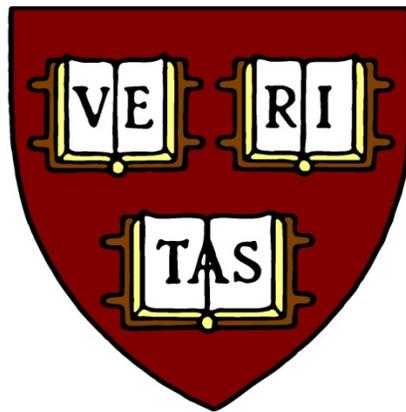


# **Information for Department Chairs in the Faculty of Arts and Sciences**



**Harvard University**

**2021-2022**

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## Introduction

This guide is designed to help department chairs<sup>1</sup> in the Faculty of Arts and Sciences (FAS) get acquainted with different aspects of their job. It is not a comprehensive manual. It's a quick orientation, with pointers on where to go for more information.

Department chairs play a key role in the life of the department and in the leadership of the FAS. Each year, working with their departmental colleagues and FAS administrators, they:

- Develop an academic plan, including a curricular plan for both undergraduate and graduate education
- Search for and recruit new faculty
- Review and promote existing faculty
- Oversee the process for graduate student admissions
- Advise their divisional dean and the Edgerley Family Dean of the FAS (FAS Dean) on the setting of the departmental budget and the allocation of physical space
- With the Department Administrator, provide financial oversight, which includes managing the departmental budget and the use of other resources,
- With the Departmental Administrator, supervise administrative staff and oversee their annual reviews
- Ensure mentoring of tenure-track faculty
- Write letters in support of fellowships and awards for graduate students and faculty
- Keep the department organized and informed through regular department meetings and social occasions that help to build community
- Resolve departmental disputes.

The department administrator can be an enormous help, armed with practical knowledge and institutional memory. Department administrators provide real continuity in the life of the department. Chairs should stay in close and regular contact with their administrators. Starting the year off with a frank and full discussion of departmental matters can be helpful for both the administrator and the chair.

A good department chair can do a great deal to advance teaching and research at the FAS and to foster a sense of community within the department. The efforts of chairs are invaluable.

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<sup>1</sup> Throughout *Information for Department Chairs in the Faculty of Arts and Sciences*, the term “department chair” also refers to area chairs at the Harvard John A. Paulson School of Engineering and Applied Sciences (SEAS), and the term “division” also refers to SEAS.

**Note:**

Department Chairs are now responsible for responding to a union grievance from a student worker. A grievance is any dispute concerning the interpretation, the application, or claimed violation(s) of a specific provision(s) of the [collective bargaining agreement](#). Chairs must meet with the grievant(s) and the Union representative within five business days in an effort to resolve the grievance and have five business days to provide a written response. It is strongly suggested that department chairs should contact the Office of Labor and Employee Relations for guidance as soon as they receive a grievance from the union.

To minimize the likelihood of a grievance, department chairs should remind faculty about the union agreement and encourage that they become familiar with it, as it covers many aspects of student worker employment. For example, under Article 19, a unionized student worker cannot be suspended or discharged without written notification and a disciplinary hearing. Questions about this new role and about the union agreement should be directed to [the Office of Labor and Employee Relations](#).

# **Curricular Planning**

## **Curricular Planning**

Departments typically begin their curricular planning in the early fall. Chairs should work with their directors of undergraduate studies, directors of graduate studies, department administrators, and faculty colleagues to develop a plan that considers course coverage, field coverage, and faculty leaves.

In an effort to bring curricular planning more directly in line with the larger academic planning process, the academic deans will use the Fall Department Overview Meeting with each department as a time to talk about curricular planning in the context of a broader planning conversation. This meeting will be held in either October or November and is convened by the divisional dean and may include representation from the College, Graduate School of Arts and Sciences (GSAS), and the Office for Faculty Affairs.

### **What should a curriculum cover?**

Departments are responsible for offering a broad range of courses that include:

- Courses essential for the undergraduate program (i.e., for concentrators, for those interested in concentrating, for undergraduates in neighboring programs that require courses in your program, and for secondary fields, if applicable)
- Courses essential for graduate students in the program and neighboring programs
- Courses for the Program in General Education and Freshman Seminars.

The curriculum should ideally be coherent, integrated, and progressive, rather than simply a collection of courses. In other words, the map of the departmental curriculum should be clear to students. Most departments have a curricular committee, consisting of both tenured and tenure-track faculty, to plan and oversee the department's offerings.

Note: Chairs should bear in mind the importance of equity in the teaching loads of tenure-track and tenured faculty. Moreover, remember that, in order to maximize the opportunities for tenure-track faculty to demonstrate their teaching skills, these faculty should be allowed and encouraged to teach a wide variety of courses (e.g., large undergraduate classes, graduate seminars, specialized undergraduate classes) and to work with both undergraduate and graduate students before their promotion reviews. Tenure-track faculty members are reviewed for promotion in the penultimate year of their appointment.

Note: FAS policies on absence, leave and parental teaching relief are clearly outlined in the "Faculty" chapter of this guide, in the section entitled "Absences, Leaves, and Parental Teaching Relief for Faculty." Chairs should be aware of anticipated absences in planning their curricula.

### **How does curricular planning intersect with other processes?**

Curricular planning will have an impact on, and will inform, several other processes involving various offices, as follows:

- Granting of leaves for faculty members (Office for Faculty Affairs)
- College-wide academic planning (Office of Undergraduate Education)
- Appointing of graduate student teaching fellows (Office of Undergraduate Education and GSAS)
- Appointing of teaching assistants (Office of Undergraduate Education and GSAS)
- Scheduling courses and listing them in the course catalog (Office of the Registrar)
- Academic advising of students (Advising Programs Office).

The courses offered each year affect decisions about faculty leaves of absence. Early information about course offerings also helps to determine the number and distribution of graduate student teaching positions. Timely information related to course offerings enables the Registrar to schedule all FAS classes and to accurately publish listings in the course catalog. Timely submission of curricular information also helps advisers provide students with sound academic advice.

# **The Undergraduate Program**

## The Undergraduate Program

NOTE for Academic Year 2021-22: While it is anticipated that instruction will largely be in-person in AY 21-22, departments will be receiving guidance from the Office of Undergraduate Education, the Advising Programs Office and the Office of Academic Integrity and Student Conduct about how procedures and policies may be adjusted for any new enrollment or ongoing remote-learning scenarios. Please feel free to contact any of the offices referenced below with questions.

Departments play a fundamental role in defining and supporting the undergraduate academic program of Harvard College. Through a host of offerings and activities, the department provides a web of connections to students both within and outside the concentration. These activities and offerings include: (1) course offerings that satisfy in-depth study of a specific area, as well as courses that cover the field more broadly; (2) responsibility for the quality of teaching in courses taught by its faculty and supported by its graduate students, including appropriate discussions about academic integrity; and (3) advising responsibilities that span pre-concentration conversations through discussions about whether or not to embark on a senior thesis.

- 1) It is important that the department each year consider its course offerings so as to ensure adequate coverage of all areas, both to meet the needs of the concentration and to support the broader curricular requirements of the College. To that end, departments will need to support:
  - Courses that are essential to the intellectual and pedagogical goals of the concentration and, if applicable, secondary field
  - Courses from which concentrators may choose in order to satisfy additional elective requirements
  - Courses that meet the needs of those considering a concentration or secondary field
  - Courses that fit in the curricula of the Freshman Seminar Program and the Program in General Education
  - Courses that are required by closely related fields
- 2) The department furthermore plays an essential role in ensuring consistent and strong teaching in the courses that it supports and must make sure that teaching assistants and graduate student teaching fellows are properly trained and supervised in their teaching. The Derek Bok Center for Teaching and Learning offers a teaching orientation session each semester for new and returning teaching fellows and teaching assistants to which departments are encouraged to send their TFs and TAs. In addition to a wide range of workshops on various pedagogical topics, the orientation also includes training in professional conduct, which is strongly encouraged for those teaching fellows and teaching assistants who will be teaching undergraduates. Additionally, many departments offer their own training in various teaching skills, including graduate courses in pedagogy to TFs. Some departments also participate in the Bok Center's departmental Pedagogy Fellows program, for further support of graduate

student TFs. (For information on these programs, contact the Derek Bok Center for Teaching and Learning.)

Departments are also responsible for ensuring that undergraduate course assistants are properly trained and supervised in their work. Considerations on the appointment of undergraduate course assistants may be found in [Information for Faculty](#).

Incoming graduate students who are not native speakers of English and who have not received their undergraduate degree from an English-speaking institution are required by the Graduate School of Arts and Sciences (GSAS) to be tested for English proficiency. More information about this test and about support for students who need help in their proficiency in English can be found later in this handbook (see the “The Graduate Program: Other Aspects”) or by contacting the GSAS.

Responsibility for teaching includes training undergraduates about academic integrity and the relevant standards for citation, collaboration, and the integrity of research that are central to each discipline. Departments should also make sure that their faculty and instructional support staff (graduate student teaching fellows, teaching assistants, and undergraduate course assistants) understand College policies regarding academic integrity and the Honor Code at Harvard College. Information about the Honor Code may be found [here](#). Questions about the Honor Code and requests for support should be directed to [honorcouncil@fas.harvard.edu](mailto:honorcouncil@fas.harvard.edu).

- 3) Finally, the department is responsible for advising those students who choose to concentrate in the department, as well as those pre-concentrators who are considering concentrating in the department. For concentrators, the advising role includes discussions about intellectual interests, course requirements, and senior thesis plans. Pre-concentrators may also need departments’ guidance to make wise choices for their individual academic goals.

For questions about the undergraduate academic program, chairs should feel free to contact the Office of Undergraduate Education:

Dean of Undergraduate Education, 617-496-7546

### **Changes to concentration or secondary field requirements**

The Standing Committee on Undergraduate Educational Policy (formerly and still widely referred to as the Educational Policy Committee or EPC) reviews and approves all changes to concentration and secondary field requirements. The EPC also reviews any proposals for new concentrations or secondary fields. The process for reviewing changes to existing programs usually occurs during the early part of the spring term so that changes will appear in the following year’s edition of “Fields of Concentration” and “Secondary Fields” in the *Handbook for Students*.

For questions about the EPC and reviews of concentrations and secondary fields, chairs should feel free to contact Sarah Champlin-Scharff, Director of Academic Policy (617-496-2657; [scharff@fas.harvard.edu](mailto:scharff@fas.harvard.edu)).

### **What are the duties of a Director of Undergraduate Studies?**

The director of undergraduate studies (DUS) is responsible for ensuring the coherence of all aspects of the undergraduate program in the department, including concentration, secondary field(s), course planning, and the honors program and for overseeing both concentration and pre-concentration advising.

Working with the chair and with other faculty members in the department, the DUS should be involved with curricular planning and making sure that the courses needed for the concentration are adequately and appropriately represented. With the rest of the department, he or she will be mindful of the staffing needs and pedagogical issues of these courses, particularly the tutorials (in departments with a tutorial program).

The DUS oversees the advising program in the concentration. They will be an important resource to students who are already concentrators and those who are considering the concentration (or secondary field). The DUS should be able to advise students on the intellectual content of the field, in addition to giving students information about the mechanics and structure of the program. They also play a key role during formal outreach events, such as the Academic Fairs during Orientation and in the spring term as part of Exploring Fields of Study (formerly called “Advising Fortnight”). The DUS should be familiar with both the broader [College Curriculum](#) and the department’s specific requirements and procedures.

The DUS is an important resource for students, and students may seek advice from the DUS that goes beyond the specific academic program. The DUS should be aware of the academic support services offered through the [Academic Resource Center](#) and [Accessible Education Office](#) as well as other support services available to students in the College including, [Counseling and Mental Health Services](#) through the University Health Services. Similarly, the DUS should know when and how to contact an Allston Burr Resident Dean about a student who may be having personal or academic difficulties. The House staff directory is available [here](#). The relevant advising team for a particular student can be found in the student’s my.harvard record. The DUS is encouraged to direct advisers to use the Advising Journal in my.harvard to share information about a student with the advising team members.

Questions about the [Advising Programs Office](#), advising resources generally, and academic support for undergraduates may be directed to [advising@fas.harvard.edu](mailto:advising@fas.harvard.edu).

### **What is a department’s role in advising?**

Each department plays an important role in pre-concentration advising, as well as advising for students after they enter the concentration. Pre-concentrators are advised in general terms by

their first-year and sophomore academic advisers. However, departments reach out to first-year students at events throughout the first year and especially during “Exploring Fields of Study” in the spring. All first-year students are required to document an advising conversation in their second semester. During the sophomore year, academic advisers send students to departmental advising teams to learn more about the concentration and the field. Students then make their concentration choice in the late fall of their second year.

Once a student chooses a concentration, their primary academic adviser will be assigned based on the policies of the concentration. Many concentrations advise using a team approach: the director of undergraduate studies (DUS), assistant director of undergraduate studies (ADUS), and undergraduate coordinator (UGC) advise students, splitting duties as needed depending on the student, situation, and time. Some concentrations make use of House tutors in their department, advising students by House and coordinating with the Faculty Deans in the hiring process.

For more information on the College’s advising programs and resources, please visit the Advising Programs Office [website](#).

### **How does one handle student disciplinary cases?**

The Faculty approved the Honor Code in May 2014, and it was launched in Fall 2015. The Honor Code is as follows:

#### *Harvard College Honor Code*

*Members of the Harvard College community commit themselves to producing academic work of integrity – that is, work that adheres to the scholarly and intellectual standards of accurate attribution of sources, appropriate collection and use of data, and transparent acknowledgement of the contribution of others to our ideas, discoveries, interpretations, and conclusions. Cheating on exams or problem sets, plagiarizing or misrepresenting the ideas or language of someone else as one’s own, falsifying data, or any other instance of academic dishonesty violates the standards of our community, as well as the standards of the wider world of learning and affairs.*

Students are asked to affirm their awareness of the Honor Code as they enter the College. More information about the Honor Code is available on the [Honor Code website](#).

Violations of the Honor Code and of rules on academic integrity and academic dishonesty are reviewed by the [Honor Council](#), which was launched in Fall 2015. Concerns about violations of the Honor Code or rules on academic integrity and academic dishonesty may be referred to the Honor Council by any member of the community, including an undergraduate student, member of the Faculty, other officer of the University, staff member, or other community member. A complaint or charge can be made in writing directly to the Honor Council or to the Allston Burr Resident Dean, or the Danoff Dean of Harvard College. All complaints must be referred to the Honor Council.

Chairs should be aware—and can inform faculty colleagues—that *faculty rules require that individual faculty members not attempt to resolve certain kinds of cases on their own*. If a faculty member has questions or concerns about a student’s possible academic dishonesty, neglect of course work, or unsatisfactory performance in other ways, or if the student requests alternative exam accommodations or extension of a deadline beyond the semester, the faculty member should contact the student’s resident dean or the [Office of Academic Integrity and Student Conduct](#) (formerly the Office of the Administrative Board).

It is important to note that faculty legislation allows for wide variation in response to academic dishonesty. In some instances, the faculty member may determine, in consultation with the Honor Council, that a local sanction (within the course) is appropriate. *Please note, however, that even if a faculty member believes that a local resolution is warranted, the case must still be reported to the Honor Council for purposes of tracking*. If it is agreed that a local, in-class sanction is appropriate, the faculty member will have access to information as to how similar offenses have been treated in the past.

Brett Flehinger, Associate Dean of Academic Integrity and Student Conduct, can be reached at [honorcouncil@fas.harvard.edu](mailto:honorcouncil@fas.harvard.edu) to answer questions regarding the above scenarios. The Secretary will keep the faculty member informed about any actions of the Honor Council and will discuss appropriate responses with you, as chair, and with the faculty member.

### **Administration of final exams in the FAS**

The FAS has replaced the former Reading and Exam Periods with a newly defined [Reading Period and Final Project Period](#). The change clarifies the purpose and uses of the Reading Period. It also allows greater flexibility for faculty who choose to use an alternative means of final assessment to the traditional 3-hour final examination. This change went into effect in the fall of 2014.

The most important things to remember are the following:

- With the exception of designated intensive language courses, **no regular instruction may take place during Reading Period**. Sections and review sessions may take place during Reading Period, as may class sessions that must be made up due to weather or other emergencies that occurred during the regular term.
- Courses may not assign new material during Reading Period.
- All final exams (of whatever length) must take place during the examination slot assigned by the Registrar.
- All final papers, projects, take-home assignments, etc., must be due on or before the day of the assigned Exam Period.
- Final papers, take-home exams, projects, presentations, and other culminating course assignments due after the end of regular classes must be due on or before the day of each course’s assigned Examination Group, but no earlier than the fourth day of

Reading Period. Final projects that include individual or group presentations may be scheduled beginning on the fourth day of Reading Period and may extend through the Final Examination and Project Period.

- Short, regular assignments that address material covered in the last two weeks of classes (such as problem sets or response papers) may be due during the first three days of Reading Period.

Questions about this policy may be directed to the Office of Undergraduate Education, (617-495-0450, [oue@fas.harvard.edu](mailto:oue@fas.harvard.edu)).

Questions about the policy that specifically concern courses taught in the Program in General Education may be directed to the Program in General Education, (617-495-2563, [gened@fas.harvard.edu](mailto:gened@fas.harvard.edu)).

# **The Graduate Program**

## **The Graduate Program**

GSAS students are at the center of Harvard's research mission, conducting their own academic study while connecting with faculty throughout the University and with undergraduates. Chairs are integral in developing an environment where graduate students may thrive and grow.

Through leadership of the department and in partnership with directors of graduate studies, chairs provide support to the graduate program by:

- Overseeing the process for graduate student admissions and ensuring that cohorts reflect multiple, broad perspectives
- Ensuring all faculty are committed to the effective advising of graduate students
- Ensuring an academic climate that fosters success, from class curriculum and research guidance to dissertation support and beyond
- Fostering a diversity of perspectives that promote innovation in the field and sustain a climate in which students can thrive and do their best work
- Providing robust academic and professional development opportunities designed to produce cutting edge scholars ready to lead within academia and beyond
- Preparing students for the evolving nature of the field and for expected employment outcomes
- Offering students an unparalleled and intellectually exciting academic experience consistent with FAS's academic priorities and Harvard's reputation of innovating intellectually
- Assessing time to degree and ensuring retention of graduate students
- Understanding the HGSU-UAW contract as it pertains to graduate student workers and responding to graduate student worker grievances (see page 2).

## **Graduate Admissions**

Selecting graduate students for the incoming class is a significant means by which a department can influence the future direction of a discipline.

