

**Claremont McKenna College  
Guidebook for  
Department Chairs**

**Office of the Dean of the Faculty  
February 2009**

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## **Introduction**

Departmental Chairs are elected by the regular faculty of their academic departments to represent the department in the College, to assure the ongoing organization of the department, to serve as the Chair of department faculty meetings, and to undertake a number of administrative tasks on behalf of the department.

This guidebook provides a general overview of the customary activities of Department Chairs. Since many departments have their own written bylaws or unwritten customs, Chairs will often find it helpful to consult with former departmental Chairs regarding appropriate practices; administrative staff personnel assigned to specific departments can also be a valuable source of information and institutional memory. Chairs are always welcome to make enquiries about procedures to the Dean of the Faculty's office.

Although this guidebook sets forth information that is up to date as of February 2008, it is always possible that certain policies and procedures will be revised from time to time.

## **I. Curricular Issues**

### **1. Staffing and course schedules.**

A Department Chair:

- ensures that sufficient sections are offered each semester of core courses, lower-division courses, and upper-division courses, as well as Freshman Humanities Seminars if the department has committed to teaching such;
- checks whether faculty members are teaching their required course load;
- monitors course enrollment figures. Courses without at least six CMC students are subject to cancellation and courses should not exceed assigned enrollment limits (except in consultation with the Dean of the Faculty's office and Registrar).
- coordinates the department's teaching schedule so as to minimize scheduling conflicts, especially for necessary courses;
- maximizes student opportunities to take necessary courses and to utilize facilities efficiently;
- coordinates the department's schedule of sabbaticals and leaves for the next three to five years (see section V-1);

In roughly the fourth week of the semester, Chairs will receive a call from the Registrar's office for departmental schedules for the following semester, which call they will forward to their faculty. In the Spring semester, the Registrar will simultaneously ask for anticipated course offerings for the following Spring. Normal procedure is to collect faculty teaching preferences, negotiate whatever adjustments are necessary, and submit the department's schedule to the Registrar's office by roughly the sixth week of the semester. Consultation with the Dean of the Faculty may also be necessary to assure coverage of critical College priorities.

Primary contact: Registrar

Secondary contact: Dean of the Faculty

### **2. New course proposals:**

Proposals for new courses or substantial revisions of old courses made by faculty members in the department are usually forwarded to the curriculum committee by the Department Chair. Some departments have their own internal curriculum review process prior to advancing the proposal to the Curriculum Committee and some departments rely on the Chair to perform such reviews. The Curriculum Committee's recommendation will then be brought to the full faculty, and the Department Chair may be asked to explain or clarify the proposal. The New Course Proposal form can be found at

<http://www.claremontmckenna.edu/dof/forms/word/RevisedCourse.doc> (in Word) or <http://www.claremontmckenna.edu/dof/forms/pdf/RevisedCourse.pdf> (in PDF).

Primary contact: Curriculum Committee via Dean of the Faculty

**3. Waivers for GE requirements and approval of transfer credits for major requirements:**

Department Chairs review and decide on student requests for a waiver or substitution of GE requirements taught by the department and for transfer credit counting toward major requirements. This includes credits taken during study abroad, summer school, or other institutions prior to the student's arrival at CMC. By College rules, transfer courses must be three semester hours or four quarter hours to count as a major or GE course. Typically, each department has developed standards for evaluating such requests.

Primary contact: Registrar

**4. Degree audit:**

During each student's final year, each student intending to graduate is required to undergo a degree audit in which the department Chair or his or her designee reviews the student's academic record and certifies that the student has met the department's requirements for the major. Students typically make appointments with the Chair or his or her designee on an individual basis.

