amended by APT February 10, 2006.

As part of the candidate's tenure and promotion case, the Department will provide five arm's length reviews of the candidate's scholarship, and could provide up to three additional arm's-length or non-arm's length reviews. Normally, letters should be solicited by mid-July, and evaluators should be asked to submit their reviews in no more than one month of the receipt of the materials. The candidate shall suggest four names of potential referees. The candidate should also have the opportunity to advise the chair of names of individuals who might not be suitable referees. The Department may still seek to solicit letters in spite of the candidate's objection, but the candidate's objection to an evaluator must be noted in the departmental report. The department's list of potential referees should be drawn up after the receipt of this information from the candidate for tenure or promotion. It is the College's policy to protect the confidentiality of referees during the tenure process. *Amended by APT, December 9, 2008.*

At least three of the total letters received must be from evaluators selected by the Department. The ideal outside evaluator is objective, credible, and highly respected in his/her field. To the degree possible, evaluators should be full professors. The

five arm's length letters must come from evaluators who have no personal relationships with the candidate and are free from bias, including bias due to personal or professional relationships with the candidate. The department report should explain each evaluator's credentials, and, in any instance where a professional relationship exists or has existed between the evaluator and the candidate, the department report must describe that relationship. If the APT/EC concludes that specific letters could be viewed as insufficiently objective, it may ask the department or the FIS to obtain additional letters. **(Adopted by APT April 7, 2006)**.

The letters sent by the department to outside reviewers soliciting evaluations of the candidate's scholarship shall:

- Indicate whether the candidate is seeking tenure and/or promotion to either associate professor or full professor; ask the reviewer not whether the candidate would be promoted or granted tenure at the reviewer's institution but rather ask for an evaluation of the quality of the candidate's work and its significance, a comparison of the candidate to others at a similar stage in their careers, and a judgment concerning what the candidate can be expected to do in the future;
- Include the candidate's curriculum vitae, personal statement on scholarship, and scholarly materials agreed upon by the candidate and the department;
- Request from the reviewer a curriculum vitae and ask that the letter of evaluation briefly explain any relationship the reviewer may have with the candidate;
- Indicate that the department would be pleased to provide, if the reviewer so wishes, other materials listed on the vitae but not included with the letter;
- NOT include a list of the candidate's other evaluators;
- Be reviewed and approved by the APT/EC before they are sent. (A model letter, to which departments may add relevant information, is available from the Dean of the Faculty's office.)

When the Dean of the Faculty receives the candidate's statement and supporting materials, he/she presents them to the EC for a preliminary review (but no preliminary recommendation) in order to determine if the department should be requested to consider particular issues in its report. The EC may also take account of other available information in making such a request. The Dean then requests a report from the department. The departmental report shall include not only a recommendation on tenure and/or promotion, but also a well-developed description and evaluation of the supporting factual evidence and of the candidate's strengths and weaknesses.

The department is expected normally to complete and submit its report to the Executive Committee by October 15. In cases when the tenure process starts

significantly later than July 1, completion of the departmental report will be expected within ten weeks of the submission of the candidate's materials to the Dean of the Faculty. Departments which fail to meet the deadline shall normally be judged to thereby have established their lack of interest in the results. The Executive Committee of the APT should proceed to establish a field investigation subcommittee which shall assume the charge of the departmental review process, including the power to recommend.

Approved by APT May 17, 1979; Amended by APT December 12, 2008

The departmental report shall generally assess the candidate's qualifications for promotion and/or tenure, and must address the specific issues and questions posed by the APT-EC. Where feasible, the department report shall also provide a reasonable representation of both majority and minority views in the department. (A model departmental report template is available from the Dean of the Faculty's office.) In particular, the report shall include in the following order:

a. A summary of the Department's recommendation and assessment, including the Department's vote, who was present for the vote, and who served on the review committee/s, including who was primarily responsible for each section of the report.

b. A brief overview of the candidate's history, including when the candidate arrived at CMC, what his or her appointment was upon arrival, a biographical review, relevant information from prior CMC evaluations, and a statement assessing whether the candidate has met the academic need specified in the original search request and job description.

c. A detailed assessment of the candidate's teaching based on a study of the candidate's course syllabi, grade distributions, an examination of student course evaluations, and interviews with a range of students (preferably a minimum of 12-15 students) who have taken his or her courses. The Dean of the Faculty's office has on file the standard interview instrument that the department is to utilize, with the understanding that it can be modified to meet the department's particular needs. Assessment of course evaluations should include a tabular comparison of the candidate's numerical scores with departmental and College averages controlled for core classes and electives across at least the following questions: course as a whole, instructor contribution to the course, instructor effectiveness, and instructor compared with other instructors at the Claremont Colleges. The Department shall include information about all courses taught by the candidate at CMC. Comments should be solicited from alumni who are former students of the candidate. Each faculty member preparing for tenure consideration may be observed in the classroom by departmental colleagues. The Department will regulate the precise number and the timing of these observations according to its best judgment.

Approved by APT May 9, 1996

d. A substantive discussion of the candidate's scholarship that (a) describes in jargon-free language the candidate's research, (b) assesses its quality through a careful analysis of its argument and significance (as opposed to mere reference to the reputation of the journals and presses in which it has appeared), (c) evaluates the candidate's past scholarly productivity and future research agenda and scholarly

potential, (d) summarizes the evaluations (as well as the names, scholarly credentials and relationship, if any, to the candidate) of at least five outside reviewers on the candidate's scholarship. Individual comments from reviewers must not be attributed, and names and identifying characteristics of reviewers must be redacted from the departmental report when it is provided to the candidate. This summary must include both positive and negative points raised by the reviewers. If there are significant differences among reviewers, the report should note which of the evaluators are from the Department's list and which from the candidate's list, as well as which are arm's length and which (if any) are not. The full original letters should be submitted to the Dean of the Faculty's office along with the report.

If it is a tenure case, the research section should be written with reference to the Department's published standards for tenure, and a copy of those standards should be included as an appendix to the report.

e. A report of the candidate's service to the department, the College, the Claremont Colleges, his or her academic discipline, and the broader society. The APT Committee intends that these aspects of "service" will be considered in evaluating the teaching and scholarship of faculty members at CMC. This means sharing in the traditional administrative responsibilities of the College, including:

Service to Students through involvement in independent studies, thesis supervision, counseling, formal and informal extracurricular activities, and broad contribution to students' intellectual growth.

Service to One's Profession, such as holding office in a professional association and participation in conferences

Service to the Outside Community, where related to one's scholarly pursuits.

The report should compare the candidate's level of service with the departmental norm and should take into account which service opportunities have been available.

Approved by APT, April 24, 1979

Approved by the Faculty, May 7, 1979

Guidelines for Department Report approved by APT, December 12, 2008

3.2.5.6 Field Investigation Subcommittee (FIS)

When the departmental report has been completed and submitted to the Dean of the Faculty and the candidate agrees that the review process should continue, the Dean appoints a Field Investigation Subcommittee. However, in the case of candidates for early promotion and/or tenure, the EC may decide to discontinue consideration of the case on the basis of its review of the candidate's record following submission of the departmental report, with right of appeal by the candidate to the full APT Committee.

This subcommittee is to investigate fully and to describe and evaluate the candidate's performance in each of the areas of teaching, scholarship and research, and service. The role of the FIS is to ensure the integrity of the tenure and/or review process by reaching its own judgment about the quality of the candidate.

1. The Dean of the Faculty appoints the Field Investigation Subcommittee which normally consists of three faculty members from outside the candidate's department. In extraordinary cases, when the Dean determines it is necessary for adequate review of the candidate's scholarship and research, one additional member may be appointed from the candidate's department or from his or her discipline in one of the other Claremont Colleges.

2. Two of the members of the field investigation subcommittee shall be tenured full professors and one shall be a tenured associate professor.

3. The candidate is encouraged to nominate at least three CMC faculty members (either tenured associate professors or tenured full professors), outside his or her department, who are particularly well qualified to evaluate his or her teaching, scholarship and research, and/or service.

4. The Dean selects at least one of these nominees for membership on the candidate's field investigation subcommittee. The tenured associate professor and any non-CMC member of the subcommittee should be invited to attend the full APT Committee meeting on the candidate but are excused from the meeting after having an opportunity to answer questions about the report.

5. The field investigation subcommittee is instructed to prepare a written report for the full APT Committee. The subcommittee report includes detailed descriptions and evaluations of the candidate's teaching, scholarship and research, and service, with attention to both strengths and weaknesses. The report makes no recommendation for or against tenure or promotion, but it should include an assessment of whether the departmental report was sufficiently comprehensive under the categories of teaching, scholarship and research, and service, and accurately conveyed the information gathered by the department in each of these categories.

The subcommittee shall familiarize itself with the Standards for Reappointment, Promotion and Tenure (section 3.2.4) and it may ask the APT-EC for necessary clarifications regarding applicable evaluative standards. The APT-EC may request the subcommittee to consider particular matters which may figure in the APT-EC's recommendation on the candidate to the full APT Committee. The APT-EC may return a report to the subcommittee for more complete consideration of particular issues. The subcommittee shall develop information from the following sources:

- An interview with the candidate, the Department chair, and other faculty such as departmental colleagues, other CMC faculty, and faculty in his or her own field from the other Claremont Colleges (the other faculty chosen at the discretion of the FIS);

- A review of his or her publications and manuscripts;
- An examination of student course evaluations;
- Interviews with a range of students who have taken his or her courses, unless deemed unnecessary by the APT-EC;
- Examination of all materials in the Dean of the Faculty's office (the candidate's annual reports, the candidate's statement, the department's report on tenure and/or promotion, course evaluations, course syllabi, and grading statistics, and his or her personnel file); and
- An examination of written appraisals from external evaluators, which will normally include at least five arm's-length evaluations.

6. A model template for the FIS report is available in the Dean of the Faculty's office. When the subcommittee's final report is available, the Dean of the Faculty gives a copy to the candidate for any written comments he or she desires the APT-EC and the APT Committee to consider in connection with it. When its final written report has been submitted, the field investigation subcommittee may meet with the APT-EC to discuss the report in order to aid the APT-EC in making the recommendation on tenure and/or promotion.

7. After receiving the report of the field investigation subcommittee, the EC makes a written recommendation to the full APT Committee based on all factual and evaluative material and information available to it; and the criteria generally governing tenure and/or promotion (see statement on Standards for Reappointment, Promotion, and Tenure, section 3.2.4).

8. The Dean of the Faculty shall provide the candidate's curriculum vitae, personal statements, and written responses to reports, the departmental report, the field investigation subcommittee report, and the APT-EC recommendation to members of the full APT Committee prior to the meeting at which the decision is to be made.

FIS Instructions approved by APT, November 7, 2008

3.2.5.7 APT Meeting

The chair of the Department or his or her designee will present the departmental report to the full APT. In cases where the chair or designee is not a full professor, the chair may present the report and answer questions, but must leave the meeting before a vote is taken.

The chair of the FIS will present the FIS report.

A majority of members of the APT voting (assuming a quorum) is necessary to approve a recommendation for promotion and/or tenure.

Members of the APT are expected to take seriously their responsibilities, including conscientiously reading APT materials and maintaining confidentiality.

Recommendations for tenure and promotion must be approved by the Board of Trustees.

3.2.5.8 Disclosure to the Candidate

Except for names and reports of individual referees, the candidate has access to all written materials used by the EC and the field investigation subcommittee in preparing their reports and by the APT Committee in making its decision.

At each stage in the process the candidate is given an opportunity to make a written response on his or her own behalf, making special note of information that may escape the attention of the committee in question and of any special sources of information that should be consulted.

In addition, the Dean of the Faculty communicates the APT recommendation to the candidate immediately after it is known and discusses the reasons for the Committee's decision with the candidate.

In the case of a negative recommendation on a candidate for promotion, the Dean also indicates the next likely time period when promotion will be considered.

3.2.5.9 Reconsideration of Candidates for Promotion

In the event a Field Investigation Subcommittee is appointed and promotion is subsequently denied, the candidate may request the EC to commence another review within the next one or two years. However, the candidate is not automatically entitled to full review, including appointment of a field investigation subcommittee, at intervals closer than three years. (More frequent full consideration, including appointment of a field investigation subcommittee, is at the discretion of the EC, with right of appeal by the candidate to the full APT Committee.)

Passed by unanimous vote of APT, September 29, 1978

Approved by Faculty, October 23, 1978

Revised May 5, 2000

3.2.6 POST-TENURE REVIEW POLICY

3.2.6.1 Review Schedule

Associate Professors

Associate Professors will normally undergo their first post-tenure review nine years after tenure review and every seven years thereafter. Candidates may substitute a review for promotion to Full Professor for the scheduled post-tenure review.

Full Professors

Full Professors will normally undergo their first post-tenure review seven years after their review for promotion to Full Professor and every seven years thereafter.

3.2.6.2 Review Process

a. The Dean of the Faculty (DOF) will notify all candidates for Post-Tenure Review (hereafter, candidates) in writing by May 1 that they are subject to review during the subsequent academic year. This notification will include a list of materials that candidates must provide to the DOF no later than September 1. These materials are listed below:

Updated CV.

This document should include scholarly accomplishments listed chronologically in the following categories where applicable:

- Books and Monographs
- Edited books
- Chapter contributions
- Articles in refereed journals
- Invited papers
- Book reviews
- Professional presentations
- Other categories may be included by the candidates as appropriate

Personal Statement.

To elaborate or clarify the above, the candidate will submit a personal statement that addresses teaching, scholarship, and service. Normally this statement will not exceed three pages. The scholarship section may include a discussion of work in progress and future research directions, including long-term projects that have not yet come to fruition. The teaching section may include discussion of teaching innovations.

b. The DOF will gather the following additional information:

- The candidate's annual reports since the last full review (either the review for promotion or the previous post-tenure review).
- The report from the candidate's last full review.
- All the teaching evaluations since the last full review.
- The candidate's last sabbatical request and sabbatical report.

c. The DOF will form an ad hoc Review Committee consisting of the DOF (or the DOF's designee), the Chair of the candidate's department, and a faculty member selected by the candidate. No non-chair should be required to participate in more than one review committee each year. The two faculty members must be of equal or higher rank to the candidate. In the event that the Chair of the department is

being reviewed or is of lower rank to the candidate, the DOF will select a suitable replacement in consultation with the faculty member selected by the candidate. The ad hoc Review Committee will review the materials and write a draft report that indicates the candidate is performing at a "satisfactory" level or "needs improvement" in areas of teaching, scholarship, and service. The report may recommend faculty development in one or more areas. Normally the draft report will be completed by December 1. A copy of this draft report will go to the candidate.

d. After receiving the draft report, the candidate will meet with the review committee to discuss the report. This meeting normally will occur by February 1. At this meeting the candidate may provide the committee with material relevant to the evaluation, including a written response to the draft report. If relevant, the candidate may respond with alternative recommendations for faculty development. Within two weeks of this meeting, the committee will write a final report. Within two weeks of receiving the final report, the candidate may submit a written response. All submitted materials, the final report and the candidate's response, if any, will constitute the Record of Review (ROR).

e. The candidate shall have the right to appeal the judgment of the Review Committee by appeal to the President, who shall appoint a new faculty committee to assist the President in making a final determination regarding performance.

3.2.6.3 Record of Review (ROR)

The ROR becomes a part of a faculty member's permanent record. The ROR may be considered by the following administrators and committees for purposes listed below.

a. President and the DOF

- salary increases and bonuses
- discussions leading to mutual agreement on teaching load
- administrative assignments
- enhancement of IFAs
- faculty development, if any, as outlined in the ROR

b. Department Chair

- teaching assignments
- salary recommendations
- department-administered grants

c. APT

- sabbatical requests

d. Research Committee

- enhanced sabbatical requests
- summer research grants

3.2.6.4 Policy Evaluation

The post-tenure review policy will be evaluated three years after implementation and then every five years thereafter. The evaluation will consider the policy's effectiveness in relation to the objectives outlined in the Preamble. The DOF has responsibility for initiating the evaluation. The evaluation will be conducted by the Administration Committee and is to be reviewed and approved by the faculty.

3.3 THE SEARCH AND APPOINTMENT PROCESS: NON-TENURE-TRACK APPOINTMENTS

Non-tenure-track appointments may range from one-course, single semester appointments to full-time, longer-term appointments. The search process will vary according to the specific provisions of an appointment.

3.3.1 NON-TENURE TRACK APPOINTMENTS OF A YEAR OR LESS, BOTH PART-TIME AND FULL-TIME

- Departments shall devise internal procedures in consultation with the Dean of the Faculty.
- The departmental recommendation, accompanied by a brief description of the search procedure, a curriculum vitae, and documentation of the candidate's academic credentials, shall go to the APT/EC for its recommendation.
- If the APT/EC recommends that the offer shall be made, the President shall convey the recommendation to the Board of Trustees. All recommendations of the APT/EC shall be reported to the Full APT Committee.

3.3.2 NON-TENURE-TRACK APPOINTMENTS OF MORE THAN ONE YEAR BUT NO LONGER THAN THREE YEARS, BOTH PART-TIME AND FULL-TIME

Procedures for these appointments shall be the procedures stated above, except that the department shall also provide at least three letters of recommendation and a brief report explaining the reasons for selecting the candidate.

3.3.3 NON-TENURE-TRACK APPOINTMENTS EXCEEDING THREE YEARS, BOTH PART-TIME AND FULL-TIME

Procedures for these appointments shall be the procedures for non-entry-level tenure and tenure-track candidates, as specified in section 3.2.3.2 above. ¹

Revised by the APT/EC – November 2, 2001.

3.3.4 NON-TENURE-TRACK ROLLING CONTRACTS FOR ATHLETICS FACULTY

Recognizing the dual nature of coaching, sharing both teaching and administrative duties, athletics faculty may be employed on the basis of three-year rolling contracts. For more details, see the CMC Staff Handbook.

3.3.5 BACKGROUND CHECKS

As a condition of employment, all candidates will be required to submit to a background check pursuant to the College's background check policy (See Appendix 3.1). In addition, candidates must demonstrate that they are legally authorized to work in the United States.

3.3.6 TERMS AND CONDITIONS

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

3.3.7 DE FACTO TENURE

Claremont McKenna College does not recognize *de facto* tenure.

3.4 APPEALS ARISING FROM APT ISSUES

3.4.1 GENERAL PROCEDURES

1. When APT Appeals may be used; Grounds

The APT Appeals Procedure allows a member of the faculty who has been the subject of a decision by the APT Committee to appeal the decision on the grounds of:

Alleged violation of academic freedom or academic due process;

Alleged violation of the right to full and fair consideration;

Alleged violation of state or federal law (including discrimination); or

Alleged violation of APT procedures set forth in the Faculty Handbook.

It is not the purpose of an Appeal Panel to substitute its judgment for that of the APT Committee, but rather, to establish whether any of the foregoing alleged violations have occurred and make recommendations appropriate to its findings.

2. When to File an Appeal; Time Limits

Prompt filing of an appeal is strongly urged, because it is often difficult to trace the facts of an incident long after it has occurred. The appeal procedure should be initiated as soon as possible after the decision at issue. The time limits set forth in these procedures are approximate. The President, the Dean of the Faculty or the Dean's designee, at his or her discretion, may allow additional time for any of the steps noted.

3. Appealing a Decision of the APT Committee

Appeals arising out of APT decisions shall be submitted in writing directly to the Dean of the Faculty, who will appoint an Appeal Panel according to the procedures described below under Specific Procedures. If after reviewing all written documents, at least one member of the Panel is satisfied that the appeal warrants investigation, a fact-finding hearing shall be held. The Appeal Panel may attempt settlement of the appeal at any time prior to hearing or written findings. The Appeal Panel shall issue written findings and recommendations to the President of the College.

4. Standard of Review, Full and Fair Consideration

When the alleged violation involves the right to full and fair consideration, consideration shall be deemed full and fair if the decision has been pursued in accordance with the procedures outlined in the Faculty Handbook; if the relevant facts and proper criteria were brought to bear on the decision; and if given the relevant facts, proper criteria, and procedures a reasonable person in the position of the decision maker might have made the same original decision.

5. Informal Settlement

The appeal may be settled at any time prior to the entry of findings and a decision by the Appeal Panel.

3.4.2 SPECIFIC PROCEDURES

1. Process of Formal Resolution of APT Appeal

Faculty member claiming an appeal (the appellant) will submit to the Dean of the Faculty within two weeks of notification of the APT decision a written complaint specifying the nature of the appeal, referring to the grounds set forth in these procedures or elsewhere in the Faculty Handbook, including specific reasons why the decision is being challenged.

2. Appeal Panel

Upon receiving a request for appeal the Dean of the Faculty shall appoint an Appeal Panel following these rules:

Each member shall be a member of the APT Committee.

- b.** No member shall be on the APT Executive Committee (APT/EC).
- c.** No member shall be from the appellant's department.
- d.** No member shall be a regular participant in or member of an academic program analogous to a department in which the appellant is regularly involved.
- e.** No member shall have been directly involved in the controversy or decision leading to the appeal. Having asked questions or participated in discussions and voted in the course of regular APT decisions shall not by itself be deemed direct involvement, unless the potential member's participation at the APT level was such as to preclude his or her unbiased deliberation as a member of the Appeal Committee.

1) Examples of direct involvement include, but are not limited to:

membership on the related FIS;
refereeing of related materials;
testifying orally or in writing on the grievant's credentials;
attainments, or activities, and giving counsel or assistance to the appellant;
to the appellant's department, or to any other entity in the controversy or decision leading to the appeal.

f. No more than one member shall come from any one academic department.

g. If a question about a potential member's suitability arises, the Dean of the Faculty may consult with the APT/EC or the full APT Committee, but the fact of any consultation by the Dean with these committees or other groups or individuals shall be made part of the record.

h. In the case of appeals concerning tenure decisions, the three APT members of the Appeal Panel selected by the Dean shall choose a tenured associate professor to be the fourth member of the panel. In making this selection the three APT committee members will observe the foregoing rules where applicable.

i. The appellant may challenge members for cause.

a) If one or more of the three APT Committee members are challenged, the Dean shall decide the merit of the challenge and either replace the challenged member(s) or give the appellant a statement of reasons for not replacing the member(s).

b) If the tenured associate professor is challenged the three APT members shall replace the challenged member or provide the appellant a statement of reasons.

3. Process

a. The Dean of the Faculty will transmit the written complaint to an Appeal Panel along with all documents related to the APT decision within three working days after the panel is formed according to the rules specified below under "Appeal Panel."

b. If, after reviewing all documents submitted, at least one member of the Appeal Panel agrees that the appeal warrants investigation, the Appeal Panel shall grant a hearing to the appellant within seven working days. If deemed necessary, the Appeal panel will interview the appellant, APT members, and/or other members of the CMC community. It may also contact outside reviewers.

c. The appellant may attend the hearing with his or her representative.

1. Legal counsel will not be permitted at the hearing, except in the case in which any party to the appeal faces pending or potential criminal charges, the appeal is based on an alleged violation of state or federal law, or the appeal involves a claim of unlawful harassment or discrimination.

2. In these cases legal counsel will be permitted in an advisory role only, and will not be allowed to participate directly in the hearing.

d. The appellant will be permitted to make statements to the Appeal Panel and the Appeal Panel may require statements by other persons. The appellant will have a reasonable opportunity to question such persons.

e. A record (preferably tape recording) of the hearing will be made. All statements and documents that become part of the hearing record are to be treated as confidential by all parties to the process except as provided by law.

f. The burden of proof shall be on the appellant to provide clear and convincing evidence in support of the grounds put forth in his/her written complaint.

g. The hearing and deliberation of the Panel shall be closed.

h. The Appeal Panel will attempt to complete its work within two weeks by delivering a written report of its findings, including recommendations, to the President of the College, the APT Committee and the appellant.

i. An appellant may appeal a decision of the Appeal Panel to the President, who, at his or her discretion, may decide to hear the appeal. If the President does hear the appeal, the President shall provide his or her final written resolution of the appeal to the Appeal Panel, the appellant and the APT Committee.

Approved by the Faculty, December 7, 1995

APPENDIX 3.1

KECK SCIENCE RPT POLICIES AND PROCEDURES

This statement establishes the standards and procedures by which Keck Science faculty are considered for reappointment, promotion, and tenure. It has been designed to provide fair consideration for all candidates while ensuring the vitality of the three cooperating colleges as institutions of higher education.

I. Statement of Criteria

The academic profession demands several loyalties of its members. They share a local attachment to an institution of higher education and a field attachment to an honorable profession. On the one hand, faculty members are responsible for the educational advancement of their students and for the well-being of the institution of which they are members. On the other, they are active participants in fields of inquiry.

The Keck Science Department, as a vital center of undergraduate education, seeks to evolve the model of the teacher-scholar whose ability and interest in teaching are maintained at a high level and whose scholarly activity is of genuine professional value to his or her discipline. Service, in the sense of sharing in the responsibilities of institutional life, is an integral but lesser part of the teacher-scholar's relationship to the Colleges. Lack of willingness to serve can, however, play an important role in the denial of promotion and tenure. Activity and accomplishment in each area is necessary for the growth and advancement of the individual and of the Colleges.

I. Reappointment, promotion, and tenure are determined by the value of the faculty member's activities in the areas of teaching and academic advising, scholarship, and service.

A. Teaching and Academic Advising:

Teaching derives from a thorough and demonstrated knowledge of one's field and recent developments in it, from the ability to present that knowledge systematically and coherently, and from the ability to develop new and original curricular concepts. The effective teacher communicates her/his own enthusiasm for the subject to her/his students, and seeks always to increase her/his capacity for independent and creative thinking and working. Thoughtful academic advising is an important element of teaching at these colleges. Faculty are expected to make themselves available to students as a resource and to participate actively in academic advising activities.

B. Scholarship:

Scholarship takes the form of original contributions in one's field. Normally, evidence of this takes the form of articles and reviews in refereed journals,

monographs presenting original ideas, and book chapters in edited books. Further evidence includes grants from outside funding sources such as NSF, NIH, and PRF. Activities such as authoring textbooks; presenting curricular material in professional refereed journals; presenting original research at professional meetings; and presenting and writing for public audiences, can be submitted as additional evidence of scholarship.

A candidate's scholarly work is evaluated for its originality, significance, and the nature of contributions in collaborative projects, not mere quantity. It is recognized that the rate at which a research project develops varies considerably from project to project, and that this should be taken into account when evaluating a candidate's research effort. If by the 3-year review a candidate's recent work has not resulted in publication, it will be the candidate's responsibility to demonstrate in other ways significant promise of establishing an ongoing research program.

Scholarship is also valued for its contribution to undergraduate education, the major emphasis in the Keck Science Department. Keck Science faculty are expected to show energy and initiative in establishing a research program and in involving students, when available, as participants either in that program or in other significant research projects likely to lead to publication.

C. Service:

Service includes participation on Keck Science, collegiate, and intercollegiate committees, participation in the governance of professional associations, and, where related to one's scholarly pursuits, participation in public affairs at the local, regional, or national levels.

II. The timing of various reviews, along with the special features that characterize each review level are as follows:

A. Reappointment:

The initial contract is normally for three years. Consideration for Reappointment occurs during the third year, and a one-year terminal contract is offered if the decision is negative.

Reappointment is normally the first of three major faculty advancement decisions. It is a serious decision to be made with the standards for tenure in mind, but it differs from the tenure decision in that promise, as well as performance, may be invoked. A candidate who shows strong promise as a teacher and a scholar may be granted a full three-year Reappointment. Where serious reservations are expressed about a candidate's performance or promise in teaching, scholarship or service, the candidate should be offered a terminal contract. In exceptional cases, where opinion is mixed, or the evidence of teaching and scholarship too incomplete, the candidate may be offered a probationary contract of limited term. In no case should Reappointment be tantamount to tenure by AAUP procedures.

B. Promotion to Associate Professor and Tenure:

Consideration for promotion to Associate Professor with tenure normally occurs during the third year of the second three-year contract, with an additional terminal year offered if promotion and tenure are denied.

Only by separately meeting high standards of teaching, scholarship and service does a candidate qualify for promotion and/or tenure at the Colleges. Candidates must be skilled in communicating their knowledge to students and in contributing to their students' intellectual growth. In their scholarship, candidates must have demonstrated a mastery of an area of knowledge by making contributions of obvious professional value to their discipline.

C. Promotion to Full Professor:

Consideration for promotion to Full Professor normally occurs during the seventh year in rank as Associate, with promotion, if granted, effective the following academic year. If a promotion decision is negative, the candidate may request reconsideration no sooner than two years thereafter.

Promotion to Full Professor is not automatic. Before promotion to Full Professor occurs, clear signs must exist that a candidate's teaching effectiveness, scholarly activities, and other contributions to the Colleges have reached and are continuing at a high level.

II. Operating Procedures for Personnel Considerations

Review for Reappointment, Promotion, or Tenure (II. A-C above):

At the end of each spring semester, the Chair of Keck Science shall consult with the three Deans to determine which science faculty are eligible for review during the following year, and shall notify all candidates in writing of their pending reviews. Candidates must submit their review materials by the start of the semester of their review. At their first meeting in the fall, the RPT Committee shall establish a timetable and RPT faculty members will form Ad Hoc Review committees from its membership for all personnel cases to be considered during the year. The Keck Science Department Chair shall inform the candidates about the composition of their Ad Hoc Review Committees, and candidates have the right to ask the RPT Committee to reconsider its choice of membership. The Keck Science faculty member will be the convener of the Ad Hoc Review Committee. The Ad Hoc Review Committee will investigate the case of each faculty member under consideration for reappointment, promotion, and/or tenure. The roles of the candidate under review, the Ad Hoc Review Committees, the members of the candidate's discipline, the RPT, and the Presidents in the candidate-review process are described below:

A. The Faculty Member under review should:

1. Provide a portfolio which should include an updated C.V. together with scholarly accomplishments listed chronologically in the following categories where applicable:

- Articles in refereed journals
- Books and Monographs, edited books, and chapter contributions
- Outside funding
- Invited papers, professional presentations
- Other categories may be included by the candidate as appropriate.