The GSAS **Office of Admissions and Financial Aid** coordinates the admissions process for the 58 graduate degree programs offered by the Faculty of Arts and Sciences and in partnership with other Harvard Schools. Applicants submit materials via an online application system, and programs access these files using the application review system. The Office of Admissions and Financial Aid works closely with both applicants and programs during all stages of the admissions process.

GSAS maintains a Graduate Programs SharePoint site shared with graduate program administrators and directors of graduate studies, which includes an admissions section outlining the timeline, procedures, and policies related to graduate admissions. Chairs may find it useful to review this information: reach out to your DA or DGS for access to the content.

### **What is an admissions committee?**

The department chair is responsible for forming an **admissions committee** in the fall of each year. This committee typically includes the director of graduate studies (DGS) and a few other faculty colleagues in the department. While the committee is tasked with selecting new graduate students on behalf of the department; the department and the deans of GSAS share responsibility for making final decisions on admissions.

Department chairs are strongly encouraged to ensure that the makeup of the admissions committee reflects the gender, ethnic, racial, and intellectual diversity that the department strives to achieve. Experience demonstrates that a more diverse graduate admissions committee leads to a more diverse graduate student cohort. In addition, having a pre-admissions discussion with the committee about the definition and importance of diversity, the review process, and, if applicable, the interview process, is critical to maintaining the excellence of the program. The GSAS Office of Diversity and Minority Affairs has prepared a guidebook on reviewing and selecting applicants (which can be found in the Admissions section of the Graduate Programs SharePoint), and the dean of academic programs and diversity is happy to meet with the committee to discuss best practices. To continue to attain and retain a diverse cohort, the dean of academic programs and diversity will meet with the admissions chair and/or DGS to discuss the pool of underrepresented minority applicants. This conversation can take place during the internal admissions process or prior to or after submission of the decision recommendations to GSAS.

### **What is an admissions agreement?**

GSAS and the department enter into an understanding that specifies the dates by which the Office of Admissions and Financial Aid will make admissions applications available to the

department electronically and by which the department will provide decision recommendations for all applicants to GSAS.

### **What is a target number?**

The target number is the number of new students a program is expected to enroll in the upcoming fall semester. This number is determined annually after a careful review of recent admissions cycles and consultation with the deans of FAS and GSAS and the appropriate divisional dean. The determination of the target is also informed by the availability of faculty and multi-year financial resources (including available teaching opportunities), the progress of the program's continuing graduate students, and any noteworthy developments in the department or the field as a whole.

### **How is the number of offers determined?**

GSAS determines the number of offers of admission to be extended by each program. This number is generally based on the recent yield history for each department or program and is calculated such that the expected yield matches the enrollment target.

### **What is the timeline for the admissions process?**

Below is an abridged version of the admissions timeline. For full details on the admissions process and an expanded timeline, please refer to the *GSAS Graduate Programs SharePoint*.

- **In December**, GSAS deans and staff meet with program administrators to discuss policies, procedures, and other issues related to admissions.
- **During December and January**, the Office of Admissions and Financial Aid makes applications available to programs electronically, at which point admissions committees can begin deliberations.
- **Between mid-January and early March** (the precise date is dictated by each program's admissions agreement), programs submit their decision recommendations for each applicant to the Office of Admissions and Financial Aid.
- Once decision recommendations have been submitted, the GSAS deans will promptly review the program's admissions proposal and determine if any decisions warrant further discussion. After the review of decision recommendations is complete, the Office of Admissions and Financial Aid will provide the program with a roster of final decisions for confirmation and final signoff.
- Immediately following confirmation by the Office of Admissions and Financial Aid of receipt of the program's final signoff, programs are encouraged to contact admitted applicants as part of the recruitment effort (see below).
- Three business days after the signoff, the Office of Admissions and Financial Aid sends electronic decision notifications to admitted and waitlisted applicants through the GSAS online application system. Financial awards are also communicated electronically to admitted applicants at this time, if applicable. Denied applicants receive electronic decision notifications within a week of the admit and waitlist notifications.

- **By April 15 at 5:00 p.m.**, admitted applicants are required to respond to the offer of admission.

### **What is recruiting?**

Recruiting is an extremely important part of the admissions process. National competition for the best graduate students is intense, and students who are offered admission to Harvard often have very attractive offers from other graduate schools. *Department chairs, faculty, and staff are encouraged to reach out actively to prospective applicants, welcome admitted students to campus, and help these students learn about their programs and Harvard's other resources. Engaging current students in this process can be helpful.*

GSAS recruits promising students year-round through mailings, attendance at graduate conferences or visits to schools, and other efforts. The *admissions section of the GSAS Graduate Programs SharePoint* offers suggestions on how departments can reach out to prospective applicants as well. Each department develops its own approach to recruiting. Regarding the recruitment of students from underrepresented groups, the Office of Diversity and Minority Affairs is happy to meet with departments.

In March and April, after offer letters have been mailed, both GSAS and individual departments host events for prospective students. These efforts include informational meetings about a variety of issues relevant to new students, such as academics, student life, housing, and resources for underrepresented minority students. Prospective students also have the chance to sit in on classes and meet with faculty members. The Office of Admissions and Financial Aid shares information about GSAS events with admitted students. Departments are encouraged to coordinate their activities with those of GSAS to ensure that students have informative and enjoyable visits to Harvard.

Each year, GSAS holds events for newly admitted students, where prospective students can hear from students about life at GSAS and learn about the resources available.

Once the entering class arrives at Harvard in late August, GSAS holds a series of orientation programs; departments also typically host welcome events.

## **Graduate Student Advising**

As a chair, you can help ensure that the faculty in your department provide their advisees with the guidance they need to successfully navigate their academic training, graduate in a timely manner, and enter the profession of their choosing. Advising graduate students is a privilege, and the relationship faculty mentors develop with them will affect their time at Harvard and their ultimate career.

GSAS students are enrolled in 58 different graduate programs; each student's experience is unique, meaning that each advising relationship is unique. While no single advising approach can be applied universally, several recommendations can be put into practice in all advising relationships. Below are [five best practices](#) developed by [The Advising Project](#) that faculty, students, and graduate programs should enact to enhance the advising experience.

### **Create a Respectful and Inclusive Environment**

Graduate programs and research groups should promote a climate where all students and faculty can thrive. This means creating an environment where members are supported and feel a sense of belonging. Faculty should be especially sensitive to power dynamics and should provide support to advisees as developing scholars and unique individuals. Graduate students should be similarly aware of the power dynamics in their roles as teaching fellows or mentors to other students.

### **Clearly Communicate Expectations**

Students and advisors should engage in transparent, recurring conversations about expectations and outline mutual expectations in areas that include frequency of meetings, communication preferences, and response times for written feedback. Oral or written agreements should be used to make hidden expectations explicit, thereby limiting assumptions that could derail the advising relationship. (See examples in the [Resources section](#) of The Advising Project website.)

Milestones should be clearly communicated and included in program materials. Progress towards the degree should be regularly reviewed.

### **Engage Multiple Mentors**

In addition to the primary advisor, students at all stages of their graduate career should be supported by an advising village that includes multiple mentors. Chairs can work with faculty and staff to support students in identifying additional people to help them to meet their academic and professional goals, such as secondary advisors, committee members, directors of graduate studies, or other staff members. All students, faculty, and administrators should be aware of and encouraged to use GSAS and University resources.

## **Promote Professional Development**

Students should be provided with the support and tools needed to develop the skills required to successfully navigate their graduate career and to prepare them for their chosen profession. Chairs can work with faculty and staff to support career exploration and identification of relevant career resources.

## **Foster Well-Being**

All members of the community should foster an environment that encourages appropriate care for each individual's mental and physical health. Faculty should engage in active listening, keeping in mind that many students have expressed that they are not comfortable opening up about their challenges. Advising can encompass a range of conversations, and although not every advisor will feel able to talk in detail about every issue, they should be responsive when an advisee expresses a need for support in the areas of mental or physical health. GSAS and University resources can help.

Visit [The Advising Project](#) for resources and information about upcoming workshops.

## Diversity

The GSAS Office of Diversity and Minority Affairs (ODMA) collaborates with faculty and staff across departments to identify, recruit, and retain promising scholars and researchers. We strive to foster a welcoming environment for our diverse community by providing resources and programming that enhance inclusivity and create a vibrant learning environment.

ODMA can partner with your department in the following ways:

### Recruitment

- We work with departments in developing and executing a strategic plan for the recruitment of a diverse community of students.
- We participate in GSAS-wide and departmental newly admitted student events.
- We coordinate recruitment efforts with colleagues across departments to connect with prospective students.
- We lead [outreach programs](#) for undergraduates and post-baccalaureate students.

### Admissions

- We distribute materials on holistic admissions and best practices
- We meet with admissions committees to discuss these best practices including delivering workshops on unconscious bias and admissions
- We participate in admissions discussions

### Retention

- We develop initiatives and share best practices for departments to promote retention of students.
- We collaborate with departments to develop workshops and initiatives to promote a supportive and inclusive departmental environment where everyone can thrive.
- Our ODMA GSAS diversity & inclusion fellows work with departments and departmental fellows to identify and address areas of support.
- We support affinity graduate student groups by providing administrative, logistical, and financial support to enable students to focus on welcoming and inclusive programming.
- We serve as a resource, in collaboration with our GSAS colleagues, to graduate students in your department who may be dealing with academic, professional, or personal difficulties.

We look forward to working with you on diversity, equity, inclusion, and belonging efforts.

**Please connect with us:**

*Office of Diversity and Minority Affairs, [gsas\\_odma@fas.harvard.edu](mailto:gsas_odma@fas.harvard.edu)*

*Sheila Thomas*, PhD, Dean for Academic Programs and Diversity, [stomas@fas.harvard.edu](mailto:stomas@fas.harvard.edu)

*Karina Gonzalez Herrera*, PhD, Associate Director of Diversity and Minority Affairs – Division of Medical Sciences and Graduate School of Arts and Sciences, [knherrer@fas.harvard.edu](mailto:knherrer@fas.harvard.edu)

*Katie Saibara*, Ed.M., Program Coordinator, [katie\\_saibara@fas.harvard.edu](mailto:katie_saibara@fas.harvard.edu)

## Student Affairs Directors of Graduate Studies

Chairs work closely with the department director of graduate studies (DGS). The DGS provides an important connection between their department or program and GSAS, and they facilitate graduate student support and engagement with University resources.

The DGS monitors the academic progress of the program's graduate students, including students' satisfactory progress toward meeting degree requirements, and participates in and has some oversight of the establishment, review, and implementation of departmental policies. Although each department and program manage graduate student advising differently, GSAS looks to the DGS to help in establishing and modeling effective advising practices. The DGS is often the conduit of information from GSAS to the chair, other department faculty, and graduate students, and the GSAS dean will from time to time seek input from DGSs on matters of policy.

The DGS fosters an environment that encourages professional development and coordinates programing to support this aim. For example, the DGS may work with GSAS and other campus partners to implement skills workshops or colloquia that helps students develop a strategic, goal-oriented course of study with an advisor, compose a compelling article or chapter for publication, or prepare conference presentations and interviews.

The **my.harvard.edu** system offers a set of tools that allows chairs, DGSs, and department administrators to view student profiles, assign advisors, approve course enrollments, view course and grade reports, designate completion of degree requirements, and record satisfactory progress status for students in their department or program. Instructions for my.harvard can be found at <https://about.my.harvard.edu/help>.

To keep open lines of communication, the deans of GSAS hold regular meetings with DGSs to share news and updates, gather feedback, and discuss, develop, and implement policies and processes.

### **Who at GSAS can help when a student is going through a difficult time personally?**

The **Office of Student Services** is a key resource for students, whether they are having a difficult time or looking to identify a resource outside the department or program for academic, professional, or personal support. Director of Student Services, Danielle Farrell, partners with students to navigate and connect with GSAS, Harvard, and local resources based on the individual student's needs and/or goals. Danielle provides advice and ongoing support and makes referrals to other key campus resources as necessary. In the event of an emergency, Danielle will receive a notification and will reach out to offer assistance to students. She is one of the two Title IX resource coordinators for GSAS and meets with students individually to address questions, discuss options, and provide support regarding sexual or gender-based harassment or other types of sexual misconduct. Whatever the issue, the Office of Student Services is a great place to start. These resources are summarized in the [GSAS Resources](#)

[Handbook](#). The Office of Student Services is located in the basement level of the GSAS Student Center (Lehman Hall). Danielle and her team can be reached at 617-495-5005 or [stuserv@fas.harvard.edu](mailto:stuserv@fas.harvard.edu).

More than 65 percent of all [Counseling and Mental Health Services \(CAMHS\)](#) visits are scheduled by and for graduate students across the University. No concern is too big or too small. Students bring a wide range of concerns to CAMHS for conversation, from relationships with a dating partner, family member, friend, or advisor, to looking into the future and thinking about next steps, to concerns about a friend or family member, or even their own well-being. Students may visit CAMHS on the 4th floor of the Smith Campus Center or call 617-495-2042. Students in the Longwood Medical Area may visit CAMHS located on the 1<sup>st</sup> floor of Vanderbilt Hall or call 617-432-1370. Students can also access [Urgent Care](#) 24/7 on the 3rd floor of Smith Campus Center.

In accordance with the [Interim FAS Policies and Procedures for Addressing Title IX Sexual And Gender-Based Harassment and Other Sexual Misconduct](#), GSAS is committed to maintaining a safe and healthy educational and work environment in which no member of the community is, on the basis of sex, including sexual orientation, or gender identity, excluded from participation in, denied the benefits of, or subjected to discrimination in any University program or activity. Students with questions or concerns regarding sexual and gender-based harassment, and other sexual misconduct, and discrimination should contact a **GSAS Title IX resource coordinator** or the [University's Title IX Coordinator](#). To learn more about their role and workshops offered visit the [GSAS Title IX Resource Coordinator webpage](#).

### **GSAS Title IX Resource Coordinators**

Seth Avakian, Program Officer for Title IX and Professional Conduct (FAS)  
[avakian@fas.harvard.edu](mailto:avakian@fas.harvard.edu), 617-495-9583

Danielle Farrell, Director of Student Services  
[farrell@fas.harvard.edu](mailto:farrell@fas.harvard.edu), 617-495-1326

### **Who at GSAS can help when a student is not making academic progress? Who is available to talk through development, interpretations, and implementation of University, GSAS, or departmental requirements, policies, and processes?**

Patrick O'Brien, assistant dean of student affairs, serves as a point of contact and resource for all students, faculty, and staff in communicating and interpreting [GSAS policies and procedure](#). He monitors graduate students' status in maintaining satisfactory academic progress and advises students on administrative processes within FAS and across campus. He advises students, faculty, and staff through all procedures and petitioning processes tied to registration and course enrollment. He advises international students on English proficiency resources and partners with the Derek Bok Center for Teaching and Learning and other campus partners in coordination of the summer Professional Communication Program for New International Scholars. He is available to discuss any of the above topics and in particular any issues related to a student's

progress toward their degree and non-resident status, including traveling scholars and leaves of absence. Patrick can be reached at 617-495-1814 or [jpobrien@fas.harvard.edu](mailto:jpobrien@fas.harvard.edu).

### **How does one handle student disciplinary cases and/or respond to allegations of misconduct?**

All disciplinary cases (<https://gsas.harvard.edu/codes-conduct/governance>) or incidents in which there is an accusation of misconduct, including those concerning plagiarism and academic dishonesty, should be referred to the dean for students in GSAS. Disciplinary cases are heard by the [GSAS Administrative Board](#), which is composed of a diverse committee of faculty members, the FAS registrar, and the deans of GSAS.

### **Which important offices serve students and where can I direct students with specific or special concerns?**

*You can find more student resources at [gsas.harvard.edu/student-life/resources](https://gsas.harvard.edu/student-life/resources)*

#### **Academic Resource Center**

1414 Massachusetts Avenue, Floor 3R, Cambridge  
617-495-5734, <https://academicresourcecenter.harvard.edu/home>,  
[academicresourcecenter@harvard.edu](mailto:academicresourcecenter@harvard.edu)

The Academic Resource Center (ARC) is committed to empowering students to reach their full academic potential in an inclusive and equitable academic environment. Using evidence-based methods and drawing on recent research in learning assistance, the ARC supports Harvard students in developing reading strategies, time management skills, and metacognitive approaches to learning. Students will have access to consultations, workshops, academic coaching, peer tutoring, and skills-based resources.

#### **Accessible Education Office**

1350 Massachusetts Avenue, Smith Campus Center, Room 470  
<https://aeo.fas.harvard.edu/>

Faculty and programs should not determine and implement accommodations for students. Students seeking accommodations should be referred to the Accessible Education Office (AEO). AEO determines accommodations for students with disabilities and ensures legal compliance with non-discrimination for students with disabilities under Section 504 of the Rehabilitation Act of 1973 and The Americans with Disabilities Act (1990, and Amendments Act of 2008). AEO works in collaboration with Harvard faculty, students, and staff to create equitable educational experiences through the promotion of universal design in learning, reasonable accommodations in inaccessible environments, and the reframing of disability as a valued aspect of the human experience.

#### **Harvard International Office**

1350 Massachusetts Avenue, Smith Campus Center, Room 864  
<https://www.hio.harvard.edu/>

Darryl Zeigler ([darryl\\_zeigler@harvard.edu](mailto:darryl_zeigler@harvard.edu)), HIO senior advisor, is dedicated to the GSAS PhD population. Jenny Minichiello ([jenny\\_minichiello@harvard.edu](mailto:jenny_minichiello@harvard.edu)), HIO advisor, is dedicated to the GSAS master's population.

The Harvard International Office (HIO) is part of the University's Central Administration and offers services and advising on immigration policy to international students and scholars at Harvard College, the graduate and professional schools, as well as the numerous research centers and affiliated teaching hospitals, to minimize the difficulties they may experience both upon arrival and later during their stay at Harvard. The HIO processes and issues visa documents as appropriate for the individual student's situation in partnership with GSAS.