Primary contact: Registrar

**5. Student advising:**

Department Chairs should familiarize themselves with the College's General Education requirements and with their own department's major requirements. Chairs typically coordinate their department's student advising, and usually need to do the following

- Make themselves available to sign forms during pre-registration each semester for their own advisees and for advisees of other members of the department who may not be available (pre-registration takes place about three weeks before the end of each semester);
- Make themselves available, and encourage other members of the department to be available, for freshman/transfer advising during orientation before the fall semester ;

Primary contact: Dean of the Faculty

## **II. College Administration.**

### **1. Curriculum Committee**

Each Department Chair has a vote on the faculty Curriculum Committee, which considers proposals for new courses, substantial course revisions, and new majors, sequences, or other curricular programs. The Committee is staffed by one of the Associate Deans of the Faculty and typically meets once or twice a month. Chairs are asked to set aside a particular time on their calendars that will be available for these meetings when necessary.

Primary contact: Dean of the Faculty

### **2. Committee of Academic Chairs**

The Committee of Academic Chairs is an advisory body for the Dean of the Faculty and the President. It is convened by the Dean at his discretion to solicit input regarding both issues of specialized concern for the Chairs and issues of broader concern to the College, although Chairs may request a meeting to raise and discuss issues of interest to the academic departments.

Primary contact: Dean of the Faculty

### **III. Departmental Administration**

#### **1. Coordination with department's administrative staff**

Each department is assigned an administrative staff assistant from the Faculty Support Center. The Department Chair may coordinate departmental activities with that assistant. The Department Chair, or some designated departmental substitute, should coordinate appropriate departmental activities with this assistant. Such activities might include departmental meetings; departmental hiring actions; and departmental tenure, promotion, third-year review, or post-tenure review paperwork. Please remember that the department's support staff is not private support staff for help with personal work or personal issues.

Primary contact: Department's administrative support staff

Secondary contact: Faculty Support Center supervisor

#### **2. Budgets and finance**

Department Chairs, often working with their administrative support staff, formulate and monitor the departmental budget for operating expenses, including telephones, office supplies, photocopying, and support for faculty members not eligible for Individual Faculty Accounts. Some departments also maintain departmental gift accounts consisting of discretionary funds that are also budgeted by the Chair. November 1 marks the beginning of the budget process for the next academic year. Budgets are on a fiscal year basis that begins July 1.

Requests for check (RFCs) should be processed through the department's faculty support staff. RFC policies can be found at:

<http://www.claremontmckenna.edu/treasurer/formsandpolicies/RFCguide.pdf>

Departmental Chairs should become familiar with the College's policies regarding reimbursement for expenses. Please be aware that expenses for unauthorized purposes will not be reimbursed. (Appendix 1).

Primary contact: Department's administrative support staff

Secondary contact: Associate Director of Academic Affairs (Dean of the Faculty's office)

#### **3. Calling and Chairing department meetings.**

Department Chairs may call meetings of the department's faculty as needed. Departments with written bylaws may also provide an alternative means for departmental members to call a meeting. Meetings are normally Chaired by the Chair of the department. It is recommended that accurate notes of department meetings be taken. When appropriate, Department Chairs may coordinate with support staff for this purpose.

#### **4. Coordinating student awards**

Near the end of each spring semester, departments supply the College with a list of student award winners. Depending on the department, these might include best senior thesis, best graduating senior overall, and special awards traditional in that

department. Department Chairs coordinate the department's award selection process and communicate the results to the Dean of Students office by around May 1.

Primary contact: Dean of Students office

**5. Point of contact for complaints about department faculty**

The Department Chair may become a point of contact for complaints involving a faculty member or members in that department (such as faculty member versus faculty member, student versus faculty member, administrative support staff versus faculty member, or faculty member versus Dean). There are a variety of possible sources for such complaints, including reports of harassment, conflict of interest, or financial wrongdoing; grade disputes; and teaching or secretarial incompetence. When confronted with a complaint, the Chair should:

- never summarily dismiss a complaint;
- take good notes of all meetings regarding the complaint;
- promptly refer the matter to the Dean of the Faculty's office and/or Human Resources office (or refer the complainant/s directly to the appropriate office/s) unless posted policies indicate otherwise;
- become familiar with posted procedures, if any, related to the complaint. For example, the Faculty Handbook includes sections on harassment (10.6), conflict of interest (10.2), reporting of financial misconduct/confidential whistleblower's policy (10.5), and grade disputes (5.5.7), as well as a general process for grievances (4.4).