2. Prepare a personal statement outlining goals and achievements in teaching and academic advising, scholarship, and service.

3. Prepare a teaching portfolio to supplement and expand the discussion of teaching presented in the personal statement. The portfolio should contain materials that will help the members of the department and the RPT committee become more familiar with the candidate's teaching. Such materials normally include samples of syllabi, lab exercises, reading assignments, projects, graded materials, and exams. Numerical summaries of teaching evaluations for each course will be provided by the Chair. Additional student evaluations may be submitted by the candidate. The portfolio is intended to help link teaching philosophy with practice.

4. Provide supporting materials to supplement the scholarship discussion in the personal statement (e.g., copies of publications, preprints, books, papers presented, participation in colloquia, etc).

5. Supply the Ad Hoc Review Committee with the names of the following from whom statements will be requested:

a. A minimum of three faculty and eight students (four current students and four alumni, if possible) who are knowledgeable about the candidate's teaching. The list of faculty members may include individuals no longer in the Keck Science Department or faculty from the other departments at any of The Claremont Colleges.

b. A minimum of four faculty members or professional colleagues who are well qualified to evaluate the candidate's research; this list may include some individuals whom the candidate knows well. At least two of these should not have an appointment at The Claremont Colleges. For each name submitted, the candidate will clearly indicate the nature and extent of contact. (The Ad Hoc Review Committee will select four names from this list.) The candidate should attach to this list a brief (one-sentence) description of her/his research to aid the Ad Hoc Review Committee in identifying other potential external reviewers not named by the candidate. If necessary, the candidate should notify the Committee (in writing)

if there are particular individuals whom the candidate explicitly does not want to be contacted to serve as potential outside reviewers for professional or personal reasons.

c. Between three and five faculty members and/or administrators who can evaluate the service contributions of the person under review.

6. Make available to the Ad Hoc Review Committee advisee lists, awards, honors and any additional information that could be useful. Courses taught by semester and rosters are provided by the Administration.

B. The Ad Hoc Review Committee:

1. At the beginning of the review process the Ad Hoc Review Committee should meet to agree upon a list of individuals who will be asked to evaluate the candidate.

2. The Ad Hoc Review Committee shall thoroughly investigate all those areas about which the discipline and the Keck Science RPT Committee are expected to form judgments. Toward that end, the Ad Hoc Review Committee shall:

a. Consult the file of the candidate with the exception of documents dealing with salary information. The Ad Hoc Review Committee will also consult the Ad Hoc Review Committee report, discipline letter, and candidate response from the candidate's last review, if such a review was done.

b. Read the personal statement prepared by the candidate.

c. Review the candidate's teaching portfolio, including teaching evaluations. Numerical teaching evaluations will be provided to the Ad Hoc Committee by the Chair and will be included as part of the candidate's teaching portfolio.

d. Request confidential evaluations in writing from the following individuals (standardized templates for such requests appear in the Appendix):

Teaching

(i) Three of the faculty members suggested by the candidate.

(ii) All tenured and tenure-track Keck Science faculty, as well as laboratory instructor-coordinators. In addition to teaching, these members of the department are also encouraged to comment upon the candidate's scholarship and service, if appropriate. Keck Science Department members may read the candidate's personal statement, teaching and research portfolios. Access does not extend to other parts of the candidate's review file, such as letters from colleagues, students, or outside reviewers.

(iii) Eight of the students suggested by the candidate.

(iv) Forty additional students selected by a random process from the candidate's enrollment lists by the Ad Hoc Review Committee so as to include majors in the candidate's discipline, non-science majors, those who have participated in research projects with the candidate, and advisees. At least five of these should be alumni who took one or more major courses and/or did research with the candidate. The Ad Hoc Review Committee should make every effort to include appropriate representation from all three colleges, and to ensure that a representative cross-section of students is achieved.

Research/Scholarship:

(i) Four of the faculty members/professional colleagues suggested by the candidate.

(ii) Four additional individuals not suggested by the candidate, who are qualified to evaluate the candidate's research. The Ad Hoc Review Committee will normally obtain such reviewers by (a) asking reviewers on the candidate's own list for suggested names of potential unbiased reviewers, (b) drawing from individuals cited in the candidate's publications, and (c) contacting individuals at other institutions who work in similar areas. The Committee will attempt to obtain reviewers who have no close professional or personal associations with the candidate. To ensure an adequate response rate, the Ad Hoc Committee will normally make preliminary email or phone inquiries to potential reviewers before sending formal letters. (A template for such inquiries is provided in the Appendix.)

At least three of these reviewers must have appointments outside The Claremont Colleges. Preference would be given to contacting individuals at small liberal arts colleges. All reviewers of a candidate's research/scholarship will be sent (a) a standardized cover letter outlining the review process, (b) the candidate's CV, and (c) copies of all works published since the start of the candidate's employment at Keck Science Department, along with any preprints that the candidate wishes included. If a candidate is undergoing an accelerated review as a result of having been awarded credit for prior teaching at another institution, then the Committee may decide to include some of the candidate's earlier publications, as warranted. In cases of promotion to the rank of Professor, the candidate may select a subset of publications to be sent to the outside reviewers.

Service:

(i) The faculty members/administrators suggested by the candidate.

e. The Ad Hoc Review Committee may seek additional information from faculty members, professional colleagues, administrators, or students if deemed necessary. It must seek additional information if the number of responses received falls below the following minimum levels:

(i) Teaching - at least five responses from faculty members (including outside reviewers of the portfolio) and normally at least 20 responses from students/alumni. If students do not respond in writing, they may be interviewed in person or by telephone using a standard list of questions. Survey data will include the grades received by each interviewed student (current or alumnus/a) in the pertinent courses.

(ii) Research - at least five responses from individuals who are qualified to evaluate the candidate's research, at least three of whom were not suggested by the candidate and do not hold appointments at The Claremont Colleges. (Note that these are minimum requirements only -- the Ad Hoc Review Committee is free to exceed this threshold, and is expected to do so if it judges the information it has received to be insufficient or inconclusive.)

(iii) Service - at least three responses from faculty members or administrators.

f. If there is significant mixed response in the data gathered from either faculty or students, the Ad Hoc Review Committee shall obtain additional information as necessary.

g. If despite good-faith efforts the Ad Hoc Committee is unable to obtain the minimum number of responses needed to proceed (as specified in item e above), or finds that circumstances do not allow it to adhere in major respects to the review guidelines specified in this document, then the Ad Hoc Review Committee must report this to the RPT. The RPT will take up this issue, consult with the candidate regarding any proposed procedural modifications, and then instruct the Ad Hoc Review Committee as to how to proceed.

h. As appropriate, in consultation with the candidate, members of the Ad Hoc Review Committee may also obtain any additional information which sheds light on the candidate's qualifications.

i. Once all letters have been received and the candidate's portfolio is complete, the Ad Hoc Review Committee shall interview the candidate. (The interview process should be designed to aid the Committee's efforts to factually and informatively summarize the candidate's review file.)

3. The Ad Hoc Review Committee will meet to discuss all materials in the candidate's review file, and then draft a written report factually summarizing the data. (The report may be written only *after* the full Ad Hoc Review Committee has met as a group to discuss the candidate's file.) This report may not include any recommendations for action, nor any assessment on whether the candidate meets any standards: the sole charge of the Ad Hoc Review Committee is to gather and factually summarize data. No summary statements by the Committee should be

included. The report should describe the data-gathering procedures used by the Committee (including any additional procedures not listed explicitly above), and should identify any significant differences among sub-sample responses. All deviations from or modifications to standard RPT review procedures must be noted and described in the report. The report will be written so as to preserve the confidentiality of all respondents, and will not identify any by name. Copies of letters used to solicit information shall be appended to the report.

4. Upon completion, a copy of the Report of the Ad Hoc Review Committee shall be given to the candidate, and the candidate is given one week to respond, then the Ad Hoc Committee report and faculty's response shall be made available to the tenured and tenure track Keck Science Department faculty members in the candidate's discipline. (Owing to the confidential nature of the report, tenured Keck Science Department discipline members must sign out and return copies of the report, and are not permitted to keep or photocopy it.)

5. The Ad Hoc Review Committee shall not release, discuss or otherwise reveal (to individuals outside of the RPT) anything pertaining to the candidate review materials or the Committee's own internal discussions, unless explicitly required to do so as part of RPT procedures.

Tenured and Tenure-Track Members of the Candidate's Discipline:

1. Tenured and tenure-track members shall have access to the Ad Hoc Committee's report on the candidate, along with the candidate's personal statement and teaching and research portfolio. They are required to preserve the strict confidentiality of the Ad Hoc Committee's report and other materials, and may not disclose any information to any individual who does not have procedural access to these materials as per RPT guidelines.

2. Tenured members will meet as a group with the tenure-track members of the discipline. This is intended as a forum for tenured faculty to hear the views of the untenured faculty regarding the candidate.

3. Tenured members will meet together as a group to discuss the candidate's research accomplishments and to evaluate the particular contributions which the candidate brings to teaching and curricular planning within the discipline. The Discipline Convener will call such a meeting, and ensure that tenured faculty members in the discipline who might be on leave also have access to the Ad Hoc Committee's report and can participate in the Discipline's deliberations, should they so desire.

4. Tenured members will submit a letter to the Ad Hoc Review Committee which (i) summarizes their discussions and collective views (including minority views) about the candidate's performance; (ii) addresses the findings of the Ad Hoc Committee's report; (iii) notes specific areas in which improvement is clearly needed, if such are detected; and (iv) recommends either a positive or negative

decision (on the basis of a vote). The vote count shall not be included in the discipline's letter, nor shall it be reported to the RPT unless the RPT explicitly requests it. The letter should be signed by all tenured members of the discipline.

5. The discipline letter shall be given to the Ad Hoc Review Committee and become part of the candidate's file; a copy of the letter will be given to the candidate. If the candidate desires, she/he may respond in writing to the discipline's letter and/or Ad Hoc Review Committee report. Any such response must be received within 10 days of the candidate's receipt of the discipline letter, and will become a permanent part of the reports submitted to the RPT Committee.

D. The RPT Committee:

1. Shall receive the report of the Ad Hoc Review Committee, the discipline's letter, and the candidate's response (if any). These materials shall be distributed to all members of the RPT Committee at least three days prior to its meeting to discuss the case. RPT Committee members will have full access to all original materials collected in the review process.

2. Following review and discussion, the RPT Committee will make its recommendation to the President and Dean of the lead College concerning reappointment to the faculty, promotion and/or tenure. Voting members of the committee are the six faculty from outside the Department and the three faculty from within the Department. For voting purposes, five or more votes shall constitute a majority decision. Voting members must be present to vote. No abstentions are allowed. If neither position gains at least five votes, no action can be taken, and the committee will convene at a later date to reconsider the case. RPT Committee decisions and recommendations on personnel matters must be made by the end of the academic year in which they are initiated.

3. The Keck Science Chair, as Chair of the Committee, will communicate the Committee's recommendation to the President and Dean of the lead College in writing, summarizing the issues which emerged during discussion and including a report of the numerical tally of the votes on RPT. This report must be formally approved by the voting members of the Committee prior to transmittal. The three Deans should write an independent assessment, including each Dean's recommendation, to the President of the lead College.

4. The Chair of the Department will inform the candidate about the RPT Committee's recommendation, but will not discuss specific reasons for the decision prior to receiving the decision from the President of the lead college. Following this decision, the Chair will hold a feedback session with the candidate to discuss the basis on which the decision was made, and to provide guidance and mentoring to the candidate (based on RPT discussions and findings) so as to help her/him with any future reviews.

E. The Presidents

1. The three Presidents will meet together within two weeks to act on the RPT recommendation from the Deans.
2. The President of the lead College will inform the Keck Science RPT Committee of the Presidents' decision. In the case of a reversal of the disciplinary or Keck Science RPT recommendations, the President will consult with the Keck Science RPT Committee before the decision is announced.
3. The Presidents' decision will be communicated to the candidate in writing by the President of the lead college.
4. In the event that the decision of the Presidents differs from that of the RPT Committee, then the President of the lead college will hold a feedback session with the candidate to discuss the basis on which the decision was made.

After favorable action by the Boards of Trustees, the candidate will receive a formal letter of contract indicating the terms of Reappointment, and/or promotion and tenure.

Revised & Approved – 4/05

APPENDIX 3.2

CLAREMONT-MUDD-SCRIPPS PHYSICAL EDUCATION & ATHLETIC DEPARTMENT POLICIES ON APPOINTMENTS, REAPPOINTMENTS, & PROMOTION

POLICIES ON APPOINTMENTS, REAPPOINTMENTS, AND PROMOTION

This document establishes guidelines and general procedures by which faculty members of the Physical Education-Athletic Department of Claremont McKenna College, Harvey Mudd College, and Scripps College on non-tenure track positions are appointed, reappointed, promoted or terminated. They are designed to provide equitable and open consideration for all candidates while ensuring the vitality and independence of the three cooperating colleges. The policies stated in the Claremont McKenna College Faculty Handbook apply to all benefits and procedures not enumerated by these procedures.

A: Initial Appointments

1. Initial appointments are made by the President of the lead college, who acts on the recommendation of the Appointment Committee.
2. The Appointment Committee, which reports directly to the President of the lead college, consists of: (a) the Director of Athletics (chair); (b) the Deans of Students from the three colleges; and (c) three departmental representatives.
3. When an initial appointment is to be made, the following procedures will go into effect.
 - a. Upon receiving written instructions from the President of the lead college to begin an affirmative action search, the Athletic Director consults with the President to determine the job description, the qualifications desired, the range of compensation, and the affirmative action procedures that must be followed by the lead college.
 - b. The Appointment Committee reviews the credentials of candidates seeking the position, identifies those to be interviewed and arranges for campus interviews. The appointment recommendation of the committee is forwarded to the President of the lead college by the Director of Athletics.
4. All initial appointments shall be non-tenure track and normally for a three-year term. The appointment will include voting privileges at one of the three colleges.

5. A master's degree is preferred upon entry and is normally required for the rank of associate professor. The guideline for entry appointment is as follows:
 - a. Instructor: 0 – 3 years of college coach-teaching experience.
 - b. Assistant Professor: 4 – 9 years of college coach-teaching experience.
 - c. Associate Professor: 10 or more years of college coach-teaching experience.
 - d. Full Professor: Not offered initially unless special circumstances justify an exception.

B. Reappointments

1. Reappointments are made by the President of the lead college, who acts on the recommendation of the Physical Education/Athletics Reappointment and Promotion Committee in consultation with the Presidents of the other colleges.
2. The Reappointment and Promotion Committee, which reports directly to the President of the lead college, consists of: (a) the Dean of the Faculty of the lead college (Chair); (b) one representative each from the APT Committees of Claremont McKenna College and Scripps College, and one representative from the RPT Committee of Harvey Mudd College; (c) the Faculty Athletic Representatives from the three colleges; and (d) the Director of Athletics as a non-voting member.
3. When a reappointment is to be considered, the following procedures will go into effect.
 - a. The Athletic Director gathers the information needed to evaluate the candidates. The information shall include:
 - (i) Annual reports or statements by the candidates.
 - (ii) Written evaluations from on-campus colleagues (for example, from Deans of Students, Faculty, Admissions Office, Personnel, etc.).
 - (iii) Written evaluations from student participants in activities taught and/or coached by the candidate (for example, from athletic team personnel, physical education class participants, student intramural directors, etc.).
 - (iv) Letters of recommendation from peers outside the departments (for example, from coaches, athletic administrators, etc.). The candidate will be consulted in the selection of the outside peers.
 - b. The information gathered by the Athletic Director is presented to the Department's Personnel Action Committee, consisting of the

Director of Athletics and all members of the department who are on a three-year rolling contract. A three-year rolling contract is one that is extended each year for one additional year. Thus, the person is always in the "first year" of a three-year contract unless the contract is terminated.

This Committee summarizes the data and prepares its recommendation. This recommendation, after it has been reviewed by the candidate in consultation with the Director of Athletics, is then forwarded by the Director of Athletics to the Reappointment and Promotion Committee.

- c. The candidate may submit additional material directly to the Reappointment and Promotion Committee if he/she chooses.
 - d. In deciding whether to accept, modify, or reject the recommendation it has received, the Reappointment and Promotion Committee may interview the candidate and/or appoint a subcommittee to gather additional information. The Committee's recommendation is forwarded to the President of the lead college by that college's Dean of the Faculty. After consultation with the other Presidents, the lead college President communicates a decision to the candidate.
4. Normally reappointments are for a three-year term, until such time as the candidate may be promoted to the rank of associate professor. At that juncture, the candidate will normally receive a three-year rolling contract.
 5. Rolling contracts may be terminated by the President acting on the recommendation of the Reappointment and Promotion Committee. Such action is initiated by the Director of Athletics. Prior to initiating the procedures which may lead to termination of the rolling contract, the Director of Athletics shall notify the faculty member in writing of the perceived deficiencies and allow reasonable time for improvement. Reasonable time will normally be one year.
 6. A faculty member may be suspended or dismissed for financial exigency or moral turpitude. In such cases the College shall follow the procedures and definitions as established by the American Association of University Professors.
- C. Promotions – Promotion through the ranks shall be based not only upon established performance criteria but also on experience within the department. The following is the normal time schedule:

1. Assistant Professor: Eligibility for promotion will occur upon completion of the initial three-year contract as instructor.
2. Associate Professor: Eligibility for promotion will occur upon the completion of six years at the rank of assistant professor.
3. Full Professor: Eligibility for promotion will occur upon the completion of six years at the rank of associate professor.

PHYSICAL EDUCATION EVALUATION CRITERIA

The Joint Physical Education/Athletics Program seeks to evolve the model of the teacher-coach whose ability and interest in teaching is maintained at a high level and whose coaching activity is of genuine professional value to his or her discipline. Service, in the sense of sharing in the responsibilities of institutional life, is an extremely important part of the teacher-coach's relationship to the Colleges. Activity in each area is necessary for the growth and advancement of the individual and of the colleges; however, each faculty member's position will be evaluated individually on the actual time his or her job demands in a given area.

A candidate for reappointment should have demonstrated proficiency in coaching an intercollegiate sport and, when relevant, in the teaching of physical education classes. His/her proficiency should be evaluated by procedures comparable to those used for other departments of the Colleges. The candidate's scholarly activity, while it may include publications, should not necessarily be evaluated solely in those terms; for example, participation in teaching and coaching clinics, offices held in organizations governing athletics and professional organizations, and pursuit of additional course work pertinent to the field should be regarded as equally important evidence of professional accomplishment.

The candidate's service to the department and to the College as a whole, as well as his/her performance of administrative and supervisory duties, are vital to the successful operation of a physical education program.

Reappointment is determined by the value of the person's activities in the areas of coaching, teaching, and service.

Appendix 3.3

Policy on Background Checks

Purpose: Claremont McKenna College (“CMC”) has a long-standing commitment to support its academic and research endeavors by hiring qualified faculty who deliver academic excellence and who provide a safe and secure environment for all of CMC’s students, faculty, staff and visitors. CMC therefore has enacted a policy requiring the completion of application forms and background checks for all candidates who have received a conditional offer of employment.

Policy: As a condition of appointment to a faculty position, Claremont McKenna College requires that all candidates who have received a conditional offer of employment complete an application form (if they have not already done so) and consent to a background check. The application form and background check will adhere to the following basic principles:

The scope of the application form and background check is limited to information that CMC has determined is potentially relevant for the respective faculty position.

The background check will **not** include:

- A credit report or a search of bankruptcy court records
- A search of records of family court records
- Drug or alcohol testing
- Fingerprinting
- Civil court records

The background check **will** include:

- A verification of educational credentials and history
- A verification of employment history
- A criminal background check, including:
 - Federal, state, and county criminal records for relevant jurisdictions within the past seven (7) years
 - Relevant sex offender registries
 - Outstanding writs and warrants (not arrests)
 - Social Security traces (to verify identification)

The candidate has the right to receive notice of the background check and has a right to receive a copy of the background check report. The candidate also has the right to dispute the accuracy and/or completeness of the report with the agency that conducts the report. These rights are further explained in the “Summary of Your Rights Under the Fair Credit Reporting Act,” which is provided with the background check disclosure and consent form.

CMC may deny the appointment based on information in the application or the background check report if it has a legitimate and non-discriminatory business purpose for doing so.

CMC will endeavor to maintain confidentiality with respect to the information included in the background check report.

**Faculty Application Form and Background Check Implementation
Procedures
Effective Date: July 1, 2005**

At the first campus visit, each candidate will be asked to fill out an application form (if they have not already done so). The application form will request that the candidate describe their educational background, employment history, and any additional relevant training or professional development (or to confirm that this information is described in an attached curriculum vitae or similar document). The application form will also require the applicant to disclose whether they have ever been convicted of a criminal offense (subject to certain exclusions required by law) and, if so, to describe the nature and circumstances of that offense.

The Dean of the Faculty will review the application forms and will determine whether there is a legitimate and non-discriminatory business purpose to remove the candidate from further consideration. The disclosure of a criminal offense on the application is not an automatic disqualification for a faculty position. The nature of the offense, the date of the offense, the surrounding circumstances, and the relevance of the offense to the position will be considered.

Also at the time of the first campus visit, the candidate will be asked to sign a consent and disclosure form that will authorize the College to conduct the background check. The consent and disclosure form will include a summary of the applicant's rights under both California and federal law. The candidate will be advised that a background check will be conducted only in the event that an offer is extended.

Human Resources will hold all signed consent and disclosure forms on file until one candidate has accepted the offer and has been cleared through the background check process. At that time, all other background check authorization forms will be shredded.

When an offer is extended, the Dean of the Faculty will inform the candidate that the offer is conditional upon the results of the background check. If an offer is extended to a candidate who does not make a campus visit, Human Resources will provide the candidate with an application form and a consent and disclosure form to be signed and faxed back to Human Resources.

Once an offer is extended, the Dean of the Faculty will inform Human Resources to begin the background check.

Candidates have the right to obtain a copy of the background check report. The background check report will be initially provided to Human Resources. If the background check report discloses any discrepancy with the information in the application form, Human Resources will forward the background check report to the Dean of the Faculty.

The Dean of the Faculty will review the background check report and will determine whether there is a legitimate and non-discriminatory business purpose for withdrawing the offer. If the Dean of the Faculty decides to withdraw the offer, the Dean of the Faculty will notify the candidate and the relevant department chair. If the Dean of the Faculty does not withdraw the offer, the background check report will be maintained under seal in the candidate's personnel file.

Revised *9/13/2005*
3/3/2008

APPENDIX 3.4

MENTORING POLICY FOR JUNIOR FACULTY

Mentoring of junior faculty is an important aspect of strengthening the faculty of Claremont McKenna College. Senior faculty have an obligation to mentor junior faculty as part of their -service to the College. This mentoring plan defines the functions of mentoring, and outlines the actions that the College will undertake for all tenure-track junior faculty. Junior faculty are defined as faculty members who have not yet earned tenure.

Functions of Mentoring. Mentoring of junior faculty members has six major functions:

1. clarifying the standards and requirements for achieving success in teaching, scholarship and service, and hence in receiving tenure and promotions;
2. keeping junior faculty apprised of their progress in these areas;
3. helping junior faculty decide how to enhance their progress in these areas; e.g., by providing advice on teaching techniques, where to place publications, how to network with professional colleagues, etc.
4. clarifying how the processes of the College work;
5. advising junior faculty if adjustment difficulties arise;
6. act as an intermediary or representative for the junior faculty member if that junior faculty member is concerned about actions or burdens imposed by the department or administration.

Elements of the Mentoring Plan. The Claremont McKenna College mentoring plan consists of the following elements:

1. New faculty will engage a two-day orientation session at the beginning of their first year at CMC, in which standards, requirements, process, etc. are clarified, and various approaches for balancing the demands on faculty time are presented.
2. Junior faculty will be evaluated annually, beginning with an assessment involving all senior members of the department. This assessment will be conveyed orally to the Dean of the Faculty during the first two years; subsequently it will be in written form. The Dean of the Faculty will then meet with the junior faculty member and the department chair to discuss the best strategies for the junior faculty member to contribute to the College and thereby to achieve tenure (e.g., how to improve teaching; which journals or book publishers ought to be sought as outlets for publications, etc.). The Dean will write a brief summary of the meeting; the junior faculty member and the department chair will examine the summary for accuracy.

3. During the third year, a particularly rigorous evaluation will be conducted, both to determine whether the contract should be renewed and to provide a detailed assessment of the junior faculty member's progress and how it can be enhanced. Generally, except for faculty who have significant experience in teaching at other institutions, this third-year evaluation coincides with the decision on contract renewal. The evaluation is therefore considered by the Appointment, Promotion and Tenure Committee, which may also provide guidance on how the individual can maximize his or her potential at CMC.

4. Periodic general sessions for junior faculty will be organized to provide junior faculty with more general advice on career strategies, tenure standards, etc. These sessions will reinforce and update the perspectives they received during the initial orientation sessions. At least one such session will be held annually for all junior faculty.

5. A formal mentor will be assigned to each junior faculty member, if that faculty member agrees that having a formal mentor is appropriate. This decision will be made near the beginning of the second semester of the junior faculty member's employment at CMC, so that that individual has had enough time to choose a compatible mentor. The junior faculty member may also change his or her mentor, if the new choice is amenable. In deciding on what information to convey to the mentor, the junior faculty member must understand that the mentor will also be serving another role, in his or her capacity as a senior member of the department, in deciding on the promotion and tenure of the junior faculty member.

6. The senior faculty of each department will articulate what the CMC standards of promotion and tenure mean in terms of the relevant discipline or disciplines represented in that department. The chair will convey these criteria to the APT Committee, and the APT Committee will discuss these criteria with the chair and other senior members of the Department. The chair, perhaps along with other senior faculty members; will hold an annual meeting with the junior faculty to discuss these criteria and standards.

Approved by the Faculty, April 23, 2002

Administrative Memorandum on the College's Mentoring Plan

This administrative memorandum is intended to clarify the College's Mentoring Plan, adopted by the Faculty and Board of Trustees in the Spring semester of 2002.

1. The College's Mentoring Plan incorporates many elements of CMC's regular procedures for introducing new faculty to the college, for evaluating them annually, for providing a rigorous third-year contract-renewal review, and for formulating and communicating departmental standards for tenure and promotion. In this respect, the mentoring of Junior Faculty does not supersede any institutional policy as found in the Faculty Handbook, procedures for tenure and promotion as found in the Faculty Handbook, or tenure and promotion standards as developed by each department of the College.

2. The College's Mentoring Policy includes the assignment of "[a] formal mentor . . . to each junior faculty member, if that faculty member agrees." Such a formal mentor is to carry out only a part of the College's mentoring plan. In particular, the role of the mentor is articulated in items (3), (5) and (6) of the Functions of Mentoring that are listed in the Mentoring plan. However, providing assistance to a Junior Faculty member in the areas of (3), (5) and (6) need not be restricted to the mentor alone.

3. Items (1), (2) and (4) of the Functions of Mentoring that bear on standards, progress evaluations and College processes are the domain of the Junior Faculty member's Department (including its written standards), Department Chair, the Appointments, Promotion and Tenure Committee (and its Executive Committee), and the Dean of the Faculty. The mentor should assist the Junior Faculty member by referring questions about items (1), (2) and (4) to the appropriate party.

Dean of the Faculty, October 26, 2006



CHAPTER 4

ACADEMIC FREEDOM, PROFESSIONAL ETHICS, FACULTY DISCIPLINE, AND NON-APT GRIEVANCE PROCEDURES

CHAPTER 4: ACADEMIC FREEDOM, PROFESSIONAL ETHICS, FACULTY DISCIPLINE, AND NON-APT GRIEVANCE PROCEDURES

4.1 STATEMENT ON ACADEMIC FREEDOM AND TENURE

It is understood that academic freedom includes, but is not necessarily limited to, the rights to engage in free inquiry and exchange of ideas, to present controversial material relevant to a course of instruction, to publish or disseminate controversial material or information, and to perform research in controversial areas. Members of the faculty are citizens, members of a learned profession, and stewards of this educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline. As scholars, they should remember that the public may judge their profession and their institution by their utterances.

Adopted by the Faculty, September 16, 2008

Tenured faculty members have permanent or continuous tenure. In accordance with AAUP guidelines and College policies, their employment may be terminated only due to cause, program termination, or financial exigency.

Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, will be addressed through the College's disciplinary procedures. Termination of a continuous appointment because of financial exigency or program elimination should be demonstrably bona fide.

4.2 STATEMENT ON PROFESSIONAL ETHICS

The College recognizes the importance of upholding the highest ethical standards. Accordingly, the College endorses the following statement, which is adapted from the Statement on Professional Ethics issued by the American Association of University Professors:

Professors recognize that their primary responsibility to their subject is to seek and state the truth as they see it. To this end they devote their energies to developing their scholarly competence. They accept the obligation to exercise critical self-discipline in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may pursue subsidiary interests, these interests should never seriously hamper or compromise their freedom of inquiry.

As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides. They make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student, avoiding any exploitation, harassment, or discrimination. They acknowledge significant academic or scholarly assistance from students, and they protect students' academic freedom.