### **What should chairs know about international students' immigration status?**

- Most students enter the US on an F-1 visa. A few enter the US on a J-1 visa. Students secure their visa at a US Embassy or Consulate abroad. It may have a different expiration date than the I-20 or DS-2019 form. Students may remain in the US with an expired F or J visa. If they exit the US, they must secure a new F or J visa for re-entry to the US. PhD students typically receive a visa with a 4 to 6-year duration.
- While the visa grants entry to the US, the I-20 form (accompanies the F-1) or DS-2019 form (accompanies the J-1) permits the student's presence in the US. This form is processed by GSAS Admissions and HIO and issued by HIO. It is sent directly to the student. Students may not remain in the US with an expired I-20 or DS-2019 beyond the grace period that is granted to allow the student to exit the country. Students on an F-1 visa must exit the US within 60 days of their I-20 end date. Students on a J-1 visa must exit the US within 30 days of their DS-2019 end date. Students may contact the HIO to extend their end date.
- Students may enter the US up to 30 days prior to their start of program.
- Students who withdraw or who take or who are placed on a leave of absence (except those with certain medical documentation) must exit the US within 14 days of their change of enrollment status.
- Upon arrival, international students must report their arrival in person at HIO.
- All students, including international students, may not work more than 20 hours per week. International students may not be employed by a non-Harvard entity.

### **Fellowships & Writing Center**

Lehman Hall, 2nd Floor, Cambridge  
[gsas.harvard.edu/writing](https://gsas.harvard.edu/writing)

Jeannette Miller, PhD, Executive Director, [jeannette\\_miller@fas.harvard.edu](mailto:jeannette_miller@fas.harvard.edu)

The Fellowships & Writing Center (FWC) helps GSAS students to heighten the impact of their research. FWC staff offer [fellowships advising for internal and external awards](#), [individual consultations to review pieces of writing](#), [dedicated writing space](#), [workshops](#) on various aspects of writing, [feedback on oral presentations](#), and other programming to all GSAS students in any discipline. We work with students at all stages of their careers who seek to improve their academic papers, dissertations, and presentations by fostering and refining their written and oral communication skills.

### **Office of Diversity and Minority Affairs**

The GSAS Office of Diversity and Minority Affairs (ODMA) collaborates with faculty and staff across departments to identify, recruit, and retain promising scholars and researchers. We strive to foster a welcoming environment for our diverse community by providing resources and programming that enhance inclusivity and create a vibrant learning environment. See the Diversity section for more information on how chairs can work with ODMA.

#### **Please connect with us:**

*Office of Diversity and Minority Affairs*, [gsas\\_odma@fas.harvard.edu](mailto:gsas_odma@fas.harvard.edu)  
*Sheila Thomas*, PhD, Dean for Academic Programs and Diversity, [stthomas@fas.harvard.edu](mailto:stthomas@fas.harvard.edu)  
*Karina Gonzalez Herrera*, PhD, Associate Director of Diversity and Minority Affairs – Division of Medical Sciences and Graduate School of Arts and Sciences, [knherrer@fas.harvard.edu](mailto:knherrer@fas.harvard.edu)  
*Katie Saibara*, Ed.M., Program Coordinator, [katie\\_saibara@fas.harvard.edu](mailto:katie_saibara@fas.harvard.edu)

### **Professional Communication Program for International Teachers and Scholars**

Derek Bok Center for Teaching and Learning  
125 Mt. Auburn Street, 3rd Floor  
<https://bokcenter.harvard.edu/international-teachers-and-scholars>

*Please note that due to the COVID-19 related pandemic this program is being offered virtually in 2021. Much content will be asynchronous to accommodate students' physical location and community-building opportunities will be offered during the academic term for international students. The text below describes the mission of the program.*

The Professional Communication Program for New International Scholars is a collaboration between the GSAS Office of Student Affairs and the Professional Communication Program for International Teachers and Scholars at the Derek Bok Center for Teaching and Learning. During August, this program introduces incoming international graduate students to life at Harvard and to the United States and helps them activate their English language skills in preparation for beginning their graduate programs. This intensive program provides opportunities for non-native English speakers to develop professional communication skills, to explore campus and classroom culture at Harvard, and to foster connections and build community across disciplines. The program is aligned with the GSAS Oral English Language Requirement and is designed to feed directly into the Bok Center's Professional Communication Program for International Teachers and Scholars.

Invited students are non-native English speakers who have not received an undergraduate degree from an English-language institution. These students are selected by GSAS and/or nominated by their program on the basis of their language skills and interest in sessions devoted to acclimating students to the Harvard classroom. Departments are informed of incoming students who meet these criteria during the admissions season.

## Connecting with Graduate Alumni and Departmental Reunions

Connection to Harvard extends far beyond graduation. Through the GSAS Office of Alumni Relations and through your work at the department level, alumni can remain engaged with one another, with faculty, and with current students throughout their lives.

The GSAS Office of Alumni Relations and Events works closely with department chairs to engage with the department's graduate alumni by distributing newsletters, organizing events, providing career mentoring to students, inviting alumni to speak as part of a class or at a professional conference, or communicating departmental news and achievements. Departments wishing to collaborate with GSAS Alumni Relations should email [gsaa@fas.harvard.edu](mailto:gsaa@fas.harvard.edu) or Jon Petitt, the GSAS Director of Alumni Relations, directly at [petitt@fas.harvard.edu](mailto:petitt@fas.harvard.edu) or 617-495-4945.

Alumni Relations would be grateful to receive current employment and address information for your department's alumni, in order to update Harvard's University-wide alumni database. Sharing this information will allow us to provide you with the best and most complete information. Please submit any changes or updates to data, or requests for departmental alumni lists to [gsaa@fas.harvard.edu](mailto:gsaa@fas.harvard.edu).

We are always interested in learning about the accomplishments and achievements of our alumni so we can celebrate them and your department through the Centennial Medal or by featuring them in our alumni magazine, *Colloquy*, or our electronic bi-monthly newsletter, *Alumni Bulletin*. If you know of an alumnus doing groundbreaking work in academia or innovating in industry, or of any faculty/alumni or student/alumni research collaborations we should consider featuring, please reach out to [gsaa@fas.harvard.edu](mailto:gsaa@fas.harvard.edu) so that we can celebrate this great work.

Every April, the Graduate School Alumni Association (GSAA) organizes Alumni Day as well as a targeted department reunion that bring alumni, faculty, and current students together to celebrate their Harvard experience and engage with the intellectual life at Harvard. GSAS works closely with department chairs to communicate with the department's graduate alumni and to organize reunion events. In addition, the GSAA annually hosts a series of alumni engagement events around the world that feature faculty and student presentations, and/or meetings with the dean, to which all alumni are invited.

We are happy to explore new and creative ideas for engagement as well as support your efforts in any way. Please do not hesitate to reach out to Jen Flynn, senior director of global outreach, at [jen\\_flynn@fas.harvard.edu](mailto:jen_flynn@fas.harvard.edu) or Jon Petitt, director of alumni relations, [petitt@fas.harvard.edu](mailto:petitt@fas.harvard.edu) if we can be of assistance in your efforts to connect with alumni.

## **The Faculty**

## **The Faculty**

Note: As policies and procedures related to faculty and researchers may continue to evolve due to the COVID-19 pandemic, information in the “The Faculty” chapter of this chair handbook (which is comprised of Sections 1 through 12) may change. Please check with your divisional/SEAS office as necessary to ensure you are following the most current guidance provided by the leadership at the FAS.

### **Office for Faculty Affairs**

The Office for Faculty Affairs coordinates academic planning; oversees all policy and procedural aspects of faculty hiring, promotions, leaves, and retirements; collects and analyzes data pertaining to the faculty; and advises individual faculty and administrators. For complete information about all topics listed in this section, please see the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>).

#### **1. Faculty Affairs Timeline for 2021-2022**

July 1, 2021: For academic-year reviews for promotion to associate professor or to tenured professor, the official start of the review process.

September 1, 2021 (or next business day, if September 1 falls on a weekend or holiday): For academic-year reviews for promotion to associate professor or to tenured professor, the deadline for candidate to submit all of their dossier materials to the department.

October 1, 2021 (or next business day, if October 1 falls on a weekend or holiday): For calendar-year reviews for promotion to associate professor or to tenured professor, the deadline for the department to submit promotion dossiers to the Office for Faculty Affairs.

December 3, 2021: Deadline for faculty to submit to department chairs leave requests for AY 2022-2023.

December 17, 2021: Deadline for department chairs to approve leave requests for AY 2022-2023.

January 1, 2022: For calendar-year reviews for promotion to associate professor or to tenured professor, the official start of the review process.

January 2022: Chairs should remind faculty members to submit their activity reports by January 31, 2022. (Chairs are sent an email when the activity reports application opens).

February/March 2022: Annual faculty activity report meetings with department chairs, divisional deans, and the Office for Faculty Affairs.

March 1, 2022 (or next business day, if March 1 falls on a weekend or holiday): For calendar-year reviews for promotion to associate professor or to tenured professor, the deadline for candidate to submit all of their dossier materials to the department.

March 1 (or next business day, if March 1 falls on a weekend or holiday): For academic-year reviews for promotion to tenured professor, the deadline for the department to submit promotion dossiers to the Office for Faculty Affairs. Any dossier, as applicable, received after this date might not be scheduled for an *ad hoc* review until the following fall.

March 1, 2022 (or next business day, if March 1 falls on a weekend or holiday): Deadline for dossier submission to the Office for Faculty Affairs: external appointment to tenure, appointments and reappointments of professors in residence, professors of the practice, and senior lecturers.

March 15 (or next business day, if March 15 falls on a weekend or holiday): For academic-year reviews for promotion to associate professor, the deadline for the department to submit promotion dossiers to the Office for Faculty Affairs.

March 15, 2022 (or next business day, if March 15 falls on a weekend or holiday): Deadline for dossier submission to Faculty Affairs: appointments and reappointments of senior preceptors, and other reviews and reappointments, including associate senior lecturers, lecturers, and preceptors.

April 30, 2022: Deadline for extending offers to ladder faculty at other institutions for appointments beginning in the upcoming term, without requiring permission from the dean of the candidate's home institution.

May 2, 2022: Aurora deadline for all new tenure-track faculty appointments and non-ladder teaching appointments and reappointments. All required backup material relating to these appointments is also due on this date to the Appointments Office. Note: Any appointments or reappointments submitted after this date may affect the faculty member's employment status, including ID access, salary payments, and benefits.

May/June 2022: Searches are usually authorized for the following academic year.

June 2022: Chairs receive letters from the assistant dean for the division indicating which tenure-track faculty members are scheduled for review.

## 2. Absences, Leaves, and Parental Support

### Paid sick time

- Please see Chapter 3 in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>) for more information on paid sick time policy.

### Short-term absences

- Faculty members wishing to be absent during term time (including reading periods and exams) for a period of more than one week, or for a period of one week or less where the absence will require some reduction or change in scheduled instruction, should consult the department chair *prior* to the absence. When requesting such leaves, it is incumbent on faculty members to consider their academic responsibilities and to ensure that they continue to be met. Before authorizing the absence, the chair should be satisfied that the reason for absence, whether personal or professional, is sufficiently compelling and that all teaching and other departmental responsibilities are appropriately covered.
- If the absence is for one week or less, no further approval is required. If a period longer than one week is necessary, the faculty member submits a “Request for Permission to be Absent” form (found on the “Leaves” page of the website for FAS faculty and researchers: <https://facultyresources.fas.harvard.edu/leaves>), signed by the chair, to the assistant dean for the division.

### Paid sabbatical and unpaid research leaves

- Faculty may not be on paid sabbatical and/or unpaid research leave for more than one year at a time. Ordinarily, faculty should not be out of the Harvard classroom for more than a year at a time.
- **Tenured faculty members** are ordinarily eligible for a paid semester of sabbatical leave after every six semesters in residence teaching. They may extend the period of leave to a full academic year by combining a term of unpaid research leave with a term of paid sabbatical leave. (Please see the sample “Leave Eligibility” chart that follows Section 2 of this handbook.)

Tenured faculty on paid sabbatical or unpaid research leave are expected to continue to conduct their research, mentor their students, and follow FAS and University policies, including (in the case of paid sabbatical) the 20 percent rule, which states that no more than 20 percent of one’s total professional effort may be directed to professional activities outside Harvard, during the period in which a faculty member is receiving salary from the FAS.

Note: For AY 2020-2021, Dean Claudine Gay approved the following policy addendum. Given the goal of delivering a high-quality learning experience despite the COVID-19 pandemic, tenured professors scheduled to take a paid sabbatical during Fall 2020 were

allowed to postpone their sabbatical without penalty for one or two semesters if they wished to remain on campus (virtually or otherwise) to teach their classes. Tenured professors scheduled to take a paid sabbatical during Spring 2021 were allowed to postpone their sabbatical without penalty for one semester, for the same reason. Thus, the semester or two for which a faculty member deferred his/her/their sabbatical *will count* as “credit” towards the required six semesters in residence teaching that ordinarily must occur between sabbaticals. Please see Chapter 3 in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>) for more information.

- For **tenure-track faculty**, implementation of leave policies varies by division. Please see Chapter 3 in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>) for more information. When requesting leave, tenure-track faculty should carefully balance their research needs with the importance of developing a strong teaching portfolio for their professional development and eventual reviews for promotion to associate and tenured professor.

Tenure-track faculty on paid or unpaid research leave are expected to continue to conduct their research, mentor their students, and follow FAS and University policies, including (in the case of paid leave) the 20 percent rule.

Note: In the spring semester of 2021, the FAS instituted the following measures as part of its ongoing response to the COVID-19 pandemic. To further support tenure-track colleagues who were on the FAS tenure track and had children at home aged 12 or under during the 2020-21 AY and who are teaching three or more classes a year, the FAS will backstop the faculty member’s application for an additional term of research leave. That is, in addition to the terms of paid research leave to which tenure-track faculty are already entitled, if colleagues make a good-faith effort to apply for an external fellowship to receive salary support—as is standard practice when faculty take a term of unpaid leave to conduct research—the FAS will backstop the application if the faculty member does not secure a fellowship. (This measure is intended to apply to a single fellowship application, not multiple applications.) This opportunity will also be open, upon request, to tenure-track faculty teaching three or more classes a year who have other dependent-care concerns, such as caring for elders.

In addition to this term of backstopped paid research leave, the FAS will grant relief from teaching one course for any interested tenure-track colleagues (regardless of dependent-care circumstances) who were on the FAS tenure-track during the 2020-21 AY and who teach in departments/areas that have a typical teaching load of two courses or more per year. This one-time course relief should be arranged in coordination with the department chair/area chair and can be taken during any of the years that the faculty member is on the tenure track. (The one-course reduction cannot be “banked” for use post tenure.)

- For **senior non-ladder and non-ladder faculty**, please see Chapter 3 in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>) for information on leave eligibility.

- **Paid sabbatical and unpaid research leave requests:**

- Department chairs review requests from their faculty colleagues concerning sabbaticals and unpaid research leave. The chair is responsible for taking departmental commitments into account before approving leave requests.
- It may be appropriate, upon occasion, for a chair to delay certain requests for leave if the proposed absence would hinder the department's ability to meet its instructional obligations. In such situations, the chair should confer with the faculty member and the assistant dean for the division.
- Faculty must submit by December 3, 2021 leave requests for AY 2022-2023. Department chairs must approve such leave requests by December 17, 2021. Once approved, the requests are then automatically sent to the assistant dean for the division.

### **Support for faculty in connection with birth or adoption**

- Eligible FAS faculty who become parents have a number of leave options available to them. These include leave in keeping with Harvard policies and the **Family and Medical Leave Act of 1993 (FMLA)**, the **Massachusetts Parental Leave Act (MPLA)**, and the **Massachusetts Paid Family and Medical Leave Policy (MAPFML)**. Eligible faculty parents may avail themselves of options such as paid medical leave in connection with childbirth and recovery, bonding leave, FAS Paid Parental Leave (FAS PPL), and an FAS Parental Semester of Leave (FAS PSL).
- Faculty members are ordinarily eligible for no more than two consecutive terms of relief from normal departmental teaching duties.
- In the event of birth or adoption, an **appointment extension and postponement of review** are available to tenure-track faculty. Ordinarily, a maximum of two one-year appointment extensions and two one-year review postponements, regardless of the reason, are possible over the course of tenure-track faculty appointments. Tenure-track faculty may make a request for a third appointment extension and review postponement in the event of a birth or adoption of a third child.
- For more information, please see Chapter 3 in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>). Faculty are encouraged to contact the assistant dean for their division to discuss their options.

### **Leave for public service**

An unpaid public service leave is required whenever an FAS faculty member takes up a non-Harvard position that meets any of the following conditions:

- Requires (or has undue potential to require) more than 20 percent of the faculty member's total professional effort, or
- Compromises (or has undue potential to compromise) the faculty member's primary professional loyalty to Harvard, or
- Impairs (or has undue potential to impair) a faculty member's ability to teach or conduct research without constraint (in particular upon election or appointment to office), or

- Increases unduly the likelihood of a conflict of commitment or conflict of interest.

FAS faculty members wishing to take up a public service position should first submit a proposal to their divisional dean/John A. Paulson Dean of SEAS (SEAS Dean), who will consult with the department chair/SEAS area chair in determining whether a leave is appropriate. In all cases, the decision to grant or require a leave for public service is ultimately at the discretion of the Edgerley Family Dean of the FAS (FAS Dean).

Consistent with the FAS's policies concerning all leaves (see [FAS Appointment and Promotion Handbook, Chapter 3](#)), leaves for public service, which are unpaid, may not be granted for more than one year at a time. Ordinarily, faculty members should not be out of the classroom for more than a year at a time. It is possible on occasion to request a second year of unpaid leave for the purpose of service in the public interest. By vote of the Corporation, leave for more than two successive years is not possible. Resignation from the Harvard appointment is the only alternative to returning to University service after more than two consecutive years of leave. With regard to the frequency with which public service leaves may be taken, or intervals of time between such leaves, it is ordinarily expected that FAS faculty members will demonstrate their primary commitment to Harvard in a sustained fashion, over the course of multiple years.

Please see Chapter 3 in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>) for more information on policies governing faculty leaves for public service.