Primary contacts: Dean of the Faculty; Human Resources

**6. Annual performance reviews of faculty members**

The Department Chair receives the annual performance reports from each department's faculty members (who also send a copy to the Dean of the Faculty). The due date for these reports is usually around December 1. Early in the spring semester, the Chair consults with the Dean and discusses each member of the department on the basis of the reports, teaching evaluations, and any other sources of information that might be appropriate.

Primary contact: Dean of the Faculty

**7. Monitoring teaching performance of department members**

Department Chairs review teaching evaluations as part of the annual performance review and serve as a contact person for students who wish to convey their views about their professors. If the Chair notes problematic or poor teaching performance, he or she should discuss these concerns with the faculty member and work with the faculty member to devise a strategy for improvement, possibly with input from the Dean of the Faculty and/or other members of the department. While not a typical practice, the Department Chair or designee/s may ask or be asked by the faculty member to observe the faculty member in the classroom. Early and consistent feedback to the faculty member is important. Monitoring of the teaching of junior tenure-track faculty is discussed more thoroughly in the

Faculty Handbook in sections dealing with mentoring and annual performance reviews.

Primary contact: Teaching Resources Center

#### **8. Post tenure review**

The College has a post-tenure review policy requiring a review of tenured faculty members about every seven years after receiving tenure. The Chair of the department usually serves as one of three members of the review committee unless the Chairman is also under review or is at a lower academic rank than the faculty member. (See Faculty Handbook section 3.2.6.)

Primary contact: Dean of the Faculty

#### **9. Grade disputes**

In the event of a grade dispute, if the faculty member and student cannot reach a mutually agreeable conclusion, the Chair of the department is called upon to work with the Dean of the Faculty. If the dispute continues, the Dean will appoint a committee to adjudicate, one member of which will be the departmental Chair (Appendix 2).

Primary contact: Dean of the Faculty

#### **10. CMC Catalogue**

Department Chairs should submit all changes to the department's section of the CMC Catalogue by April for the following academic year catalogue.

Primary contact: Assistant Dean of the Faculty

#### **11. Coordination of reports**

Department Chairs may be asked to coordinate departmental self-study or planning reports for external reviews, the College's Strategic Plan, WASC accreditation, or others.

Primary contact: Dean of the Faculty

#### **12. Information source for faculty members**

Department Chairs are often relied upon by the department's faculty members as a source of information regarding College policies or resources. Questions about College **policies** can be answered by consulting the Faculty Handbook or contacting the Dean of the Faculty's office. If asked about **research funding opportunities**, Chairs can direct faculty members to the Dean of the Faculty's office, which distributes research funds through the Faculty Research Committee; the Office of Sponsored Research, which helps faculty members seek government grants; the Office of Foundation and Corporate Relations, which helps faculty members seek private research funds; and the College's research institutes, several of which offer research funds to CMC faculty. Some departments also have departmental research funds disbursed at the discretion of the Chair.