As colleagues, professors have obligations that derive from common membership in the community of scholars. They do not discriminate against or harass colleagues; rather, they respect and defend the free inquiry of their associates. In the exchange of ideas, professors show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of their institution.

As members of an academic institution, professors seek above all to be effective teachers and scholars. Although they observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon programs at the institution and give due notice of their intentions.

As members of their community, professors have the rights and obligations of other citizens. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression that they are speaking or acting on behalf of their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Professors are also expected to apply all of these standards in their conduct toward staff and other employees of CMC.

Endorsed by the Faculty, March 11, 2008

4.3 DISMISSAL AND SUSPENSION WITHOUT PAY

4.3.1 GROUNDS FOR DISMISSAL AND SUSPENSION WITHOUT PAY FOR CAUSE

"Adequate cause" for dismissal or suspension without pay will be one or more of the following:

- 1) A persistent pattern of teaching incompetence as it is understood in the AAUP document entitled *Termination and Discipline (2004)* and associated case law (see <http://www.aaup.org/AAUP/protect/legal/topics/term-discp.htm>).
- 2) A very serious instance or very serious pattern of misconduct in the following areas:
 - a) Research misconduct, including but not limited to plagiarism and academic fraud (see e.g. Faculty Handbook sections 6.5, 6.6, and 6.9);
 - b) Neglect of professional duties, including but not limited to failure to meet teaching obligations (see e.g. Faculty Handbook chapter 5);
 - c) Preventing or obstructing teaching or research or any other lawful function of the College, including but not limited to physical disruption of classrooms, offices, or labs;
 - d) Personal misconduct that is directly and substantially related to the fitness of a faculty member as a teacher and/or a researcher. Examples may include but are not limited to physical violence, embezzlement or misappropriation of funds, the dealing of illegal drugs, the destruction of property, or violation of established standards of ethical conduct such as abusive or exploitative conduct toward students, colleagues, or staff (see e.g. Faculty Handbook sections 10.3, 10.6, 10.7, 10.10, 10.14).

"Incompetence" or "misconduct" shall not be construed in a way that threatens faculty members in their legal rights and in the legitimate exercise of academic freedom, including the expression of dissenting or unpopular opinions.

Approved by the Faculty, May 13, 2008.

4.3.2 PROCEDURES FOR DISMISSAL AND SUSPENSION WITHOUT PAY FOR CAUSE

4.3.2.1 Background and Scope

The procedures provided herein are invoked when the Vice President for Academic Affairs and Dean of the Faculty formally charges a faculty member with incompetence or misconduct that falls within the College's definition of "adequate cause" as that term is defined in the College's Statement of Principles on Academic Freedom and Tenure and in circumstances in which the alleged incompetence or misconduct is serious enough to warrant a sanction of suspension without pay or dismissal from the College; provided, however, that cases involving alleged research misconduct shall be governed by the College's Policy on Research Misconduct (Faculty Handbook Section 6.9).

The following procedures apply to members of the Faculty employed in the varying ranks defined in Faculty Handbook Section 3.1.2 ("Faculty Ranks").

The College's Statement of Principles on Academic Freedom and Tenure applies. No faculty member may be dismissed or suspended without pay for statements protected by CMC's Statement of Academic Freedom. Possible grounds for dismissal or suspension without pay are found in Faculty Handbook Section 4.2.

4.3.2.2 Confidentiality

The College's process for dismissal or suspension without pay of a faculty member is confidential, with the following possible exceptions: 1. The accused faculty member may request an open hearing; or 2. The accused faculty member may authorize the disclosure of any findings of the Hearing Board or the written statement by the President that overturns the recommendation of the Hearing Board

4.3.2.3 Initiating the Disciplinary Process and Informal Resolution

Charges will be brought on behalf of the College by the Dean of the Faculty following whatever investigation he or she deems reasonably appropriate to determine the facts, except that numerical teaching evaluations may never serve as the sole evidence supporting a charge of incompetence.

In the case of a conflict of interest preventing the Dean from acting, an Associate Dean of the Faculty will act in the Dean's place.

When charges are to be brought against a faculty member, they must be preceded by discussions between the Dean (or Associate Dean herein out) and the faculty member in an attempt to reach a mutually satisfactory resolution of the matter up to and including the faculty member's resignation at which point the matter will be considered closed.

At any time during the process, as reasonable and appropriate, the Dean of the Faculty may consult with the Executive Committee of the APT Committee on the facts of the matter and on an appropriate resolution including possible sanctions.

At any time during the process, the Dean of the Faculty and the faculty member may resolve the matter by mutual agreement (with the approval of the President).

If the faculty member charged wishes to contest the charges or if the parties are unable to resolve the matter by mutual agreement, the Dean of the Faculty will prepare a written statement of the charges and the proposed disciplinary action, which will be presented to the faculty member who will have the opportunity to provide a written response to them.

Matters involving potential suspension without pay or dismissal shall be resolved pursuant to section 4.3.4 below. Matters requiring the emergency suspension with pay of a faculty member shall be handled pursuant to section 4.3.5 below.

4.3.2.4 Procedures in Matters Involving Sanctions of Dismissal or Suspension Without Pay

If the Dean of the Faculty believes the specific charges warrant dismissal or suspension of the faculty member for cause, and the informal resolution process has not resulted in a resolution, the Dean shall provide the faculty member with a written statement of the formal charges and the faculty member's right to a formal hearing before a Faculty Hearing Board.

Formal Hearing

The Faculty Hearing Board (the Hearing Board) will consist of five members of the Appointment, Promotions, and Tenure Committee of the Faculty (APT) chosen by lot with five additional members chosen as alternates by lot. The Faculty member may require the replacement of up to five members of the Hearing Board prior to the hearing to be replaced by the alternates as determined by lot. Next, the Dean of the Faculty may require the replacement of up to two members of the Hearing Board by alternates. At any point after the initial selection, there must be at least two alternates available. If new alternates are needed, they will be selected by lot from among the remaining members of the APT Committee.

Once it is finally constituted, the Hearing Board shall elect a chair from among its members who shall convene all meetings and direct the proceedings. The Hearing Board shall establish its own rules and procedures not otherwise specified in this document. The Hearing Board may hold pre-hearing meetings including ones with the parties to define and clarify issues, provide for the exchange of information and documentation, and to accomplish other objectives to ensure that the hearing is fair, effective, and expeditious.

In such time as specified by the Hearing Board, the faculty member has the right at his or her discretion to provide the Hearing Board with a written statement setting forth the defenses proposed, any factual allegations that are in dispute, and any additional factual matters to which the faculty member wishes to draw attention

The Dean of the Faculty or a designee shall bring the charges before the Hearing Board. The Dean and the Faculty member may have an advisor or counsel present at the hearing but they may not participate. The Dean, the faculty member, and the Hearing Board may call witnesses and may question witnesses. Written testimony from witnesses will be accepted if they are unable to be present and if the accused faculty member will have an opportunity, either in person or by telephone or videoconference, to question the witnesses. The administration of the College will assist the Hearing Board in securing the presence of witnesses and securing documents and other evidence needed for the hearing. In hearings involving dismissals for incompetence, testimony will include that of qualified faculty members from this or other institutions of higher education. The Hearing Board shall not be bound by strict rules of legal evidence, and may admit such evidence as it deems of value in determining the issues involved. Throughout the

proceedings, all those involved should keep in mind that the procedures are those of a college and not a court of law, and therefore should seek to avoid an excessively legalistic approach. An official recording of the hearing shall be made and will be provided to the Dean of the College, the Faculty member, the Hearing Board, the President of the College, and the Board of Trustees as needed.

The hearing shall be closed unless the accused faculty member requests it to be open. The Dean of the Faculty or his or her designee shall make the case for dismissal for cause or suspension, and the faculty member shall make the case in defense against these charges. The Hearing Board shall set the time limits for the hearing and for the oral arguments. The Hearing Board may determine whether additional hearings are needed prior to making a final recommendation on the matter.

The Hearing Board shall make a recommendation in confidence on the basis of the hearing and all relevant materials as to whether sufficient cause exists for dismissal or suspension without pay. The Hearing Board shall make its recommendation with the understanding that the burden of proof rests with the Dean of the Faculty to establish his or her case by a standard of clear and convincing evidence. A recommendation for dismissal or suspension without pay requires at least a 4-1 majority of the Hearing Board. In that instance, the Hearing Board shall submit its findings as to sufficient cause and its recommendation as to sanctions in writing to the President, the Dean of the Faculty, and the faculty member. Otherwise, the Hearing Board shall report to the President that there were not at least four members who found sufficient cause to recommend dismissal or suspension without pay.

Presidential Action

The President shall review the recommendation of the Hearing Board and the hearing record. In addition, the Dean of the Faculty and the faculty member shall have the opportunity to submit a written statement to the President outlining any asserted grounds for reversal or reconsideration of the Hearing Board's recommendation. If the Hearing Board recommends neither dismissal nor suspension without pay and the President concurs, the case is considered closed. If either the Hearing Board or the President recommends dismissal or suspension without pay, both recommendations shall be forwarded concurrently to the Board of Trustees along with all pertinent records of the proceedings. If the President's recommendation differs from that of the Hearing Board, the President shall state in writing the reasons.

Board Action

The Board of Trustees shall review the recommendations of the Hearing Board and the President along with all pertinent records of the proceedings. Prior to the

Board's decision, the faculty member may submit a written statement to the Chairman of the Board of Trustees. If the Board of Trustees' decision differs from the recommendation of the Hearing Board, the case will be resubmitted to the Hearing Board for reconsideration along with a written statement of the Board of Trustees' questions and/or objections. The Hearing Board will then reconsider the case in light of the Board of Trustees' questions and/or objections, hold additional hearings if needed, receive any new evidence, and either render a new recommendation or state the reasons for its reaffirmation of the earlier recommendation. Once the Board of Trustees receives and reviews the reconsidered recommendation of the Hearing Board, it will render a final decision.

4.3.2.5 Emergency Suspension with Pay Pending Final Determination

An emergency suspension with pay of the faculty member may be ordered by the Dean of the Faculty until a final determination of the matter is reached by the College. An emergency suspension with pay will be based on a determination by the Dean of the Faculty and/or the President that serious harm to the faculty member, to others in the community, or to the educational program would ensue from continuation of the faculty member's duties and or presence on campus. Such a suspension is not intended for disciplinary purposes, but is instead intended to facilitate a proper handling of the investigation and to minimize risks to the College. When practicable, the Dean should consult with the Executive Committee of APT on the propriety, length, and other conditions of the emergency suspension.

4.3.2.6 Miscellaneous Provisions

- Notwithstanding the provisions of this policy, time provisions are approximate; the President, Dean of the Faculty, Hearing Board, or Executive Committee may allow for additional time as appropriate in particular circumstances.

Approved by the Faculty, September 16, 2008 and October 24, 2008

4.4 FACULTY GRIEVANCES NOT ARISING FROM APT DECISIONS

PROCEDURES FOR STUDENT, STAFF, AND FACULTY GRIEVANCES AGAINST FACULTY MEMBERS, AND FOR FACULTY GRIEVANCES AGAINST ACADEMIC ADMINISTRATORS

A. Purpose

Claremont McKenna College ("College") adopts policies designed to serve the educational function of the College, to protect academic freedom and academic due process, to protect the health and safety of individuals, to promote responsible

social interaction within the college community, and to maintain a hospitable and productive working environment. To help implement these goals, this document describes grounds and procedures for Student, Staff, and Faculty grievances against Faculty members and for Faculty grievances against Administrators and/or Administrative Entities within the College.

B. Covered parties

These procedures are open (1) to Students, Staff, and Faculty to seek redress or remedy for grievances arising from actions by Faculty members and (2) to Faculty members to seek redress or remedy for grievances arising from actions by Administrators and/or Administrative Entities within the College.

C. Covered grievances

Except as indicated below, covered individuals may use these procedures to seek redress and/or remedy for (1) violations of policies or procedures published in the Faculty Handbook (including, but not limited to, violations of academic freedom and academic due process), (2) violations of other established College policies or procedures, and (3) violations of federal or state law (including, but not limited to, discrimination). Grievances not covered by these procedures include:

- Grievances arising from appointment, promotion, and tenure actions and decisions. These grievances come under the APT Appeals Procedures.
- Grievances arising from grade disputes covered by the procedures of the Academic Standards Committee. Grievances that allege the challenged grade is the result of discrimination or retaliation in violation of federal or state law are not covered by the procedures of the Academic Standards Committee but instead are covered by these procedures.
- Other grievances explicitly assigned elsewhere.

Definitions

Administrative Entity. An administrative unit within Claremont McKenna College, including but not limited to an academic department, college committee, or administrative office. In cases where a grievance is brought against an Administrative Entity, the chair of that department or committee, or the head of the administrative office, serves as the Respondent on behalf of the Administrative Entity.

Administrator. Any member of the administration of Claremont McKenna College.

Appellant: Either the Complainant or Respondent who files an appeal.

Complainant. The person or persons who file a complaint.

Dean of the Faculty (DOF). The Dean of the Faculty or the Dean's designee.

Faculty. Any member of the Faculty of Claremont McKenna College, or anyone teaching a Claremont McKenna College course.

President. The President of the College or the President's designee.

Respondent. The person, persons, or Administrative Entity against whom a complaint is filed.

Staff. All exempt and non-exempt staff employees, including all administrators.

Student. Anyone currently enrolled as a full-time or part-time student at Claremont McKenna College or enrolled in a class at Claremont McKenna College.

E. Conflicts of Interest and Designees

Individuals charged with implementing this grievance policy may know the parties to a grievance action, they may know other members of the college community who provide information bearing on the resolution of the grievance, and they may have a general prior knowledge of the grievance. Acquaintance with the parties or others involved and general knowledge of the grievance do not in themselves constitute conflicts of interest, for the grievance policy presumes that the individuals implementing the policy will conscientiously discharge their duties, acting in good faith. Direct involvement, including but not limited to involvement as an immediate party, a third party (e.g. as a witness), or as a participant in rendering a decision related to the grievance, does constitute a conflict of interest. Persons charged with implementing these policies must exercise their good judgment in declaring conflicts of interest where the conflicts may not be immediately apparent.

In the event a member of the Administration Committee declares he/she has a conflict of interest in the case, the member shall recuse himself/herself from service on the Grievance Committee (see Section G-2 below).

In the event that the DOF declares that he/she has a conflict of interest in the case, or for other good reason, the DOF shall designate a tenured Faculty member who has no conflict of interest to perform the functions assigned herein to the DOF. The designee must be mutually acceptable to both the Complainant and the Respondent. If either the Complainant or the Respondent does not accept the person designated by the DOF, the DOF shall convene the Grievance Committee and the Committee shall select from outside its membership a tenured Faculty member with no conflict of interest to perform the functions assigned herein to the DOF. The Grievance Committee does not need to solicit approval of the designee from either the Complainant or the Respondent. The DOF will notify in writing the Complainant and the Respondent of the designee. Within 10 days of receipt of the written notification of the designee, the decision of the Grievance Committee can be appealed in writing to the President by the Complainant or the Respondent. The President shall render his/her decision within 10 days of receiving the written appeal and send written notice of the decision to the parties and the Grievance Committee within 5 days thereafter.

In cases where the President declares he/she has a conflict of interest or where, for other good reason, the President wishes to designate another person to fill the functions assigned herein to the President, another person shall serve in the President's place.

In cases where the President has a conflict of interest that is apparent prior to the beginning of the hearing process, the DOF shall perform the functions assigned herein to the President, unless the DOF also has a conflict of interest. If the DOF has a conflict of interest, the choice of the President's designee shall be made by the President from the panel of retired judges used in Judiciary Board hearings. If the DOF has no conflict of interest and serves as the President's designee, the DOF shall convene the Grievance Committee, which shall select from outside its membership a tenured Faculty member with no conflict of interest to perform the functions assigned herein to the DOF.

In cases where a conflict of interest on the part of the President is not apparent prior to the beginning of the hearing process, but where it is revealed either in the hearing process or during the progress of the case after the beginning of the hearing process that the President has a conflict of interest, the President shall designate another person (other than the DOF) to perform the functions assigned herein to the President. This person shall be mutually acceptable to the Complainant and the Respondent. If the President finds no one mutually acceptable to the Complainant and the Respondent, the choice shall be made by the President from the panel of retired judges used in Judiciary Board hearings.

In instances where there exists good reason other than a conflict of interest, the President may designate another person who has no conflict of interest to perform the functions assigned herein to the President.

F. Confidentiality

Subject to applicable law, all filings, records of proceedings, decisions, and, in case of appeal, dispositions on appeal, shall be disclosed only to the Complainant, the Respondent, the DOF, the Dean of Students (when a Student is involved), the Director of Human Resources, the President, the Board of Trustees, and as necessary to implement remedies. The Complainant and the Respondent will be notified in writing that all documents will generally be disclosed to the other party during the grievance process. In individual cases, the Grievance Committee, the DOF, or the President may, for good reason, impose additional restraints on release of information related to the proceedings. The College will endeavor to maintain confidentiality of any information obtained during both the informal and formal resolution procedures. However, subject to applicable law, there may be instances when information must be disclosed in order to conduct a thorough and fair investigation. Accordingly, the College cannot guarantee complete confidentiality.

G. Grievance Committee

Except as indicated in the following sub-paragraph 3, the Grievance Committee shall consist of the elected tenured Faculty members of the Claremont McKenna College Administration Committee as provided in the Faculty Handbook.

Any member of the Administration Committee who has a direct conflict of interest in a grievance action, shall recuse himself/herself from the Grievance Committee. If, because of recusals, or otherwise, the Faculty membership of the Grievance Committee falls below 5 in number, the remaining Faculty members, in consultation with the DOF, shall add additional tenured member(s) of the Faculty to bring the Grievance Committee membership up to 5. The Grievance Committee shall select its Chair, who need not be the chair of the Administration Committee. The Chair shall have the right to vote.

When the grievance arises from a Staff complaint against a Faculty member, 1 senior or administrative staff member shall be added to the Grievance Committee as a voting member, as designated by the Director of Human Resources. The Staff member must be acceptable to both the Complainant and the Respondent. If not so acceptable, and no mutually agreed Staff member can be agreed upon by the Complainant and the Respondent, the President shall then select the Staff member.

H. Time limits

The Complainant has 1 year to initiate the informal or formal grievance process from the time he or she becomes aware of the action, inaction or decision in question. However, prompt initiation of the grievance process is strongly urged, because facts often become more difficult to establish as times passes after an action, lack of action or decision has occurred. For good cause, the President or the DOF shall have the discretion to extend any of the time limits described in these procedures except as to the required President's recommendation to the Board of Trustees provided in Section J-4.3 below.

I. Procedures: Informal resolution

In cases alleging discrimination, including sexual or other unlawful harassment, a Complainant may proceed directly to the Formal Resolution Procedures. In all other cases, a Complainant must attempt informal resolution of his/her grievance before filing a formal grievance. The Complainant may first use either the informal oral option or the informal written option, as described below.

1. Informal oral option

The Complainant shall orally notify the DOF of his/her grievance, identifying (a) the action or decision complained about, (b) relevant grounds as set forth above in Section C, "Covered Grievances," and (c) the requested remedy. The DOF shall orally notify the Respondent of the grievance, including the action, inaction, or decision complained about, the grounds, and the requested remedy. The DOF shall attempt to devise a solution satisfactory to both parties (which attempt may include

a meeting with the Complainant and the Respondent together), and, if successful, shall record the solution in writing, with copies to each party. If a mutually satisfactory solution is not reached within 14 days of the Complainant's original notification to the Dean, the Complainant may proceed to the informal written option, or may proceed directly to file a formal complaint within an additional 14 days.

2. Informal written option

The Complainant shall give the DOF and the Respondent a written statement detailing the grievance. The statement must identify (a) the action, inaction or decision complained about, (b) the relevant grounds as set forth above in Section C, "Covered Grievances," and (c) the requested remedy. The Respondent shall respond in writing, within 7 days of receipt of the Complainant's written statement to both the DOF and the Complainant. The DOF shall attempt to devise a solution satisfactory to both parties, and, if successful, shall record the solution in writing, with copies to each party. If a mutually satisfactory solution is not reached within 14 days of the DOF's receipt of the Complainant's initial written statement, the Complainant may proceed to file a formal grievance within an additional 14 days.

J. Procedures: Formal Resolution

1. General

Except when the Complainant claims discrimination, including sexual or other unlawful harassment, he/she must first use the Informal Resolution process described above. If the Informal Resolution process produces no mutually satisfactory solution and the Complainant wishes to proceed further, he/she must file a complaint (as described below) in a timely fashion which shall be no later than 14 days after the conclusion of the informal resolution process. If the Complainant claims discrimination, including sexual or other unlawful harassment, he/she may proceed directly to the provision in Section J-2, below.

2. Complaint

To initiate a formal grievance, the Complainant shall file a written request for a hearing (the complaint) with the DOF, who shall within 5 days of receipt, forward it to the Grievance Committee.

The complaint shall include this information:

- A detailed description of the activity or action, inaction or decision complained about.
- A specification of the covered grievance under which the complaint arises. (See Section C above.)
- The requested remedy (to be included only in those cases where the Complainant requests remedial action other than, or in addition to, a penalty).

- Any available and relevant written or other documentation. (However, failure to include written or other documentation with the complaint does not preclude later submission of such material.)

The DOF shall, within 5 days of his/her receipt of the complaint, provide the Grievance Committee with all relevant material from the informal process that is in the DOF's possession, including all written filings and decisions.

The DOF shall, within 5 days of his/her receipt of the complaint notify the Respondent of the complaint and shall concurrently provide the Complainant and the Respondent with copies of all material forwarded to the Grievance Committee.

3. Hearing and assignment of penalty and/or remedy

Within 14 days of the time the DOF receives the complaint, the Dean, in consultation with the chair of the Administration Committee or the chair's designee, shall convene initial meeting of the Grievance Committee (described in Section G above). At its initial meeting, the Grievance Committee shall randomly select 5 of its faculty members to act as voting members and 2 of its faculty members to serve as alternates with respect to the deliberation process described in section J-3.7 below. (On a grievance arising from a staff complaint against a faculty member the staff person appointed to Section G-3 is an additional voting member of the Grievance Committee.) Irrespective of the cause, in the event that the number of voting members are or become even in number, then the first and second alternates respectively will serve as additional voting members as may be required to have the voting members be odd in number.

If, after reviewing all documents submitted, at least 2 members of the Grievance Committee agree that the grievance is not frivolous, the Committee shall grant a hearing to the Complainant, shall develop a tentative schedule for the grievance process, and shall establish any necessary internal procedures. If the Grievance Committee decides that the grievance is frivolous, the Committee shall, within 2 days after so convening, inform the Complainant in writing of the basis for its determination, and that the Complainant may appeal to the President under the Appeals process described below.

The Grievance Committee shall complete the hearing process within 21 days of the Committee's initial meeting, excluding breaks in the College calendar. The Grievance Committee shall allow the Complainant and the Respondent reasonably sufficient time to prepare for the formal hearing(s).

The Grievance Committee's hearings shall be closed, and the Grievance Committee shall keep a taped or other verbatim record of all sessions or portions of sessions in which it receives oral evidence (but not of its deliberations). This record or a copy of it shall be made available to the Complainant and the Respondent.

The Complainant and the Respondent may each be accompanied by an individual of his/her own choosing who is an employee of Claremont McKenna College. In cases

where a student is involved, he/she may be accompanied by an individual of his/her own choosing who may or may not be an employee of the College. Because this is not a criminal investigation or hearing, legal counsel will not be permitted at the hearing, except in cases in which any party to the grievance faces potential criminal charges or if required by applicable law. In such cases an attorney will only be permitted in a non-participatory advisory role for each involved Complainant and Respondent. The Complainant and the Respondent shall each be permitted to make statements to the Grievance Committee. The Complainant and the Respondent shall have the right to question each other as well as all witnesses.

The Grievance Committee may ask for statements from other parties and for relevant College records. It is the responsibility of the Grievance Committee to reasonably ensure that all relevant evidence is available and considered at the hearing.

Upon completion of the hearing, the voting members of the Grievance Committee, as selected pursuant to section J-3.1, shall complete the consideration of the grievance in closed session without the parties present and shall reach decisions by majority vote. It shall deliver to the DOF a written report of its findings within 10 days of the completion of the hearing process as provided in Section J-3.3 and, if appropriate, its recommendations for a penalty and/or other remedy, if any, or dismissal of the complaint. These findings and recommendations shall also be reported to the Complainant, the Respondent, the Director of Human Resources and the Dean of Students (when a Student is involved).

The Grievance Committee's recommendations of penalty and/or remedy to the DOF are only advisory.

The DOF shall review the record of the Grievance Committee's proceedings, findings and recommendation, and after consideration of the Grievance Committee's recommendation regarding the penalty and/or other remedy, if any, or dismissal of the complaint the DOF shall determine what penalty, if any, will be levied and/or what other remedy, if any, is appropriate or if the complaint should be dismissed.

The DOF shall notify relevant parties and explain his/her decision in writing within 10 days of receiving the Grievance Committee's findings and recommendations. Notification shall be by sending a copy of his/her decision to the Complainant, the Respondent, and the Grievance Committee for each's review and any comments. Comments by either the Complainant, Respondent, or Grievance Committee must be made within 10 days of the DOF's notification. The DOF shall also concurrently notify the President by submitting a copy of the decision to him/her in cases deemed to be automatically appealed as provided in Section J-4 below.

The DOF may modify his/her decision within 10 days of receiving the comments mentioned in Section J-3.10 above. If the Dean does not modify the penalty and/or remedy, if any, or dismiss the complaint, he/she shall promptly forward these comments to the President in the event his/her decision is appealed. If the Dean

does modify the penalty and/or remedy, if any, or dismiss the complaint, then he/she shall again be bound by the notification procedures set forth in Section J-3.10 above.

4. Appeals

General

Either the Respondent or the Complainant may appeal to the President the appropriateness of the Grievance Committee's findings and/or the decision reached by the DOF, or his/her designee. (For grounds for appeal, see below.)

All penalties, other remedies or dismissals which require action by the Board of Trustees, are deemed to have been automatically appealed to the President even if neither the Respondent nor the Complainant files a petition for appeal. Both parties will be notified if a penalty and/or remedy, if any, or complaint dismissal will be automatically appealed within 10 days of the DOF's decision.

Appellate Procedures

To request a review, an Appellant (either the Respondent or the Complainant) must submit a written petition to the President within 5 days after the DOF issues his/her decision. The petition must state and explain the grounds for appeal. The President shall, within 5 days of receipt, forward a copy of the petition to the other party. (For grounds of appeal, see Section J-4.4 below.)

If an appeal is filed with the President, the President shall request and promptly receive from the DOF the full record of the grievance proceedings prior to the appeal.

Within 5 days of receiving the Appellant's petition, the President shall communicate in writing to the Complainant, the Respondent, the DOF and the Grievance Committee his/her decision on whether to hear the appeal.

Within 15 days of receiving the Appellant's petition, or within 15 days of the decision of the DOF in a case that is automatically appealed, the President shall in writing notify the Complainant, the Respondent, the DOF, the Director of Human Resources, the Dean of Students (if a Student was involved), and the Grievance Committee of his/her decision or of the date when the decision is expected (which shall not normally exceed 15 days after the President's such notification).

Presidential Authority

In all appeals, the President may accept or reject the Grievance Committee's original findings and may approve or disapprove the decision by the DOF. In addition, as provided in Section J-4.4.3 the President may dismiss the case for lack of substantial evidence. In the event that an appeal, or any issue on appeal, is brought to the President more than once, the President shall have the authority to approve, disapprove, dismiss, or modify the decision. If the President's decision, in whole or in part, requires the approval of the Board of Trustees, the President may only, and shall, recommend approval or disapproval of the DOF's decision. The

complaint must be brought to the Board of Trustees, or the Executive Committee of the Board of Trustees, at its next meeting but not more than 45 days after the President's decision.

Grounds for Appeal (available to either the Respondent or the Complainant), and Additional Options for Presidential Disposition of Appeals

The President shall dispose of all appeals by rendering a written decision within the time prescribed above.

Improper dismissal before hearing. The Appellant may claim that the Grievance Committee improperly dismissed the case as frivolous before hearing it. If the President accepts this claim, he/she may return the case to the Grievance Committee for a hearing within 30 days thereafter.

Lack of substantial evidence. The Appellant may claim that the Grievance Committee's findings were not supported by substantial evidence. If the President accepts this claim and the Committee's findings were against the Respondent, the President may act under his/her general authority and modify such part of the decision so not supported or dismiss the case. If the President accepts this claim and the Committee's findings were against the Complainant, the President will send the claim back to the Grievance Committee with direction to, within 30 days, reconsider the matter and to submit its reconsidered recommendation to the DOF.

New evidence. The Appellant may claim that new evidence is available. The President shall determine whether such new evidence is germane to the case, and whether the evidence could reasonably have led to different findings and/or a different decision. If the President accepts these claims, he/she may, as appropriate, refer the case back to the Grievance Committee for a new hearing within 30 days and a new decision by the DOF.

Bias. The Appellant may claim that the Committee was biased, suffered from conflicts of interest, or showed malice. If the President accepts this claim, he/she may: refer the case back to a differently constituted hearing panel designated by the President for a new hearing in accordance with the time provisions above. If the President orders a new hearing, the President shall, within 10 days, select a new hearing panel of 5 members, drawn from the tenured members of the Faculty.

Arbitrary penalty and/or remedy. The Appellant may claim that the penalty or remedy imposed was not appropriate to fit the circumstances of the case. If the President accepts this claim, he/she shall refer the case back to the DOF for a new decision on the penalty and/or remedy within 10 days thereafter.