## Department of X Studies Leave Eligibility

Faculty Member	Last Leave(s)	2021-22	2022-23	2023-24	2024-25	2025-26
Andriese, M	start 14-15 FT					
Barnes, M	SAB 09-10 ST					
Bogaerts, X	start 13-14 FT					elig SAB FT
Cordero, F	start 13-14 FT		elig SAB FT			elig SAB ST
Hernandez, D	SAB 13-14 AY MED 10-11 FT				elig SAB ST	
Hernandez, E	start 15-16 FT				elig SAB ST	
Martinez, J.D.	PRF 13-14 ST SAB 13-14 FT		elig SAB FT			
Ottavino, A	SAB 12-13 FT PRF 07-08 ST	SAB FT		elig SAB FT		
Perez, M	SAB 11-12 ST SAB 07-08 FT	SAB AY				
Pivetta, N	SAB 14-15 FT SPL 12-13 ST		elig SAB FT			
Renfro, H	HCP 13-14 ST SAB 13-14 FT	MED FT SAB ST			elig SAB FT	
Richards, G	SAB 14-15 ST RAD 14-15 FT			elig SAB FT		
Rodriguez, E	SAB 09-10 FT	SAB CY				elig SAB ST
Sawamura, H	PRF 13-14 FT RAD 11-12 ST			elig SAB ST		
Taylor, J	start 14-15 ST	SAB ST				
Valdez, P	SAB 12-13 AY SAB 09-10 FT		elig SAB FT			
Vazquez, C	SPL 09-10 FT SPL 07-08 FT	SAB FT				
Whitlock, G	SAB 13-14 AY SPL 07-08 AY		elig SAB FT			elig SAB ST

SAB/SABB = Sabbatical Leave of Absence

SPL = Special Paid Leave

PRF/LOA = Unpaid Leave of Absence (Professional)

MED = Medical Leave

LTD = Long Term Disability

PER = Personal Leave

PSG = Public Service Leave

DBO = Dumbarton Oaks Leave

RES = Research Leave

REI = Reischauer Leave

SLO = Sloan Leave

TAU = Taussig Leave

HCP = Harvard College Professor Leave

RAD = Radcliffe Sponsored Leave

CSRC = Center Sourced Leave

Note: This chart is a graphic representation; the leave values shown for each year in the matrix are not meant to be factually correct.

### **3. Faculty Hiring**

#### **How does one hire a new faculty member?**

- The procedures for hiring a new faculty member are explained, in detail, in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>).
- Ordinarily, in the spring, the divisional dean authorizes tenure-track and tenured professor searches for the upcoming academic year, based on departments' academic plans and ongoing conversations with the departments.
- Requests for any new non-ladder or visiting faculty should be submitted to the assistant dean for the division in the fall or early winter, based on curricular needs.
- When submitting materials regarding searches, please make sure to send a copy of all documentation to the assistant dean for the division.
- It is the responsibility of chairs to make sure all FAS and University policies are followed by the members of their departments. Please see Chapter 2 in the *FAS Appointment and Promotion Handbook* for more information on policies.

#### **What are some best practices when conducting searches?**

It is important to pay close attention to how a search is being conducted. Before a search begins, department chairs, search committee chairs, and all search committee members should carefully read the two documents below (available on the “Appointment and Promotion” page—<https://facultyresources.fas.harvard.edu/appointment-and-promotion>—of the website for FAS faculty and researchers: <https://facultyresources.fas.harvard.edu/>). Before each stage in the search process, the committee chair should remind the committee of the issues described in the relevant section of “Recommendations for Ensuring the Integrity of Faculty Searches.”

- “Recommendations for Ensuring the Integrity of Faculty Searches” makes practical suggestions for ensuring that the search is well-defined, the search committee is well-formed, the best candidates are found, and all are fairly considered.
- “Guide to Unacceptable Interview Questions” cites federal and state guidelines for interviewing candidates. Among other things, questions about marital status, gender and gender identity, race, ethnicity, religion, disabilities, and plans for children are not allowed.

## **Recommendations for Ensuring the Integrity of Faculty Searches**

### Faculty of Arts and Sciences

Note: This document reflects practices in place before the COVID-19 pandemic. If any searches should take place in AY 2021-2022, and depending on the status of pandemic restrictions, some of the practices below will need to be modified.

Please refer to the *FAS Appointment and Promotion Handbook* (available at <https://academic-appointments.fas.harvard.edu/>) for current policies and procedures for conducting faculty searches. The material below, culled from behavioral science evidence and departmental feedback, highlights critical moments in conducting tenure-track and senior searches. These moments deserve close attention to ensure that the search process has integrity and leads to the appointment of the best available candidates.

We recommend that all search committee members read this document before a search begins. Prior to each stage in the search process, the committee chair should remind the committee of the issues described in each section below:

1. Launching the search
2. Narrowing the list
3. Campus visits, interviewing finalists, and job talks
4. Departmental/SEAS area discussion and vote

### **1. Launching the search**

- **Define the search** broadly so as not to focus too narrowly on subfields with few specialists. Fields grow and move in ways that we may not fully perceive at the start of a search, and the search definition should allow for applicants whose work may speak to us in unexpected ways. As you review candidates, consider, along with the overall quality of the candidate, the trajectory of the work and the future of that field.

Because it is hard to predict from where stellar candidates may emerge, the advertisement should be written in an open and non-exclusionary way. (It is also helpful to avoid characterizing, or internally conceiving of, a search as a direct replacement for a departing colleague.)

Many exceptional candidates do not apply to Harvard because they feel that Harvard is out of reach. We encourage search committees to compose advertisements that sound welcoming to all candidates. Evidence has shown that barriers to entry, both perceived and real, keep some of the best candidates from applying. Analyze carefully the wording of the advertisement, especially any descriptions of candidate qualities. Research has shown that gendered traits in advertisements deter men or women from applying if they think those traits do not apply to their group.

- Ensure that the **search committee membership** is diverse in academic perspectives as well as qualities such as career stage, gender, and ethnicity. (Note: Evidence suggests that men and women may be equally biased in favor of male candidates and that the presence of women on a committee does not ensure that women candidates are more likely to be considered.) The efficiency of a small committee of like-minded people should be balanced

against the benefits of a larger committee of more than three members. The chair of the department/SEAS area chair is responsible for ensuring the diversity of the committee. The chair of the search committee is responsible for including expertise from around the University, as needed. Remember that tenure and tenure-track search committees must include a tenured faculty member from another department/area.

We recommend that, whenever possible, tenure-track faculty be included in the search committee (e.g., when conducting searches for tenure-track faculty). Tenure-track faculty are among the best detectors of talent among their peers, yet they can be less likely to offer suggestions unless asked. Getting input from tenure-track faculty in senior searches is very important, even if they cannot vote. When tenure-track and senior faculty differ significantly on the type of candidate to pursue, it is especially important to pause, ask why, and, as needed, consult with experts outside Harvard.

In general, signaling openness to information, advice, and feedback (both within the department/area and when seeking input outside Harvard) should be maximized during a search.

- Before the search begins, the committee should discuss **methods for actively recruiting women and underrepresented minorities**. (E.g., talking with graduate students and colleagues at Harvard and elsewhere.) Why is this important? Availability and anchoring biases prevent us from thinking of people outside traditionally represented groups. Moreover, it often occurs that some names are mentioned early in the process, and those candidates may have a disproportionate likelihood of being advanced to the short list. In each discipline, some institutions appear to do an excellent job of recruiting women and minorities. Critical mass then plays a role in attracting other candidates. At a minimum, please post the advertisement in professional journals, websites, and listservs within the discipline, including those geared toward women and minorities. Whenever possible, the chair of the search committee should attend, in the year of the search, social gatherings organized by groups such as minority or women's caucuses at professional meetings. The signaling value of such attendance is greater than may be recognized.
- **Review data on past departmental/area searches** to understand the broader context of your search. Analysis shows that many Harvard departments/areas do not keep pace with the diversity in Ph.D. pools emerging from the Ivy+ schools. The FAS Office for Faculty Affairs can help you with obtaining data, as needed. The Edgerley Family Dean of the FAS takes this issue seriously; we must not lose the best talent to other institutions, due to avoidable failures of perception, detection, and prediction of talent.
- Before considering candidates, **discuss selection criteria** and a process for rating applications relative to teaching, research, and mentoring skills. Discuss how to weight different qualifications. Research has shown that people tend to generate selection criteria to fit a candidate they have grown attached to, rather than having criteria in place and finding candidates who match those criteria. Discussing criteria in the search committee is important for all searches. It is especially useful for fields undergoing changes in theoretical positions and methods, where new areas of expertise are in demand. There is nothing wrong with changing criteria during a search if the change is undertaken deliberately—for intellectual or professional reasons, and not as an unconscious response to a particular candidate.
- **Consider deadlines**. Posting your advertisement early is one of the simplest ways to advantage your search. Depending on the norms of your discipline, application deadlines will vary. Our peer institutions may have earlier deadlines than Harvard. If Harvard's January winter break delays your candidate interviews until February, you may be interviewing

candidates who already have offers in hand. While norms differ according to discipline, we recommend that you consider conducting interviews as early in the academic year as possible.

## **2. Narrowing the list**

- As the committee moves towards narrowing the list, **review the search process** to determine whether sufficient effort has been made to recruit a diverse pool of candidates. Additional steps can always be taken to encourage women and minorities to apply for the position. Please take those steps now. This is not to favor women and minorities but to improve the quality of your pool. This also recognizes the reality that institutions like Harvard cause some candidates to self-select out. Throughout the search, ask yourself, do the pool, short list, and then finalist reflect the diversity of candidates emerging from the best Ph.D. programs? If not, pause and ask why, and engage with the divisional dean/John A. Paulson Dean of SEAS to find additional ways to enhance the pool. Do not rush to a final list unless you are certain you have the best candidates in the world.

Be cautious about assumptions that scholars are unavailable or unmovable. Disregard comments like, “This person is impossible to move,” until the candidate has said it. Strong candidates should not be ruled out from a sense that their partners will not move to the area. People’s priorities can change if an offer is extended to them.

- Include all committee members in the **evaluation process**. A study has shown that more equal distribution in conversational turn-taking—i.e., not having a few members dominate the conversation—is a stronger predictor of a team’s success than either the averaged or maximum intelligence of individual team members. The chair of the search committee should encourage reticent members to offer their opinion. Often, for expediency, a few committee members will read the full set of applications to narrow down the pool. We recommend that all committee members read a subset of the applications. This allows the committee’s diversity to actually influence early choices.

As you narrow the pool to a medium list, apply criteria consistently to all candidates, even if your favored candidate ranks low on a particular criterion. Let the data stare back at you so that you can see (and possibly reshape) your judgment. At all times, adopt the stance that the search is an evolving process, rather than one that locks the door quickly. A nagging feeling that you could do better is a valid basis for revisiting decisions. Throughout the process, if committee members identify outstanding candidates who are not in the pool, the committee should follow up with these candidates.

- **Rank candidates on the criteria**, such as teaching, research, and mentoring capacity. Why? These criteria will be used not only in this search but also during associate and tenure reviews. Ask if the demands of your discipline *as it now exists* signal the need to expand the criteria by which to judge talent, e.g., the ability to collaborate across disciplines or to master new technologies. These are rarely considered when we think in traditional ways about talent; but they can matter when evaluating contributions over the course of a professorship.
- Recognize and be able to work through the **evaluation biases** that often affect the review of women, minorities, and groups that are new entrants into a discipline. Evidence from the behavioral sciences repeatedly shows that people tend to underestimate women and minorities’ qualifications when evaluating their applications and job talks, and that this does not emerge from any conscious bias. That’s what makes decisions hard: the invisible nature

of preferences. Ask yourself, when you find yourself strongly preferring a particular candidate, why that may be the case. Irrelevant features (such as sharing an *alma mater*) may account for feelings of comfort and admiration that could influence the environment in which candidates are judged. Increasingly, the evidence shows that decisions are affected by the help that we provide some candidates over others. Because helping is a positive behavior, it is not likely to raise concerns, yet it can shape the outcome. Ask yourself how much a candidate's characteristics deviate from the culture's (and likely your own) image of the "strong" type of candidate. Remember, it is not your job to hire someone you like or a person with similar tastes in non-academic matters. Rather, you are here to hire somebody who will make the department/area strong, even after you have left Harvard.

- As the committee moves from the longer list to the short list, **consider including the highest-ranked women and minorities**, or provide details on why these individuals were not on the short list. Why is this important and not a bias in itself? Several studies suggest that equal achievements are not regarded as equal. For example, a recent study published in the Proceedings of the National Academy of Sciences showed that even today, men and women in academic settings like our own select men over equally qualified women. According to the study, people read identical accomplishments differently and tend to see males as more competent than females. In other studies in the employment setting, white Americans with a felony record fare just as well, and even better, than African-Americans with a clean record. We encourage you to ask yourself what you are doing to correct for what we know to be fairly widespread differences in evaluation. Be wary of "intuition" as your guide. Be prepared, and ask others, to explain a rejection or retention of a candidate due to "fit," for example. "Fit" is often a proxy for factors that, upon consideration, should not influence our decisions. (Harvard is required under its affirmative action guidelines to provide information on why women or minorities were not chosen. Be prepared to answer that question with evidence.)
- It is of utmost importance to remember that the committee's job is not to send a final list of potential interviewees to the Divisional Dean/SEAS Dean. Instead, this is a moment when the search committee chair is expected to **discuss the short list with the Divisional Dean/SEAS Dean** and determine whether it represents the field and the applicant pool. If it does not, the chair should be ready to explain why and to work with the Divisional Dean/SEAS Dean to get further information before proceeding. As you know, in the absence of a compelling explanation, the Divisional Dean/SEAS Dean is obliged to require that the search committee reconsider the composition of the short list. For example, if the gender distribution in the pool is 50:50, the law of small numbers dictates that in a given year, your short list may consist entirely of all men or all women. If you bring such a list to the Divisional Dean/SEAS Dean, you will need to demonstrate that this is rare—by providing comparisons to short lists from preceding departmental/SEAS area searches and demonstrating that selection behavior is unbiased over time. Deans can understand an imbalanced short list, but multiple searches with all-female or all-male candidates likely signal a flawed decision process. Your best baseline is the pipeline of Ph.D.s emerging in your discipline from the top institutions. Seek out this information as a check on your process.

### **3. Campus visits, interviewing finalists, and job talks**

- **Especially when committee members are less familiar with a field, it is very useful to read a candidate’s work before the interview.** Some departments/areas hold a seminar on the work of one or more candidates prior to interviewing, which provides a stronger foundation on which the interview day and the job talk can build. In all cases, committee members should be sure to read the candidates’ work before the committee’s final discussion of the candidates.
- **Schedule visits with consistency.** To acquire good comparative data, schedule equal time for each candidate (including internal candidates) to interview and to meet with as many of the same people as possible. While faculty schedules can be hard to coordinate, make sure that at least a small core group of faculty, besides the search committee, meets with each candidate. Provide candidates with opportunities to interact with departmental/area faculty in multiple venues, both formal and informal, and remember that every aspect of the visit is not just part of the evaluation process, but is also an opportunity for recruitment. Adopt the perspective of the visiting candidate, and remember that the individual’s experience can affect not only this recruitment but others in the future. Research shows that subtle indicators of dismissal or disrespect are easily detected, and this can impede progress in recruiting for many years. (Many of us have heard candidates share vivid, unpleasant memories of decades-old interviews.)
- It is hard to create equal interviews for all candidates. And yet, this equity is essential to develop an informed basis for choosing the best finalist. Develop a **common set of “core” questions** for all candidates, to allow comparative judgment, and evaluate candidates’ responses according to the criteria developed earlier. These core questions should be supplemented with questions pertinent to each individual. Be aware that some questions cannot be asked, and learn what they are. *All faculty on search committees must read the attached “Guide to Unacceptable Interview Questions” and understand that it is illegal to base your hiring decisions on the answers to such questions.* If a candidate voluntarily provides information in non-permissible areas, the best practice is to make no further comments or inquiries.
- **The job talk.** Job talks are important. They reveal scholars’ ability to teach and communicate, their level of preparation, and skill in speaking to a community broader than those in their own area of expertise. **The job talk should be allowed to unfold in a manner that can accurately reveal the candidate’s talents.** While the norm in some disciplines is for audience members to interject questions early in the talk, preventing the candidate from completing planned remarks, this is not an optimal way to assess the quality of work or the ability to communicate. The formal job talk should allow the candidate to proceed without interruption, with questions occurring at the end of the talk. However, the ability of a candidate to engage with questions and even to spar is also critical to classroom performance. We recommend a second, informal “chalk talk,” where the expectation is that the audience and speaker will exchange views throughout.

**Videotape job talks.** Consider scheduling audio-visual staff to tape all job talks. Ideally, the tapes should be available online (with password protection) at the end of the day of the talk. Make AV arrangements well in advance, and the search committee chair should share the link to the video as soon as it is ready. All voting faculty unable to attend the job talk should view the video before the department holds its final discussions about candidates.

While it is important to have standard practices for job talks, be careful not to place undue emphasis on the job talk as a determinant of the final outcome. Some faculty rely too heavily on the talk because it is easier to attend the talk and generate a quick impression than to do

the hard work of reading the candidate's work. As mentioned earlier, committee members should read candidates' work before the committee's final discussion of the candidates.

- **Avoid informal discussions about the merits and demerits of a candidate outside scheduled search committee and departmental/area meetings.** During the interview day and immediately after, it is tempting to discuss candidates with individual colleagues. It is advisable not to do so, even informally, especially with others who have voting rights. This may be hard, but it allows for independence of thought and permits a diversity of perspectives to develop up until the moment of voting. Even comments made in passing can influence others and predetermine the outcome. Tenure-track colleagues who detect that a tenured colleague prefers a particular candidate may be less likely to speak up for another, possibly better candidate. More introverted colleagues, who do not offer assessments easily and loudly, may have less impact than they should. One suggested method is to ask faculty to write a brief evaluation of the candidate immediately after the interview day (memory can play tricks on assessments, so timing is important). These evaluations can be forwarded to an administrator who does not have voting rights. That administrator can make all evaluations (both received and actively solicited) available to the search committee for its deliberations, before the committee presents its views to the department/area.

#### **4. Departmental/SEAS area discussion and vote**

- It is important to avoid a truncated, hasty discussion of candidates. **Please schedule the department's/area's meeting** at a time when the vast majority of members can attend. Find out in advance who cannot attend and get their opinion in writing, to share at the meeting. Allow sufficient time for discussion of the proposed candidate(s).

Some departments/areas find it helpful to schedule a discussion meeting separate from a voting meeting, on two different days. This separation allows the discussion to "settle" before a vote occurs. Whether you have one meeting or two, a useful norm is for every voting member to offer an opinion before a vote is taken. It is the chair's responsibility to make sure every colleague with voting rights has a chance to express his/her/their view. Otherwise, a call for a vote can prematurely curtail discussion.

- During the discussion, the search committee should inform the department/area of both the criteria applied during the search and the efforts made to attract a diverse applicant pool. As there are pros and cons to each candidate, it is useful to mention both, so that faculty can weigh these relative to the criteria. All discussants should **be alert to irrelevant factors influencing decisions**.
- Follow **consistent departmental/area procedure** for all candidates considered. Observe the "Guide to Unacceptable Interview Questions," and do not allow discussion of impermissible considerations.

While the practices described in this document may initially seem difficult or strange, they emerge from evidence in the decision sciences that can help us to achieve our goal: to hire the strongest candidates for the faculty at Harvard.