## IV. Appointments, Promotion, and Tenure

### 1. Hiring and Appointments

- a. **Requests for hiring authority.** The formal process of approving searches begins at the end of the spring semester when departmental Chairs present their department's requests at a meeting attended by all departmental Chairs, APT-EC, the Dean of the Faculty, and the President. Subsequently, the Chair is notified by the Dean in writing whether the department's request was approved.
- b. **Job advertisement.** Once a search is approved, the Chair works with members of the department and the Dean of the Faculty to devise wording for the job advertisement, including required boilerplate language. The Chair also works with administrative support staff to place the advertisement in the appropriate venue/s in a timely manner.
- c. **Constituting a search committee.** In accordance with the customs or written procedures of each department, the Chair appoints a search committee to review applications. Depending on the nature of the position and the department, the Chair may also ask faculty members in affiliated areas of study outside of the department to serve on a search committee. In instances of a search for an endowed Chair, the Dean of the Faculty establishes the search committee. These issues will normally be decided over the summer.
- d. **Oversee the search.** The Chair of the department monitors the progress of the search and may be called on by the Dean to provide occasional progress reports. The Chair calls the departmental meeting to consider the search committee's recommendations when it is ready to present them, and may call other meetings related to the search as necessary.
- e. **Hiring report.** The Chair of the department notifies the Dean of the Faculty of the department's recommendation once an appointment is decided upon. He/she submits a formal hiring report to the Dean and APT-EC. In the words of the Faculty Handbook,  
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.

For a thorough discussion of the appointment process, see Faculty Handbook Chapter 3, sections 3.2.2, 3.2.3, and 3.3.

Primary contact: Dean of the Faculty

## 2. Mentoring

Department Chairs ensure that all departmental obligations under the College's mentoring policy for junior faculty are fulfilled. At the request of a junior faculty member, a Chair may assign a senior faculty member as a mentor. (See Appendix 3.)

Primary contact: Dean of the Faculty

## 3. Annual junior faculty progress meetings

Departmental Chairs coordinate, as needed, an annual set of meetings aimed at assessing the progress toward tenure of junior faculty members. These include a) an annual meeting of the department's senior faculty to discuss the department's junior faculty, and b) an annual individual meeting of the Dean, Department Chair, and each junior faculty member.

## 4. Third year reviews

Working with the Dean of the Faculty's office, Department Chairs initiate and help to complete third year reviews for tenure-track faculty who are seeking a contract renewal. The Chair appoints a review committee from among the faculty of the department, monitors their progress, and presents their report to the APT. (See Appendix 4.)

Primary contact: Dean of the Faculty

## 5. Tenure and promotion

- a. **Departmental tenure standards.** The Chair maintains and distributes the department's standards for tenure and promotion. The Chair should see that junior tenure-track faculty are given a copy of the standards and that subsequent discussions keep those standards in view. From time to time, the Chair may also ask the department as a whole to consider its standards with an eye to revision. Such changes will then be reviewed and discussed by the APT Committee.
- b. **Departmental tenure and promotion reports.** The Chair appoints a committee (including a committee chair) to research and write the report, ensures that outside evaluators are successfully solicited, and monitors the committee's work for timeliness and thoroughness. Guidelines for the preparation of candidate materials and departmental reports are available in electronic form from the Dean of the Faculty's office. (Appendices 5 and 6.)
- c. **Departmental action.** Once the report is completed, the Chair calls a meeting of the eligible voting members of the department to consider the report and make a recommendation. He or she then conveys the recommendation to the Dean of the Faculty.
- d. **Representing the department at APT.** The Chair of the department presents the tenure or promotion candidate's case to the Appointment, Promotion, and Tenure Committee at the appropriate time after the department's recommendation to the Dean has been made.

For a thorough discussion of the tenure and promotion process, see Faculty Handbook Chapter 3, sections 3.2.4 and 3.2.5.4 to 3.2.5.8.

Primary contact: Dean of the Faculty

**6. Visiting faculty**

The Department Chair should identify temporary staffing needs and requests authority from the Dean to hire visiting faculty. Visiting faculty are hired in accordance with the procedures laid out in the Faculty Handbook (section 3.3).

Primary contact: Dean of the Faculty

## **V. Leaves/sabbaticals**

### **1. Monitoring leaves**

As part of the process of course staffing, the Chair monitors sabbaticals and non-sabbatical leaves by the department's faculty members. Chairs are advised to maintain a long term plan for future leaves and replacements. The Chair is expected to promote a sabbatical schedule that is mutually beneficial for the faculty members and the College. Chairs should also ensure that junior faculty are informed of when they are eligible for junior research leaves.