Improper procedures. The Appellant may claim that the Grievance Committee used improper procedures and that such procedures adversely affected the fundamental fairness of the hearing. The term "improper procedures" is restricted to the interpretation of the procedures outlined herein. If the President accepts this

claim, he/she may refer the case back to the Grievance Committee for a new hearing in accordance with the time provisions above.

Record of Proceedings: Destruction

After 5 years from the date of the filing of the written statement of the Informal Resolution process, if any, and the complaint, the taped or other verbatim record required to be maintained above, all written and other material relating to the proceeding (other than material in personnel files) may be destroyed by the College.

Approved by Faculty, November 28, 2000

Approved by Board of Trustees, December 7, 2000

Approved by OCR: December 12, 2001.

U:\mccallin\grievance\APPROVED Faculty Grievance - Faculty November 28, 2000-- Board December 7, 2000.



CHAPTER 5

FACULTY TEACHING RESPONSIBILITIES AND WORKLOAD

CHAPTER 5: FACULTY TEACHING RESPONSIBILITIES AND WORKLOAD

5.1 WORK-LOAD

5.1.1. FACULTY TEACHING LOAD

The normal teaching load for a full-time tenured or tenure-track faculty member at Claremont McKenna College is four courses per academic year. For other full-time faculty, the teaching load is five courses per year.

5.1.2 POLICY ON CONSULTING, OUTSIDE TEACHING & CONFLICT OF INTEREST

The acceptance of a full-time appointment to the faculty of Claremont McKenna College involves a commitment which is full time; faculty members are expected to accord the College their professional loyalty and to arrange outside obligations, financial interest, and other activities so as not to conflict or interfere with this primary, overriding commitment to the College.

Nonetheless, the College also encourages the exchange of scholarly information and recognizes the importance of faculty consulting, an activity that provides government and business with expert and objective advice and that advances the competence and professional expertise of faculty members by keeping them abreast of the latest developments in their fields. However, consistent with the College's Conflict of Interest Policy (section 10.2), such work should not interfere with their primary duties at the College; such work should not involve an average of more than one day per week while the College is in session; and such work should not involve the use of the name of the College.

The College strongly discourages faculty from teaching courses at other institutions for compensation during the academic year. Approval to do so will rarely be given and requires the prior approval of the Dean of the Faculty. Approval will be given only in cases of serious financial exigency of the faculty member, or an unusual need of another Claremont College to fill a temporary faculty shortage to cover a specific course.

These restrictions do not apply to the summer months, nor to courses offered outside of CMC as part of an arrangement of a faculty member's usual course load as governed by the Dean of the Faculty. For atypical situations, the Dean of the Faculty's office may be consulted on an individual basis.

Administration Committee

March 2000

Revised November 2005

5.1.3 CGU COURSES

Faculty members who are asked to teach courses at the Claremont Graduate University must make the request known to their department chair and the Dean of the Faculty. The requests are subject to the condition that the department approve of the arrangement. Normally, CGU will pay a replacement cost as negotiated between the CGU Provost and the CMC Dean of the Faculty. Even if those conditions are met, the Dean of the Faculty is the final authority for approving all such requests from CMC faculty members.

5.1.4 COURSE BUY-OUT POLICY

If individual faculty members wish to buy out a course, either with personal or external funds, the cost will be 20 percent of his or her total compensation paid to the college for one course or 50 percent of his or her total compensation for two courses.

Faculty members who buy out a course are expected to fulfill all other obligations such as student advising and membership on committees. Faculty members on unpaid leave are not expected to fulfill these obligations. For additional information, see Chapter 7 outlining the College's leave policies.

All requests for buyouts are to be submitted to the Chair of the Department and the Dean of the Faculty. The Chair will make a recommendation to the Dean of the Faculty about replacement needs arising from the requested buyout. Requests will normally be made one full semester before the buyout.

5.1.5 CONVOCATIONS AND ASSEMBLIES

Faculty members are expected to attend College convocations and assemblies and participate in academic processions. For faculty members who do not own their own academic regalia, the office of the Dean of the Faculty will provide regalia free of charge with prior notice.

5.1.6 CURRICULUM

Proposals by the departments or programs to add or change courses are considered by the Curriculum Committee. Proposals must be submitted to the Dean of the Faculty's office.

5.1.7 FACULTY ABSENCES

Faculty members are requested to report to the Dean of the Faculty any absence for which substitute instruction is required, with details or arrangements for

coverage. Absences, occasioned by illness or other emergencies, should be reported to the Dean of the Faculty and to the chair of the department as soon as possible. An illness that requires an extended leave of absence may be covered under one of the College's leave provisions. For additional information, see the College's Leave policy in Chapter 7.

5.2 CLASSROOM MANAGEMENT

5.2.1 MINIMUM CLASS SIZE

Courses may be canceled if fewer than six CMC students pre-register. Exceptions may be made when a course is being offered for the first time, or when a faculty member's other classes are large, or when there is a pressing curricular reason for offering a class.

5.2.2 AUDITORS

Faculty may decide when and whether to admit auditors in their courses. Auditing is an informal arrangement between a faculty member and a student; the College maintains no records of audited courses. The College also maintains a program for Senior Auditors.

5.2.3 EXPULSION OF STUDENTS FROM THE CLASSROOM

Before expelling a student permanently from a course for disciplinary reasons, a faculty member should discuss the matter with the Dean of Students. Requesting a student to leave a single class session is discretionary with the instructor.

5.2.4 SMOKING IN CLASSROOMS

By state law, no smoking is permitted in classrooms or offices.

5.3 ADDITIONAL TEACHING RESPONSIBILITIES OF FACULTY MEMBERS

5.3.1 ACADEMIC ADVISING

The faculty advisor system is a vital part of the college's system of counseling and advising students. Each student has a faculty advisor responsible for counseling him/her in academic matters. To this end, each faculty member should be closely familiar with the Statement of Academic Policy, general education, and departmental requirements. On occasion, the Academic Standards Committee or the Dean of Students may ask an individual member of the faculty to undertake a special advisory role for students in academic distress.

5.3.2 COURSE SCHEDULING

The attention of the faculty is drawn to the regularly scheduled class hours which have been agreed upon by all the undergraduate colleges. Those hours are:

MWF 8:00
MWF 9:00
MWF 10:00
MWF 11:00
MW 12:00
MW 1:15
MW 2:45
MW 4:15
TTH 8:10
TTH 9:35
TTH 12:00
TTH 1:15
TTH 2:45
TTH 4:15

Evenings on M, T,W,TH for 3-hour seminars

It is important that classes be distributed evenly among those hours, or serious conflicts will arise for students in planning their schedules. Departments should utilize all the regularly available hours and avoid excessive use of "popular" hours. Deviation from these hours and the scheduling of classes at unusual hours forces students to choose between classes and worthwhile extracurricular activities.

5.3.3 INDEPENDENT STUDIES

Faculty members may develop independent studies with qualified students. The normal limit of independent studies for a faculty member in one semester, however, should not exceed a total of five. A registration form is required for all independent studies. The instructor should assist the student in completing this form and preparing the bibliography and outline of research; the provisions for meeting with the student should also be indicated. The student should return the form to the Registrar's Office.

5.3.4 OFFICE HOURS

Faculty should hold a minimum of two office hours per week. Times should be posted, and faculty members should be present at those times. Students unable to see faculty members during posted hours should be able to make separate appointments.

5.4 MINIMUM COURSE REQUIREMENTS

5.4.1 COURSE REQUIREMENTS

All courses should provide students with several opportunities to measure their progress. Generally, this means a course would require, a mid-term examination, a substantial term paper or several shorter papers, and a final examination. In courses where some of these may be inappropriate – for example, where the subject matter is not well handled in a term paper – other graded requirements should be used. Faculty should supply students with graded feedback prior to the deadline to withdraw from classes mid-semester.

5.4.2 WORK LOAD IN CLASSES

Courses should involve approximately equal workloads. Generally, students should expect to spend from 6 to 8 hours per week, over and above the time spent in classroom, on each course.

5.4.3 SYLLABI AND COURSE ANNOUNCEMENTS

Students should normally receive a course syllabus and reading list at the beginning of the semester. Syllabi should include information about the learning outcome goals of the course, a schedule of assignments, and a clear explanation of how grades will be calculated. Syllabi should also include a reference to CMC's policies on academic integrity. Although academic freedom offers wide latitude, faculty members are expected to fundamentally adhere to the syllabus and published content of their courses.

5.4.4 ATTENTION TO WRITING SKILLS

Students at the college are expected to write competently. Courses that are not fundamentally quantitative in content should therefore require papers and examinations that test students' writing abilities, and faculty members should give students careful and detailed explanations of their writing deficiencies. Students who require more instruction in writing should make regular appointments at The Writing Center.

5.5 FINAL EXAMINATION AND GRADING POLICY

5.5.1 FINAL EXAMINATION SCHEDULE

Final examination schedules are published prior to registration. Students expect final examinations to occur as scheduled, and they cannot be changed by the

instructor. Only the Dean of the Faculty may change final examination dates. No tests of any kind are to be scheduled during the last week of classes before final exams. (Exception: final examinations may be scheduled during the last week of classes for seniors graduating in May.)

5.5.2 PROCTORING OF EXAMINATIONS

All tests and examinations on which a grade may be based should be proctored or precautions taken to discourage cheating.

5.5.3 PLAGIARISM AND OTHER FORMS OF ACADEMIC DISHONESTY

Please consult the "*Statement of Academic Policy and Statement of Academic Integrity*" (chapter 12). Faculty members who suspect cases of academic dishonesty are strongly urged to refer them to the Academic Standards Committee. The ASC can impose suspension or expulsion and/or may recommend a grade penalty. Final authority over grades remains with the instructor.

5.5.4 GRADING

Grades must reflect differences in the quality of the course work performed by students. Faculty members must therefore exercise the most careful judgment in assigning grades. Graded work should be evaluated and returned in a timely manner. CMC assigns the following grades on a 12 point scale:

<u>GRADE</u>	<u>POINTS</u>
A	12 points
A-	11 points
B+	10 points
B	9 points
B-	8 points
C+	7 points
C	6 points
C-	5 points
D+	4 points
D	3 points
D-	2 points
Fail	0 points

If a student takes a course on a "credit/no credit" basis, the student must do work of C or better to receive credit. No credit is given for work below C.

5.5.5 MID-TERM GRADE REPORTS

Mid-term grade reports indicate unsatisfactory progress in a course to students, their academic advisors, and in some cases, their families. Mid-term examinations are therefore particularly important, and faculty members should be sure to report mid term low grades to the Registrar by the scheduled date.

5.5.6 REPORTING OF GRADES TO THE REGISTRAR

Faculty must submit grades (both mid-term and final) to the Registrar by the scheduled deadlines. Grades may be submitted online or on paper. Faculty may not assign grades of "incomplete" or "withdrawn": Those grades may only be assigned by the Academic Standards Committee when students have received approval. Any questions regarding grading should be directed to the Registrar.

5.5.7 GRADE CHANGES

Grades may be changed only for computational and judgmental errors made by the instructor in a signed and dated memorandum to the Registrar explaining in detail why the change was made. A faculty request for a grade change that affects a decision made by the Academic Standards Committee must be approved by that committee. No grades can be changed after one year from the end of the semester in which the course was offered. A student who disputes a grade which the instructor is convinced is fair and accurate should see the Dean of the Faculty.

5.6 POLICY ON STUDENT PRIVACY

Claremont McKenna College complies with the Family Education Rights and Privacy Act of 1974, which prohibits the College or its employees from releasing educational information about students (including grades) to third parties (including parents) without the prior written consent of the student. Faculty members must comply with all federal laws, state laws, agreements with third parties, and University policies and principles pertaining to the use, protection, and disclosure of various types of confidential, proprietary, and private information. Such policies apply even after the faculty member's relationship with CMC ends. Questions concerning information about or the application of the Family Educational Rights and Privacy Act should be referred to the Registrar's office.



CHAPTER 6

FACULTY RESEARCH AND
DEVELOPMENT

CHAPTER 6: FACULTY RESEARCH AND DEVELOPMENT

6.1 INDIVIDUAL FACULTY ACCOUNTS (IFA) POLICY

1. Faculty will be provided with a set amount (currently \$2,500) per academic year for use in travel, research related expenses and other expenses not covered by the academic departments.
2. The academic year is from July 1 - June 30.
3. All full-time, tenure-track faculty (or those on long term rolling contracts) are eligible. Faculty assigned to the Keck Science Department are not eligible for IFAs, but will receive a grant of \$1,000 for each academic year. Keck Science Department funds must be used within the academic year.
4. All computer equipment requests must be approved by Information Technology Services (ITS). Faculty members on sabbatical may use their Individual Faculty Accounts (IFA) to pay for subscriber services, such as DSL or modem access, with prior approval of the DOF.
5. All Requests For Check (RFC's) will be run through the Dean of the Faculty's office. Faculty will use the faculty support centers for assistance in completing the RFCs and travel reports.
6. Faculty will be responsible for monitoring their accounts. A written report will be provided to faculty on a regular basis or upon request of the faculty support staff. Any discrepancies must be cleared within 30 days of the date of the supervisor's report.
7. Reimbursements will require the DOF's signature.
8. Faculty will follow the guidelines for reimbursable expenses as developed by the Treasurer's office (see section 10.12).
9. The Dean of the Faculty shall have the final authority over questions involving IFA expenses or reimbursements.

6.2 RESEARCH FUNDS

Faculty research funds are administered by the Dean of the Faculty with the advice and consent of the Faculty Research Committee.

6.3 RESEARCH CENTERS AND INSTITUTES

There are ten research institutes at Claremont McKenna College. These include [The Berger Institute for Work, Family and Children](#), [The Financial Economics Institute](#), [The Family of Benjamin Z. Gould Center for Humanistic Studies](#), [The Center for the Study of the Holocaust, Genocide, and Human Rights](#), [The Keck Center for International and Strategic Studies](#), [The Kravis Leadership Institute](#), [The Lowe Institute of Political Economy](#), [The Roberts Environmental Center](#), [The Rose Institute of State and Local Government](#), and [The Salvatori Center for the Study of Individual Freedom in the Modern World](#). The institutes' mandate is to enrich the curriculum and provide timely research opportunities for students working closely with faculty scholars. They also attract distinguished scholars and lecturers to the College, provide students with a variety of internship experiences, and produce scholarly research valuable to the community, the state, and the nation.

Each research institute has an advisory board and a director who is a faculty member at CMC. Directors are appointed by the President of the College, and serve renewable five-year terms. Directors are normally required to rotate out after a maximum of two terms. Research institutes report to the Dean of the Faculty, and are ultimately responsible to the President and the CMC Board of Trustees. *(Rotation policy approved by Board of Trustees, May 2006.)*

6.4 OFFICE OF SPONSORED RESEARCH

The Office of Sponsored Research exists to assist faculty and the College's research institutes in obtaining government grant support for research activities. The Office of Sponsored Research reports to the Dean of the Faculty. Non-government outside funding sources are available to individual faculty and to research institutes through the Office of Foundation and Corporate Relations in the Development Department.

6.5 POLICY ON RESEARCH WITH HUMAN PARTICIPANTS

Guidelines for the protection of human beings that participate in research are established by federal government regulations established in the Belmont Commission Report. The Report sets out three basic ethical principles for all research involving humans.

Respect for persons. Individuals are to be treated as autonomous persons capable of making decisions. Persons entering research projects as subjects should do so voluntarily and with adequate information beforehand to make an informed choice regarding participation. Special provisions are required for persons with diminished decision-making capacity.

Beneficence. Researchers are required to, “Do No Harm;” and to maximize possible benefits and minimize possible harms.

Justice. All persons must be treated equally, and research must not be focused on those who can be exploited.

The essential component that must be part of all human subject research is informed consent. The Belmont Report guidelines require that human subjects must be provided with adequate information regarding the project and their participation, the subjects must agree to participate voluntarily, and researchers have properly assessed the risks and benefits of the research to be carried out. The federal policy, enacted as the Common Rule by sixteen government agencies is administered by the Office of Human Research Protections of HHS. It applies to all research conducted under federal government support. Claremont McKenna College has, like most institutions of higher education, extended the coverage of the Common Rule to include all human research projects regardless of the source of funding. Exceptions to the Common Rule include: research involving educational practices; testing; surveying, so long as human subjects cannot be identified; research involving existing data or specimens; research conducted subject to the approval of federal agencies and intended to examine federal programs or benefits; and taste and food quality evaluation and consumer acceptance studies.

All faculty, administration, and student research involving human participants not exempted by the above exceptions must be presented to the Claremont McKenna College Institutional Review Board (IRB) for its prior authorization to conduct the research. The IRB has the authority to approve, require modifications to, or disapprove the research project according to the guidelines of the Common Rule. The IRB has the authority to utilize an expedited review procedure for certain categories of research. The IRB will carefully review the informed consent elements of the intended research project and must approve an informed consent document to be signed by the subjects of the project. The IRB will also review any potential conflicts of interest involving research.

6.6 POLICY ON THE CARE AND USE OF ANIMALS

An investigator of animal behavior strives to advance understanding of basic behavioral principles and/or contribute to the improvement of human health and welfare.

In seeking these ends, the investigator ensures the welfare of animals and treats them humanely. Laws and regulations notwithstanding, an animal's immediate protection depends upon the scientist's own conscience.

The acquisition, care, use, and disposal of all animals are in compliance with current federal, state or provincial, and local laws and regulations.

A scientist trained in research methods and experienced in the care of laboratory animals closely supervises all procedures involving animals and is responsible for ensuring appropriate consideration of their comfort, health, and humane treatment.

Scientists ensure that all individuals using animals under their supervisions have received explicit instruction in experimental methods and in the care, maintenance, and handling of the species being used. Responsibilities and activities of individuals participating in a research project are consistent with their respective competencies.

Scientists make every effort to minimize discomfort, illness, and pain of animals. A procedure subjecting animals to pain, stress, or privation is used only when an alternative procedure is unavailable and the goal is justified by its prospective scientific, educational, or applied value. Surgical procedures are performed under appropriate anesthesia, techniques to avoid infection and minimize pain are followed during and after surgery.

When it is appropriate that the animal's life be terminated, it is done rapidly and painlessly.

6.7 POLICY ON INDIRECT COSTS FROM FEDERAL GRANTS

Claremont McKenna College will allocate up to 25% or \$15,000, whichever is less, of the annual indirect costs of a federal grant back to the principal investigator.

The principal investigator may use the money, with the approval of the Dean of the Faculty, for library, support personnel, equipment and general professional development. The money cannot be used for additional compensation for the principal investigator.

July 27, 1998

6.8 POLICY ON SUMMER GRANTS

Faculty may devote up to three summer months to conduct grant supported research, depending upon any restrictions imposed by the granting agency. Faculty summer salary compensation from the grant is generally based on their nine-month academic salary in the current academic year, prorated at 12/9ths or 33.33 percent in addition to their current salary. Fringe benefit rates for summer salary do not include the cost of health insurance since it is already paid for but may include retirement benefits.

Faculty time devoted to grant supported research can be as high as 45 percent across all grant-funded projects in any Fiscal year. Based on a 12-month year, up to 25 percent time is available in the summer with the approval of the Dean of the Faculty. An additional 20 percent time is available through the Course Buyout Policy (see 5.1.4) that permits faculty to reduce their teaching load at a cost of 20 percent

of their current compensation for one course. Buyouts of more than one course in any academic year require the approval of the Dean of the Faculty.

6.9 POLICY AND PROCEDURES FOR ALLEGATIONS OF RESEARCH MISCONDUCT

6.9.1 INTRODUCTION

Claremont McKenna College is committed to ensuring integrity in the conduct of all research by its faculty, students, and staff. The following policy applies to all research activities, funded or not, conducted under the auspices of CMC. The policy applies to all persons employed by, affiliated with, or under the control of the College such as faculty members, staff, students, post-doctoral fellows, researchers, collaborators, consultants, technicians, and those utilizing the College's Institutional Review Board procedures for research projects regardless of whether they are employed by, under the control of, or formally affiliated with CMC.

In order to ensure the highest levels of professional conduct in all of its research activities, CMC will use the following policy to inquire into, investigate, and adjudicate fairly all instances of alleged misconduct and comply in a timely fashion with all government agency requirements for reporting on cases of possible misconduct when sponsored research project funds are involved. Any significant variations from this policy may be permitted only with the express approval of the Vice President for Academic Affairs and must only be done when the best interests of the College and/or the federal agency warrant.

6.9.2 DEFINITIONS

Research misconduct includes, but is not limited to:

Abuse of Confidentiality, which includes the expropriation or abuse of ideas and preliminary data obtained during the process of editorial or peer review of work submitted to journals or in proposals for funding by agency panels or by internal committees at the College such as the Research Committee. It also covers the expropriation and/or inappropriate dissemination of personally-identifying human subject data. It does not include honest error or differences in interpretations or judgments of data, or of regulatory and other standards.

Allegation means any written or oral statement or other indication of possible misconduct made to a college official.

Complainant means the individual(s) who submits an allegation of misconduct and/or retaliation.

Conflict of interest means the real or apparent interference of one individual's interests with the interests of another individual or of the College, where potential bias may occur due to prior or existing personal or professional relationships.

Deciding Official means the College official who makes final determinations on allegations of misconduct and any responsive College actions. At the College, the Deciding Official is the Vice President for Academic Affairs.

Fabrication, falsification or misrepresentation of data, including (a) reporting experiments, measurements, statistical analyses, or other studies never performed; (b) manipulating or altering data or other manifestations of the research to achieve a desired result; (c) falsifying or misrepresenting background information, including biographical data, citation of publications, or status of manuscripts; and (d) selective reporting, including the deliberate suppression of conflicting or unwanted data.

Good faith allegation means an allegation made with the honest belief that misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for, or willful ignorance of, facts that would disprove the allegation.

Inquiry means gathering information and initial fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.

Investigation means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred, and, if so, to determine the responsible individual and the seriousness of the misconduct.

ORI means the Office of Research Integrity, the office within the U.S. Department of Health and Human Services ("DHHS") that is responsible for the misconduct and research integrity activities of the U.S. Public Health Service.

Plagiarism, which is the taking and use of another's work as one's own.

Research Integrity Officer means the College official responsible for assessing allegations of misconduct and determining when such allegations warrant inquiries and for overseeing inquiries and investigations. The Research Integrity Officer is an Associate Dean of the Faculty.

Research record means any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; slides; biological materials; computer files and printouts; manuscripts and publications;

equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; and consent forms.

Respondent means the individual against whom an allegation of misconduct is directed or the individual whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

Retaliation means any action that adversely affects the employment or other College status of an individual, that is taken by the College or an employee of the College, because the individual has made a good faith allegation of misconduct or of inadequate College response thereto or has cooperated in good faith with an Inquiry or an investigation of such allegation.

6.9.3 RESPONSIBILITIES

If any individual believes in good faith that an individual subject to this policy is involved in misconduct, he or she should meet with or write the Associate Dean of the Faculty in his or her capacity as Research Integrity Officer to share the complaint about alleged misconduct. If the Associate Dean determines there is sufficient cause to begin an initial inquiry, the Associate Dean must inform the person alleging misconduct that, as Research Integrity Officer, he or she must submit an allegation to inquiry even if the complainant chooses not to do so. Any person who is not comfortable bringing a complaint to the Associate Dean may bring it to the Director or Associate Director of the Office of Research. All individuals subject to this policy have an obligation to cooperate with the Research Integrity Officer in inquiries and investigations. Individuals should be afforded confidential treatment to the extent possible. Respondents may consult with legal counsel and others to seek advice and may have them present for meetings or interviews as observers but not as participants.

6.9.4 PROCEDURES FOR HANDLING ALLEGATIONS

6.9.4.1 Inquiry Phase

Once an allegation of misconduct has been submitted to the Research Integrity Officer, he or she will appoint a three person Research Standards Inquiry Committee to determine whether there are sufficient grounds to conduct a subsequent Investigation. The Research Standards Inquiry Committee members should be free of any real or apparent conflicts of interest and must make every effort to be objective and fair. The Committee will receive a written charge from the Research Integrity Officer describing the allegations and indicating that the role of the Committee is not to determine that misconduct has occurred, but to determine whether there is sufficient evidence to indicate that an investigation is warranted. The Committee will normally interview the complainant, the

respondent, and witnesses as well as examine any data or materials pertinent to the allegation. The Committee may employ whatever outside assistance, legal or otherwise it deems appropriate to the Inquiry. The inquiry should be completed within 60 days unless circumstances warrant a longer period. Upon completing its inquiry, the Committee will prepare a written report identifying the evidence reviewed, summarizing the various interviews conducted, and stating the conclusion of the Inquiry as to further action. The respondent shall be given a copy of the report and shall have ten days to comment upon it in writing. Any comments by the respondent shall become part of the record.

Within thirty days of the completion of the inquiry, the Research Integrity Officer shall transmit the inquiry report to the deciding official, normally the Vice President for Academic Affairs. The deciding official will determine whether there is sufficient evidence of possible misconduct to justify an investigation. The Research Integrity Officer will notify the complainant and respondent in writing of the determination. If applicable, the Research Integrity Officer will notify the Director of the Office of Research Integrity (ORI) of the Department of Health and Human Services in writing of the pending Investigation.

6.9.4.2 Investigation Phase

The deciding official will appoint a Research Standards Investigation Committee of five full-time tenured faculty members who should be free of any real or apparent conflicts of interest and must make every effort to be objective and fair. The Committee will receive the inquiry report; interview the complainant, respondent, and witnesses; and employ whatever outside expert assistance as appropriate including legal and expert opinions. The Research Integrity Officer will define the issues in a written charge to the Committee and will convene the first meeting of the Committee which will then select its own chair. The Committee is to evaluate the evidence and testimony it receives and determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, to determine who was responsible, and its seriousness. To the extent possible all proceedings will be confidential and the meetings of the Committee will be closed.

The Committee will file a written report of its findings with the Research Integrity Officer. The report will describe the procedures under which the Committee conducted its investigation, who provided information, a detailed description of the testimony and evidence obtained, and how the testimony and evidence support the Committee's findings. A finding of misconduct requires that it be based on a preponderance of the evidence, that there was a significant departure from accepted research practices of the relevant research community or discipline, and that the misconduct was committed intentionally, knowingly, or recklessly. It will also include the actual text or an accurate summary of any statements by any individual/s found to have committed misconduct. The report will include an advisory recommendation for actions to redress the misconduct. The Research Integrity Officer will provide a copy of the draft report to the respondent who will have ten working days to make any written comments which will be attached to the

final Investigation report. The final report will be transmitted to the deciding official. The Research Integrity Officer will also notify all appropriate College officials, sponsoring agencies, and ORI as applicable. Investigations should normally be completed within 120 days of the first meeting of the Research Standards Investigation Committee. If the Investigation is to take more than 120 days, the Committee should write an interim report and request an extension from the deciding official.

6.9.4.3 Determination Phase

The deciding official will review the report and ordinarily make a determination within 30 days. The deciding official determines whether misconduct occurred and what actions are to be taken as a result, including any sanctions. Such sanctions may include but are not limited to withdrawal of all pending or published abstracts and papers emanating from the research where misconduct was found, removal of the responsible person from the project involved, restitution of funds, a letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, and steps leading to possible reduction in rank, or termination for cause, provided such steps are consistent with the procedures established in the Faculty Handbook. Where no misconduct was found to have occurred, the Research Integrity Officer will notify all appropriate parties after consultation with the respondent to restore the reputation of the respondent. If it is determined by the deciding official that the Complainant brought forward unsubstantiated allegations of misconduct under malicious or dishonest circumstances, appropriate disciplinary actions may be initiated against the complainant.

6.9.5 APPEAL

The respondent may appeal any determination by the deciding official to the President of the College within 30 days. Such appeals must be based solely on a failure to follow procedures. In cases where new evidence is brought to the attention of the President, the President may decide whether the matter should be referred back to the original Research Standards Investigation Committee.

(The above policy is required by Federal law)

6.10 POLICY ON INTELLECTUAL PROPERTY

Claremont McKenna College (CMC) encourages the production of creative and scholarly research, works and inventions, known broadly as intellectual property, among faculty, students and staff. The products of this scholarship may create rights and interests on behalf of the creator, author, inventor, public, sponsor and CMC. The purpose of this policy is to support and reward scientific research and scholarship, and help faculty, students and staff identify, protect, and administer

intellectual property matters and define the rights and responsibilities of all involved.

1. Application of Policy

The policy applies to works created by all classifications of faculty, staff and students of CMC and to non-employees such as consultants and independent contractors, who create works on behalf of CMC, unless a written agreement exists to the contrary.

2. Identification of Intellectual Property (“Intellectual Property”)

Intellectual property shall consist of the following:

- (1) Copyrightable material produced from creative and scholarly activity, such as text (manuscripts, manuals, books, and articles); videos and motion pictures; music (sound recordings, lyrics, and scores); images (print, photographs, electronic, and art); and computer software (programs, databases, web pages, and courseware); and
- (2) Patentable works such as patents (processes, machines, manufactures, or compositions of matter); devices; and software excluded from copyrighted materials; and
- (3) Trademarked materials, such as words, names, symbols or logos, domain names, trade dress, and slogans or any combination of words which has been adopted by CMC to identify itself and to distinguish itself and its sponsorship from others.
- (4) Trade Secrets.

3. Ownership and Use

(1) General Rule.

Keeping with the view that one of CMC's primary benefits to society is the production of original works by its employees and students, and in order to best encourage such activity, it is the general policy of CMC that Intellectual Property shall be the property of the author or creator. CMC may assert ownership rights to Intellectual Property developed under circumstances set forth further below.