**Attachment:** "Guide to Unacceptable Interview Questions"

**Online resources:**

1. FAS Office for Faculty Affairs (<https://facultyresources.fas.harvard.edu/fas-office-faculty-affairs>).
2. Website for FAS Faculty and Researchers (<https://facultyresources.fas.harvard.edu/>).
3. Harvard University Office of the Senior Vice Provost for Faculty Development and Diversity (<https://faculty.harvard.edu/>).
4. University of Michigan ADVANCE Program (<http://advance.umich.edu/>).

## Guide to Unacceptable Interview Questions

Certain sensitive subjects should not be discussed during an interview or as part of the search process. Interviewers must avoid direct or indirect questions that touch on the subject matters listed below. It is essential for all members of a search committee to be aware of these guidelines and follow them in both spirit and letter.

<b>Subject</b>	<b>What May NOT be Asked</b>	<b>What May Be Asked</b>
<i>Name</i>	Birth or maiden name of a married person. Inquiries about the name that would seek to elicit information about the candidate's ancestry or descent.	Whether the applicant has worked for the University under another name. Whether any other information, such as a nickname or initials, is needed to check the candidate's work and educational record.
<i>Age</i>	Inquiry into the date of birth or age of an applicant.	Discussion should be kept to questions about the applicant's career stage.
<i>Gender and Gender Identity</i>	Inquiry into an applicant's birth name or any question that pertains to only one sex; questions about gender identity, birth gender, or changes to gender or gender identity.	No questions.
<i>Sexual Orientation</i>	Inquiry into an applicant's sexual orientation.	No questions.
<i>Religion</i>	Inquiry into an applicant's religious beliefs, denomination, affiliation, place of worship, or religious holidays observed, etc. Avoid any questions regarding organizations and/or affiliations that would identify religion.	No questions.
<i>Birthplace</i>	Birthplace of an applicant. Birthplace of applicant's parents, spouse or partner, or other close relatives.	No questions.
<i>Relatives</i>	Names, addresses, ages, number, or other information concerning applicant's children or other relatives not employed by Harvard. Whether or not applicant is pregnant, has a pregnancy-related condition, or plans to become pregnant.	Name of an applicant's relatives already employed by Harvard.
<i>Citizenship</i>	Any inquiries about citizenship or whether the applicant intends to become a U.S. citizen.	"Are you legally authorized to work in the United States?"
<i>Language</i>	Inquiries into how applicant acquired the ability to read, write, or speak a foreign language.	What languages do you read fluently? Write fluently? Speak fluently?

<b>Subject</b>	<b>What May NOT be Asked</b>	<b>What May Be Asked</b>
<b><i>Disability</i></b>	<p>Inquiry into whether the applicant has a physical or mental disability/handicap or about the nature or severity of the disability/handicap.</p> <p>An employer may not inquire as to the nature, severity, treatment, or prognosis of an obvious handicap or disability or of a hidden disability or handicap voluntarily disclosed by the applicant.</p> <p>Inquiry into whether an applicant has ever been addicted to illegal drugs or treated for drug abuse/alcoholism.</p> <p>Inquiry into whether an applicant has a disease.</p> <p>Inquiry into whether an applicant has ever received worker's compensation.</p> <p>Inquiry into whether an applicant has ever been absent from work due to illness.</p>	You can ask an applicant about his/her/their ability to perform job-related functions, as long as the questions are not phrased in terms, which would elicit whether the applicant has a disability.
<b><i>Marital or Relationship Status</i></b>	Are you married? Where does your spouse or partner work? What was your birth or maiden name?	No questions.
<b><i>Address</i></b>	Do you rent or own your home? How long at each particular address?	Applicant's place of residence.
<b><i>Height, Weight, or Other Aspects of Appearance</i></b>	When hiring for a faculty position, there should be no reason for questions on these subjects.	Questions regarding height, weight, or other aspects of appearance may be asked only if the employer can prove these requirements are necessary to do the job (never the case for a faculty position).
<b><i>Photograph</i></b>	<p>An employer cannot ask for a photograph to accompany an application.</p> <p>Note: Please do not include photos of applicants in information that is shared with colleagues as part of a search process.</p>	No questions.
<b><i>Military</i></b>	Inquiry into the applicant's general military experience or type of discharge.	Applicant's work experience, including names, addresses of previous employers, dates of employment, reasons for leaving.
<b><i>Criminal Record</i></b>	Inquiry related to arrests, juvenile record, sealed court records, misdemeanors more	While it is permissible to investigate criminal

<b>Subject</b>	<b>What May NOT be Asked</b>	<b>What May Be Asked</b>
	than five years old. Any inquiry or check into a person's arrest, court or conviction record if not substantially related to functions and responsibilities of the prospective employment. No questions about criminal history are permitted as part of an initial employment application.	history as part of a background check conducted on finalists for a position, it is advisable to consult with Harvard's Office of the General Counsel on any questions about criminal history.
<b><i>Education</i></b>	Questions about education designed to determine how old the applicant is.	Inquiry into the academic, vocational, or professional education of an applicant for employment.
<b><i>Experience</i></b>	Inquiry into the organizations of which the applicant for employment is a member, the nature, name or character of which would likely disclose the applicant's protected class status.	Inquiry into work experience. Inquiry into countries the applicant has visited. Inquiry into references.
<b><i>Salary History</i></b>	Inquiry into salary history.	There are no permissible interview questions relating to salary history, under the Massachusetts Equal Pay Act, as amended effective 7/1/18. If a candidate volunteers information about their salary history, follow-up questions should not be asked.
<b><i>Organizations</i></b>	Inquiry into an applicant's membership in non-professional organizations (e.g., clubs, lodges, etc.)	Are you a member of any professional societies or organizations? (Exclude the organizations' name or character of which indicates race, creed, color, or national origin of its members.)

Sources: MIT Faculty Search Committee Handbook (2002), Harvard Office of Human Resources, Harvard Office of the General Counsel.

## **4. Faculty Recruitment and Retention**

### **Tenured appointments, external:**

- The divisional dean takes the lead during recruitment.
- The Senior Associate Dean for Faculty Development works with the divisional dean and FAS Dean to generate offer terms and manage the process of negotiations.
- The chair and Senior Associate Dean for Faculty Development arrange for a campus visit; the department administrator makes travel arrangements in consultation with the Office for Faculty Development.
- The Senior Associate Dean for Faculty Development drafts the offer letter, which is co-signed by the divisional dean and FAS Dean.
- The Office for Faculty Development compiles the documentation and forwards the dossier to the Appointments Office for processing accepted offers.

### **Tenured appointments, internal promotions:**

- The divisional dean takes the lead.
- The Assistant Dean for Faculty Development works with the Senior Associate Dean for Faculty Development and the divisional dean, in consultation with the Office for Faculty Affairs and FAS Dean, to generate appointment terms.
- The Assistant Dean for Faculty Development drafts the appointment letter, which is co-signed by the divisional dean and FAS Dean.
- The Office for Faculty Development compiles the documentation and forwards the dossier to the Appointments Office for processing accepted offers.

### **Tenure-track appointments:**

- The chair takes the lead during recruitment.
- The Assistant Dean for Faculty Development works with the chair and divisional dean, in consultation with the Senior Associate Dean for Faculty Development, to generate offer terms and manage the process of negotiations.
- The chair and department administrator arrange for a campus visit and make travel arrangements.
- The Assistant Dean for Faculty Development drafts the offer letter, which is signed by the chair.
- The department administrator processes the appointment for accepted offers.
- In the case of a declined offer, if the chair would like to proceed with a second candidate, the chair requests approval to do so from the divisional dean.

### **Retentions:**

- The department chair informs the divisional dean of retention matters at both the tenured and tenure-track levels.

- The divisional dean ordinarily works with the Senior Associate Dean for Faculty Development, in consultation with the Office for Faculty Affairs and the department chair, to respond to any outside offers.
- In the case of tenure-track retentions, the divisional dean ordinarily works with the Assistant Dean for Faculty Development, in consultation with the Office for Faculty Affairs and the department chair, to respond to any outside offers.

**Work-life and dual-career matters:**

- Working closely with department chairs and other deans, the Office for Faculty Development takes the lead on work-life and dual-career matters concerning candidates.
- Information on dual-career assistance is also available on the “Dual Career Assistance” page of the *Resources for Faculty & Researchers* website: <https://facultyresources.fas.harvard.edu>

## 5. Reviews

Each spring, department chairs receive from the assistant dean for the division a list of ladder and non-ladder faculty eligible to be reviewed during the next academic year. All promotion and review procedures are explained, in detail, in the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>).

### Ladder Faculty:

- **Second-year reviews of assistant professors and externally-appointed associate professors:**
  - Primary goals: To ensure tenure-track faculty are receiving the appropriate advice; foster career-development; identify early any potential concerns.
  - Should be concluded by the end of the second year of the appointment.
  - Can be conducted in the manner the department finds most productive for its tenure-track faculty.
  - The final letter to the assistant professor should be submitted and reviewed by the divisional dean before it is sent to the assistant professor.
  
- **Reviews for promotion to associate professor or tenured professor:**
  - Official start of the review process for promotion to associate professor or to tenured professor:
    - For academic-year appointments (i.e., appointments ending on June 30): July 1.
    - For calendar-year appointments (i.e., appointments ending on December 31): January 1.
  
  - Deadline for candidate to submit all of their dossier materials to the department, for promotion to associate professor or to tenured professor:
    - For academic-year appointments: September 1 (or next business day, if September 1 falls on a weekend or holiday).
    - For calendar-year appointments: March 1 (or next business day, if March 1 falls on a weekend or holiday).
  
  - Deadline for dossiers for promotion to tenured professor to be submitted to the Office for Faculty Affairs:
    - For academic-year appointments: March 1 (or next business day, if March 1 falls on a weekend or holiday).
  
  - For calendar-year appointments October 1 (or next business day, if October 1 falls on a weekend or holiday).
  
  - Deadline for dossiers for promotion to associate professor to be submitted to the Office for Faculty Affairs:

- For academic-year appointments: March 15 (or next business day, if March 15 falls on a weekend or holiday).
- For calendar-year appointments: October 1 (or next business day, if October 1 falls on a weekend or holiday).
- Please see the full timelines for the review processes (for both academic-year and calendar-year appointments) in the *FAS Appointment and Promotion Handbook*.
- Chairs should meet with associate professor or tenured professor candidates in July (for academic-year appointments) or January (for calendar-year appointments) near the start of the penultimate year of their appointment, to discuss review procedures.
- Chairs are also responsible for the following:
  - keeping the review on target for dossier submission on March 1, March 15, or October 1, as applicable
  - appointing the departmental review committee
  - leading departmental discussions of the case
  - finalizing the case statement for the dossier
  - communicating with the tenure-track faculty member and the appropriate deans and administrative offices as the review progresses.

Note: Due to the professional disruptions related to the COVID-19 pandemic, in Spring 2020 the FAS offered then-current and prospective tenure-track faculty the option to have their assistant or associate professor appointment (depending on which rank their appointment was in) extended by one year. (This option accounted for the possibility that the COVID-19 pandemic might unfold in a series of waves. If another wave occurred during Fall 2020 or later, the FAS did not expect to provide an additional appointment extension.) Tenure-track faculty were asked to inform their divisional/SEAS assistant dean in writing by June 30, 2020 if they wished to have their assistant or associate professor appointment extended. In April 2021, recognizing the ongoing impact of COVID-19, the FAS encouraged any interested tenure-track faculty to contact their divisional dean/SEAS Dean if they wished to request an additional year of appointment and tenure-clock extension, for reasons of significant professional and/or personal disruption due to the pandemic.

### **Non-Ladder Faculty:**

- Reviews for reappointments of professors in residence, professors of the practice, and senior lecturers are due by March 1 (or the next business day, if March 1 falls on a weekend or holiday).
- Reviews for reappointments of senior preceptors, lecturers, and preceptors are due by March 15 (or the next business day, if March 15 falls on a weekend or holiday).
- Associate senior lecturers and preceptors and lecturers with multi-year appointments must be reviewed after their first semester of teaching. In addition, departments will assess and provide feedback on the teaching and performance of senior lecturers, senior preceptors, associate senior lecturers, and preceptors and lecturers with multi-year appointments, on an at least annual basis during years when there is no formal review scheduled.

- Reviews of non-ladder faculty should be rigorous, with clear criteria and feedback provided. Please see the *FAS Appointment and Promotion Handbook* for more information.

## **Suggested Timeline for Departmental Review of Tenure-Track Faculty for Promotion<sup>2</sup>**

Note: Due to the professional disruptions related to the COVID-19 pandemic, in Spring 2020 the FAS offered then-current and prospective tenure-track faculty the option to have their assistant or associate professor appointment (depending on which rank their appointment was in) extended by one year. (This option accounted for the possibility that the COVID-19 pandemic might unfold in a series of waves. If another wave occurred during Fall 2020 or later, the FAS did not expect to provide an additional appointment extension.) Tenure-track faculty were asked to inform their divisional/SEAS assistant dean in writing by June 30, 2020 if they wished to have their assistant or associate professor appointment extended. In April 2021, recognizing the ongoing impact of COVID-19, the FAS encouraged any interested tenure-track faculty to contact their divisional dean/SEAS Dean if they wished to request an additional year of appointment and tenure-clock extension, for reasons of significant professional and/or personal disruption due to the pandemic.

Note: Reviews for promotion should ordinarily be completed by the end of the penultimate year of appointment.

Note: Please see the *FAS Appointment and Promotion Handbook* for a few SEAS-specific variations.

June: Prior to, or at the beginning of, candidates' penultimate year of appointment, chairs receive letters from the assistant dean for the division indicating which tenure-track faculty (both calendar-year and academic-year appointees) are eligible for review. Chairs meet with candidates to go over the materials needed for the review.

### By early September:

- Department chairs request approval of review committee membership from divisional deans. After approval, the chairs appoint the review committees.
- Candidates submit their materials to departments by September 1 (or next business day).
- Departments compile summary teaching charts and gather materials on the candidates' performance as advisors of undergraduates and mentors of graduate students and (as relevant) postdoctoral fellows.

### September/October (for tenure reviews):

- Review committees consider the candidates' materials and present the cases to the departments. The tenured faculty members in the departments then discuss and decide whether the cases warrant further review.

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<sup>2</sup> This timeline applies to tenure-track faculty whose appointments will end on June 30. Departments may complete the process in a more compressed timeframe, if they prefer, as long as their accelerated timetable allows all parties the full measure of time for completing their tasks and all promotion dossiers are submitted to Faculty Affairs by March 1, 2022 (for tenure dossiers) or March 15, 2022 (for associate review dossiers). Timelines applying to tenure-track faculty whose appointments will end on December 31 are available in the *FAS Appointment and Promotion Handbook*.

- If the departments are recommending further review, the chairs request divisional dean authorization to collect external evaluation letters, submitting for divisional dean approval drafts of the review letters, proposed recipient lists, and (if departments choose to send initial inquiries) the initial inquiry emails.
- Departments send approved letters to approved recipient lists. Departments should give letter writers at least six to eight weeks to prepare their letters (dating from the mailing of the review letter), depending on the volume of materials under review.

September to early November (for associate reviews):

- Review committees consider the candidates' materials and decide which cases should move forward. If the committee recommends that a case not move forward, the department must discuss and affirm this decision.
- If a case moves forward, the chair requests divisional dean authorization to collect external evaluation letters, submitting for divisional dean approval a draft of the review letter and proposed recipient list.
- Departments send approved letters to approved recipient lists. The department should give letter writers at least six weeks to prepare their letters (dating from the mailing of the review letter), depending on the volume of materials under review.

Early January (for tenure reviews) or January (for associate reviews): Expected date of replies from external scholars

January/February (for tenure reviews) or February to early March (for associate reviews):

- Tenured members of departments review dossiers and vote on whether to recommend promotions.
- If a significant majority votes in favor of promotion, departments finalize dossiers for submission to Faculty Affairs. In tenure cases, each tenured member of the department submits a confidential letter to the FAS Dean regarding the case, as appropriate.

March 1: Deadline for submission of tenure promotion dossiers to Faculty Affairs.

March 15: Deadline for submission of associate promotion dossiers to Faculty Affairs.

March – June: Review, as appropriate, by divisional deans, the FAS Dean advised by the Committee on Appointments and Promotions, *ad hoc* committees, and the President, followed by notification to candidates about the outcomes.

## **6. Professional Development**

### **What is professional development?**

- Faculty can develop their abilities as teachers, researchers, administrators, and members of the academic community in a number of ways. For example, Harvard-sponsored workshops addressing aspects of professional life, and conferences in one's field can advance a faculty member's professional development. Opportunities for formal and informal mentoring by colleagues are critical to the full development of each faculty member.
- Support for tenure-track faculty is especially important. The *Guide to Faculty Mentoring in the Faculty of Arts and Sciences* (<https://facultyresources.fas.harvard.edu/mentoring-professional-development>) advocates empowering tenure-track faculty through mentorship, involvement in department decision-making, opportunities to share their research, and connection to colleagues within and outside of the department.

### **What role do department chairs play in professional development?**

- All department chairs (or their designated colleague[s]) should have on file with the Office for Faculty Affairs a written plan outlining how the department will support the professional development of its tenure-track colleagues. Each tenure-track faculty member, regardless of career stage or prior documented professional success, should have at least one formal mentor or a mentoring committee within the department assigned with input from the tenure-track faculty member.
- Ideally, formal mentorship should be supplemented by other measures (e.g., departmental symposia for tenure-track colleagues to present their work, workshops on professional challenges specific to the field; informal departmental get-togethers for tenure-track colleagues to connect with peers and senior colleagues). If a tenure-track faculty member is interested, chairs should also help facilitate finding a mentor outside of the department via the divisional dean's office.
- Chairs should also encourage tenure-track colleagues to draw up personal plans for their professional development. While not required, these plans can help the faculty member identify professional goals over several years, inventory areas for professional growth, and consider specific means to achieve this growth.
- Chairs should ensure that tenure-track colleagues are engaging in useful, high-value service that will give them a voice in departmental decision-making, while also protecting them from too much service. It is the chair's responsibility to ensure that tenure-track colleagues are not overburdened with service requests.
- Special attention should be paid to the mentoring of tenure-track faculty who are jointly appointed in two departments. The chairs of both departments are urged to meet at least once annually to ensure that a) optimal mentoring is being provided in each department, and b) teaching and service obligations are distributed or cycle fairly between the departments, to ensure that tenure-track colleagues are optimally engaged with each of their departments, while not being overly burdened by either.