Primary contact: Dean of the Faculty

### **2. Review applications**

To both facilitate departmental planning and mentoring of faculty, Department Chairs are asked to review all sabbatical and junior leave applications before they are forwarded to the Faculty Research Committee or APT-EC. Chairs should encourage faculty to address any serious shortcomings in those applications.

## **VI. The Chair's Role in the Summer**

### **1. Transition of new faculty**

It is customary in most departments for Department Chairs to greet new faculty shortly after they arrive, let other faculty know their new colleagues have arrived, and assist new faculty with their transition, if only as a resource of information.

### **2. Emergency short-term hiring**

Occasionally, last-minute enrollment pressures will require that course offerings be expanded over the summer before freshman registration. In those cases, the Registrar will notify the Dean of the Faculty, and the Dean's office will notify the Department Chair. At that point, the Chair arranges for the hiring of visiting faculty within the parameters set by the Dean. Usually this will involve adding some number of sections of introductory courses.

Primary contact: Dean of the Faculty

### **3. Advising**

Chairs usually assist with or designate members of their department to advise incoming transfer and freshmen students during the last week of summer vacation.

## **VII. Conditions of Office**

### **1. Term**

Department Chairs typically serve a fixed term that varies depending on the customary practices or written rules of each department. Eligibility for consecutive terms also varies from department to department.

### **2. Compensation**

Compensation for departmental Chairs is determined in consultation with the Dean of the Faculty.

## **VIII. Approximate Academic Year Timeline**

- July 1            Beginning of academic year  
Beginning of term of new Department Chairs  
Tenure and promotion materials given to DOF by candidate
- July 15           Department mails tenure and promotion materials to outside evaluators
- July/August      Chairs may be notified that short-term emergency hiring is necessary
- September 1     Tenure and promotion external evaluator letters due
- September 15   Call for Spring 09 courses from Registrar's office  
Call for sabbatical applications for following AY  
Degree audits for graduating seniors completed
- October 1        Departmental tenure and promotion reports due
- October 15       Departmental S 09 course schedule due to Registrar's office  
Sabbatical applications due to Faculty Research Committee or APT/EC
- November 15    Departmental budget process for 2009-2010 begins
- December 1      Annual faculty reports and updated CVs due  
Draft post-tenure review reports due
- February 1       Chairs' meetings with Dean to discuss faculty performance reviews should  
be completed  
Post-tenure review committees meet with reviewed faculty members
- February 2       Call for F 09 and anticipated S 10 courses from Registrar's office
- February 15      Final post-tenure review reports are due
- February 27      Departmental F 09 and anticipated S 10 course schedule due to Registrar's  
Office
- April             All CMC Catalog changes due to Dean of the Faculty
- Mid-May          Meeting with Dean and President to discuss AY 2009-2010 searches
- June 1            Candidates for tenure and promotion inform the department and Dean that  
they intend to seek tenure and promotion in the following academic year

## **Resources**

Hecht, Higginson, Gmelch, and Tucker, *The Department Chair as Academic Leader* (American Council on Education, 1998)

Lucas, *Strengthening Departmental Leadership* (Jossey-Bass, 1994).

**APPENDIX 1**  
**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](http://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](http://www.gsa.gov/mie).

<b>M&amp;I Rates for 2008</b>	<b>\$39</b>	<b>\$44</b>	<b>\$49</b>	<b>\$54</b>	<b>\$59</b>	<b>\$64</b>
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.