To qualify as “substantial College assistance,” the College's participation in or developmental activity leading to intellectual property must be material, significant, and beyond the resources normally provided to individual employees, staff members, and students. Without limiting the foregoing, the College does not regard the College's provision of normal and customary compensation, student financial aid, library resources, office or laboratory facilities, office staff or laboratory support, telecommunications facilities, individual personal computers, and ordinary and reasonable access to the College's computer network and websites or similar College-

provided electronic communication tools used for non-commercial scholarly pursuits, as constituting "substantial College assistance."

(2) Patentable Intellectual Property

Responsibility for Disclosure of Patentable Intellectual Property: CMC personnel who alone or in association with other entities create or intend to create patentable subject matter with any use of CMC resources must disclose the matter and obtain prior authorization from the Office of the Dean of the Faculty (or designee). Such disclosure shall be made when it can be reasonably concluded that a patentable subject matter has or will be created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the intellectual property for the creator and CMC. Creators are encouraged to seek the advice of the Dean of the Faculty (or designee) in determining whether the subject matter is patentable or whether CMC desires to pursue patenting the matter. If CMC decides not to invest in a patent application, the faculty member may proceed with no obligation to share resulting income with the College.

Determination of Rights to Patentable Subject Matter: Except as set forth below, the creator of patentable intellectual property shall retain his/her rights, and CMC shall not assert ownership rights. CMC will assert ownership rights to patentable intellectual property developed under any of the following circumstances:

- Development was funded by an externally sponsored research program or by any agreement which allocates rights to CMC.
- Development required substantial use of CMC resources. Participation of students directly in the development, or indirectly through use and feedback that substantively influences development, constitutes significant use of CMC resources.
- The creator was assigned, directed, or specifically funded by CMC to develop the material.
- Material was developed by administrators or staff in the course of employment duties and constitutes work for hire under US law.

(3) Other Intellectual Property

Responsibility for Disclosure of Intellectual Property: In contrast to historical business practice, the tradition of academic institutions is to give faculty members the right to retain ownership of their Intellectual Property. This policy protects that traditional right, and faculty are not obligated to disclose the creation of these materials, even when the product might have commercial value, unless the material was developed under one of the qualifying conditions listed in the next section in which case the creator is responsible for timely disclosure. However, faculty are encouraged to disclose any protectable material that has commercial value to the extent that they may wish assistance in copyright protection and marketing in exchange for profit sharing with CMC. All disclosures should be made to the Office of the Dean of the Faculty.

Determination of Rights to Intellectual Property: Except as set forth below, the creator of Intellectual Property shall retain his/her rights, and CMC shall not assert ownership rights. However, creators will be expected to grant non-exclusive, royalty-free, perpetual licenses to CMC for Intellectual Property that is developed for CMC courses or curriculum, guaranteeing that CMC has the right to continued use of such material for educational purposes at CMC without charge. CMC may assert ownership rights to Intellectual Property developed under the following circumstances:

- Development was funded as part of an externally sponsored research program under an agreement which allocates rights to CMC.
- A faculty member was assigned, directed, or specifically funded by CMC to develop the material, and CMC has negotiated an understanding or formal contract with the creator.
- Material was developed by administrators or other non-faculty employees in the course of employment duties and constitutes work for hire under US law.
- Development required substantial use of CMC resources. Participation of students directly in the development, or indirectly through use and feedback that substantively influences development, constitutes significant use of CMC resources. Any income from books, papers, or computer programs are assigned in full to faculty members, except that the College may expect that substantial College assistance in developing the material will be reimbursed to the College.

(4) Intellectual Property Developed Under Sponsored Research Agreements

Ownership of Intellectual Property developed pursuant to an agreement with any sponsor will be governed by the provisions of that agreement. Sponsored research programs funded by private sponsors will generally provide for CMC to retain title to all intellectual property that arises in the course of the research program with the sponsor retaining an option to acquire commercialization rights through a separate license agreement. Government and nonprofit sponsors generally allow rights to intellectual property that arises from the research program to vest with CMC, subject to certain retained rights held by the federal government.

(5) Special Agreement

The overriding principle underlying this Intellectual Property Policy is to encourage creativity and inventiveness, so CMC reserves the right to allow some flexibility in applying this policy on a case-by-case basis. In such cases, ownership and use of materials developed pursuant to a special agreement between CMC and the creator/author will be governed by the principles of that agreement.

4. Administration

Office of the Dean of the Faculty: The Policy on Intellectual Property shall be administered by the Office of the Dean of the Faculty and the stated terms and provisions of the policy shall be determined and interpreted by the Dean of the Faculty.

Intellectual Property Review Committee: In implementing this policy, a standing Intellectual Property Review Committee shall (1) review policy provisions from time to time, as needed, with recommendations for change or amendments to the Dean of the Faculty; (2) serve as a non-binding decision-making body in the case of any dispute relating to this policy; (3) review other issues as requested by the Office of the Dean of the Faculty or other interested parties. The Intellectual Property Review committee shall consist of the Dean of the Faculty and four tenured or tenure-track faculty members appointed by the Dean.

Dispute Resolution: In the event a party does not accept the non-binding decision of the Intellectual Property Review Committee with regard to a dispute, that party can request a binding arbitration by a panel of three arbitrators pursuant to, and administered by, the America Arbitration Association. This decision will be final.

Changes to Policy: CMC reserves the right to change this policy from time to time. The Dean of the Faculty will normally consult with the Intellectual Property Review Committee regarding proposed changes to the policy. However, the President has the sole authority to present recommendations to the Board of Trustees for changes to this policy.

5. Royalties

All revenues derived from CMC-owned Intellectual Property including electronic media will be received and administered by the Office of the Dean of the Faculty. For each specific piece of Intellectual Property owned by CMC, costs incurred in the process of perfecting, transferring, and protecting CMC rights to the property paid by CMC will first be deducted from the gross income available before distribution. An accurate accounting of all such costs shall be made available to the author/creator upon request. The distribution of net proceeds (income less all costs including that of an agency engaged to provide patent administration services) that is received from CMC-owned Intellectual Properties shall be shared equally between the creator and CMC absent agreement otherwise. CMC and/or creator may, in appropriate circumstances, take equity positions in companies licensed to market or use Intellectual Property.

6. Use of CMC names/logos

Faculty, staff, and students may use the CMC name and logos to identify themselves (John Doe, Professor of History, Claremont McKenna College). CMC name(s) and logos shall not be used by individuals or entities in a manner that implies institutional endorsement or responsibility for particular activities, products, or publications involved, for commercial purposes, or by any individual or group promoting itself, without the express written permission of the Dean of the Faculty consistent with CMC's Trademark Policy.

**This policy was substantially adapted from Washington and Lee University Intellectual Property Policy, which itself included many portions that were taken from the same or similar provisions in the policies of Tufts University and Lehigh University. Portions were also adapted from the intellectual property policy of the University of Denver.*

EFFECTIVE: **Approved by Faculty, February 8, 2008**

6.11 COPYRIGHT POLICY OF THE CLAREMONT COLLEGES

I. INTRODUCTION

The copyright policy of the Claremont Colleges affirms each institution's commitment to comply with the United States law pertaining to copyright; to respect faithfully the property rights of authors and their assignees; to

educate members of the campus community about copyright law; and to exercise vigorously the rights and responsibilities granted under this law.

Therefore this policy encourages all members of the community to publish their papers, books, and other works in order to share their knowledge openly with colleagues and the public. The policy adheres to the long-standing academic tradition that creators of works own the copyrights in works resulting from their scholarly, pedagogical, and creative activities. This principle is the foundation for our policy on copyright.

This principle also underlies the commitment of the Claremont Colleges to fostering an environment of respect for and responsible use of the intellectual property of others. The Claremont Colleges are committed to helping members of the community comply with copyright laws by providing resources to help individuals make informed, careful, and situation-sensitive decisions about the lawful and fair use of work created by others.

Not to over simplify the issue, but when considering the copying of any original work, determine whether:

1. the work is protected by copyright,
2. the work is available under a license agreement, or
3. whether the intended use qualifies as a fair use, as determined using a case-by-case four-factor analysis.

If the intended use is not a fair use, then seek permission from the copyright owner.

II. APPLICATION

This policy applies to all faculty (including those on temporary appointments), staff, and students of the Claremont Colleges.

III. COPYRIGHT OWNERSHIP AND ROYALTY DISTRIBUTION

Policies governing copyright ownership and the distribution of income from royalties are the purview of each of the Claremont Colleges.

IV. LIBRARY EXEMPTION

Section 108 of the copyright act sets forth specific circumstances under which a qualifying library may reproduce materials or portions of materials. Such reproductions are deemed so necessary and reasonable to the functioning of these libraries and to balance the exclusive rights of the copyright holder that prior permission of the copyright holder is not required. In addition to section 108 rights, a library may also exercise fair use rights under section 107.

As a "qualifying library" The Libraries of the Claremont Colleges qualify for the exemptions in section 108 of the Copyright Act and as such have developed policies to implement those exemptions. Those policies and accompanying procedures are published on The Libraries [website](#).

V. USE AND "FAIR USE" OF COPYRIGHTED WORDS

A. Compliance with Copyright Laws

The Claremont Colleges expects all faculty, staff and students to make a reasonable effort in good faith to comply with copyright laws in their use of copyrighted materials.

B. Fair Use of Copyrighted Works

The Claremont Colleges encourage faculty, staff and students to take full advantage of the "fair use" exception to the exclusive rights of copyright owners. Before relying on the fair use exception, faculty, staff, and students should educate themselves regarding the limits of fair use and should, in each instance, perform a careful, good faith fair use analysis based on the four factors identified in Section 107 of the federal Copyright Act. Faculty, staff and students are strongly encouraged to document their fair use analyses as a defense against claims of copyright infringement. It is recommended that the Fair Use Checklist available on this site be used for this purpose and that this completed form be kept for three years following the date of the last use of the copyrighted item (<http://www.lib.umn.edu/copyright/checklist.phtml>).

C. Assistance with Copyright Compliance

Because of the complexity of copyright law and, in particular, the fair use exception, the Claremont Colleges will provide resources to educate faculty, staff and students and help them make informed, careful and situation-sensitive decisions about the lawful and fair use of works created by others.

D. Violation of Copyright Laws

Upon obtaining knowledge that material residing on its systems or networks is infringing or that its systems or networks are being used for infringing activities (or upon becoming aware of circumstances from which infringing activity is apparent), the respective institution will act expeditiously to remove or disable access to the infringing materials and may deny the individuals responsible further access to its systems or networks as determined by policies specific to each institution. In addition, members of faculty or staff or students or other employed persons who willfully disregard or violate copyright law may be subject to disciplinary

action by the respective College in accordance with applicable disciplinary policies and procedures of that institution.

VI. CERTIFICATION OF PERMITTED USE

Individual faculty members are responsible for understanding the Colleges' copyright policy and shall be accountable for actions that willfully disregard it. The Claremont Colleges' responsibility in this area is to provide faculty members access to resources that allow determination of permitted uses. Faculty are responsible for consulting that information and applying it in accordance with the law. The Information contained on the consortial copyright website includes tools to assist faculty in making judgments about permitted uses of copyrighted materials.

A. Role of Academic Support Assistants

At no time will an academic support assistant reproducing or circulating copyright-protected material in accordance with a faculty member's or supervisor's written or verbal instructions be assumed liable for any failure to adhere to copyright law. This protection does not apply to material distributed or reproduced by academic support assistants without the instruction, written or verbal, of a faculty member or supervisor, or to material distributed or reproduced by academic support assistants in a manner that does not reflect such instruction.

B. Role of Student Employees

At no time will a student employee who is reproducing or circulating copyright-protected material in accordance with a faculty member's or an academic support assistant's written or verbal instruction be assumed liable for any failure to adhere to copyright law. This protection does not apply to material distributed or reproduced by a student without the instruction, written or verbal, of a faculty member, or to material distributed or reproduced by a student in a manner that does not reflect such instruction.

C. Academic Support Assistants, Student Employees, Administrative Staff

When employees, including support assistants and student employees operating in the capacity of academic or administrative support, carry out instructions by faculty or supervisory personnel to copy or otherwise reproduce or distribute copyright-protected material, the College understands that the staff member or student employee has assumed no liability for ensuring compliance with copyright law. If, however, any employees believe that tasks they are instructed to carry out are not in compliance with copyright law, they may pursue the following options:

1. seek written certification of compliance from the originator of the task;

2. seek guidance from a supervisor who did not originate the task;
3. request that the faculty or supervisory personnel obtain permission from that employee's supervisor to carry out the task.

In all cases when academic support assistants, student employees in an academic support role, or other employees make a determination to reproduce or distribute copyright-protected material on their own initiative, they are expected to inform themselves of the policy of the Claremont Colleges for copyright compliance and conform to that policy. The copyright website of the Claremont Colleges includes tools to help any such employee make judgments about permitted uses of copyrighted materials.

VII. ADMINISTRATION AND COPYRIGHT POLICY

A. Implementation of the Policy.

Each of the Claremont Colleges will develop procedures and communications to inform faculty, staff and students about this policy.

B. Use and "Fair Use" of Copyrighted Works

Each institution will adopt procedures to implement the "Fair Use" section of this policy.

C. Amendment

The Claremont Colleges, under the auspices of the Deans' Council, may amend this policy from time to time as it deems necessary or desirable, subject to applicable statutory and contractual restraints.



CHAPTER 7

LEAVES

Office of the Dean of the Faculty

CHAPTER 7: LEAVES

7.1 ACADEMIC LEAVES: SABBATICALS, LEAVES OF ABSENCE AND JUNIOR RESEARCH LEAVES

7.1.1 APPLYING FOR LEAVES

Applications for all leaves must be submitted to the Dean of the Faculty, after review at the departmental level, at least one semester before the proposed leave. All applications are evaluated by the Executive Committee of the APT Committee and, when necessary, by their appointed subcommittee(s). These evaluations are presented to the full APT Committee for consideration and recommendation to the President to submit to the Board of Trustees. Final approval is made by the Board. Applications should be specific and complete and include all the following information:

What activities are planned for the sabbatical or leave (including travel plans, institutions to be visited or used, sources of outside support, etc.)?

What has the sabbatical or leave to do with the past and future interests and plans of the applicant?

In what ways will the sabbatical or leave help the applicant as an individual and CMC as an institution?

7.1.2 SABBATICALS

Sabbaticals are supported by the College to sustain and encourage its tenured and tenure-track faculty as teachers and scholars and to benefit the College. Sabbatical plans may thus involve scholarly research, preparation for teaching in a new area or discipline, the acquisition of new academic skills, or other experiences likely to contribute to professional growth and the continuing vitality of the faculty member and the College. All full-time tenured and tenure-track members of the CMC faculty are eligible for a sabbatical leave. They may apply for either:

a) Full sabbatical leaves of one semester at full salary or one year at half salary after at least twelve semesters of full time employment at CMC since the applicant's last sabbatical leave or since joining the faculty, or

b) Half sabbatical leaves of one semester at half salary after at least six semesters of full-time employment at CMC since the applicant's last sabbatical leave or since joining the faculty.

7.1.2.1 Rules governing sabbatical leaves

Deans of the Faculty who serve five or more years are entitled to a one-year sabbatical at full pay after leaving the deanship. Associate Deans of the Faculty who serve three or more years are entitled to a one semester sabbatical at full salary or a one year sabbatical at half salary after leaving the associate deanship. The purpose of the sabbatical is to provide the opportunity for the former deans and associate deans to re-establish their research programs.

Time accumulated toward a sabbatical at another institution prior to appointment at CMC may be counted toward either a full or half sabbatical leave at CMC. The accrued time must have been accumulated within the five years preceding appointment to CMC. Time accumulated may only be applied toward the first CMC sabbatical. In such cases, faculty members are expected to complete one additional semester of service to the College for each year counted from the other institution.

For those with a non-four course teaching load, one-semester leaves will be granted only for the semester of the academic year in which the faculty member will have the lighter course load.

Unless they notify the Dean of the Faculty, faculty members are expected to adhere to the plans proposed in their application and approved by the Board.

Within one month after a sabbatical is over, faculty are expected to submit to the Dean of the Faculty a final report about their activities and accomplishments. The Dean will present the report to the APT/EC Committee.

Faculty members receiving a paid sabbatical or a paid leave from CMC are expected to return to employment at CMC upon completion of their leave. Faculty members are required to complete at least one full academic year after the completion of their sabbatical or leave. Failure to do so may result in required repayment of compensation, including benefits, received from CMC during the period of the leave.

7.1.2.2 Enhanced Sabbaticals

Sabbatical applicants whose sabbatical plans involve scholarly research may apply for additional support.

To encourage faculty members to devote themselves fully to scholarship and research while on their sabbatical leaves, the College will, depending upon the quality of the applications, fund full sabbatical leaves of one year and half

sabbatical leaves at 80% of full salary for tenured or tenure-track faculty. Faculty members seeking this additional level of support must:

- Apply to the Faculty Research Committee through the Dean of the Faculty's office.
- Demonstrate in their applications the significance and likelihood of success of the research they are proposing to undertake while on sabbatical leave, and they must attach evidence that they have also applied for external support from a foundation, governmental agency, or other appropriate funding sources if such sources are available.

The Faculty Research Committee will evaluate these applications on the basis of their scholarly merits and forward its recommendations for additional support to the Appointment, Promotion, and Tenure Committee through its Executive Committee. In those cases where a faculty member is successful in securing external funding as well as either a long-year sabbatical leave at 80% of full salary, or a half sabbatical leave at 80% or 100% and external funding, the College will fund only that portion of the enhanced sabbatical leave that, when combined with external support, equals 100% of full salary.

7.1.2.3 Sabbatical leaves not automatic

Sabbatical leaves are not granted automatically. Approval is based on the merits of the proposal, on past performance in research and teaching, and on the effectiveness of previous sabbaticals. The APT Committee or the Board of Trustees may postpone or refuse proposals. During any year or semester they may establish priorities and defer leaves, after considering the effects of such leaves upon the instructional program, the availability of competent replacements, the leaves previously granted each applicant, and the length and continuity of his or her service. Any replacements of faculty who are granted sabbatical leaves must be negotiated between the Department and the Dean of the Faculty.

If a sabbatical is postponed, either by the College or by the faculty member, the additional semesters of full service will be counted as a part of the accumulated service required for the following sabbatical. (For example, if the first sabbatical is not taken until the 8th or 9th year of service, the faculty member will still be eligible for a second sabbatical in the 14th year.)

Revised: May 5, 2000

Revised by APT: May 12, 2000

7.1.3 NON-SABBATICAL LEAVES (INCLUDING JUNIOR RESEARCH LEAVES)

Non-sabbatical leaves are normally granted only after two years of continuous service since the applicant's last leave. Faculty members may

request that one semester of unpaid leave immediately follow a one semester sabbatical for which they are eligible.

Non-sabbatical leaves shall not count toward semesters of service required for sabbatical leaves.

Normally two years of continuous service are required after a non-sabbatical leave before an applicant is eligible for a sabbatical leave. The maximum allowable leave is for two years, although exceptions may be entertained and can be authorized by the APT Committee.

Junior research leaves are normally taken by non-tenured tenure-track faculty after a successful third-year review. Junior research leaves are for one semester and are fully paid. If faculty members wish to extend their junior leave to a second semester, they may request an unpaid leave for that semester. In that case, external funding will be processed through CMC and paid to the faculty member up to his or her full salary for the second semester.

Tenured faculty may be granted a two-academic year leave from CMC in order to try out faculty, research, or administrative positions. They must notify CMC of their intentions to return to the College upon completion of their leave by October 1 of the second year of their leave. Untenured faculty on a tenure-track contract may be granted a one-academic year leave from CMC in order to try out faculty, research, or administrative positions. They must notify CMC of their intentions to return to the College upon completion of their leave by March 15 of the year of their leave. Failure to notify the College by the specified date is tantamount to resignation. The notification deadline and the consequences of failure to meet that deadline will be spelled out in a letter from the College formally approving the leave request, which the faculty member will be asked to countersign. Such leaves must be requested in writing by March 15 of the academic year before the leave would take place.

7.2 FAMILY AND MEDICAL LEAVE POLICIES FOR FACULTY

7.2.1 PARENTAL LEAVE POLICIES

I. CMC'S PAID PREGNANCY DISABILITY AND PAID PARENTAL LEAVE POLICIES FOR FACULTY

A. Background

The following CMC Paid Pregnancy Disability and Paid Parental Leave policies (the Policies) describe categories of *paid* leave that may be available to CMC faculty members in connection with the birth, adoption, or foster placement of a new child.

Because the College is committed to providing a “family friendly” work environment for its faculty and staff, the following Policies meet and, in certain respects, significantly exceed relevant statutory leave requirements. Indeed, in ordinary circumstances, these Policies are designed to provide eligible faculty members with up to a single semester leave at full pay.

At the same time, it is also important to recognize that all forms of leave, including pregnancy and parental leaves, result in a disruption of instructional programs and in the faculty member’s overall contribution to the College. As a result, within a framework that is consistent with applicable statutory requirements, the following Policies are intended to provide faculty members with the flexibility that they need in circumstances related to the birth, adoption, or foster placement of a new child, while at the same time minimizing the impact on the College’s instructional program.

B. Effective Dates

These Policies are effective beginning July 1, 2007.

C. CMC Paid Pregnancy Disability Leave

The College’s Paid Pregnancy Disability Leave Policy is administered in coordination with the College’s Voluntary Disability Insurance (short-term disability) and Long Term Disability Programs. All full-time or part-time female faculty members may be eligible for a CMC Paid Pregnancy Disability Leave as follows:

Duration & Pay

The total length of the leave will be governed by the length of your medically certified, pregnancy related disability. In normal circumstances, the pregnancy leave period will be approximately six to eight weeks.

During the pregnancy disability leave, the faculty member remains on the regular CMC payroll at full salary, but she is required to apply for any short-term disability benefits for which she is eligible under CMC’s Voluntary Disability Plan. To the extent that the authorized pregnancy disability period is no longer than one year (i.e., the period of time covered by CMC’s Voluntary Disability Plan), CMC will coordinate its salary payments with short term disability benefits to provide the faculty member with approximately 100% of her regular salary.

In the event that the authorized pregnancy disability period exceeds the one-year coverage period of the Voluntary Disability Plan, and if you are enrolled in the College’s Long Term Disability Plan, your salary and benefits will be limited to the benefits provided under the Long Term Disability Plan.

Notification

In order to facilitate planning, the faculty member should notify the department chair and the Dean of the Faculty as soon as possible and, where foreseeable, at least four months prior to the expected beginning of the pregnancy disability leave. If it is not possible to provide a four months notice, notice must be provided as soon as practicable - within one or two days of learning of the need for the leave.

Medical Certification

Faculty members requesting a pregnancy disability leave must provide a medical certification from their attending physicians. The certification must include the date the disability began, the probable duration of the disability, and a statement that the disability renders the employee unable to perform one or more of the essential functions of her position.

Questions

If you have questions regarding CMC's Paid Pregnancy Disability Leave Policy, please contact the Office of Risk Management and Benefits Administration at the Claremont University Consortium at:

CUC Workers' Compensation & Disability Office

Office Location Pendleton Business Office

Office Hours: Monday – Friday 8:00 am to 5:00 pm

(909) 621-8847

Fax (909) 607-9688

D. CMC Paid Parental Leave

The College's Paid Parental Leave Policy is intended to provide faculty members who become new parents with additional flexibility in their work schedule at the time of the birth, adoption, or foster placement of a child.

Eligibility

Regular, full-time tenured or tenure-track faculty members with one year or more of service at CMC will be eligible for benefits under the CMC Paid Parental Leave Policy. Faculty members on a leave of absence not provided under federal or state law are not eligible for this paid benefit. Parental leave may be taken by either parent. However, if both parents are employed by CMC, they are requested to take their parental leaves at different times so that both are not on leave simultaneously.

Limitation on CMC Paid Parental Leaves

CMC Paid Parental Leaves for the birth, adoption, or foster placement of a child are limited to one leave per "event" for each full-time CMC faculty member. Multiple births (e.g. twins, triplets) and the adoption of more than one child through a single adoption proceeding, in each case, is deemed to be one "event." Similarly, the placement for foster care of more than one child through a single foster placement proceeding is deemed to be one "event."

CMC Paid Parental Leaves for the birth, adoption, or foster placement of a child are limited to no more than 2 birth, adoption, or foster placement events during a person's employment with CMC.

Parental leaves taken on or before July 1, 2007 will not apply to this 2 event limitation.

Standard CMC Paid Parental Leave

Faculty members experiencing a birth, adoption, or foster placement event are eligible to receive a one-course teaching reduction with full pay in order to bond with the new child.

Standard Paid Parental Leave will be coordinated with other paid and unpaid leaves (if any) as determined by CMC and consistent with applicable law.

Enhanced CMC Paid Parental Leave

Faculty members experiencing a birth, adoption, or foster placement event *and* who have substantial and sustained childcare responsibilities (defined below) are eligible to receive a two-course teaching reduction with full pay in order to bond with the new child and fulfill those childcare responsibilities.

Enhanced Paid Parental Leave will be coordinated with other paid and unpaid leaves (if any) as determined by CMC and consistent with applicable law.

An Enhanced Parental Leave is intended for eligible faculty members who have "substantial and sustained childcare responsibilities," which means that the faculty member requesting an enhanced parental leave is required to be the primary caregiver for the new child for at least thirty hours during the work week during the hours from 8 a.m. to 7 p.m., Monday through Friday.

When Taken

The Standard or Enhanced Parental Leave provided by this Policy shall normally be taken:

- During the semester in which the child is born or placed for adoption when such birth or adoption event occurs during the first six weeks of a teaching semester;
- During the semester following the birth or adoption event when such event occurs during the last six weeks of a teaching semester or during a semester break; or
- At the option of the faculty member, during the semester of the birth or adoption event or the subsequent semester when such birth or adoption event occurs more than six weeks after the beginning of a teaching semester and more than six weeks prior to the end of a teaching semester.

For the purposes of this Policy, each “teaching semester” shall run from the first day of classes through the last day of examinations.

The College recognizes that, depending on the circumstances or timing of a particular birth, adoption, or foster placement event, alternative arrangements may be appropriate. In these circumstances, faculty members are encouraged to consult with the Dean of the Faculty to determine an appropriate alternative leave arrangement for the mutual convenience of the faculty member and CMC. Although an alternative arrangement is subject to approval by the Dean of the Faculty, it is understood and expected that the Dean of the Faculty will work cooperatively and in good faith to reach a comparable, mutually convenient alternative with the faculty member.

Notification

In order to facilitate planning, the faculty member should notify the department chair and the Dean of the Faculty as soon as possible to arrange for the appropriate paid parental leave under this Policy, but not later than three months prior to the expected beginning of the leave or as soon as the date of adoption or foster placement is known, when it is less than three months.

Application for Paid Parental Leave

To apply for a paid parental leave, faculty members should complete the form entitled “Paid Parental Leave Application Form for Faculty.”

Relationship to Statutory Unpaid Leave Rights and Paid Family Leave Insurance Benefits

Faculty members who have exceeded the foregoing limit of two Paid Parental Leaves may be eligible to take an **unpaid** parental leave for up to 12 weeks pursuant to the College’s Family and Medical Leave Policy, which is set forth in Section II below. Although a Family and Medical Leave is unpaid, the faculty member may also be eligible to receive Paid Family Leave insurance benefits

through the College's Voluntary Disability Insurance Plan, which provides partial payment for up to 6 weeks during a 12-month period 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 18 or over age 18 and disabled.

If you have questions regarding Paid Family Leave insurance benefits, please contact the Office of Risk Management and Benefits Administration at the Claremont University Consortium at:

CUC Workers' Compensation & Disability Office

Office Location: Pendleton Business Office

Office Hours: Monday – Friday 8:00 am to 5:00 pm

(909) 621-8847

Fax (909) 607-9688

E. Concurrent Leave Requirement

Where applicable, a faculty member's leave under the CMC Pregnancy Disability Leave Policy shall run concurrently with her leave under the CMC Paid Parental Leave Policy beginning with date of the birth event.

Consistent with applicable law, a faculty member's leave under the CMC Pregnancy Disability Leave Policy and/or the CMC Paid Parental Leave Policy shall also run concurrently with any exercise of his/her statutory leave rights pursuant to the Family and Medical Leave Act (FMLA), the California Family Rights Act (CFRA), and/or California Pregnancy Disability Leave (PDL)(which are described in Section II, below).

F. Benefits and Taxes

The rate of the salary paid to the faculty member while on leave pursuant to the CMC Pregnancy Disability Leave Policy and/or the CMC Paid Parental Leave Policy will correspond to the individual's normal rate of pay for that period and will be subject to all standard withholdings and authorized deductions. Benefits will continue throughout the leave and the faculty member will continue to be responsible for his/her portion of the premium payment. Retirement benefits will also continue based upon the amount of salary actually paid to the faculty member.

G. Reinstatement

To the extent required by applicable law or College policy, the College will reinstate a faculty member returning from a CMC Pregnancy Disability Leave or a CMC Paid Parental Leave to the same position or to a comparable position.

H. Return to Work

Faculty members, who are reinstated after their leave, are required to resume their regular teaching load upon completion of their pregnancy disability and/or paid parental leave and are expected to serve at the College for at least one year following completion of a CMC Paid Parental Leave in order to retain the benefits of the leave including salary paid.