## **What resources are available?**

- *Guide to Faculty Mentoring in the Faculty of Arts and Sciences* (<https://facultyresources.fas.harvard.edu/mentoring-professional-development>) offers concrete advice for department chairs, mentors, and tenure-track faculty on implementing mentorship plans and other support for tenure-track faculty.
- The New Faculty Institute (NFI), hosted annually by the academic deans and the Derek Bok Center for Teaching and Learning, is an intensive two-day program that orients new FAS faculty to Harvard University, with a special emphasis on teaching. The program focuses on career development for tenure-track faculty. Additional information on the program is sent to incoming faculty at the start of each summer.
- The Standing Committee on Women (SCW) provides additional professional development opportunities for tenure-track women.
- Professional development events occur at the divisional level as well. Chairs may check with the divisional assistant deans for more information.
- The Office for Faculty Affairs offers professional development opportunities for tenure-track faculty throughout the year. Tenure-track faculty are invited to participate, and chairs can encourage them to take advantage of these offerings.
- The Senior Vice-Provost's Office for Faculty Development and Diversity also holds events during the year. Please see <https://faculty.harvard.edu>.

## **7. Annual Activity Reports and Salary-Setting**

### **What are annual activity reports?**

Individual activity reports provide an opportunity for faculty members to describe their teaching, advising, research, and citizenship for the year. Chairs should remind colleagues that these reports play a key role during the annual salary-setting process. Activity reports are submitted online and are due January 31, 2022. Faculty receive an e-mail request with a link to the activity report application.

### **How are faculty salaries set each year?**

- Each year, in February and March, the department chair meets with the divisional dean, the Dean for Faculty Affairs and Planning, the Senior Associate Dean for Faculty Development, and the divisional assistant dean to discuss the work of every faculty member in the department. Chairs have access to all activity reports of faculty in their department and should review each member's activity reports in preparation for this meeting.
- During the meeting, the chair and deans review the research, teaching, citizenship, grant activity (including the effort to obtain funding), and advising/mentoring of each faculty member. After the departmental meetings have all taken place, the divisional dean, the Dean for Faculty Affairs and Planning, the Senior Associate Dean for Faculty Development, the Senior Associate Dean for Faculty Affairs, and the divisional assistant dean meet to discuss salary setting.
- Department chairs are not privy to the salary figures for individual tenured faculty members. The FAS Dean, together with the divisional/SEAS Dean, notifies each faculty member individually by letter what their salary will be for the coming year.

## **8. Non-Harvard Activities**

Faculty members may occasionally be offered the opportunity to earn compensation for work performed outside of their Harvard appointments. Policies governing conflicts of commitment and conflicts of interest are detailed in the following references (see all faculty research policies at <https://research.fas.harvard.edu/policies/faculty-research>):

- *University Statement on Outside Activities of Holders of Academic Appointments* (available at <https://provost.harvard.edu/statement-outside-activities-holders-academic-appointments>)
- *University Policy on Financial Conflicts of Interest* (see [http://files.vpr.harvard.edu/files/vpr-documents/files/harvard\\_university\\_fcoi\\_policy\\_4\\_0.pdf](http://files.vpr.harvard.edu/files/vpr-documents/files/harvard_university_fcoi_policy_4_0.pdf))
- *FAS/SEAS Policy on Financial Conflicts of Interest Disclosures* (available at <https://research.fas.harvard.edu/policies/financial-conflicts-interest-disclosures>)
- *FAS/SEAS Policies Relating to Research & Other Professional Activities* (available at <https://research.fas.harvard.edu/policies-relating-research-and-other-professional-activities-within-and-outside-university>)
- *FAS/SEAS Policies on Effort Reporting for Academic Year Effort and Supplemental Salary* (available at <https://research.fas.harvard.edu/effort-reporting>)

All faculty members are expected to familiarize themselves with these policies and to conduct their research and teaching accordingly. All appointments outside of Harvard must be brought in advance to the attention of the Office for Faculty Affairs, which will work with the faculty member, relevant Dean(s), and other appropriate FAS offices to resolve the matter in accordance with FAS policies.

In general, as noted in the *University Statement on Outside Activities of Holders of Academic Appointments* (available at <https://provost.harvard.edu/statement-outside-activities-holders-academic-appointments>):

[T]he University and its members have long recognized that persons holding academic appointments at Harvard should conduct outside professional pursuits in ways that respect their responsibilities to their home institution. Along with status as a full-time Harvard academic appointee comes the expectation that one's primary professional duties are to Harvard and that outside professional activities will not conflict with obligations to one's students, to colleagues, and to the University as a whole. . . . anyone holding a full-time academic appointment at Harvard should not, without permission of the Corporation upon recommendation of the appropriate Dean, engage in teaching, research, or salaried consulting at any other educational institution during the academic year.

It may be possible, on a limited basis, for faculty members with full-time appointments to accept compensation for outside activities. The *University Statement on Outside Activities of Holders of Academic Appointments* states the following:

In undertaking consulting and related outside professional activities, faculty members and other academic appointees should take care to observe the limits on the amount of time properly devoted to such activities and to avoid situations in which the activities may create a conflict with their responsibilities as an officer of the University. Academic appointees should not engage in paid consulting at or for another educational institution or educational organization without prior approval from their Dean and the Corporation.

Annual Faculty Activity Reports (a description of the faculty member's research, teaching and advising, and service during that year) are submitted to the Dean and used as part of the salary-setting process. In addition to reporting in the annual Faculty Activity Report, and in accordance with the *FAS/SEAS Policy on Financial Conflicts of Interest Disclosures* (<https://research.fas.harvard.edu/policies/financial-conflicts-interest-disclosures>), ladder, senior non-ladder, and non-ladder faculty at the FAS, as well as other individuals (including, on occasion, Senior Research Scientists, Research Scientists, postdoctoral fellows, fellows, graduate students, and others), must under certain conditions submit an annual disclosure of their and their immediate family members' financial interests and outside activities in the preceding twelve months in any related outside entity, using the online Outside Activities and Interests Reporting (OAIR) application (<https://oair.harvard.edu>). (Please note that some financial interests may be excluded from disclosure.) Such individuals must disclose all outside academic appointments, professional affiliations (including all foreign professional affiliations), and professional activities as part of their annual disclosure certification in OAIR and are required to update their certification as changes to their activities and affiliations occur. This includes consulting relationships, visiting appointments, and honorary appointments. Please see the "Compensation" section in Chapter 2 of the *FAS Appointment and Promotion Handbook* (<https://academic-appointments.fas.harvard.edu/>), for more detailed information.

There is a policy that is generally known in the FAS/SEAS as the "20 percent rule," which states that no more than 20 percent of one's total professional effort may be directed to professional activities outside Harvard.<sup>3</sup> This rule is intended to govern effort, not specific levels of compensation, and applies to the period in which a faculty member is receiving salary from the FAS/SEAS—for nine months of the academic year and then for any months in which supplemental salary is paid. If a faculty member is not receiving any supplemental salary and only receives a nine-month academic year salary, the 20 percent rule does not apply for the three months of the year for which the faculty member is effectively unpaid. This remains the case even when the nine-month base salary is paid over a twelve-month period.

In interpreting this rule, faculty members should be mindful of the ultimate manifestation of any non-Harvard activities undertaken. Even if the work initially falls within the 20 percent rule or occurs during unpaid months, there may exist the possibility that a conflict of interest or a conflict of commitment may eventually arise. Faculty members are strongly encouraged to consult with the Office for Faculty Affairs in advance of any such situations developing.

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<sup>3</sup> The 20 percent rule applies not only to faculty members, but to all academic appointees.

## **9. Faculty Retirements**

### **How does one handle faculty retirements?**

- There is no mandatory retirement age at American universities, including Harvard University. Department chairs can be helpful, however, in pointing colleagues towards the individuals and resources that can assist faculty as they consider their options.
- Nina Zipser, Dean for Faculty Affairs and Planning, or Laura Fisher, Senior Associate Dean for Faculty Development, are available to meet with faculty members who are considering retirement. They discuss the options available through the Faculty Retirement Program as described in the [Retirement Brochure](#), answer questions and, as appropriate, draft retirement agreements. To set up a meeting with Nina or Laura, faculty members can contact Jerrine Milke ([jmilke@g.harvard.edu](mailto:jmilke@g.harvard.edu), 617-495-0531). Nina is also available to department chairs who have questions or concerns related to faculty retirement. She can be reached at 617-496-2969 or [zipser@g.harvard.edu](mailto:zipser@g.harvard.edu).
- Elizabeth Rich, Assistant Director – Faculty and Staff Services, is a good source of information on the benefits, including medical, dental, and life insurance for which faculty are eligible in retirement. Elizabeth can be reached at 617-384-5006 or [elizabeth\\_rich@harvard.edu](mailto:elizabeth_rich@harvard.edu).

## **10. Black-Bordered Cards and Memorial Minutes**

### **How are faculty members who pass away commemorated?**

The FAS has a policy of distributing black-bordered cards upon the death of an *emeritus* member of the Faculty or a professor, associate professor, or assistant professor who was on active duty. So that the cards can be distributed promptly, please inform the Office of the Secretary ([secfas@fas.harvard.edu](mailto:secfas@fas.harvard.edu)) as soon as you learn of the death of a present or former member of your department. Your message should include the full name and title of the deceased and the exact date of death.

As a courtesy to the family, you might also wish to inform the *Harvard Gazette* (617-495-1585) and the Benefits Office (617-496-4001).

Once a black-bordered card has been distributed, the Office of the Secretary contacts the chair of the relevant department to appoint a committee of colleagues to prepare a Memorial Minute on the life and service of the deceased, to be presented at a meeting of the Faculty. Further information about Memorial Minutes can be found at <http://secfas.fas.harvard.edu/memorialminutes>.

## **11. Faculty Council Elections**

The Faculty Council consists of nine members who are elected to divisional seats and nine who are elected to at-large seats. Faculty Council elections take place in the spring of each year. **In early March, after the at-large nominations portion of the election have concluded, the chairs of departments are asked to consult with their colleagues and nominate one member of their department to stand for election to a divisional seat on the Council.** Chairs may not nominate themselves for this seat.

The Council, which is the highest elected body of faculty in the FAS, functions as both a sounding board for the Dean of the Faculty and a steering committee for the Faculty of Arts and Sciences. It operates as a clearing house for legislation to come before the Faculty, makes recommendations to the Faculty on legislation to be considered by that body, and exercises general oversight over the standing committee structure of the Faculty. The Council also advises the Dean on plans and priorities for the Faculty.

It is an honor for a colleague to sit on this body and a useful conduit between a department and the Dean of the Faculty.

Questions about the election process should be directed to the Secretary of the Faculty, Susan Lively, at [susan\\_lively@harvard.edu](mailto:susan_lively@harvard.edu) or 617-495-3613.

## **12. Meetings of the Faculty**

Per the Rules of Faculty Procedure, department chairs are required to attend all meetings of the Faculty.

The Faculty meeting schedule and other information about Faculty meetings can be found on the website of the Office of the Secretary (<https://secfas.fas.harvard.edu>).

Questions about the meetings of the Faculty should be directed to Susan Lively, Secretary of the Faculty, at [susan\\_lively@harvard.edu](mailto:susan_lively@harvard.edu) or 617-495-3613.

# **Finances**

## Finances

### Overview

Department chairs bear the ultimate responsibility for the safeguarding and sound management of their department's finances. A chair has three partners in this effort.

- 1) First, the **Department Administrator** is the primary financial resource within the department. He or she is involved in both the preparation and implementation of the budget and knows what income and expenses have been planned, as well as the correct procedures for requesting funding, reimbursing expenses, etc. *Chairs should stay in close communication with their administrators on all financial matters, especially before making funding commitments or setting other financial processes in motion.*
- 2) Second, your **Divisional Administrative Office** works closely with departments to help them develop financial strategies that maximize their resources and enable them to achieve their educational and research goals. Your department administrator is actively engaged with your divisional administrative dean throughout the year to help you monitor your annual expenses and to develop plans for future years. You may also work closely with your divisional dean on broad financial issues that impact your strategic planning.
- 3) Third, the **FAS Finance Office** works closely with your divisional office and department to support your financial needs. A financial analyst from the FAS Finance Office has been assigned to your department and division. Administrators from your department and division and the FAS Finance Office work as a collective team to ensure sound stewardship of fiscal resources. This team assists your department in developing an annual budget, identifying strategies for investing or conserving departmental funds, helping to interview staff candidates for positions that require financial expertise, dealing with any fiscal improprieties, and addressing a variety of other financial issues.

The FAS Finance Office welcomes regular communication with the departments and is eager to involve departments more fully in the setting of sound fiscal policies. Chairs and administrators should not hesitate to contact the Finance Office with any questions. A contact list follows on the next page.

For more information on FAS financial policies and procedures, please see <https://finance.fas.harvard.edu/>.

### What are some of a department chair's fiscal responsibilities?

- The chair must safeguard the department's financial assets and other resources and ensure that they are used in optimal ways that support the academic priorities of the department and the University.
- The chair works with the department administrator to develop an annual budget.

- The chair, with the support of the department administrator, ensures that the department operates within budgetary constraints each year.
- The chair ensures that gift and endowment funds are used appropriately, i.e., according to the terms of the gift or the endowment fund.
- The chair ensures that the department has a process for monitoring grant expenditures and regulatory compliance. In the event of a projected cost overrun, the chair is responsible for working with the principal investigator to develop a remediation plan.
- The chair sets the appropriate tone for the department to ensure that the department follows University policies and procedures and maintains proper internal controls.

**What is the process for developing a departmental budget?**

- The Finance Office and the divisions will work closely with chairs and department administrators as they prepare and submit their budgets, which will include all planned income and expense from both unrestricted (subvention) and restricted (endowments and gifts) sources.
- Higher education institutions continue to face significant fiscal challenges such as increased competition for funding from donors, uncertain federal funding environment due to sequestration, and pressure to keep education affordable to all students. We must continue to maintain the fiscal discipline that has served us well during the past few years, to sustain the important investments we are making into our academic enterprise as well as consider new initiatives.
- These challenges require a collaborative budget process between FAS Finance, divisional leadership, and departments.
- The divisions and the Finance Office will communicate budget guidelines, assumptions, and timelines with departments.

## Contact List

When calling from outside Harvard, the extensions below beginning with “4” can be dialed in full as “617-384”; extensions beginning with “5” or “6” can be dialed in full as “617-495” or “617-496”; and extensions beginning with an “8” can be dialed in full as “617-998”.

### **FAS Finance**

Jay Herlihy Associate Dean for Finance	4-7333	<a href="mailto:jherlihy@fas.harvard.edu">jherlihy@fas.harvard.edu</a>
Susan Duda Assistant Dean for Budget and Financial Planning	6-2863	<a href="mailto:smduda@fas.harvard.edu">smduda@fas.harvard.edu</a>
Nancy Guisinger Assistant Dean & Controller for Finance	5-0690	<a href="mailto:nancy_guisinger@harvard.edu">nancy_guisinger@harvard.edu</a>
Bob Daley Associate Director of Payroll Services	5-7441	<a href="mailto:daley@fas.harvard.edu">daley@fas.harvard.edu</a>
Stephanie Nasson Senior Director of Administrative Operations	6-2763	<a href="mailto:nasson@fas.harvard.edu">nasson@fas.harvard.edu</a>
Shannon Ingraham Department Administrator	6-0455	<a href="mailto:shannon_ingraham@harvard.edu">shannon_ingraham@harvard.edu</a>

### **Divisional Administrative Deans**

Russ Porter Administrative Dean for Science	5-0904	<a href="mailto:russ_porter@harvard.edu">russ_porter@harvard.edu</a>
Tom Bourgeois Senior Financial Analyst	8-5157	<a href="mailto:tbourgeois@fas.harvard.edu">tbourgeois@fas.harvard.edu</a>
Beverly Beatty Administrative Dean for Social Science	4-7774	<a href="mailto:beverly_beatty@harvard.edu">beverly_beatty@harvard.edu</a>
Chantal Mont-Louis Senior Financial Analyst	5-3272	<a href="mailto:chantal_mont-louis@fas.harvard.edu">chantal_mont-louis@fas.harvard.edu</a>
Mathilda van Es Administrative Dean for Arts and Humanities	5-9043	<a href="mailto:vanes@fas.harvard.edu">vanes@fas.harvard.edu</a>
Chuna Keophannga Senior Financial Analyst	5-4047	<a href="mailto:chuna_keophannga@fas.harvard.edu">chuna_keophannga@fas.harvard.edu</a>

## **Sponsored Research**

## **Sponsored Research**

FAS and SEAS faculty who conduct sponsored research require support and guidance to administer their projects in accordance with the sponsors' terms and conditions, federal regulations and Harvard policies. Department chairs, area chairs and directors, department administrators, grants managers, laboratory directors, and departmental financial officers work with faculty to establish and manage sponsored projects in consideration of these requirements.

Federal scrutiny of faculty outside activities and other compliance requirements, including conflicts of commitment and foreign involvement, has increased substantially in recent months, heightening the risks posed both to Harvard and to those faculty and other members of our research community who serve as Principal Investigators (PI) on federal awards. It is imperative that we keep faculty informed of the changing sponsor expectations and federal regulations, and support their compliance with all applicable sponsored policies and procedures.

### **What is the department chair's role in sponsored research?**

As part of their overall understanding of the department, the chair should be aware of sponsored research proposals submitted by their faculty for funding and of grants or contracts that faculty are awarded.

The FAS department chair is responsible for approving faculty proposals for external funding. Although the review process may be, and often is, performed by department administrators, the ultimate responsibility remains with the chair. Proposals may contain commitments of the department's space, personnel, or financial resources that only the department chair can approve. A proposal may also contain commitments of FAS or SEAS resources that must be forwarded to the FAS divisional dean, the John A. Paulson Dean of SEAS (SEAS Dean) or the Edgerley Family Dean of the FAS (FAS Dean) for approval.

Please note: University [policy](#) requires proposals to be locked and routed in GMAS at least *five days prior to the sponsor submission deadline* for review by OSP prior to submission to the sponsor. You can view FAS and SEAS implementation of the proposal submission policy at: (<https://research.fas.harvard.edu/process>). Grant administrators must be provided ample time to prepare documents to meet the five-day rule. Chairs are encouraged to alert their faculty colleagues to the five-day rule so they can plan accordingly to meet their deadlines. FAS Department chairs also have a role in ensuring there is a process in place for monitoring projected and actual over-expenditures that may occur on externally funded sponsored projects, as department resources may be needed to cover the over-expenditures.