## APPENDIX 2

### Grade Disputes

The instructor is the person best qualified to determine grades in a course. However, if a student believes that the assigned grade does not fairly reflect the quality of the work completed, the student may initiate a grade dispute procedure as follows:

1. The student must first talk with the instructor. If an error has been made, the instructor may submit a grade change in writing to the Registrar.
2. If, after talking with the instructor, the student is still not satisfied that the work has been fairly appraised, the student may appeal to the Dean of the Faculty. The Dean will then discuss the matter with the instructor and the appropriate Department Chair.
3. If a satisfactory conclusion still cannot be reached, the Dean will appoint a committee consisting of the Chair of the department involved, a member of the ASC, and a third person chosen from a list of three tenured faculty members submitted by the student. This committee will make a recommendation to the ASC. The ASC will render a final decision, which will be binding on all parties and which will be reported in writing to the Registrar, the student, and the instructor.

Source: *Statement of Academic Policy and Statement of Academic Integrity*  
<http://www.claremontmckenna.edu/registrar/acpolicy/>

### **APPENDIX 3**

#### **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*

## **APPENDIX 4 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

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***

## **APPENDIX 5**

### **MODEL LETTER TO EXTERNAL EVALUATORS**

Dear Prof. XXX:

Thank you for agreeing to assess the scholarship of Professor YYY. Currently an Assistant Professor of ZZZ at Claremont McKenna College (CMC), Professor YYY is being considered for promotion to Associate Professor with tenure.

Outside peer evaluations constitute an important part of our tenure review process, which follows established norms. We review candidates with respect to teaching, research, and service. We have performance standards for each of the three categories, and a candidate is expected to satisfy the standard for each area. Superior performance in one area cannot offset substandard performance in another.

As a top-ranked liberal arts college, CMC, in addition to placing considerable emphasis on teaching and mentoring of students, also requires high-quality research of our faculty. Given the high teaching and mentoring demands, the expected quantity of research is less than might be expected at some research universities. However, we wish to emphasize that our standards on research *quality* (placement, significance, and impact) are comparable to those of most research universities. Under our policies, candidates for tenure “must have demonstrated mastery of an area of knowledge by making contributions of obvious professional value to their discipline.”

In light of these standards, please comment on the candidate’s scholarship in terms of its significance and contribution to the discipline. It would be helpful if you could compare the candidate’s research quality and professional standing to others who are at similar stages in their careers. If possible, we are interested in your judgment concerning the coherence and sustainability of Professor YYY’s overall research program, as well as HIS/HER expected future contributions. Although our primary interest is in the intrinsic quality of the work, we would also appreciate your assessment of the quality and reputation of the journals and presses which published HIS/HER work. We are also interested in knowing of any professional or personal relationship that you may have with the candidate. Finally, we would appreciate receiving a copy of your own curriculum vitae. Please note that our Faculty Handbook stipulates that we are to “ask the reviewer not whether the candidate would be promoted or granted tenure at the reviewer’s institution but rather for an evaluation of the quality of the candidate’s work and its significance.”

Professor YYY’s portfolio includes HIS/HER curriculum vitae, personal statement on scholarship (written for non-specialists on our Appointment, Promotion, and Tenure Committee), and [LIST OTHER MATERIALS]. If you would like additional information, please let me know, and I will try my best to provide it. You may, of course, focus your review on those aspects of Professor YYY’s scholarship which most closely overlap your own expertise and with which you are most familiar. To keep on

schedule, we would need your review by [30 DAYS FROM THE DATE OF THIS LETTER]. A signed copy on your institutional letterhead should be mailed directly to me (it would also be helpful if you could send the letter by email as soon as it is ready). Under our rules, quotations from your letter without specific attribution may appear in a departmental report, which will be made available to the candidate, but your identity as a reviewer will remain anonymous throughout the process. On behalf of CMC and our department in particular, thank you very much for helping us in this important review.