I. Tenure and Sabbatical Considerations

The tenure clock for an untenured faculty member will be delayed for a period of one year in connection with the untenured faculty member's first CMC Pregnancy Disability Leave and/or CMC Paid Parental Leave. An untenured faculty member may waive this one-year delay, or request a shorter delay, by submitting a written request to the Dean of the Faculty prior to the leave commencing. Except in very unusual circumstances, the tenure clock cannot be stopped for more than one year during a faculty member's employment at CMC.

With respect to sabbaticals, any leave in which the faculty member does not have teaching or administrative obligations to CMC will not ordinarily count toward time of service for a sabbatical leave. When partial leaves are taken which constitute less than a 50% reduction in workload, time of service shall count as if there had been no leave. When special arrangements are negotiated, sabbatical credit shall be allocated under the principle that when a 50% 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.

J. Service Considerations

Faculty members on a Standard Paid Parental Leave are normally expected to continue meeting their regular service responsibilities.

Service expectations for faculty members on an Enhanced Paid Parental Leave generally correspond to when a faculty member is on sabbatical. In particular, the faculty member will not be expected to perform any College service during the Enhanced Parental Leave Period. However, the faculty member is welcome to participate in College service to the extent he or she is willing and able to do so.

K. Teaching Considerations

In circumstances in which a faculty member who is teaching begins pregnancy disability leave once the semester is already in progress, he or she is normally expected to provide his or her Department Chair with a course syllabus (including a list of assigned readings) and a record of grades assigned to that point. The faculty

member is not responsible for any course planning or grading during the pregnancy disability leave; in particular, the faculty member is not expected to provide any lesson plans or lecture notes for the remainder of the semester.

K. Examples

The following chart sets out a series of examples illustrating the application of the Paid Pregnancy Disability and the Paid Parental Leave Policies.

Examples:	Application of Pregnancy and Parental Leave Policies:
<p>1. Birth mother with certified disability from May 1 through June 30; birth event on May 3; has substantial and sustained child-care responsibilities.</p>	<ul style="list-style-type: none"> ▪ Pregnancy: Eligible for paid pregnancy leave from May 1 through June 30. <ul style="list-style-type: none"> ○ Faculty member must apply for VDI. ○ VDI benefits coordinated with CMC salary to provide approximately 100% of her regular salary. ▪ Enhanced Parental: Because birth event occurred with less than six weeks remaining in the spring semester, the faculty member is eligible to request a two-course reduction at full-pay for the fall semester. <ul style="list-style-type: none"> ○ Faculty member must complete appropriate forms with Human Resources / DoF's office.
<p>2. Birth mother with certified disability from October 10 through December 10; birth event is on October 15; has substantial and sustained child-care responsibilities.</p>	<ul style="list-style-type: none"> ▪ Pregnancy: Eligible for paid pregnancy leave from October 10 through December 10. <ul style="list-style-type: none"> ○ Faculty member must apply for VDI. ○ VDI benefits coordinated with CMC salary to maintain approximately 100% of regular salary. ▪ Enhanced Parental: Because birth event occurs more than six weeks after the beginning of the semester and with more than six weeks remaining in the semester, the faculty member is eligible to request a two-course reduction at full-pay for the fall or spring semesters. <ul style="list-style-type: none"> ○ Faculty member must complete appropriate forms with Human Resources / DoF's office.
<p>3. Father with a birth or adoption event on Sept. 30; does not have substantial and sustained child-care responsibilities.</p>	<ul style="list-style-type: none"> ▪ Pregnancy: Not eligible. ▪ Standard Parental: Because birth event is within the first six weeks of the semester, the faculty member is eligible to request a standard one-course reduction at full-pay for the fall semester. <ul style="list-style-type: none"> ○ Faculty member must complete appropriate

	forms with Human Resources / DoF's office.
4. Birth mother having a third child with a certified disability from July 1 through August 31	<ul style="list-style-type: none"> ▪ Pregnancy: Eligible for paid pregnancy leave from July 1 through August 31. <ul style="list-style-type: none"> ○ Faculty member must apply for VDI. ○ VDI benefits coordinated with CMC salary to maintain approximately 100% of regular salary. ▪ Unpaid Leave: Eligible to take an unpaid leave for up to 12 weeks pursuant to state and federal Family and Medical Leave Acts. Also eligible to apply for Paid Family Leave benefits (which provides partial compensation for wage loss) for up to six of these weeks pursuant to the College's Voluntary Disability and Paid Family Leave Plan.

II. OTHER STATUTORY UNPAID LEAVES

Described below are additional family and medical leaves that are provided for by state or federal law. Each of these leave entitlements will be run concurrently with each other and with any applicable paid leave benefits provided by the College -- consistent with applicable law.

A. Family & Medical Leave

Eligibility

All full-time or part-time employees who have been employed for at least 12 months and worked at least 1,250 hours in the 12-month period prior to the leave request are eligible for a family/medical leave based on both the Family & Medical Leave Act (FMLA) and the California Family Rights Act (CFRA) as follows:

Duration

Up to 12 workweeks in a 12-month period. The 12-month period is measured on a "rolling" system, backward from the date an employee uses any family/medical leave. Employees disabled by pregnancy may be eligible for additional leave.

Reason For Leave

- Birth of a child.
- Placement of a child with the employee for adoption/foster care.
- To care for a spouse, child, or parent with a serious health condition.

- Employee's own serious health condition makes the employee unable to perform his/her duties.

A "serious health condition" is an illness, injury, impairment, physical or mental condition that involves inpatient care or continuing treatment by a health care provider, as defined under state and federal law.

Leave taken for any of these reasons will be counted as family/medical leave under the federal Family and Medical Leave Act and applicable California laws. To the extent permitted by law, family/medical leave shall run concurrently with any other leave to which the employee is entitled.

Leave taken for the birth or placement of a child must be taken within one year of the birth or placement. Evidence of the birth, adoption or foster placement event will be required. This is commonly a birth certificate or appropriate court documents.

Intermittent Leave

In some circumstances, family/medical leave may be taken intermittently or on a reduced schedule.

Limitation If Both Spouses Are Employees

If both spouses work for the College and the leave requested is for the birth, adoption or foster care placement of a child, the College will not grant to the spouses more than a combined total of 12 workweeks of family/medical leave within a 12-month period.

Notification

If the need for a leave is foreseeable, the employee must provide 30 days' written notice of need for the leave. If the need for a leave is not foreseeable or if it is otherwise not possible to provide 30 days' notice, notice must be provided as soon as practicable - within one or two days of learning of the need for the leave.

Medical Certification

If the leave is due to the employee's illness or to care for an ill family member, the employee must provide certification from the health care provider. If the leave is needed to care for an ill family member, the certification must contain the following information:

- a. date of commencement of the serious health condition;
- b. probable duration of the condition;
- c. estimated amount of time the employee will be needed to provide care;
- d. that the serious health condition warrants the participation of a family member to provide care.

If the leave is needed for the employee's own serious health condition, the certification must contain the following information:

- a. date of commencement of the serious health condition;
- b. probable duration of the condition;
- c. that the employee is unable to perform the function of his/her position because of the serious health condition or must be absent from work for medical treatment.

Certification must be provided within 15 calendar days of the date the College requests the certification unless the employee can demonstrate that, despite his or her good faith efforts, obtaining certification during that period was not possible. Failure to provide a timely medical certification may result in denial of a family/medical leave.

Second and Third Medical Opinion

If the leave is due to the employee's own illness, the College may require the employee to obtain a second medical opinion from a health care provider selected by the College. In the event the first and second opinions differ, the College may require the employee to obtain a third medical opinion from a mutually agreed upon health care provider. The third opinion will be binding on the employee and the College. The second and third medical opinions, if required by the College, will be at College's expense.

Fitness For Duty Certificate

In addition, if the employee's leave is due to his/her own serious health condition, the College will require certification by the employee's health care provider that the employee is fit to return to his/her position before the employee will be restored to his/her job.

Reinstatement

With few exceptions, an employee who returns from an approved leave will be restored to the same or equivalent position. If, however, due to business reasons, the same or equivalent position ceased to exist during the employee's leave, and, had the employee not taken the leave, the employee would not otherwise have been employed at the time reinstatement is requested, the College may not be required to reinstate the employee. In certain circumstances, the College may deny reinstatement to an employee who is salaried, and among the highest paid 10 percent of the employees working for the College within 75 miles of the employee's worksite, if necessary to prevent substantial economic injury. An employee who fails to return to work at the end of the approved leave period will be considered to have voluntarily resigned.

Benefits

Family/medical leave is unpaid.

An employee may be eligible to receive Short-Term Disability or Paid Family Leave insurance benefits, as provided under the College's Voluntary Disability Insurance Program (VDI).

The College will continue the employee's insurance coverage while the employee is on family/medical leave under the same terms and conditions as was provided while the employee was working. The employee will still be responsible for the same premiums for his/her insurance benefits as if he/she were at work. If the employee is on an unpaid leave of absence, he/she will need to send a check to the Benefits Office for his/her portion of the premium within the first five days of each month. Failure to make timely payments may result in termination of coverage.

If the employee fails to return from the leave, or returns to work for less than 30 days, the College may recover from the employee the premiums it paid for maintaining insurance coverage during the leave period.

If you have questions regarding Short-Term Disability or Paid Family Leave insurance benefits, please contact the Office of Risk Management and Benefits Administration at the Claremont University Consortium at:

CUC Disability Administration Office

Office Location: Pendleton Business Office
Office Hours: Monday – Friday 8:00 am to 5:00 pm
(909) 621-8847
Fax (909) 607-9688

B. California Pregnancy Disability Leave

All full-time or part-time female employees may be eligible for California Pregnancy Disability Leave as follows:

Duration

Employees are entitled to a maximum four month unpaid leave for disabilities due to pregnancy. To the extent permitted by applicable law, for employees who work less than full-time, or on alternative work schedules, the maximum amount of leave will be adjusted on a proportional basis.

California Pregnancy Disability Leave will not run concurrently with any leave for the birth or placement of a child in foster care under the CFRA. California Pregnancy Disability Leave will run concurrently with leave under the FMLA and to the extent permitted by applicable laws, with any other leave to which the employee is entitled.

Transfer

Employees who are disabled due to pregnancy may be transferred to a less strenuous position, provided that: (1) the employee requests a transfer; (2) the transfer is medically necessary; and (3) the College can reasonably accommodate the transfer.

Leave Notice

Employees must provide at least 30 days' advance notice before pregnancy disability leave or transfer is to begin if the need for the leave or transfer is foreseeable. If the need for a pregnancy disability leave or transfer is not foreseeable, employees must give notice as soon as practicable.

Medical Certification

Employees requesting a pregnancy disability leave must provide a medical certification from their attending physicians. The certification must include the date the disability began, the probable duration of the disability, and a statement that the disability renders the employee unable to perform one or more of the essential functions of her position.

Benefits

California Pregnancy Disability Leave is unpaid.

The College will continue the employee's insurance coverage under the same terms and conditions as was provided while the employee was working for the period of California Pregnancy Disability Leave that is also covered by FMLA. The employee will still be responsible for the same premiums for her insurance benefits as if she were at work. If the employee is on an unpaid leave of absence, she will need to send a check to the Human Resources Director for her portion of the premium within the first five days of each month. Failure to make timely payments may result in termination of coverage.

If the employee fails to return to work at the expiration of the leave, the College will consider her to have voluntarily resigned and may recover the premium cost the College incurred during the leave, unless she does not return due to a serious health condition or circumstances beyond her control. If the employee returns to work for less than 30 days following a pregnancy disability leave, the College may recover the premium cost it incurred to maintain the benefits during the period the employee was on leave.

Reinstatement

To the extent required by applicable law or College policy, the College will reinstate an employee returning from a California Pregnancy Disability Leave to the same position or to a comparable position.

APPROVED BY THE FACULTY, DECEMBER 7, 2007

7.2.2 SCHOOL VISITS LEAVE

Faculty members are eligible to take time off work to visit their child's school if they are a parent or guardian of a child in kindergarten or grades 1-12, inclusive, and the child was suspended for disruptive or vulgar behavior. Faculty members wishing to exercise their rights under this leave must give "reasonable notice" to the College that they are requested to appear in their child's school because the child was suspended for disruptive or vulgar behavior. Provided a Faculty member meets the requirements set forth in this provision, he/she will be entitled to full compensation while on a School Visit Leave.

7.2.3 SCHOOL ACTIVITIES LEAVE

Faculty members are eligible to take leave to participate in school activities if they are a parent, guardian or grandparent of a child in kindergarten or grades 1-12, inclusive. Leave under this provision may not exceed 8 hours in any calendar month of the school year, or 40 hours each school year. Faculty members wishing to exercise their rights under this Leave must provide the College with reasonable notice of the planned absence. The College reserves the right to request documentation from the school as proof that the Faculty member participated in the school activity on the specified date. Provided a Faculty member meets the requirements set forth in this provision, he/she will be entitled to full compensation while on a School Activities Leave. Note that the College is not required by law to compensate employees who take a leave under this provision. In fact, the law provides that employees must use existing vacation, personal leave, or compensatory time off for this type of leave. In addition, if both parents are employed by the College, only one parent is entitled by law to take a leave under this provision.

7.2.4 DOMESTIC VIOLENCE/SEXUAL ASSAULT VICTIM LEAVE

All Faculty members who are victims of domestic violence or sexual assault are eligible for leave to obtain or attempt to obtain any relief to help ensure the health, safety, or welfare of the victim or his or her child, including obtaining restraining orders or other forms of injunctive relief, medical, psychological and social services. Faculty members wishing to take a leave under this provision must give "reasonable advance notice" if feasible. If an unscheduled absence does occur, the College reserves the right to request certification in the form of a police report, court document or document indicating the Faculty member is undergoing treatment for injuries from an act of domestic violence or sexual assault. Leave taken under this provision is unpaid; however, a Faculty member may use available vacation, personal leave, or compensatory time off.

7.2.5 CRIME VICTIMS LEAVE

All Faculty members who are victims of a violent or serious felony, or felonious theft or embezzlement are eligible for leave in order to attend judicial proceedings related to that crime. Immediate family members, registered domestic partners, and children of registered domestic partners of a victim of such crimes are similarly eligible. An "immediate family member" is defined as a spouse, child, stepchild, brother, stepbrother, sister, stepsister, mother, stepmother, father, or stepfather. Leave taken under this provision is unpaid; however, the Faculty member may use vacation, personal time off, compensatory time off or available forms of paid leaves.

7.2.6 SICK LEAVE FOR CARE OF SICK CHILD, PARENT, SPOUSE, OR DOMESTIC PARTNER

Faculty members are entitled to attend to the illness of a child, parent, spouse or domestic partner. The Dean of the Faculty and Department Chair must be notified of such absences.

NOTE: Sections 7.2.2-7.2.6 are mandated by California State Law.



CHAPTER 8

FACULTY BENEFITS

Office of the Dean of the Faculty

CHAPTER 8: FACULTY BENEFITS

8.1 FITNESS ROOM, GYM & POOL

During the academic year, faculty may use Ducey Gymnasium, the R. Ernest Smith Weight Room, the Frank G. Wells Fitness Center, the CMC Aquatics Center, and the David X. Marks and Ben F. Smith Tennis Courts whenever the facilities are not being used by Physical Education classes or athletic teams. The swimming pool at Scripps College is also open to CMC faculty. Notices regarding recreational swimming at CMC and Scripps pools are sent to each faculty member at the beginning of the school year by the Physical Education department.

8.2 FRINGE BENEFITS

CMC offers a full range of fringe benefits for employees and their families, including health, dental, disability, and life insurance; retirement plans from TIAA-CREF; supplemental retirement plans; enrollment in the Emeriti health savings account program, and flexible spending accounts for health or dependent care expenses. Details are available from the Human Resources office (call ext. 18490).

WEB: <http://hr.claremontmckenna.edu/benefits/benefits.pdf>.

8.3 LUNCH MEETINGS

The College will provide for up to three lunches a week taken by faculty at Collins Dining Hall. The meals are given with the understanding that they will be used as a means of meeting with students. To obtain free meals, faculty must use their CMC faculty identification card at the entry to Collins Hall.

8.4 RENTAL HOUSING

Although housing is the responsibility of the individual faculty member, a local real estate office maintains a file of college-owned houses and other available residences for faculty and staff who are interested in renting college-owned housing. For further information, contact the Treasurer's Office (call ext. 18116).

8.5 RIDESHARE PROGRAM

The College participates in an air quality program that encourages employees to use alternative modes of transportation in arriving to work.

Full-time employees who walk, bicycle, use public transportation, or rideshare to work are offered \$1.50 per workday, Monday - Friday. A monthly on-line form is available, see "[TRiP Incentive Newsletter/Memo](#)", for all employees who have access to a computer. Print the form, fill it out, and send it to Human Resources,

Claremont Boulevard, Room 130. The rideshare subsidy will be added to the last paycheck of each month.

1. Benefits-eligible employees who participate in ridesharing can be reimbursed \$1.50/day plus up to \$60/month for public transportation such as Metrolink or the bus. Rideshare incentives are considered taxable income.
2. Ridesharing can only be counted as such if it occurs during the hours of 6 a.m. to 10 a.m. Monday through Friday. These hours are the "peak" transportation hours according to the South Coast Air Quality Management District (SCAQMD).
3. Ridesharing counts only when driving to the CMC campus - carpooling to work-related events off site does not count toward the \$1.50 reimbursement. One of the goals is to reduce the number of cars on campus.
4. Dropping off children at school in the morning between 6 a.m. and 10:00 a.m. Monday through Friday counts as ridesharing only if the distance to school is at least 50% or more of the commute to CMC.

8.6 SALARY CHECKS

Salary checks are issued on the 26th of each month. If the 26th is a Saturday, Sunday or holiday, paychecks will be distributed on the last working day before the 26th. Arrangements for direct deposit can be made through the Payroll office.

8.7 STAFF HOLIDAYS

The Claremont Colleges staff observe the following holidays. Faculty members are encouraged to organize their requests for services from the faculty support centers with these holidays in mind.

- New Year's Day (January 1st)
- Martin Luther King Day (third Monday in January)
- Cesar Chavez Day (Last Friday in March)
- Memorial Day (last Monday in May)
- Independence Day (July 4th)
- Thanksgiving Day and the Friday following
- Christmas Day (December 25th)
- Labor Day (first Monday in September): Most offices of Claremont McKenna Colleges observe Labor Day; however, there are a select few who do not. Please contact the office supervisor regarding this holiday.

Holidays falling on a Saturday or Sunday are normally observed on the preceding Friday or following Monday, respectively. Christmas Eve or the day after Christmas are normally observed as a staff holiday.

8.8 TUITION REMISSION SCHOLARSHIP PLAN FOR DEPENDENT CHILDREN OF CMC EMPLOYEES

Claremont McKenna College has a scholarship plan for dependent children of CMC employees. Normally the College will have employed these employees for at least two years. For purposes of the benefit, the term "dependent children" is defined as those children who meet the qualifications of section 132(h)(2)(B) of the Internal Revenue Code (son, stepson, daughter, or stepdaughter who is a dependent of the employee and who has not attained the age of 25).

The benefit will be available only to employees who are in paid status, who hold full-time positions with the College, and who have been with the College two years or longer. Full-time employment for staff is defined as working 12 months, 40 hours per week. Staff in less than full-time positions, temporary positions, and faculty in part-time and/or non-tenure track appointments are not eligible. Employees who transfer from one of the other Claremont Colleges must establish a two-year employment period with Claremont McKenna College prior to being eligible for this benefit.

Scholarships will be granted only to eligible children who are working toward an Associate of Arts or a Bachelor's Degree at an eligible institution. An eligible college or university must be accredited and it must have a regular organized body of students in attendance at the place where its educational activities are conducted. Scholarships will not be awarded for on-the-job training, correspondence schools, night schools, or similar institutions. In the case of any dispute over the eligibility of any specific institution, the director of Financial Aid will forward a recommendation to the president whose decision shall be binding.

Scholarships will be awarded to those children who demonstrate scholastic ability. Normally no scholarship will be awarded to a child who has failed to maintain a "C" average, or the equivalent, in high school or college work during the preceding academic year (academic years follow the CMC calendar of academic years).

Each scholarship may be renewed for a total of no more than 8 semesters, 12 quarters, 120 units or 32 courses--whichever the attended institution accepts as its minimum graduation requirements. Scholarships for summer sessions will be counted as a part of the total.

The largest scholarship granted in any one academic year would be one-half of the tuition (excluding the cost of books, fees, room, and board) charged undergraduate students at the institution to be attended. Total scholarship grant to any individual shall not exceed the equivalent of one-half of the then current tuition at CMC.

An application for a scholarship is to be in writing each semester/quarter and accompanied by a complete academic transcript and original billing statement.

All scholarships will be paid directly to the institution attended. If the student withdraws from the institution before completing an academic year, any rebate of tuition will be returned to CMC. The employee will be responsible for the money being returned to CMC.

Normally, each qualified employee is eligible for scholarships that cover no more than 16 semesters (or the equivalent) of undergraduate education. The scholarships may be divided among any of the employee's eligible children. For example, 2 children might each be eligible for 8 semesters of scholarship aid, 4 children for 4 semesters, etc.

Should an eligible CMC employee die whose child or children would otherwise be eligible for scholarship grants, these children will normally remain eligible for not more than 5 years from the date of the employee's death. Although this extension will help children not yet enrolled in college at the time of death, it will normally not continue beyond the stipulated five-year period.



CHAPTER 9

ACADEMIC SERVICES OF
INTEREST TO THE
FACULTY

CHAPTER 9: ACADEMIC SERVICES OF INTEREST TO THE FACULTY

9.1 MARIAN MINER COOK ATHENAEUM

The Marian Miner Cook Athenaeum was conceived as a place where students and faculty could gather for intellectual discourse in an intimate and relaxed setting and integrate their academic and social lives. Public programs are scheduled Monday through Thursday during the academic year and are publicized through the bi-weekly newsletter, *The Fortnightly*. While events are primarily for students, the Athenaeum hosts lunches, dinners, and receptions for academic classes, student organizations, and official functions of the College. To schedule a class event or get further information, call 621-8244.

9.2. BOOK ORDERS

Orders for required texts and materials are made through the Huntley Bookstore. For more information, including information on book orders, visit the Huntley Bookstore website, <http://www.huntley.claremont.edu/>

9.3 INFORMATIONAL TECHNOLOGY SERVICES (ITS)

The department of Information Technology Services (ITS) supports and facilitates the advancement of enhanced learning to all students, faculty and staff using innovative technology. There are two divisions to ITS. One is *Information Systems and Network Services (ISNS)*, whose jobs include assisting the College and specific units with planning for and implementing new web-based technologies, providing secure information systems, and administering servers and campus network. The other is *Instructional Technology and Client Services (ITCS)*, whose jobs include providing troubleshooting support for hardware and software problems on the desktop, managing the College's desktop computer/printer life cycle replacement program, assist the faculty in developing and enhancing their use of instructional technologies, and maintaining the instructional computing labs. ITCS also maintains a help desk.

9.3.1 ITS HELP DESK

The ITS Help Desk provides the first point of technical assistance to the faculty and staff of Claremont McKenna College, assisting them in resolving problems or distributing the call to the appropriate ITS staff. The Help Desk technical support line is (909) 607-0911 (ext. 70911). It will be answered between the hours of 8:00 a.m. - 5:00 p.m. Monday through Friday. If the Help Desk line (x70911) is busy, the voice mail system will take the call. Messages will be answered as quickly as possible. Alternatively, you may send an e-mail to the Help Desk regarding your problem (help@claremontmckenna.edu) In the subject field, enter your Claremont

McKenna College account name. In the body of the message explain in detail what issues you are experiencing. This message will be automatically routed to the Help Desk system where it will be assigned to the appropriate ITS staff.

9.4 LIBRARY SERVICES

The Claremont Colleges libraries include the main library, Honnold/Mudd Library, as well as the Denison Library (Scripps), the Sprague Science Library (Harvey Mudd), and Seeley G. Mudd Science Library (Pomona). The libraries' holdings include over 1.8 million volumes and some 6,000 periodical subscriptions. Honnold/Mudd is a depository for publications issued by the United States government, the State of California, the United Nations, and other international agencies. These materials have a short loan period. Each library also maintains special collections.

Each college issues identification cards to its faculty. This card must be taken to one of the libraries to activate borrowing privileges. The card must be presented when borrowing material from any of the four libraries. A complementary borrowing card can be issued to spouses of faculty and to their sons and daughters between the ages of 16 and 22.

Faculty have an annual loan period with an April due date, but are asked to return materials as they finish using them. At the due date, all items which are still needed and have not been recalled may be renewed.

Bound periodicals are primarily intended for in-library use but may be borrowed for a 3-day period by faculty. At Honnold/Mudd unbound periodicals generally are for use only in the library. However, a reference librarian may approve a special 2-hour checkout upon faculty request. Policies at the campus libraries may vary.

Materials such as library books and articles from periodicals may be placed on Reserve for classes. This service is available in each of the four libraries. Reserve provides various loan periods: 2-hour, 4-hour (at Sprague Library only), 2-day and 7-day. To place items on Reserve, pick up a requisition form from the Reserve desk. You may include new book orders on the list. Forms should be completed and returned to the department well before the semester begins and class assignments are made. We also have an [electronic reserve](#) system for making reserve material (handouts, notes, homework assignments, journal articles, etc.) available via the World Wide Web.

Faculty may request Research Assistant (RA) borrowing cards from the Honnold/Mudd Circulation desk.

Honnold/Mudd Library reserves 25 faculty study carrels for use by faculty of The Claremont Colleges. Each carrel is semi-private and is designed to serve faculty who are working on projects that entail extensive library research. Applications are available at the Circulation Department.

[Interlibrary Loan \(ILL\)](#) is a service provided for faculty, staff and students of The Claremont Colleges. Located in Honnold, ILL will borrow materials not available in our collections from other libraries or from the [Center for Research Libraries](#) in Chicago.

Electronic resources include The Claremont Colleges online catalog, [BLAIS](#); web and online databases; CDROM databases; University of California's MELVYL; UnCover, a periodicals table of contents service.

The [Research section](#) of the Libraries Web Site has a complete listing of the resources available for Claremont Colleges students, faculty and staff. [BLAIS](#) also includes holdings from two affiliate institutions -- the [Claremont School of Theology \(CST\)](#) and [Rancho Santa Ana Botanical Garden \(RSA\)](#) -- as well as the [Center for Research Libraries](#).

Reference librarians in each of the libraries can provide advice on locating and using both print and electronic information sources. Tours and instruction for groups and individuals can be scheduled by Reference staff in each of the libraries.

Recommendations for book or periodical orders may be placed at any of The Libraries. A [list of subject bibliographers](#) is available on The Libraries Web Site or you contact the Honnold/Mudd Information Desk at ext. 18150.

If an item is intended for Reserve, the course number and instructor's name must be included with the request. Queries on the status of any request for materials or on any general ordering procedures must be addressed to the reference librarians. Information on the current status of book funds may be obtained from the subject bibliographers.

Honnold-Mudd Library also assigns a library liaison to each college in the Claremont Consortium. The library liaison with CMC can be reached at ext.73987.

9.5 OFFICE OF THE REGISTRAR

The Office of the Registrar provides services to students, alumni, faculty, and staff by maintaining timely and accurate academic records. The Registrar is a source of information regarding student transcripts, course descriptions, course schedules, senior thesis requirements, the academic calendar, degree requirements, and final examination schedules. The Registrar's office also houses the Office of Institutional Research, which conducts research to support the continuing academic advancement of Claremont McKenna College, institutional decision-making, and strategic planning. The Office of the Registrar is located in Bauer Center North (621-8101).

9.6 TEACHING RESOURCE CENTER (TRC)

The Teaching Resource Center provides faculty with assistance designed to improve undergraduate teaching at Claremont McKenna College. Toward this goal, the Center sponsors and coordinates faculty symposia, workshops, and other activities dealing with issues central to teaching; offers assistance in developing teaching techniques, resources, and technology; and invites faculty to participate in professional development and leadership opportunities. The Teaching Resource Center also facilitates new faculty orientation and supports faculty attendance at pedagogical conferences. The TRC may be contacted through the office of the Dean of the Faculty.

9.7 WRITING CENTER

The staff at the Writing Center tutors CMC students or students enrolled in CMC courses on an individual basis. The staff looks at papers from any and all disciplines, including Senior Theses, and helps students refine the argumentation of their essays and the clarity of their prose. However, the Center is not a copy-editing or proofreading service. The staff goes over drafts of essays with students and provides advice on how to improve the paper. The Center does not tutor take-home exams. Students should call the Writing Center to make an appointment, though the staff does see students on a walk-in basis provided there is not another appointment scheduled for that time. The Writing Center is located in Bauer 32 (607-4142).



CHAPTER 10

ADMINISTRATIVE POLICIES OF INTEREST TO THE FACULTY

Office of the Dean of the Faculty

CHAPTER 10: ADMINISTRATIVE POLICIES OF INTEREST TO THE FACULTY

10.1 CONFIDENTIALITY

Faculty members receive and generate on behalf of the College various types of confidential, proprietary and private information. It is critical that each faculty member complies with all the federal laws, state laws, agreements with third parties, and other relevant College policies and principles pertaining to the use, protection and disclosure of such information. The duty of confidentiality survives even after a faculty member's relationship with the College terminates.

10.2 POLICY ON CONFLICT OF INTEREST

This policy sets forth certain principles governing both actual and potential conflicts of interest that may arise. Faculty members should bear in mind that the application of good judgment is essential and that no guidelines can provide direction for all circumstances that could arise.