Chairs have a key role in ensuring that faculty both understand the responsibilities that accompany sponsored funding and other research collaborations whether funded or unfunded, can fulfill their obligations to the project or research, and have the resources they need to manage their projects effectively and efficiently.

In addition to the chair, **FAS Research Administration Services (FAS RAS)** and Harvard's **Office for Sponsored Programs (OSP)** work with FAS and SEAS faculty, departments and centers during the pre-award, award management, and post-award stages.

**Where can one go for more information or assistance?**

FAS RAS has created a comprehensive website (<https://research.fas.harvard.edu/>) that contains information about identifying funding sources, preparing a research proposal, guiding it through the FAS, SEAS and Harvard University review and approval process, submitting the proposal to sponsors, and setting up, maintaining, and closing out an award.

The website also contains FAS/SEAS and Harvard University policies and guidelines related to research, upcoming training opportunities, approval forms, a directory of the FAS RAS team, and a more detailed list of whom to contact for further assistance. Lauren Ferrell (617-495-4083, [lauren\\_ferrell@fas.harvard.edu](mailto:lauren_ferrell@fas.harvard.edu)), Associate Dean for Research Administration, leads the RAS team.

The FAS RAS team is available to assist faculty with all aspects of sponsored project management and research compliance and to help departments and areas ensure that research projects are administered in a manner consistent with both the award terms and conditions, university, and schools policies.

Harvard's Office for Sponsored Programs website (<https://osp.finance.harvard.edu/>) also provides extensive information about each stage of the sponsored research process.

A list of OSP contacts for each FAS department is available by following this link: <https://osp.finance.harvard.edu/contact-osp>.

Sarah Axelrod (617-496-2513, [sarah\\_axelrod@harvard.edu](mailto:sarah_axelrod@harvard.edu)), Associate Vice President, Office for Sponsored Programs leads the OSP team.

# **Physical Resources and Planning**

## **Physical Resources and Planning**

### **What is the Office of Physical Resources and Planning?**

The Office of Physical Resources and Planning operates and maintains FAS buildings, oversees space and campus planning, manages the design and construction of capital projects (projects over \$100,000), and, with the FAS Finance Office, prepares the FAS annual building operations and capital budget and long-range capital plans.

### **Who makes space decisions at the FAS?**

Space decisions are made by the divisional deans, taking into account the needs and recommendations of each department. Space planning involves the collaboration of three parties:

- 1) The department, represented by the chair, assisted by the administrator or lab director
- 2) The divisional dean, assisted by the administrative dean
- 3) The Physical Resources and Planning team.

The Physical Resources and Planning team includes a senior planner for each of the three divisions (Arts & Humanities, Social Sciences, and Sciences) and for the College, Harvard Library, and GSAS. These planners are charged with both helping departments use space efficiently and equitably and finding solutions that span departmental space boundaries.

For major space allocations spanning multiple divisions within FAS, the Edgerley Family Dean of the FAS (FAS Dean) may elect to make the final decision.

### **How are departmental space needs met?**

Early in the academic year, the parties described above meet to review the current space situation in each department and to create a plan to accommodate the department's needs. If the department plans to conduct a faculty search(es) or make any new faculty appointment in the upcoming year, the parties should address potential space needs for the appointment as part of this discussion, as such a plan is needed prior to search authorization. No action on a proposed appointment can be taken until this information is available to the FAS Dean.

Budgets for faculty projects are included in the annual FAS capital plan that is approved by the FAS Dean and the University Corporation.

### **How is space set up for a new faculty member?**

Certain faculty appointments generate the need for space renovation. For those appointments, a project manager from the Office of Physical Resources and Planning is assigned to oversee the new faculty member's space needs. When appropriate, the planner, project manager, faculty member, department chair or administrator, and architect meet to discuss the faculty member's requirements. Physical Resources and Planning is responsible for architect and contractor

selection and makes every effort to secure the services of firms who understand the particular programs and buildings of the department. The department administrator often follows through on the process, keeping in touch with the project manager and faculty member as the design and construction or space fit-out proceeds.

For more information about departmental space issues, please contact:

Zak Gingo, Associate Dean of Physical Resources and Planning,  
[zgingo@fas.harvard.edu](mailto:zgingo@fas.harvard.edu).

For space planning, please contact:

Celia Kent, Director of Planning and Senior Planner for Social Science,  
[celia\\_kent@harvard.edu](mailto:celia_kent@harvard.edu)

Sharalee Field, Senior Planner for Science, [sharalee\\_field@harvard.edu](mailto:sharalee_field@harvard.edu)

Maryellen Fitzgibbon, Senior Planner for Arts and Humanities,  
[mfitzgib@fas.harvard.edu](mailto:mfitzgib@fas.harvard.edu)

For project design and construction, please contact:

Petrina Garbarini, Director of Capital Projects, [pgarbar@fas.harvard.edu](mailto:pgarbar@fas.harvard.edu)

### **Whom do I contact if something in the department needs repair?**

Every FAS building has a building manager who can be contacted if something in the building needs repair or if there are problems with building systems or services. The department administrator or lab director often works closely with both Physical Resources and the building manager; they can contact the appropriate person to help solve the problem. To identify your building manager, please contact the Office of Physical Resources and Planning, at 617-495-3678. If you have difficulty resolving a building issue, please contact Zak Gingo at the email address, above.

For urgent building-related problems needing immediate response, please call the Harvard Control Center at 617-495-5560. In case of emergency, please follow emergency procedures by calling 911.

# **Human Resources**

## **Human Resources**

*Note: Processes and resources may have changed due to the COVID-19 pandemic and staff working remotely. Please see the University's [Coronavirus Workplace Policies](#) for current guidelines. To ensure that you have the most up-to-date information, please visit the [FAS Human Resources website](#) and the [Harvard Human Resources website](#).*

### **Who is FAS Human Resources (FAS HR) and how can they help?**

FAS HR provides advice and coaching regarding compensation (e.g., job classification, salary setting), performance management, talent management, organizational development, and career development programs. Faculty chairs should contact their HR Consultant before hiring, disciplining, or terminating an employee in their department.

Departments should also contact their HR Consultant to discuss staff changes and requirements for additional staff. FAS HR reviews requests for regular, benefits-eligible staff through a [Critical Position Review](#) that includes FAS Finance, the administrative deans, and others depending on the request. Requests for new or incremental FTEs will require approval by the appropriate FAS dean.

### **What is the role of the HR Consultant?**

HR Consultants partner with managers and staff to address all types of workplace matters, providing guidance, advice, and answers informed by a deep understanding of FAS managers' and staffs' particular business needs and challenges. The HR Consultant is available for guidance and coaching on matters such as employee relations issues, recruitment, organizational development, new employee onboarding, compensation, employee retention, and career development. They may also provide referrals to existing resources within the FAS or across all of Harvard.

### **How does a department hire new staff?**

To create a new position or to fill an FAS staff vacancy, departments should first contact their HR Consultant to discuss the needs of the department and the approvals that are required. FAS HR reviews requests for regular, benefits-eligible staff after consulting with the appropriate administrative dean, the FAS Finance Office, and the Office of the Dean for Administration and Finance.

In almost all cases, newly approved positions will also go through the classification process (see below). Once the department, often with the assistance of its HR Consultant, creates a final job description, FAS HR will assist the department in posting the position.

Upon request, FAS HR can help with various elements of the hiring process, including an inclusive candidate search, advertising, reference checking, and background screening. FAS HR sends out all offer letters. Please note that hiring independent contractors and/or any employees

that do most of their work outside Massachusetts presents unique issues that should be discussed in advance with the department's HR Consultant.

For extensive information and resources to assist you with staff hiring, please visit the [Staff Hiring Toolkit](#).

### **Why is pre-employment background screening important?**

To enhance the safety of and reduce the risk to the Harvard community, the University has implemented a uniform hiring and screening process for all newly hired staff and internal transfers. At a minimum, all new hires' identification will be verified; some positions will require additional screening. An offer letter may not be completed until the applicable pre-employment screen(s) have been conducted and FAS HR has determined that all required screens are satisfactory. Departments should direct any questions regarding pre-employment screening to FAS HR ([recruitment@fas.harvard.edu](mailto:recruitment@fas.harvard.edu)).

### **What is job classification and reclassification?**

- **Job Classification** refers to an evaluative process of assigning the most appropriate job code and corresponding grade level to a position. Positions are classified based on how they fit into the established University-wide classification system and the FAS organizational structure. This determination is based on a review of the position's duties and responsibilities and takes into consideration the scope and breadth of the position, impact to the organization, essential functions of the position, level of difficulty/complexity of work, scope and complexity of budgetary/financial responsibilities (if appropriate), level of decision making, independence of action, and management responsibilities (if any).

**Reclassification** is a change in the job grade of an existing position. Reclassifications should be considered when:

- More than one-third of the job responsibilities have significantly increased in scope and impact.
- The employee has successfully carried out the new responsibilities for six months or more.

Reclassification is not an appropriate vehicle to:

- Retain a high-performing employee.
- Recognize stellar performance if the role itself has not grown significantly.
- Reward longevity (an employee who has been in his/her/their role for an extended period).

While new responsibilities added to a position allow employees to naturally grow and develop in their careers, they do not necessarily mean that the scope and responsibilities of the position have substantially increased.

For a high potential employee who is ready for their next step, it may be elsewhere in FAS or Harvard, as opposed to reclassifying the position when the business needs do not support the expansion.

All FAS requests that will potentially increase people-related costs will be submitted to the [Critical Review Process](#).

All proposals for classification and reclassification are reviewed by the FAS Classification Committee in FAS HR.

For additional information and tools on the FAS Classification process, please [contact your HR Consultant](#).

### **How is staff compensation determined?**

FAS HR makes its best effort to maintain a fair and equitable compensation program across the FAS. Within limits, compensation decisions are made by managers, with guidance provided by FAS HR and Finance.

- **Salary offers, promotional increases, and equity reviews:** Departments making a salary offer as part of the hiring process or making compensation adjustments regarding a staff position that has been reclassified should consult their HR Consultant in advance, who can provide salary analysis and recommendations. These recommendations are based on analyses of salaries of Harvard staff doing comparable work across the University.

Additionally, if a department chair feels there are current inequities in the staff salary structure, an equity review of the staff salaries in the department may be requested by the HR Consultant. Salary adjustments should be planned for and requested during the annual budget process. The HR Consultant and department administrator can help prepare any data points that would be helpful prior to the start of the academic planning process.

- **Annual salary program:** The Associate Dean for Human Resources will distribute salary planning information (general compensation and administrative guidelines) to the department chairs and department administrators outlining that year's annual salary program.

The annual salary program varies from year to year, depending on available funding and labor market conditions. In some years, each eligible department will have the discretion to provide performance bonuses to their staff within a prescribed budgetary limit. Performance bonuses and larger increases to base pay should be reserved only for the highest performers for achieving excellence in exceeding the goals and mission of the department.

FAS HR Consultants are available to work with department chairs and department administrators when planning how to best use any funds available for variable pay awards.

- **HUCTW salary increases:** The annual increases for members of the HUCTW bargaining unit are calculated centrally based on the terms of the current HUCTW contract. If you have concerns with an HUCTW member's performance, please contact your FAS HR Consultant as soon as possible.

### **What happens when an employee needs to take a leave of absence?**

As a manager, your role is crucial in helping employees navigate needed transitions away from and returning to work. Advance consideration of how to cover the employee's job responsibilities during a leave, along with sensitivity to the personal challenges or changes the employee may be facing, will ensure the department's continued productivity, morale, and employee retention. There are a variety of legal and policy related rights and responsibilities associated with leaves of absence. Departments should contact the FAS HR Leaves Consultant or their HR Consultant for information and help with [planning for a staff member's leave](#).

### **How does a department handle staff benefits?**

Benefits at the University are one of the few areas where central Harvard HR (HHR) is the sole provider of information. While a department's HR Consultant can provide guidance on benefits generally and can help employees access their benefits, FAS HR strongly recommends that the department administrator work directly with the Benefits Services Group on any questions related to University benefits.

For more information, please see [benefits information on the HHR website](#).

### **What are some important aspects of positive employee relations?**

- **Management of staff:** Most chairs directly manage some staff, including the senior department administrator and their own support staff. Managing staff requires orienting staff to their positions, setting performance goals and expectations, being available to identify and reshape priorities, managing performance, advising on development, conducting performance reviews, and resolving issues as they arise. For further guidance on staff management, chairs should contact their HR Consultant.
- **Performance management:** Performance management is a collaborative process that supports a positive working relationship between managers and staff. All FAS staff should have the benefit of ongoing performance conversations, documented annually in Q4 of the fiscal year in a PeopleSoft form. In addition to the performance conversation, the review process should include a self-assessment by the staff member and a written evaluation by the manager.

FAS HR strongly encourages managers, including faculty managers, to meet with staff at the beginning of the fiscal year to agree on goals and to communicate clear expectations for performance. Managers should have regular meetings with staff to discuss whether they are meeting their performance goals and expectations.

For more information on the performance management, [tools and resources are available at the FAS website](#).

- **Problem solving:** While the general principles of problem solving are the same for both professional and support staff, procedures may differ slightly. In all cases, the goal is the resolution of the identified issue to the benefit of the workplace and retention of staff.

In some instances, problem solving may be a prelude to discipline and/or termination. *The department's HR Consultant should be involved in all such processes.*

When problem solving involves staff who are members of the HUCTW or any other bargaining unit, these processes are governed by contract-determined procedures.

Chairs should contact their HR Consultant with any questions about problem solving.

- **Staff development:**
  - **[Getting Started](#):** All employees new to FAS should attend Getting Started, an FAS specific orientation program designed to complement Harvard's University-wide orientation program. Getting Started educates new staff about the unique aspects of working in FAS. Employees can sign up for a session on the FAS HR website.
  - **Managing from Anywhere:** These 90-minute workshops are designed to help managers strengthen remote communications, engage staff virtually, focus on managing for deliverables, and handle potential performance issues that may arise while employees work from a distance.
  - **[FAS Staff Mentoring Program](#):** The mentoring program is for top-performing FAS staff members who are interested in developing their career at Harvard and are willing to invest time and energy into their professional development through monthly group meetings, training sessions, and networking.
  - **[FAS CareerCore](#):** This is a unique group-based program developed by FAS Human Resources for junior level employees looking to tap into their full potential. Going beyond just skill-building, the goal of this program is to provide participants the tools to navigate career paths, build networks, develop self-leadership skills and learn what it means to bring your whole self to work every day.
  - **[Center for Workplace Development \(CWD\)](#):** The University's Center for Workplace Development offers FAS staff high-quality, low-cost classroom and virtual instruction and online learning tools for management, career, and skill development.
    - **[Universal Manager Training \(UMT\)](#):** Focuses on equipping all Harvard managers with the core knowledge and skills required to successfully manage and foster an environment that engages employees and enables them to perform at their best. UMT is a blended training program with content delivered via a combination of in-class and online formats.
    - **[CWD Leadership Courses](#):** Through assessment tools, group exercises and case studies, participants will develop leadership skills, gain a full understanding of their

strengths and development needs and learn to influence and improve the performance of others. Program lengths vary from one day a week for three weeks to monthly meetings throughout the academic year.

- More information on [CWD offerings and registration information](#) is available on the HHR website.
- [The Office of Work/Life](#): The University's Office of Work/Life helps connect staff with the Employee Assistance Program (EAP), dependent care resources, flex-work guidelines, and mindfulness sessions.

**Please note, during the Coronavirus Pandemic, the above courses will be held virtually via Zoom.**

**Where can a department find more information about staff-related University policies?**

For information about University-wide policies for staff and the rights and responsibilities of all members of the University, please refer to the following links:

- [FAS Human Resources - Policies](#)
- [University Office of Human Resources](#)
- [Harvard University Personnel Manual for Administrative/Professional Staff and Non-Bargaining Unit Support Staff](#)
- [Harvard Union of Clerical and Technical Workers \(HUCTW\) - October 1, 2018 – September 30, 2021 Agreement and Personnel Manual](#)
- [Discrimination Policy and Review Procedure](#)
- [Environmental Health and Safety](#)
- [Policy for the Safety and Protection of Minors](#): This University-wide policy includes guidelines for interactions with minors; the requirement to report any instance of suspected abuse or neglect of a minor; education for those who interact with minors and those who oversee programs for minors; and background screening for those in certain positions of responsibility for minors in University programs.
- **Sexual & Gender-Based Harassment Policy/Resources (Title IX)**: Title IX coordinators for staff are available to provide support, resources, and answer questions regarding [Title IX at FAS](#). If a staff member discloses or you become aware of a sexual or gender-based harassment concern involving staff, please contact a staff Title IX Coordinator. A staff Title IX coordinator will provide a private space for staff to receive support.
  - [FAS Sexual & Gender-Based Harassment Policy/Resources](#)
  - [FAS Title IX Coordinators for Staff](#)
  - [Harvard Central Title IX Office](#) (Please note this office will become part of the new Office for Gender Equity in summer 2021.)
  - [Office of Sexual Assault Prevention and Response](#) (Please see note above about the Office for Gender Equity.)
- [Harvard Non-Retaliation Policy](#): The University expressly forbids anyone to take any form of retaliatory action against any member of the Harvard community who in

- good faith voices concerns, seeks advice, files a complaint or grievance, seeks the aid of Human Resources, testifies or participates in investigations, compliance reviews, proceedings or hearings, or opposes actual or perceived violations of Harvard University's policy or unlawful acts.
- [Harvard Policy on Conflicts of Interest and Commitment](#)
  - [Harvard Policy on Work Relationships \(Employing Family or Household Members, Consensual Relationships\)](#)
  - [Presidential Task Force on Inclusion & Belonging](#): On March 27, 2018, the Presidential Task Force on Inclusion and Belonging released its final report to the Harvard community. A PDF of the full report, including accompanying materials for the community and report appendices, is available [here](#).
  - FAS Office for Diversity, Inclusion, and Belonging: Associate Dean Sheree Ohen's office furthers diversity, inclusion, and belonging work for FAS staff, students, and faculty. The office's initiatives include the DIB Graduate Student Fellows Program and Faculty Liaisons for Inclusive Excellence.
  - Office for Diversity, Inclusion, and Belonging: This University office, led by Chief Diversity and Inclusion Officer Sherri Charleston, helps foster a campus culture of inclusion and excellence. For information about [Harvard's Affirmative Action Plans](#) for Minorities and Females, and for Individuals with Disabilities and Protected Veterans, please contact Teresa Malonzo, Director of Affirmative Action and Diversity Analytics.
  - **Other University-Wide Policies and Guidelines at Harvard**
    - [Office of the Provost: Policies](#)
    - [Center establishment and principles governing commercial activities](#)
    - [Digital Millennium Copyright Act \(DMCA\) - Copyright Policy](#)
    - [Policy on Access to Electronic Information](#)

# **Information Technology**

## **Information Technology**

Harvard University Information Technology (HUIT) provides the following services and support to FAS faculty and staff. For more information, please contact <https://huit.harvard.edu/ithelp> or 617-495-7777.