Sincerely,

DEPARTMENT CHAIR OR SEARCH COMMITTEE MEMBER IN CHARGE OF  
THE REVIEW OF SCHOLARSHIP

## **APPENDIX 6**

### **Instructions to Departments on Cases for Tenure and/or Promotion**

6-2-2009

To make the most useful and credible assessment of candidates for tenure and/or promotion, the following guidelines should be followed:

#### **A. External Letters of Evaluation**

1. Solicit letters of evaluation from the following:
  - a. Four names of arm's length reviewers submitted by the candidate
  - b. As many arm's-length reviewers chosen by the department as necessary so that there are at least five letters in total and at least three from among departmental choices
  - c. The ideal outside referee is one who is objective, credible, and highly respected in his or her field. To the degree possible, reviewers should be full professors.
2. The candidate should have the opportunity to advise the Department chair of names of individuals who might not be suitable referees. The candidate will provide the reasons for submission of those names.
3. The Department's list of potential referees must be drawn up after the receipt of this information from the candidate for promotion and tenure. It is the College's policy to protect the confidentiality of referees during the tenure process.
4. The solicitations should be made by mid-July.
5. Whenever possible, the external evaluators should be asked to submit their reviews within one month of receipt of the materials.
6. External evaluators should be sent the following materials (via Federal Express):
  - a. Personalized model letter (available in the Dean of the Faculty's office)
    - i. With any additional questions that the APT-EC requests to be posed
    - ii. Letter must be approved by APT-EC before being sent
  - b. Candidate's personal statement on scholarship
  - c. Candidate's curriculum vitae
  - d. Full set of the written materials sent by the candidates
  - e. NOT the list of external evaluators

#### **B. Departmental Report**

1. The departmental report is an assessment of the candidate's qualifications for tenure and/or promotion; it is not an advocacy document.
2. In addition to the standard aspects of assessment, the departmental report must address specific issues and questions that the APT-EC poses. It must also, where feasible, provide a reasonable representation of both majority and minority views in

the department.

3. Under normal circumstances, the departmental report should be submitted to the APT-EC no later than October 15. In cases when the tenure process begins 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.

4. The departmental report should have the following sections 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. Assessment of teaching, including:

1. findings from student interviews (preferably 12-15 randomly selected)
  - a. indicate number of interviews
  - b. copy of the interview assessment form
2. assessment of course evaluations
  - a. indicate number of evaluations
  - b. provide a tabular comparison of the candidate's numerical scores with departmental and College averages controlled for core courses 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. This information and accompanying analysis must include all courses taught by the candidate at CMC.
3. comparison of candidate's grading stringency with departmental and College-wide averages
4. rigor of the courses, as indicated by, among other things, the course syllabi
5. Comments solicited from alumni who are former students of the candidate.
  - a. randomly selected
  - b. 10-12 responses advisable
  - c. indicate number of responses and number of requests for responses
  - d. copy of the solicitation for alumni input
  - e. summary of alumni responses (full copies of alumni responses should be kept on file by the Department along with student

interview notes)

6. Optional in-class observation of the candidate by departmental colleagues, to be determined by the department.

D. Assessment of scholarship, including

- b. Description in jargon-free language of the candidate's research.
- c. Assessment of 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). It may, but does not have to, refer to press and journal quality or impact as measured by citations.
- d. Evaluation of the candidate's past scholarly productivity and future research agenda and scholarly potential (including the degree to which recent work is based on the dissertation)
- e. Summary of the evaluations (as well as the names, scholarly credentials and relationship, if any, to the candidate) of the outside reviewers on the candidate's scholarship. Individual comments from reviewers must not be attributed, and the names and identifying characteristics of reviewers must be redacted when the departmental report 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.
- f. For tenure decisions, the assessment of scholarship should be cast in terms of the Department's stated tenure standards. (These standards in their entirety should be included as appendix to the report.)

E. Assessment of service contributions to:

- i. Department
- ii. CMC
- iii. Claremont Colleges
- iv. Discipline(s)
- v. Public service, including media
- vi. Other
- vii. Comparison of the candidate's level of service to the norms of the Department, taking into account which service opportunities have been available