1. Each faculty member has a duty to avoid conflicts of interest with the College and to exercise his or her professional responsibilities at the College to the extent required by his or her appointment.
2. Faculty members who have, directly or through family, personal business connections, an interest in suppliers of goods or services or in contractors or potential contractors with the College may not undertake to act for the College in any transaction involving that interest. No faculty member may participate in the selection or award of a contract with any party with whom he or she is negotiating respecting potential employment or has any arrangement concerning employment.
3. Faculty members shall avoid outside employment or business activities which create a conflict of time commitment. A conflict of time commitment is considered to exist if outside activities unduly interfere with a faculty member's abilities to fulfill his or her responsibilities to the College (see Section 5.1.2).
4. Faculty members shall refrain from personal business or investment activities, including but not limited to the purchase or sale of securities, real property or other goods or services, in which they could use, or might appear to have the opportunity to use, for personal gain, confidential information obtained as a result of their relationship with the College.
5. Faculty members may not coerce or pressure students or employees of the College to perform services for themselves or others if improper personal gain or benefit would result.
6. It is sound practice to discourage personal gifts from people with whom the College has a business relationship. Such personal gifts of more than

- nominal value should be tactfully declined or returned to avoid any appearance or suggestion of improper influence. Faculty members involved in the awarding or administration of contracts using federal or other government funds should keep in mind that they are prohibited by law from soliciting or accepting gratuities, favors or anything of monetary value from contractors or potential contractors.
7. A faculty member shall disclose in writing his or her relationship with a member of his or her family or domestic partner, before acting in matters affecting that person's employment, evaluation or advancement in the College. This disclosure shall be made to the appropriate administrator.
 8. Each faculty member shall--on an annual basis and whenever a significant change in relevant business, activity, or interest occurs--disclose to the appropriate administrator, any business or financial interest or activity which might constitute a conflict of interest or the potential for such.

Adopted by the Faculty December 7, 2007.

10.3 DRUG-FREE WORKPLACE POLICY

Claremont McKenna College maintains a Drug-Free Workplace Policy. The unlawful manufacture, distribution, possession, sale, offer to sell, purchase and/or use of controlled substances in the workplace is prohibited. These controlled substances include, but are not limited to, marijuana, heroin, cocaine, and amphetamines.

The provisions of this policy do not require employees or students to undergo drug screening or testing. However, if an employee is convicted of unlawful possession, sale, offer to sell, purchase and/or use of controlled substance, he/she is required to report the conviction to the Dean of the Faculty and Human Resources. If a student is convicted of the above, he/she is required to report the conviction to the Dean of Students.

Rules Governing Substance Abuse at Work/Disciplinary Procedures:

1. As a condition of employment and continued employment, all employees of Claremont McKenna College (faculty, administration, staff, and student employees) are required to adhere to this policy.
2. All employees should be provided with a copy of this policy, especially those employed in grant and contract projects, students receiving federal funds, and other segments of the employee/student population.
3. All employees are prohibited from possessing/using illegal drugs during office hours and while on the premises.
4. Employees who unlawfully manufacture, distribute, sell, offer to sell, dispense, possess, purchase or use controlled substances in the workplace shall be subject to discipline, up to and including termination.

- Supervisors will be responsible for reporting to the Director of Human Resources of the College any conviction of any employee as a result of a drug violation. Reports concerning students' conviction(s) will be reported to the Director of Financial Aid.

10.4 EMERGENCY PROCEDURES

CMC utilizes an emergency contact system. All faculty members should ensure that the system has contact information for them including email address, home, office, and cell phone numbers, and pager numbers. Each building also has an emergency coordinator. In the event of an emergency, an emergency operations center will be activated. For further information on emergency preparedness, contact Marsha Tudor, ext. 18500). Faculty members should acquaint themselves with the following procedures:

10.4.1 Bomb Threats

- Ask the caller questions: Where is the bomb? When is the bomb set to go off? What does it look like?
- Take notes on everything said and be sure to notice any background noise, voice characteristics, etc.
- Evacuate the building.
- Report the threat immediately to Campus Safety at ext. 72000 and your building coordinator.

10.4.2 Crime In Progress

- DO NOT attempt to approach the criminal.
- Call Campus Safety immediately -- ext. 72000.
- Make a mental note of the perpetrator and your surroundings, as you will be asked for any descriptions you can provide.

10.4.3 Earthquake

- Take cover under a desk or table, protecting as much of your body as possible, especially your head and neck.
- Stay away from windows and objects that may fall.
- DO NOT leave your building until instructed to do so.
- If you are outdoors, stay in an open area away from trees, buildings, and overhead wires.
- After shaking stops, evacuate to your designated evacuation area, on the address side of your building, and report to your building coordinator.

10.4.4 Evacuation

- Calmly and quietly walk to the nearest exit.
- DO NOT use elevators
- Report to your designated evacuation site and check in with your building coordinator.

- Follow the instructions of your building coordinator or other emergency personnel.

10.4.5 Fire

- Activate the closest fire alarm.
- Evacuate to the designated evacuation area - on the address side of your building - and report to your building coordinator.
- Call ext. 72000 and report the location and nature of the fire.

10.4.6 Lockdown (Outside Threat)

- Go to the closest lockable location.
- Communicate, once locked down, with authorities.
- Remain locked down as long as necessary.
- Cooperate with rescuers.
- Plan on interviews with authorities after the incident.

10.4.7 Medical

- Dial ext. 72000 and report the nature of the illness or injury and the location.
- Notify your immediate supervisor or building coordinator.

10.5 POLICY ON REPORTING FINANCIAL MISCONDUCT

10.5.1 PURPOSE

Claremont McKenna College is committed to the highest standards of financial conduct. This policy is designed to enable all of the College's faculty and staff to report concerns about possible financial misconduct, with reassurance that they will be protected from retaliation for acting in good faith. Reports on financial misconduct would address such issues as accounting discrepancies, fraud, accounting misrepresentations, auditing matters, accounting omissions, misappropriation of grant funds, kickbacks, theft of college assets or use of such assets for personal benefit, and falsification of time records.

10.5.2 POLICY

All reports of suspected financial misconduct by Claremont McKenna College employees or trustees shall be made confidentially and directly to the Chair of the Audit Committee of the Board of Trustees through the College's registered in-house counsel, who shall oversee the receipt, retention and resolution of such reports. The Chair of the Audit Committee will work with the registered in-house counsel, the Administration and outside advisors to ensure that these reports receive the appropriate attention. Any employee ultimately found to have engaged in financial misconduct is subject to disciplinary action by the College, which may include dismissal as well as prosecution by appropriate law enforcement authorities.

The protection of employees who submit reports of suspected financial misconduct is an important part of this policy, as is maintenance of the confidentiality, objectivity and independence necessary to resolve complaints appropriately. The Chair of the Audit Committee, the registered in-house counsel and the Administration share responsibility for maintaining these features of the policy, although, depending on the nature of the discipline or the actions of law enforcement agencies, this confidentiality cannot be guaranteed.

It is a violation of this policy to knowingly make fraudulent allegations of financial misconduct with the intent to cause harm to another individual. Those making such allegations are also subject to disciplinary action, up to and including termination.

10.5.3 PROCEDURE

Since confidentiality is an important part of this policy, the College has contracted with an outside reporting service called MySafeCampus to facilitate the transmission of reports of financial misconduct to the registered in-house counsel and the Chair of the Audit Committee of the Board of Trustees. Reports may be made by accessing the website (www.MySafeCampus.com) or by calling the toll-free number (1-800-716-9007). Both methods are available 24 hours a day, seven days a week. Upon submission, the reporting party is provided with a confidential access number and is asked to generate a personal password that provides access to the status of the report. The reporting party may also send and receive anonymous messages pertaining to his/her report. To expedite an efficient investigation, it is recommended that the reporting party respond as soon as possible to any follow-up questions posted on the message board from the registered in-house counsel and/or the Chair of the Audit Committee.

When a reporting party makes a report, he or she will be asked to choose among three levels of anonymity: anonymous to both the College and MySafeCampus; anonymous to the College but not to MySafeCampus; or known to both parties. The report should contain as much detailed information about the incident(s) as possible in order to facilitate an efficient and thorough investigation. This detail should include, at a minimum, the names of the parties involved, the location of the incident(s) and the nature of the possible financial misconduct. Once a report is made, it is important for the reporting party to check the status of the report periodically, because if the respondent requires additional information, a message will be posted on the MySafeCampus message board for follow-up by the reporting party. If the additional information is not provided, the investigation may be deemed inconclusive and, therefore, result in no action.

10.5.4 AUDIT COMMITTEE REPORTS

The College's registered in-house counsel, working in conjunction with MySafeCampus, shall prepare periodic summaries of complaints received by categories of complaints, including accounting, internal accounting controls, or auditing matters for review by the Audit Committee. As appropriate, reports regarding the status of specific complaints may be reported on a more frequent basis.

The Audit Committee shall evaluate annually the effectiveness of these guidelines and recommend and adopt changes as necessary.

10.5.5 QUESTIONS

Any questions regarding this policy should be directed to the registered in-house counsel or the Director of Human Resources.

10.6 POLICY ON HARASSMENT

10.6.1 POLICY STATEMENT

It is the policy of Claremont McKenna College to maintain an environment for students, faculty, and staff that is free of sexual, racial and other unlawful harassment. All members of the College community should be aware that the College is concerned about such harassment, and is prepared to take prompt remedial action to prevent and correct such behavior as outlined in the College's Disciplinary Process set forth in Section 4.3 [forthcoming]. Individuals who engage in sexual harassment (which includes harassment based on gender, pregnancy, childbirth, or related medical conditions), as well as other unlawful harassment based on such factors as race, color, religion, national origin, sexual orientation, family care leave status, or veteran status, will be subject to discipline, up to and including expulsion or termination. Retaliation against a person who properly reports, complains about, or participates in the investigation of such harassment is likewise prohibited.

10.6.2 UNLAWFUL HARASSMENT DEFINED

Unlawful Harassment in General

Unlawful harassment is conduct that creates an intimidating, offensive, or hostile working or academic environment, or that interferes with work or academic performance based on a person's protected status, including race, color, religious creed, sex (including pregnancy, childbirth or related medical conditions), gender, gender identity, national origin, ancestry, age, physical disability, mental disability, medical condition, family care status, veteran status, marital status, sexual orientation, or other status protected by anti-discrimination and anti-harassment statutes, such as Titles VII or IX of the Civil Rights Act, the Americans with

Disabilities Act, the Age Discrimination in Employment Act, and the California Fair Employment and Housing Act. Such harassment can be physical, verbal, or visual. Harassment can be committed by employers, co-workers, fellow students, and third parties. Generally, statements and/or conduct legitimately and reasonably related to the College's mission of education do not constitute harassment.

Sexual Harassment

One form of unlawful harassment is sexual harassment. Sexual harassment may be either "quid pro quo" harassment, that is sexual advances or requests for sexual favors where submission is made an explicit or implicit term or condition of an individual's employment or education or where submission or rejection is used as the basis for making employment or educational decisions affecting an individual; or "environmental " harassment, where the individual is subjected to a hostile or intimidating environment, in which verbal or physical conduct, because of its severity and/or persistence, is likely to interfere with an individual's work or education, or to affect adversely an individual's living conditions. Occasional compliments that are generally accepted as not offensive or other generally accepted social behavior, on the other hand, do not constitute sexual harassment.

Examples of sexual harassment may include such conduct as:

1. Physical assault or other unwelcome touching;
2. Direct or implied threats that submission to sexual advances will be a condition of employment, work status, promotion, grades, or letters of recommendations;
3. Direct propositions of a sexual nature;
4. Subtle pressure for sexual activity, an element of which may be repeated requests for private meetings without an academic purpose;
5. A pattern of conduct that would cause discomfort to or humiliate, or both, a reasonable person at whom the conduct was directed that includes one or more of the following: (1) unnecessary touching, patting, hugging, or brushing against a person's body; (2) remarks of a sexual nature about a person's clothing or body, whether or not intended to be complimentary; (3) remarks about sexual activity or speculations about previous sexual experience; or (4) other comments of a sexual nature, including sexually explicit statements, questions, jokes or anecdotes;
6. Visual displays of suggestive, erotic or degrading sexually-oriented images;
7. Letters, notes or electronic mail containing comments, words or images as described in (5) above.

Other Conduct Prohibited by this Policy

False Reports. To file a knowingly false or malicious complaint of harassment or of retaliation is also a violation of this policy. A complaint against such conduct may be pursued using the steps followed for a complaint of harassment. A complaint under this provision shall not constitute prohibited retaliation.

10.6.3 REPORTING UNLAWFUL DISCRIMINATION OR HARASSMENT

Individuals who believe they are victims of, or witnesses to, unlawful discrimination or harassment (collectively "Unlawful Discrimination") are required to report such incidents as soon as possible to their supervisor, academic instructors, or one of the College officials designated at the end of this Section. The College emphasizes that under no circumstances is an individual required to report Unlawful Discrimination to a supervisor or academic instructor who is accused of committing the Unlawful Discrimination. Any employee (including any faculty member) who receives a complaint of Unlawful Discrimination, is a witness to Unlawful Discrimination, or who otherwise learns of an occurrence of Unlawful Discrimination from a reliable source has the responsibility to report that occurrence immediately to any of the individuals listed below, even if the victim declines to report it. The College will investigate every reported complaint of Unlawful Discrimination and will take appropriate action, based on the circumstances of the case, consistent with its policies and procedures then in force. Throughout the complaint and investigation process, the College will attempt to maintain confidentiality to the extent reasonably possible. Disciplinary sanctions for Unlawful Discrimination may include any of the following: required counseling, a verbal or written reprimand, a verbal or written warning, immediate suspension or termination of a third party contract/agreement, or immediate suspension or termination of employment/enrollment. For more information or to report a suspected incident of Unlawful Discrimination you may contact any of the individuals listed below:

For Staff: Human Resources, extension 71236.

For Faculty: Dean of the Faculty's Office, extension 18117.

For Students: Dean of Students Office, Heggblade Center, extension 18114.

10.6.4 POLICY AGAINST RETALIATION

It is a violation of the College's Discrimination and Harassment policy to retaliate against an individual who has brought forth a complaint of discrimination or harassment (the "Complainant") to the College or has filed a complaint with, testified, assisted or participated in any manner in an investigation, proceeding, or hearing conducted by the Fair Employment and Housing Commission, the Equal Employment Opportunity Commission, or any other applicable administrative agency. Retaliation includes, but is not limited to, failure to give the Complainant equal consideration in making employment decisions; failure to treat the Complainant impartially in the context of any recommendations for subsequent employment; or adversely affecting the working conditions or otherwise deny any employment benefit to the Complainant.

10.6.5 STATE ENFORCEMENT PROCEDURES

In addition to the College's internal remedies, external remedies are available for employees and students through the California Department of Fair Employment and Housing at 322 West First Street, #2126, Los Angeles, CA 90012-3112, telephone:

(213) 897-1997, or at 1845 S. Business Center Drive, #127 San Bernardino, CA 92408-3246, telephone: (909) 983-4711, the United States Equal Employment Opportunity Commission at 255 East Temple, 4th Floor, Los Angeles, CA 90012, telephone: (213) 894-1000, and the United States Office of Civil Rights at 50 United Nations Plaza, San Francisco, CA 94102, telephone: (415) 557-4400.

10.7 HEALTH AND SAFETY

Threats, intimidation, unwanted physical contact, physical abuse harassment, coercion, and any other conduct which threatens or endangers or is reasonably perceived to threaten or endanger the health or safety of any person is prohibited.

10.8 INDEMNIFICATION OF COLLEGE EMPLOYEES

1. Right of indemnity. To the fullest extent permitted by law, this Corporation shall indemnify its Trustees, officers, employees, and other persons described in Section 5238(a) of the California Corporations Code, including persons formerly occupying any such position, against all expenses, judgments, fines, settlements, and other amounts actually and reasonably incurred by them in connection with any "proceeding," as that term is used in that Section and including an action by or in the right of the Corporation, by reason of the fact that the person is or was a person described in that Section. "Expenses," as used in this By-law, shall have the same meaning as in Said Section 5238(a).

2. Approval of indemnity. On written request of the Board of Trustees by any person seeking indemnification under Section 5238(b) or Section 5238(c) of the California Corporations Code, the Board of Trustees shall promptly determine under Section 5238(e) of said Code whether the applicable standard of conduct set forth in said Sections have been met and if so the Board of Trustees shall authorize indemnification. If the Board of Trustees cannot authorize indemnification because the number of Trustees who are party to the proceeding with respect to which indemnification is being sought prevents the formation of a quorum of Trustees who are not parties to that proceeding, the Board of Trustees shall promptly proceed to obtain such authorization by the means and by the manner as then may be provided by the California Corporations Code or by any other applicable law.

3. Advancement of expenses. To the fullest extent permitted by law and except as otherwise determined by the Board of Trustees in a specific instance, the expenses incurred by a person seeking indemnification hereunder in defending any proceeding so herein provided shall be advanced by the Corporation before final disposition of the proceeding, on receipt of the Corporation of a sufficient undertaking or on behalf of that person that the advance will be promptly repaid unless it is ultimately determined that the person is entitled to be indemnified by the Corporation for those expenses.

4. Limitation for indemnification. Each Trustee and officer of the College shall be indemnified by it against all expenses actually and necessarily incurred by such Trustee or officer in connection with the defense of any action, suit, or proceeding to which the Trustee or officer has been made a party by reason of being or having such Trustee or officer except in relation to matters as to which such Trustee or officer shall be adjudicated in such action, suit, or proceeding to be liable for gross negligence or willful misconduct in the performance of duty

Bylaws of Claremont McKenna College

10.9 POLICY ON USE OF INTERNET SERVICES AND NETWORK RESOURCES

refer to

<http://its.claremontmckenna.edu/Policies/ITPolicies/HTML/aupca.htm>

The Claremont Colleges Policy Regarding Appropriate Use of Campus Computing & Network Resources

An overall guiding mission of The Claremont Colleges is education in an environment where the free exchange of ideas is encouraged and protected. The Claremont Colleges make available computing and network facilities (CNF) resources for use by the Colleges' students, faculty and staff. These services are provided for educational purposes and to carry out the legitimate business of the Colleges.

The Colleges and members of the college communities are expected to observe Federal, State and local laws that govern computer and telecommunications use, as well as the Colleges' regulations and policies. You must not use campus computing or networking resources or personal computing resources accessed through campus network facilities to collect, store or distribute information or materials, or to participate in activities that are in violation of federal, state or local laws or other Colleges policies or guidelines. These include, but are not limited to, policies and guidelines regarding intellectual property and sexual or other forms of harassment.

Computing and network facilities resources users are required to use these resources within the Colleges' standards of conduct. Individuals with expert knowledge of information systems or who make extensive use of these facilities, or with a position of trust regarding these facilities will be held accountable to a higher standard.

Responsible, considerate, and ethical behavior expected by the Colleges extends to use of computing and network facilities resources, and networks throughout the world to which electronic access has been provided. These CNF resources include but are not limited to:

- Computers and associated peripheral devices;

- Campus video cable;
- Classroom presentation systems;
- Voice messaging equipment;
- Data networking equipment systems, including remote and wireless access;
- Computer software;
- Electronically stored institutional data and messages;
- All other similar resources owned, controlled, and/or operated by the Colleges;
- And services to maintain these resources.

10.9.1 OWNERSHIP

The Colleges retain absolute ownership rights of the CNF resources. Such resources are not owned by a department or by any individual. CNF resources leased, licensed, or purchased under research contracts or grants, are administered under the terms of this policy for as long as they remain within the lawful possession or control of the Colleges. CNF resources provided to on-campus residences are also owned, operated and provided by the Colleges.

10.9.2 PRIVACY & SECURITY

1. File Confidentiality

Your documents, files and electronic mail stored on a College-owned networked computer or server are normally accessible only by you. However, any file or document placed on a College-owned computer or network is subject to access pursuant to this Policy, and thus, should not be regarded as private or confidential. The system managers at both CINE (Claremont Intercollegiate Network Effort) and within the individual campus IT organizations have the ability to monitor traffic and directly view any file as it moves across the network, and they must occasionally do so to manage campus network resources. In short, files may be monitored without notice in the ordinary course of business to ensure the smooth operation of the network.

All staff members working in information technology have clear guidelines that prohibit violations of privacy and confidentiality and, in the normal course of their work; they do not view the contents of user files or e-mail. However, you should be aware that authorized College personnel will take appropriate steps to investigate when there is a suspicion of inappropriate use of campus computing or networking resources. This may include monitoring network traffic, its contents, and examining files on any computer system connected to the network.

You should also know that all files on shared (i.e., networked) systems, including e-mail servers, are backed up periodically on schedules determined by each College. Backup tapes are preserved for lengths of time also determined by individual

College operating procedures. These tapes can be used to restore files that you have deleted accidentally. This means that the files on the tapes are also available to someone else with reason and authority to retrieve them.

2. Network monitoring

Troubleshooting on the campus network, as well as planning for enhancements, requires the collection of detailed data on network traffic. CINE regularly runs monitoring software that records and reports on the data that is transported across the campus networks. The reports include the origin and destination addresses, and other characteristics of files, including the URLs of the World Wide Web sites that are contacted. This data is accessed and used only by authorized IT staff members responsible for network performance, operations and planning.

You should also be aware that many Web host machines on the Internet collect and log information about you and your identity when you visit their sites. This information may include, but is not limited to, information about the computer you are using, its address, and your e-mail address.

Many educational and business activities at the Colleges require network access to resources on the Internet. To ensure adequate bandwidth to these sites for the Colleges' primary educational and business purposes, CINE and campus IT staff may restrict the amount of traffic to particular sites and the amount of traffic of specific types.

From time to time these network monitoring activities may allow systems managers to identify individuals whose activities downgrade the performance of the campus network or a segment of the network, or which appear to violate the general guidelines for appropriate use of campus computing and network resources. In such instances, a CINE staff member or a member of your own College's IT staff may ask you to cease these activities. If you continue such activities, or if they include illegal activities, appropriate College authorities may be notified. In extreme cases, network privileges may be revoked on an interim basis pending resolution of the issue. The individual campuses determine specific corrective or disciplinary actions.

3. Passwords and Codes

Individuals entrusted with or that inadvertently discover logins and passwords are expected to guard them responsibly. These passwords are not to be shared with others. The same policy applies to door codes for restricted-access rooms/areas. Those who need logins or door codes can make a formal request to the administrator of those codes/passwords. Passwords may be used for the purpose of security, but the use of the password does not affect the Claremont Colleges ownership of electronic information.

10.9.3 ACCESS TO RESOURCES

Access to CNF resources is a privilege, which is allowed only to the Colleges' authorized personnel and students. All users must understand and abide by the

responsibilities that come with the privilege of use. Such responsibilities include, but are not limited to, the following:

You must understand and comply with all applicable federal, state, and local laws.

You must not intentionally seek information about, browse, copy, or modify non-public files belonging to other people, whether at a Claremont College or elsewhere.

You must not attempt to "sniff" or eavesdrop on data on the network that are not intended for you.

You are authorized to use only computer resources and information to which you have legitimately been granted access. Sharing your passwords with others is expressly forbidden. Any attempt to gain unauthorized access to any computer system, resource or information is expressly forbidden. If you encounter or observe a gap in system or network security, immediately report the gap to the manager of that system.

Each College's Policy on Harassment applies as equally to electronic displays and communications as to the more traditional (e.g., oral and written) means of display and communication.

Messages, sentiments, and declarations sent as electronic mail or postings must meet the same standards for distribution or display as physical (paper) documents would on college property.

Unsolicited mailings and unauthorized mass mailings from campus networks or computing resources (i.e., "spam") are prohibited. Each campus may have specific policies regarding the use of existing group mailing lists (e.g., all-students or all-faculty). Contact your campus IT organization for details regarding these policies.

Spoofing, or attempts to spoof or falsify e-mail, network or other information used to identify the source, destination or other information about a communication, data or information is prohibited.

You must not degrade computing or network performance in any way that could prevent others from meeting their educational or College business goals. You must not prevent others from using shared resources by running unattended processes, by playing games or by "locking" systems without permission from the appropriate system manager.

You must conform to laws and Colleges policies regarding protection of intellectual property, including laws and policies regarding copyright, patents, and trademarks. When the content and distribution of an electronic communication would exceed fair use as defined by the federal Copyright Act of 1976, users of campus computing or networking resources shall secure appropriate permission to distribute protected

material in any form, including text, photographic images, audio, video, graphic illustrations, and computer software.

You must not use campus computing or networking resources or personal computing resources accessed through campus network facilities to collect, store or distribute information or materials, or to participate in activities that are in violation of federal, state or local laws.

You must not use campus computing or networking resources or personal computing resources accessed through campus network facilities to collect, store or distribute information or materials in violation of other Colleges policies or guidelines. These include, but are not limited to, policies and guidelines regarding intellectual property and sexual or other forms of harassment.

You must not create or willfully disseminate computer viruses, worms, or other software intended to degrade system or network security. You must take reasonable steps to prevent your system from being used as a vehicle for such actions. This includes installing system and software patches as well as anti-virus signatures files.

Use of CNF resources for advertising, selling, and soliciting for commercial purposes or for personal gain is prohibited without the prior written consent of the Colleges. Faculty, students or staff who have questions about the legitimacy of a particular use should discuss it with the appropriate members of the IT staff on their home campus.

The disclosure of individually identifiable non-directory information to non-university personnel is protected by the Family Educational Rights and Privacy Act of 1974 (FERPA). The disclosure of financial or personnel records that are owned by the Colleges without permission or to unauthorized persons is not permitted and may be prosecuted under California Penal Code 502.

Willful or unauthorized misuse or disclosure of information owned by the Colleges will also constitute just cause for disciplinary action, including dismissal from school and/or termination of employment regardless of whether criminal or civil penalties are imposed. It is also expected that any user will report suspected abuses of CNF resources. Failure to do so may subject the individual to loss of CNF access and/or the disciplinary action referred to above.

The respective Information Technology organization of one of the Claremont Colleges may immediately suspend service to an individual or computer found to be significantly degrading the usability of the network or other computer systems. Inappropriate use will be referred to the appropriate College authority to take action, which may result in dismissal from school and/or termination of employment.

(Note: The provisions of this computing resources policy apply to the institutions comprising The Claremont Colleges, including the Claremont University Consortium.)

10.10 NON-DISCRIMINATION

10.10.1 STATEMENT ON NON-DISCRIMINATION, EQUAL EMPLOYMENT OPPORTUNITY, AND RELATED LAWS

Claremont McKenna College does not discriminate on any illegal basis in the administration of its admission, educational, or employment policies and practices, nor in the recruitment, training, promotion, financial support, or compensation of its faculty, students, or staff. The College's specific policies dealing with discrimination and harassment, and its policies as an equal-opportunity employer, may be obtained from the Dean of Admission, the Dean of Students, the Dean of the Faculty, or the Human Resources Director. Those policies are set forth in the College's Guide to Student Life, its Faculty Handbook, and its Staff Handbook. The College complies with all applicable state and federal laws, including, but not limited to:

- The College complies with the requirements of Title IX of the Higher Education Amendments of 1972. Inquiries concerning the application of Title IX to this institution should be referred to the Dean of Students or the Director of Human Resources.
- The College complies with the requirements of Title VII of the Civil Rights Act of 1964 and the California Fair Employment and Housing Act ("FEHA"). Inquiries concerning the application of Title VII and FEHA to this institution should be referred to the Director of Human Resources.
- The College complies with the California Unruh Civil Rights Act. Inquiries concerning the application of the Unruh Act to this institution should be referred to the Dean of Students.
- The College complies with the Family Educational Rights and Privacy Act of 1974. Inquiries concerning the application of the Family Educational Rights and Privacy Act to this institution should be referred to the Registrar's office.
- The College complies with Section 504 of the Rehabilitation Act of 1973. Inquiries concerning the application of Section 504 to this institution should be referred to the Director of Human Resources.
- The College complies with the Americans with Disabilities Act (the "ADA") and the Age Discrimination in Employment Act of 1967 ("ADEA"). Inquiries concerning the application of the ADA or ADEA to this institution should be referred to the Dean of Students or to the Director of Human Resources.

- The College complies with any other applicable federal, state, or local law addressing nondiscrimination and/or equal employment opportunity.

10.10.2 POLICY ON EQUAL EMPLOYMENT OPPORTUNITY AND DISCRIMINATION

In addition to its commitment to a harassment-free educational and working environment, the College is an equal opportunity employer. The College is committed to a policy of equal employment opportunities for all applicants and employees and complies with all applicable state and federal laws on the matter. The College does not unlawfully discriminate, nor does it permit its faculty members to unlawfully discriminate, on the basis of race, color, religious creed, sex (including pregnancy, childbirth or related medical conditions), gender, gender identity, national origin, ancestry, age, physical disability, mental disability, medical condition, family care status, veteran status, marital status, or sexual orientation. The College also prohibits the harassment of any employee on any of these bases. The College also makes reasonable accommodations for disabled employees. These policies apply to all areas of employment including recruitment, hiring, training, promotion, compensation, benefits, transfer, and social and recreational programs. It is the responsibility of every manager and employee to follow this policy conscientiously. Faculty members with questions regarding these policies should discuss them with the Director of Human Resources or the Dean of the Faculty.

10.11 POLICY FOR REIMBURSEMENT OF TRAVEL, ENTERTAINMENT AND OTHER BUSINESS EXPENSES

POLICY STATEMENT

Where allowable under IRS guidelines, Claremont McKenna College (the College) will reimburse an Employee for, or pay directly via College bankcard, actual college-related travel, entertainment or other business related expenditures that are necessary in the performance of his/her assigned responsibilities.

IRS GUIDANCE

The Internal Revenue Service (IRS) requires that all of the following conditions be met to qualify for tax-free reimbursement of business expenses:

- Expenses must be reasonable and have a legitimate college-related business connection – that is, you must have paid or incurred *deductible* expenses while performing services as an Employee of the College.
- The Employee must adequately account to the College for expenses in a reasonable period of time.

- The Employee must return any excess reimbursement or allowance within a reasonable period of time.

GUIDING PRINCIPLES

- The IRS does not allow for tax-free reimbursement of lavish or extravagant expenses. Employees are expected to use prudent judgment and ensure all expenses submitted for reimbursement are reasonable based on the facts and circumstances.
- Employees should verify that sufficient budget funds are available in advance of any purchase by reviewing their accounts online via CUConnect (<https://www.cuc.claremont.edu/collive/wwiz.asp?wwizmstr=WEB.LOGIN>), or by contacting a Department Supervisor or the Treasurer's Office. Reimbursement requests in excess of budget funds available may not be reimbursed.
- The college-related business purpose of all expenses submitted for reimbursement must be thoroughly documented. Reimbursement requests submitted with insufficient documentation of the college-related business purpose will be returned to the Employee requesting reimbursement.
- Reimbursement requests should be submitted within **30 days** of when the expense was incurred or return from travel. Requests submitted beyond **30 days** may not be reimbursed. Due to IRS requirements, any expense reimbursement granted beyond **60 days** of when the expense was incurred or return from travel will be added to the Employee's taxable income and subject to applicable taxes/withholdings.
- Unless otherwise noted below, original actual receipts are required for reimbursement. Faxes, copies, or personal credit card statements are generally not appropriate forms of substantiation.

AUTHORIZATION

Employee expense reimbursement requests should be approved by the appropriate department chair, director or other authorized supervisor. All expenses incurred by a department chair or director should be approved by the respective Vice President; expenses incurred by a Vice President (other than the Treasurer) or the President will be approved by the Treasurer's Office; and the expenses of the Treasurer will be approved by the Secretary of the College. Reimbursements to the President will be reviewed on a periodic basis by the Chairman of the Audit Committee. The supervisor approving a reimbursement request is responsible for ensuring budget funds are available and there is sufficient documentation of the college-related business purpose for all expenses submitted.

REIMBURSABLE EXPENSES

Traveling Away from Home: According to the IRS, you are traveling away from home if your duties require you to be away from the general area of your tax home substantially longer than an ordinary day's work, **AND** you need to sleep or rest to meet the demands of your work while away from home. Certain categories, as identified below, require that Employees meet the IRS definition of *traveling* in order to be eligible for reimbursement. In General, the mode of transportation used should be the most economical one suitable for the purpose of the trip.

Airline: The College will reimburse coach/economy class airfare tickets. Business or first class tickets will generally not be reimbursed to the extent that the cost exceeds that of a coach/economy class ticket. An original invoice/travel itinerary is required for reimbursement. **Boarding passes for all segments of the trip are required as substantiation for travel purchased via an Employee's personal credit card. Air transportation purchases made via an Employee's personal credit card that are reimbursed prior to the date of travel will be recorded as a travel advance.** To clear the advance, Employees should submit a travel report with boarding passes for all segments of the trip within 30 days after return from travel. Any frequent flier miles, or other travel related incentives earned, accrue to the Employee.

Personal Automobile: The College will reimburse Employees for mileage when a personal vehicle is used on official college-related business that is properly authorized, reasonable and appropriately documented. This does not include mileage for an Employee's standard commute when traveling between their residence and the College. The College will reimburse Employees at the current rate approved by the IRS on the date of travel. In the event a private vehicle is used in lieu of commercial transportation (air, bus, rail), the lesser of the costs between a coach/economy class ticket combined with other related ground transportation and the mileage will be reimbursed. The College will not reimburse vehicle operating, maintenance or repair costs for personal vehicles. **Employees should ensure they are on the approved drivers list for the College prior to a trip by contacting the Human Resources Office.** An Employee's personal automobile liability insurance is the primary coverage when using a personal vehicle on college-related business. If the liability limits become exhausted following an accident occurring while on college-related business, the College's policy provides a second layer of coverage.

College-Owned Vehicles (including electric carts): These vehicles are subject to additional rules pertaining to use. Gasoline purchase receipts will be reimbursed, not mileage. **Employees must ensure they are on the approved drivers list for the College prior to operating a College-owned vehicle by contacting the Human Resources Office.**

Rental Vehicle: Employees may rent a vehicle when: driving is more convenient than airline or rail travel; driving is necessary to transport large or bulky materials; driving is more economical than public transportation modes due to multiple

locations to visit in the destination city; or other surface transportation is not practical. **Employees should ensure they are on the approved drivers list for the College prior to renting a vehicle by contacting the Human Resources Office.**

Rental Vehicle Insurance Coverage: The College's automotive insurance policy provides primary liability coverage (or secondary coverage behind the rental car company in certain states) for pre-approved Employees. It is not necessary for pre-approved Employees to purchase additional liability insurance from the rental car company. Comprehensive and collision losses are not covered by the College's automotive insurance policy. The new Wells Fargo - WellsOne College bankcards scheduled for implementation in 2008 will provide primary comprehensive and collision coverage when the cards are used for renting a vehicle. The current Bank of America corporate credit cards do not provide primary comprehensive and collision coverage. Employees are encouraged to use a WellsOne College bankcard for rental vehicle purposes, when available. Employees not using a WellsOne College bankcard should purchase comprehensive and collision coverage from the rental car company when renting a vehicle. Employees not on the authorized driver list expose their personal liability insurance as primary insurance coverage.

Ground Transportation, Parking Fees & Toll Charges: Preferred choices for ground transportation are shuttle service, public limousine service, or other forms of public transportation. Travelers should use their best judgment in choosing ground transportation. Taxi fares require a receipt for reimbursement. Tolls and reasonable parking costs are reimbursable with a receipt.

Lodging: The College will reimburse lodging accommodations for Employees traveling on College business. Prudent judgment should be used when selecting lodging accommodations. The original copy of the detail hotel folio is required as substantiation for reimbursement.

Telephone: The College will reimburse reasonable expenses incurred for telephone, fax, and teleconference for business communications for Employees traveling on college-related business. Employees who receive a cell phone allowance are expected to use their personal cell phone to the extent possible. Personal calls home are reimbursable, though prudent judgment should be used when determining the number and length of the calls.

Personal Meals while Traveling: Personal meals are meal expenses incurred by an individual dining alone while **traveling** or by an Employee who has paid the bill for other Employees who are traveling with the individual on business. The College will either reimburse actual expenses or provide a per diem allowance for meal and incidental expenses for Employees traveling on college-related business based on the guidance below. Employees must choose one of the two approved methods for each trip and may not combine the two methods when requesting reimbursement.

Actual Expenses: The College will reimburse reasonable expenses incurred for meals when traveling on college-related business, however the total amount submitted for reimbursement each day normally should not exceed the federal per diem rates as established by the U.S. General Services Administration for meal and incidental (M&I) expenses (*see link below*). If two or more Employees dine together, the senior level Employee is responsible for paying the bill and seeking reimbursement. Both a detail statement displaying all items ordered and evidence of payment in the form of a credit card sales draft or cash register receipt should be submitted for reimbursement. **For reporting purposes, purchases of alcohol must be segregated from other food items and charged to object code 5230 (Entertainment).**

Per Diem Allowance: In lieu of submitting actual receipts for meal and incidental (M&I) expenses while traveling, Employees may request daily reimbursement at the approved federal per diem M&I rate established by the U.S. General Services Administration (GSA) for each day while traveling on college-related business. **The reimbursement allowed for the first and last day of travel is limited to 75% of the daily rate, as prescribed by the GSA. Employees are required to reduce their daily per diem reimbursement request for meals provided by another source (i.e. meals included at a conference, provided by another individual, etc.) by the component rate(s) listed below. Supervisor approval prior to travel is required for Employees to use the per diem method for M&I expense reimbursements.** No receipts are required when requesting reimbursement under the per diem allowance. Due to budgetary constraints, departments may choose to limit or disallow the use of the per diem allowance.

Approved Per Diem Rates: The M&I per diem rates differ by travel location. Please visit www.gsa.gov/perdiem to view the current M&I per diem rates by travel location. The following table provides a breakdown for the breakfast, lunch and dinner components of the maximum daily per diem rates for 2008. An updated table for subsequent years is available at www.gsa.gov/mie.

M&I Rates for 2008	\$39	\$44	\$49	\$54	\$59	\$64
Breakfast	7	8	9	10	11	12
Lunch	11	12	13	15	16	18
Dinner	18	21	24	26	29	31
Incidentals	3	3	3	3	3	3

Business Meals and Entertainment Expenses:

Business meals are meals taken during which a specific College business discussion takes place. When more than one College Employee is present during a meal, the senior level Employee is responsible for paying the bill and seeking reimbursement. Supporting documentation submitted for reimbursement must list all in attendance, their business affiliation, and summarize the college-related business discussed.

Both a detail statement displaying all items ordered and evidence of payment in the form of a credit card sales draft or cash register receipt should be submitted for reimbursement. **For reporting purposes, purchases of alcohol must be segregated from other food items and charged to object code 5230 (Entertainment).**

Other College Expenses:

General College expenses, such as office supplies, should be paid for via College check or bankcard. Employees should not use a personal credit card for general College expenses, to the extent possible.

NON-REIMBURSABLE EXPENSES

As noted above, expenses must be reasonable and have a legitimate college-related business connection – that is, you must have paid or incurred *deductible* expenses while performing services as an Employee of the College.

The following is a general list of non-reimbursable expenses; this list is not all-inclusive:

Travel:

- additional expenses of a spouse or person accompanying an Employee while traveling
- babysitting fees
- travel insurance
- airline class upgrades
- memberships, clubs, or organizations (e.g., vehicle, airline, fitness, discount retailers, etc.)
- kennel costs for pets
- lost or damaged personal items (e.g., cell phone, PDA, briefcase, calculator, computer, etc.)
- medical expenses (e.g., co-pays, prescription or over-the-counter medications, etc.)
- personal vehicle expenses (e.g., car washes, maintenance, fuel, etc.)
- traffic or parking violations
- sightseeing or other personal side trips
- personal care items (e.g., toiletries or haircuts/styling, etc.)
- personal entertainment (e.g., books, magazines, newspapers, hotel room movies, sporting events, etc.)
- mileage for travel between personal residence and the College
- laundry services on trips less than four consecutive business days
- expenses that have been, or will be, reimbursed to the Employee by another organization

Day-To-Day Expenses:

- personal vehicle expenses (e.g., car washes, maintenance, fuel, etc.)
- traffic or parking violations

- library fines
- lost or damaged personal items (e.g., cell phone, PDA, briefcase, calculator, computer, etc.)
- equipment purchases, except those preapproved by an authorized department

Entertainment and Alcohol:

- alcohol purchases for consumption by students
- meals for spouses and significant others, unless:
 - ❖ the event is explicitly intended and justified as a social event, or
 - ❖ the presence of a spouse or significant other is intended, and justified in the request for reimbursement, as serving a legitimate College business purpose (e.g., a spouse at a faculty recruitment dinner to inform the candidate and/or candidate's spouse about the community, housing, employment opportunities, etc.)

Gifts to Staff, Faculty and/or Students:

- any gifts for faculty or staff members or students, or a member of the family of a faculty or staff member or student, except by Human Resources or for the following:
 - ❖ **de minimis** incentives of not more than \$25 in cash value provided to students acting in the capacity as a **non-paid student volunteer** (i.e., CMC logo items, ticket for admission to a movie, gift certificates redeemable for items at a local store, etc.)
 - **substantiation for reimbursement of de minimis incentives must include full names of recipients and explanation of the college-related business purpose**
- expenses associated with birthdays, promotions, retirements, or other comparable occasions (except by Human Resources)

TRAVEL REPORTS AND PAYMENT REQUESTS

All Employees are required to submit a travel report for direct reimbursement for overnight business travel and to clear a travel advance. A travel report is not required for expenses charged directly to a College bankcard. A *request for check* must be prepared and attached to the supporting documentation for all other reimbursable expenses. The forms and instructions for both can be found at <http://www.cuc.claremont.edu/cucfs/asp/Site/resources/index.asp>. As noted above, reimbursement requests should be submitted within **30 days** of when the expense was incurred or return from travel. Requests submitted beyond **30 days** may not be reimbursed. Due to IRS requirements, any expense reimbursement granted beyond **60 days** of when the expense was incurred or return from travel will be added to the Employee's taxable income and subject to applicable taxes/withholdings.

TRAVEL ADVANCES

Employees are encouraged to use College bankcards to the extent possible when traveling on College related business. Employees may request a travel advance to cover the anticipated expenses of travel, up to 30 days prior to an approved trip. Advances should be cleared within 30 days of return by submitting a travel report and all unused funds must be returned to the College.

COLLEGE BANKCARDS

The provisions of this policy are applicable to reimbursement of expenses made directly to an Employee or paid via College bankcard.

Approved by CMC Senior Staff – January 10, 2008

10.12 POLICY ON ROMANTIC RELATIONSHIPS

Each faculty member is strongly discouraged from becoming romantically or sexually involved with any student, and is prohibited from being romantically or sexually involved with a student who is currently registered in his or her class, is a member of a team that he or she coaches, is someone whom he or she directly supervises, or is his or her academic advisee.

Approved by the faculty, October 24, 2008

10.13 POLICY ON THEFT, ABUSE OR MISUSE OF COLLEGE RESOURCES

All college equipment, including computer equipment provided by the college, is property of the college. Theft, abuse, or misuse of College resources is prohibited, as is unauthorized use of institutional resources or facilities for personal, commercial, political, or other improper uses. College resources must be reserved for business purposes on behalf of the College. They may not be used for personal gain, and may not be used for personal use except in a manner that is incidental and reasonable in light of the faculty member's duties. College resources include, but are not limited to, the use of College systems, such as telephone system, data communication and networking services, and the domain for electronic communication forums; the use of College equipment; faculty research funds; the use of procurement tools such as purchasing cards and petty cash; and the time and effort of other staff, students, and others at the College.

10.14 WEAPONS

Unauthorized possession or use on College premises of any weapon (i.e. firearms and dangerous knives), dangerous instruments, explosive devices, fireworks, or dangerous chemicals is prohibited.



CHAPTER 11

ADMINISTRATIVE SERVICES OF INTEREST TO THE FACULTY

Office of the Dean of the Faculty

CHAPTER 11: ADMINISTRATIVE SERVICES OF INTEREST TO THE FACULTY

11.1 ADDRESSES

The Dean of the Faculty's Office and the Human Resources Office maintain a list of current addresses and phone numbers of all faculty. If there is any change in either, please notify the Dean's office. In addition, faculty are requested to provide the Dean's office with summer and/or sabbatical addresses.

11.2 ADMINISTRATIVE ASSISTANT SERVICES

Secretarial services are provided for all full-time and part-time faculty. Depending on their department, faculty are assigned an administrative assistant in one of the College's faculty support centers. Please keep the following priorities in mind:

- examinations and course work
- letters and memoranda essential to instructional and professional duties
- course outlines and assignments
- letters of recommendation
- manuscripts

Faculty are asked to submit work requests in a timely manner with consideration given to particularly busy times. Faculty are also asked to be aware of student workers in the support centers and should submit confidential items (such as letters of recommendation and exams) directly to the supervisor of the center.

11.3 AUTOMOBILES ON CAMPUS

Reserved parking areas for faculty and staff cars are located throughout The Claremont Colleges. To be parked anywhere in the Claremont Colleges, whether or not in reserved faculty areas, all automobiles must be registered and receive annual parking tags from Campus Safety. Failure to display CUC parking tags can lead to a fine. Faculty are responsible for knowing and adhering to CUC parking regulations.

11.4 CAMPUS SAFETY (CUC)

The Campus Safety Department is the first responder to emergencies of any kind on campus (including first aid); protects persons and property; enforces traffic and parking regulations; takes reports of crimes and incidents and forwards them to the Claremont Police Department for investigation; administers a "lost and found" property service; and provides around-the-clock escort service on campus to anyone, as needed. Phone: From On Campus, 72000; From Off Campus: 909-621-8170. Campus Safety is located at 251 East Eleventh Street.

11.5 EXTRA-CURRICULAR EVENTS

Faculty members wishing to schedule special lectures or other events on campus should notify their Faculty Support Center, and one of the following offices depending upon location:

- The Registrar assigns all classrooms and the Marian Miner Cook Athenaeum (621-8101).
- The W. M. Keck Science Center is scheduled by the Keck Science Department (621-8298).
- McKenna Auditorium is scheduled by the Dean of Students office (621-8114).
- All other facilities are scheduled by Administrative Services (621-8112).

11.6 KEYS

Primary responsibility for controlling keys rests with the Office of Administrative Services. Authorization to carry keys shall be granted, in conjunction with the Office of Administrative Services, by the Dean of the Faculty. All parties shall be accountable for all keys directly issued to them. Keys shall be duplicated/replaced as follows:

- Additional keys will be made only with authorization from the Dean of the Faculty.
- Keys will be replaced upon the return of a broken or damaged key.
- Lost/missing keys will be replaced by Administrative Services at the expense of the requesting department.
- Any area accessed by a lost key will be automatically re-keyed at the expense of the department whose member lost the key.

Office keys should be guarded carefully and returned to the appropriate Faculty Support Center when no longer needed.

11.7 MAIL

Faculty members are assigned a mail box in either Faculty Support Center East or Faculty Support Center West depending upon their department. Business-related mail can be posted from the support centers. Federal Express is also available. The mailing address of the College is:

Claremont McKenna College
500 E. 9th St.
Claremont, CA 91711

11.8 OFFICE SPACE

Office space is assigned by the Dean of the Faculty.

A. MOVING POLICY FOR FACULTY OFFICE MOVES

1. Purpose of Policy

The purpose of this policy is to provide faculty members with guidelines for office moves at Claremont McKenna College. All faculty moves are arranged through the Office of the Dean of the Faculty (DOF) and are scheduled according to the availability of the moving company and the faculty member.

2. New/Incoming Faculty

New Faculty will be responsible for moving their personal items, research materials, and other equipment into their office at CMC. Faculty granted a moving allowance may use a portion of it for this purpose. Faculty members should arrange in advance through the DOF's office for availability of the new office. Incoming faculty should be aware that CMC does not have facilities for the storage of items shipped in advance of their arrival.

3. Office-to-Office Moves

All office to office moves will be approved through the Office of the Dean of the Faculty. CMC will provide boxes for packing and off-campus movers to assist with the load. Any personal property items will be packed and moved by the faculty member. Information Technology Services (ITS) will be responsible for dismantling and setting up of the computers. The faculty member or a representative (non-CMC staff) should be present for the move if possible.

B. VACATING OFFICES

1. Sabbatical Leaves / Leaves of Absence

Faculty who are awarded a sabbatical or paid leave may be required to relinquish use of their offices during the duration of their leave. Faculty members vacating their offices will provide sufficient working space for the temporary occupant (normally this would require a minimum of three shelves and one file or cabinet drawer). The Dean of the Faculty's office may call upon the faculty member on leave or sabbatical to make more space available if the working space remains too cramped.

Faculty members will be required to relinquish use of their office space during unpaid leaves of absence or other long-term absences.

CMC will provide boxes for packing on a by-request basis.

2. Separation / Termination of Contract

Faculty on limited term contracts will be given a date to vacate the office. On a by-request basis, boxes will be provided.

3. Retirement

Upon the occasion of a faculty member's retirement, CMC will provide a moving company that will assist the faculty member with the packing, moving of the boxes, and delivery within 150 miles. Mileage beyond the 150 mile limit will be billed directly to the faculty member. If a faculty member wishes to store the items from his/her office, the faculty member will incur the cost of the storage unit and fees.

4. Death

The College will provide a moving service and arrange for the transfer of the late faculty member's property to the local residence. A family-selected representative (non-CMC staff) should be present to supervise the packing activity.

C. Liability and Insurance

CMC will not be responsible for damage to or loss of personal property. Faculty members should consider whether they wish to purchase higher insurance coverage beyond the limits of the mover's insurance.

11.9 PHYSICAL FACILITIES

The physical facilities of the College are managed by the Director of Facilities and Campus Service at Story House (ext. 18112). Problems regarding classroom or office maintenance should be directed to Facilities.

11.10 SECRETARIAL SERVICES

(See ADMINISTRATIVE ASSISTANT SERVICES, Section 11.2)

11.11 TELEPHONES

Faculty are assigned a telephone with their office. Dial a "9" first to phone out. Intra-campus phone calls can use extension numbers—for example, 621-1000 would become 11000; 607-2000 would become 72000. Telephone problems should be reported online at

<http://www.cuc.claremont.edu/phone/TELEPHONE%20TROUBLE%20REPORTING%20link.htm>.

For a general user's guide to the telephone system, see

<http://www.cuc.claremont.edu/phone/TELEPHONE%20users%20guide.htm>



CHAPTER 12

STUDENT AFFAIRS POLICIES AND SERVICES OF INTEREST TO THE FACULTY

Office of the Dean of the Faculty

CHAPTER 12: STUDENT AFFAIRS POLICIES AND SERVICES OF INTEREST TO THE FACULTY

12.1 STUDENT AFFAIRS POLICIES

12.1.1 GENERAL ACADEMIC POLICY

A Statement of Academic Policy and Statement of Academic Integrity is distributed to all students and faculty members each year. Prepared and periodically revised by the Academic Standards Committee, it prescribes the rules concerning academic standing, graduation requirements, academic integrity, grading, registration for classes, and other academic policies regarding students. It is also available online at <http://registrar.claremontmckenna.edu/acpolicy/>.

12.1.2 STUDENT CONDUCT

The Claremont McKenna College Basic Rules of Conduct and Judicial Procedures contains information about the rules governing student conduct and the judicial procedures for dealing with violations of the rules. It includes basic rules, a detailed discussion of the judicial system, reporting procedures, rights of the accused and the complainant, and policy on demonstrations at the Claremont Colleges. It is available online at <http://dos.claremontmckenna.edu/basicrule/>.

12.1.3 STUDENT LIFE

The Guide to Student Life contains information about residential life at CMC, programs and services offered at the College, emergency procedures at the College, and ways students can get involved in the life of the school. Also included in The Guide are a College calendar and other important dates, important phone numbers, fall athletics schedules, and a map of CMC. It is available online at <http://dos.claremontmckenna.edu/cmguide>.

12.2 STUDENT SERVICES

12.2.1 DEAN OF STUDENTS

The Office of the Dean of Students is responsible for all student affairs matters including residential life, student activities, student conduct, career planning, international students, and the Athenaeum. Faculty with general concerns about a student's well-being, academic or otherwise, should contact the Dean of Students Office.

The Office is located in Heggblade Center 108 and can be reached at ext. 18114. The Dean is assisted by:

- Associate Dean of Students and Director of International Place, at ext. 77868.
- Associate Dean of Students and Director of Career Services, at ext. 77785.
- Associate Dean of Students for first-year students, at ext. 18114.
- Associate Dean of Students for returning students, at ext. 18114
- Assistant Dean of Students and Director of Student Activities and Apartment Housing, at ext. 18114.
- Director of Residential Life, at ext. 77019
- Director of the Athenaeum, at ext. 18244.

12.2.2 CAREER SERVICES (CMC)

Faculty members are frequently asked to provide advice to students about internships and careers. One resource to which faculty can direct students is the Career Services Center, which assists CMC students in identifying interests, assessing skills and preparing for employment or graduate or professional school. Throughout the school year, the staff provides group sessions, workshops, employer and graduate school presentations and various issues-related programs focusing on preparation and information. These include, but are not limited to: resume writing, cover letter preparation, interviewing skills, job search strategies, internships, community service and volunteering, networking, internet research, and international opportunities. Career Services is located in Heggblade Center (607-7038).

12.2.5 OFFICE OF THE CHAPLAINS (CUC)

The Claremont Colleges are served by the Interfaith Chaplaincy of The Claremont Colleges which represents, co-ordinates, and directs the programs of McAlister Center for Religious Activities. The chaplains, a Protestant Minister, Catholic Priest, and a Jewish Rabbi, serve the five college campuses of The Claremont Colleges and Graduate University on a full-time basis. A full schedule of worship is provided at McAlister Center including a wide range of programs and events under the sponsorship of the Jewish, Catholic, Protestant, Islamic, Zen Meditation, Latter-Day Saint, and Christian Science communities, as well as additional on-campus religious groups. The chaplains maintain liaison with religious institutions and social service

agencies in the surrounding communities and also supervise the Community Service Center that links students to university-wide volunteer activities and local community service organizations.

12.2.4 COUNSELING (CUC)

Faculty can urge students about whom they have mental health concerns to take advantage of the Monsour Counseling Center, which provides educational and personal counseling services to students. Students may contact the counseling center receptionist at 621-8202 to schedule an appointment. Depending on the time of year, appointments should be available within one week. Students should let the receptionist know if they need to be seen immediately. The Center is open from 8:30am until 5:00 pm Monday through Friday with extended evening hours on Tuesday. Emergency services at times the Center receptionist is not available (i.e. weekends, evenings, lunch) can be accessed by calling campus security at 607-2000 and asking for the "on-call" psychologist to be paged. The center is located at 35 N. Dartmouth.

12.2.6 STUDENT HEALTH SERVICE (CUC)

Faculty can urge students about whom they have health concerns to take advantage of Student Health Services. Student Health can also be called on to provide written excuses for students who miss classes or assignments. Call 621-8222. Appointments are free; walk-ins are charged \$10. Walk-in hours Monday-Friday 8:30-10:30 a.m. and 2:00-4:00 p.m. Consultation available 24 hours a day by calling Campus Safety at extension 18170.

12.2.3 INTERNATIONAL PLACE (CMC)

International Place (I-Place) is an active international, multicultural center for The Claremont Colleges. Located on the Claremont McKenna College campus, I-Place offers a variety of services for international students, scholars, and faculty, and offers educational programs and cultural events for the entire community. For the more than 700 citizens of 79 other countries at the Claremont Colleges, I-Place offers airport pickups and home stays with community families for new students; assistance with [housing](#), banking, transportation, shopping, telephone, obtaining [drivers licenses](#) and [social security numbers](#), and health insurance; orientation programs for new students; handbook of information on college and community resources; ongoing assistance with cultural issues; workshops on immigration and legal issues, jobs and careers, tax preparation, and study skills; programs and English conversation groups for spouses and families of students; and staff assistance to the international student organization. For the entire Claremont academic community, I-Place offers a *Thursday Lunch Programs on Global Issues*

featuring international cuisine and a program planned by international students; an annual Fall Banquet; a day-long Spring International Festival celebrating international food, music, dance and cultures; and a United Nations Day Celebration honoring the anniversary of the founding of the United Nations on October 24.



CHAPTER 13

RETIREMENT FROM THE
COLLEGE

CHAPTER 13: RETIREMENT FROM THE COLLEGE

13.1 RETIREMENT

There is no mandatory retirement age at CMC. Faculty members who intend to retire should inform the Dean of the Faculty and the retirement manager at the Claremont University Consortium benefits office (ext. 18409).

13.2 PHASED RETIREMENT PROGRAM

To assist tenured faculty to make a transition from full-time teaching to retirement, CMC offers eligible faculty members an option of participating in the Phased Retirement Program. If a faculty member opts into the Phased Retirement Program, the individual and the College enter into a one, two, or three year agreement for the termination of tenure. During this one to three year period, the College allows the faculty member to decrease his/her teaching responsibilities. If the individual continues to teach two or more courses, he/she is considered full-time and retains the right to all benefits, office space, and committee assignments. Salary paid to the individual will be pro-rated based upon factors including course load, committee appointments, and other responsibilities the individual maintains as a faculty member at the College. Faculty members on phased retirement will be paid 80 percent of their regular salary for teaching three courses and 60 percent of their regular salary for teaching two courses.

A tenured faculty member who seeks to participate in the College's Phased Retirement Program should contact the Dean of the Faculty's office and will be required to complete an election form and general release agreement.

13.3 TERMINATION OF EMPLOYMENT BY THE COLLEGE IN THE EVENT OF LONG-TERM MEDICAL DISABILITY

In the event that faculty members, due to illness or disability, are unable to return to their regular duties after three (3) years, which time period shall not commence earlier than March 15, 2008, the College shall have the right to terminate their employment. Termination of an appointment with tenure, or of a probationary or special appointment before the end of the period of appointment, because of physical or mental disability, will be based upon clear and convincing medical evidence that the faculty member, even with reasonable accommodation, is no longer able to perform the essential duties of the position. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position (including that faculty member's medical prognosis) and to respond to the evidence. If the faculty

member so requests, the evidence will be reviewed by the Appointment, Promotion, and Tenure Committee before a final decision is made by the Board of Trustees on the recommendation of the administration and the APT Committee. All tenured faculty members whose employment status is terminated as a result of this policy are automatically granted emeritus status.

Approved by the Faculty, February 8, 2008

13.4 FACULTY MEMBERS' RELATIONSHIP WITH THE COLLEGE POST-RETIREMENT

13.4.1 CONFIDENTIALITY

Any duty to maintain confidentiality incurred while a faculty member of the College continues after separation.

13.4.2 EMERITI STATUS

Emeritus status is automatically conferred on all tenured faculty members upon retirement.

13.4.3 EMERITI TEACHING

After termination of tenure, emeriti may teach courses for the College depending upon need. Compensation would be at a rate determined by the Dean of the Faculty. Emeriti may advise senior theses, upon recommendation of the department chair, at a rate negotiated with the Dean of the Faculty on the condition that a second reader is procured.