### **Emergency Notification System**

The MessageMe system lets Harvard contact you quickly in the event of an emergency. To update your contact information, visit <https://messageme.harvard.edu>.

### **IT Support for New Faculty**

HUIT has an outreach program for incoming junior and senior faculty in FAS. The goals are to assist faculty with IT onboarding and to ensure that they are connected with the right resources quickly and efficiently as they arrive on campus. For more information, contact David Sobel at 617-495-1270 or [david\\_sobel@harvard.edu](mailto:david_sobel@harvard.edu).

### **Technology for Teaching**

- The Academic Technology Group offers help setting up course web pages, including the Canvas learning management system; consulting on innovative uses of technology for teaching and learning; using online and mobile technologies; and developing interactive software. Contact [atg@fas.harvard.edu](mailto:atg@fas.harvard.edu), <https://atg.fas.harvard.edu>, or 617-495-7777.
- For information and resources related to remote teaching, see [teachremotely.harvard.edu](https://teachremotely.harvard.edu).
- For a complete list of teaching and learning tools, visit <https://atg.fas.harvard.edu/supported-technologies>.
- Educational Support Services provides multimedia support for classes and events. Contact <https://ims.fas.harvard.edu>, [mediaservices@fas.harvard.edu](mailto:mediaservices@fas.harvard.edu), or 617-495-9460.

### **Technology for Research**

Research Computing in the FAS is provided through divisional resources in the Arts and Humanities, Sciences, and Social Sciences.

- **Arts and Humanities:**  
For assistance and consultation on tools and techniques for research computing, contact [artshumrc@fas.harvard.edu](mailto:artshumrc@fas.harvard.edu).
- **Sciences:**  
FAS Research Computing provides researchers access to large-scale high-performance computing and support. Users have access to more than 77,000 CPUs and 640 petabytes of

storage supporting 600 labs and 5,500 users. For more information visit <https://rc.fas.harvard.edu>.

- **Social Sciences:**  
The Institute for Quantitative Social Science provides researchers access to cluster computing, software, and tools for storing data and running complex analyses. Contact <https://www.iq.harvard.edu>, [help@iq.harvard.edu](mailto:help@iq.harvard.edu) or 617-496-2450.

### **Technology for Collaboration and Daily Use**

- **Remote Work:**
  - For information and resources related to remote work, see [ruit.harvard.edu/remote](http://ruit.harvard.edu/remote)
  - Zoom is available for videoconferencing on or off campus at [harvard.zoom.us](http://harvard.zoom.us)
  - VPN is available for secure remote access at <https://vpn.fas.harvard.edu>.
- **HarvardKey:**
  - Your HarvardKey and FAS account allow you to log in to your work computer, email, calendar, University websites, and departmental file shares: [key.harvard.edu](http://key.harvard.edu).
- **Email and Calendar:**
  - To access your email and calendar, use Outlook on your computer or on the web at [mso.harvard.edu](http://mso.harvard.edu) (click on *O365 Outlook Web App*).
  - If you have been using consumer Gmail or Google Calendar for work, please use Google Apps for Harvard for improved support and privacy. Visit [g.harvard.edu](http://g.harvard.edu).
- **Individual File Sharing:**
  - OneDrive is a platform to save personal files and collaborate with others at Harvard: see [mso.harvard.edu/onedrive](http://mso.harvard.edu/onedrive).
- **Collaborating with Colleagues:**
  - MS Teams provides a collaborative workspace for departments and project groups to share communications, documents, and meetings. Visit [teams.microsoft.com](http://teams.microsoft.com) and log in with your HarvardKey and password.
  - Google Drive is available for individual and team workspace productivity: visit [g.harvard.edu](http://g.harvard.edu).
  - Dropbox is available for faculty to share files with research collaborators on and off campus. To request an account call 617-495-7777.
  - Harvard Link is a personalized dashboard to find Harvard events, news, colleagues, and more: visit <https://link.harvard.edu>.

# **The Library**

## **Harvard Library**

Harvard Library is a world-class academic library, an unparalleled resource for learning and research. We are expert partners on the pathways to knowledge. We engage with our communities in the creation and sharing of new knowledge, connecting them with vast collections that we curate and steward with collaborators around the world. At its core, our mission is to advance the learning, research and pursuit of truth that are at the heart of Harvard. Today, Harvard Library's holdings range from traditional print collections to rapidly expanding digital resources. It is the work of Harvard Library to champion curiosity for the betterment of the world, providing the University's faculty, students, and researchers—now and in the future—with comprehensive access to these materials.

The Harvard Library website ([library.harvard.edu](https://library.harvard.edu)) provides updated guides, resources, and collections. Our Ask a Librarian page at <https://ask.library.harvard.edu/> is always available for questions of any kind.

### **Library Liaisons**

<https://library.harvard.edu/services-tools/library-liaisons>

Your library liaison is your first point of contact. They help you understand and navigate the library resources. Liaisons will:

- Collaborate with faculty and teaching fellows to discuss course support, including resources and assignment design to build students' research skills (see below) and accomplish your learning goals
- Conduct one-on-one consultations for student papers, projects, thesis and dissertation work
- Develop course-based research guides and content for Canvas sites
- Provide in-class and extracurricular instruction sessions on resources and strategies for effective research
- Offer tailored assistance for research projects as well as general reference services to the department
- Introduce/reintroduce faculty and students to library services and collections, including expanding and evolving systems and services, such as data curation, digital scholarship, multi-media production, and technology lending services

### **Support for Teaching**

#### **Primary Sources**

The librarians and archivists who work with the library's vast collection of primary sources can create learning experiences for your students which invite close attention, develop curiosity, and build resourcefulness. Such engagements also contribute to building evidence-seeking practices, inspire knowledge creation, and prompt intellectual risk-taking. Our unparalleled primary source

collections are found across the Harvard Library. Please contact your liaison librarian for more information.

### **Course-Integrated Research Instruction**

Librarians can design in-class research learning opportunities, tailored to course learning goals. We integrate materials from library collections into course activities. We can provide instruction in your classroom, or bring your students to a library space. We provide customized instruction on a variety of topics including:

1. Introduction to research methods
2. Discipline specific search strategies (including demonstrations of tools or sources)
3. Strategies for critical assessment of sources
4. Guidance and active learning of information and digital literacy tools (e.g. visualization techniques, media editing, text mining) and concepts (e.g. contexts of authority, ethical use, iterative inquiry)
5. A curated collection of materials designed for the course or close analysis of sources

Additionally, librarians are available to provide copyright review of course materials, assist in identifying materials from Harvard's unique library collections, classify and preserve digital course assets, locate open access resources, and develop research modules on various subjects to develop student research skills.

### **Course Materials and Reserves**

Harvard Library processes faculty requests, and can identify, locate, scan, purchase and borrow materials. When possible, readings are linked online from within Canvas. Please place your requests through the Reserves Tool in Canvas or by contacting us at [reserves@fas.harvard.edu](mailto:reserves@fas.harvard.edu). Print reserves are maintained at the following library locations: Cabot, Fine Arts, Harvard-Yenching, Lamont, Loeb Music, Ernst Mayr, and Tozzer. For more information, see "Course Reserves" at <https://library.harvard.edu/services-tools/course-reserves>. We encourage you to link from course web pages to our licensed e-resources whenever possible to reduce the size and cost of course materials. Contact your library liaison for assistance.

### **Multimedia Resources and Training**

Training and support for multimedia assignments is available at the Lamont Media Lab and Cabot Library. Equipment loans (cameras, microphones, etc.) are available at several library locations (<https://library.harvard.edu/services-tools/tech-loan>). Trained staff can help you integrate media in all formats into projects and assignments and provide the equipment and guidance to students in your class.

### **Support for Research and Digital Scholarship**

Harvard librarians work closely with faculty and scholars across various stages of the research process, providing assistance with information discovery through the archiving of research publications and data. Librarians are available for individual consultations with researchers on bibliographic citation management, qualitative research applications and methods, and data visualization techniques. Library staff also teach a number of workshops on these topics throughout the year.

Additionally, library staff members collaborate with staff from other administrative units to offer faculty and students expertise in incorporating rigorous digital methods—including data acquisition and analysis, visualization, mapping, hosting, and presentation—into their research and teaching. Faculty may contact the Digital Scholarship Support Group (<https://dssg.fas.harvard.edu/>) for research and pedagogy workshops, office hours, infrastructure, and expert guidance for projects.

### **Copyright First Responders (CFR)**

CFRs are staff members located across Harvard's libraries, archives and museums who have specialized training on copyright law and policy to help provide guidance and tackle questions on fair-use issues and intellectual property related to teaching and research.

You can find and contact your CFR here: <https://library.harvard.edu/services-tools/copyright-first-responders>

### **Purchase of New Materials**

Harvard Library's collections support scholarship and teaching broadly. Please contact your liaison librarian to discuss information needs and potential acquisitions.

You can also submit purchase requests at <https://library.harvard.edu/purchase-request-form>.

### **Research Data Management Services**

The Harvard Library Research Data Management Program connects members of the Harvard community to services and resources that span the research data lifecycle, to help ensure that Harvard's multi-disciplinary research data is findable, accessible, interoperable, and reusable (FAIR). Details are at <https://hlrdm.library.harvard.edu/>.

We can help researchers manage their data, identify existing Harvard data resources and acquire licensed data, curate their data in alignment with FAIR and connect researchers with computing, data storage, preservation, and disposal resources. We provide instruction on the research data lifecycle.

Research data service needs vary by discipline. We partner actively with Harvard University Information Technology (HUIT), Harvard University Arts & Humanities Research Computing (DARTH), Faculty of Arts and Sciences Research Computing (FASRC), and the Harvard

Institute for Quantitative Social Science (IQSS & Dataverse) to help meet campus data management needs.

Harvard Library's work on research data management is distributed across several units. Please contact Ceilyn Boyd ([ceilyn\\_boyd@harvard.edu](mailto:ceilyn_boyd@harvard.edu), 617-496-0955).

# **Teaching Resources**

## Teaching Resources

### What teaching resources are available to faculty?

In addition to the teaching resources listed in the “Library” section of this guide, selected resources are listed below.

#### *Information for Faculty Offering Instruction in Arts and Sciences*

This handbook (<https://infoforfaculty.fas.harvard.edu>) lists resources for teachers (below):

#### **Academic Resource Center (ARC)**

1414 Massachusetts Avenue, 3R

617-495-5734

[academicresourcecenter@harvard.edu](mailto:academicresourcecenter@harvard.edu)

<https://academicresourcecenter.harvard.edu/>

#### **Advising Programs Office**

Smith Campus Center, Fourth Floor

617-496-0218

[advising@fas.harvard.edu](mailto:advising@fas.harvard.edu)

<https://apo.college.harvard.edu/>

#### **Assistive Technology Center/ESS**

1 Oxford Street

Science Center Room B05

617-496-8800

[atc@fas.harvard.edu](mailto:atc@fas.harvard.edu)

<https://atc.fas.harvard.edu/>

#### **Bok Center for Teaching and Learning**

50 Church Street, Suite 308

617-495-4869

[bokcenter@fas.harvard.edu](mailto:bokcenter@fas.harvard.edu)

<https://www.bokcenter.harvard.edu>

#### **Harvard College Library Teaching and Curricular Services**

Widener Library

617-495-2401

<https://library.harvard.edu/how-to/get-teaching-support-your-courses>

#### **Harvard University Information Technology (HUIT)**

617-495-7777

[ithelp@harvard.edu](mailto:ithelp@harvard.edu)

<https://huit.harvard.edu/>

**Arts & Humanities Administrative Services**

Barker Center, Room 058-059, 617-495-0340

Boylston Hall Mezzanine 617-495-0510

[ahas@fas.harvard.edu](mailto:ahas@fas.harvard.edu)

<https://ahas.fas.harvard.edu>

**Educational Support Services:**

<https://ims.fas.harvard.edu/>

Main Office, Science Center B-02, 617-495-9460

Provides classroom technology support for all FAS locations.

Email requests to [ess@fas.harvard.edu](mailto:ess@fas.harvard.edu).

**Media Production Center (MPC)/ESS**

Main Office, Lower Level Rosovsky Hall, 59 Plympton Street, 617-495-9440

Provides audio and video production support for FAS faculty and departments

Email requests to [ims\\_mpc@fas.harvard.edu](mailto:ims_mpc@fas.harvard.edu)

The Rita E. and Gustave M. Hauser Digital Teaching and Learning Studio

Widener Library G90, 617-495-3979

[hauserdigitalstudio@harvard.edu](mailto:hauserdigitalstudio@harvard.edu)

<https://hauserdigitalstudio.harvard.edu/>

**Language Center/ESS**

1 Oxford Street

Science Center B-06

617-495-9448

[language@fas.harvard.edu](mailto:language@fas.harvard.edu)

<https://language.fas.harvard.edu/>

**Office of Career Services**

54 Dunster Street

617-495-2595

<https://ocs.fas.harvard.edu/>

**Office of International Education**

1414 Massachusetts Avenue, Third Floor

617-496-2722

[oi@fas.harvard.edu](mailto:oi@fas.harvard.edu)

<https://oi.fas.harvard.edu/home>

**Office of Undergraduate Research and Fellowships**

77 Dunster Street, Second Floor

617-495-5095

<https://uraf.harvard.edu>

**Piano Technical Services/ESS**

Vanserg Hall (25 Francis Avenue), Piano Shop  
617-495-2981

[pts@fas.harvard.edu](mailto:pts@fas.harvard.edu)

<https://pts.fas.harvard.edu/>

**Writing Center**

Barker Center, Ground Floor  
617-495-1655

<https://writingcenter.fas.harvard.edu/>

**Sexual and Gender-Based Harassment, Other Sexual  
Misconduct, and Unprofessional Conduct**

## **Sexual and Gender-Based Harassment, Other Sexual Misconduct, and Unprofessional Conduct**

The Faculty of Arts and Sciences has guidelines and procedures for dealing with questions or concerns about sexual harassment, gender-based harassment, other sexual misconduct, and unprofessional conduct. It has also identified designated officers that serve as key contacts for undergraduate students, graduate students, faculty, and staff members.

The most important advice for chairs is: if you learn about a potential violation of policy (referred to as a “disclosure”) - **never act alone**. Department chairs should contact any of the Title IX Resource Coordinators listed below about situations that may potentially involve sexual and gender-based harassment, sexual misconduct, bullying, intimidating conduct, retaliation, or other forms of unprofessional conduct.

In accordance with University Sexual Harassment/Misconduct Policies, department chairs are considered “responsible employees” (defined below), and therefore must involve the relevant Title IX Resource Coordinator at the earliest opportunity. There is no need to attempt to handle these difficult and complicated issues alone.

In addition to your responsibility to contact a Title IX Resource Coordinator, we ask that you actively listen, express concern and a desire to help, paraphrase their concerns to verify you understand the issue from their perspective, and tell them you’ll follow up with them soon. Don’t promise an action you can’t take or are unsure is the best course of action. Contact Faculty Affairs so we can partner with you, offer experienced counsel, and provide support.

### **Role of a responsible employee:**

- Faculty and staff are not confidential resources on issues concerning sexual or gender-based harassment as they have a responsibility to notify a Title IX Resource Coordinator.
- Notifying a Title IX Resource Coordinator of possible sexual or gender-based harassment is important because it ensures that individuals consistently receive accurate information about the resources and options available from a trained person in a position to assist them. It also ensures that individuals have access to Supportive Measures to address any emerging or ongoing challenges. Finally, it enables the University to proactively address any community safety concerns, including patterns of possible sexual or gender-based harassment.

### **When a responsible employee receives a disclosure, we ask that they do their P-A-R-T:**

- **Privacy**- If possible, delicately remind them that you are not a confidential resource before information is disclosed. Reinforce that you are concerned for their well-being, you want to provide assistance, and their privacy is still a priority. However, you wouldn’t want them to share something with the expectation of absolute confidentiality. Should they wish to maintain confidentiality, direct them to a confidential resource.

- **Appreciate-** This is a vital moment. It may be someone’s first time telling someone about this issue. You may want to use language that supports them while avoiding judgment. “Thank you for telling me that, I appreciate you sharing something so difficult.” - “The University takes this seriously, and so do I.” - “I’m sorry you’re going through this and I want to help you.”
- **Responsibility-** You have a responsibility to consult with a Title IX Resource Coordinator. “I am going to let the Title IX Resource Coordinator know we talked so we can make sure you have access to supportive resources and understand your options. This is not the same as filing a complaint. It doesn't launch an investigation and you are not obligated to share any information if you don’t want to. If you'd prefer, I can talk to the Title IX Resource Coordinator for you or with you.”
- **Tell Someone-** Agree on a plan to connect to a Title IX Resource Coordinator, and if they wish, SHARE or other resources. Ask if they want you to follow up with them later, and if so, how they would like you to contact them

### **The role of Title IX Resource Coordinators:**

- FAS Title IX Resource Coordinators, including Program Officers for Title IX, make sure that people have access to resources and help you understand the policy and your options. They do not conduct formal investigations.
- Talking to a Title IX Resource Coordinators about a concern is not the same as filing a complaint. It does not automatically launch an investigation, and people impacted by harassment and misconduct are not obligated to share any information if they don’t want to.
- Title IX Resource Coordinators are private resources that treat all information with the utmost sensitivity to privacy. Information received by a Title IX Resource Coordinator is only shared if there is a need to know. However, Title IX Resource Coordinators are not confidential resources and do not hold any legal privilege.

### **Supportive measures:**

- Supportive measures are designed to support and protect individuals or the University community. They may be considered or implemented at any time, including during a request for information or advice, informal resolution, or a formal complaint proceeding. Examples include restrictions on contact, course-schedule alteration, and increased monitoring of certain areas of campus.

### **Overview of the Interim FAS Policies on Title IX Sexual and Gender-Based Harassment and Other Sexual Misconduct:**<sup>4</sup>

The Faculty of Arts and Sciences (FAS) prohibits sexual and gender-based harassment and other sexual misconduct as part of its commitment to maintaining a safe, healthy, and equitable educational and work environment. The FAS Policies and Procedures for Addressing Title IX

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<sup>4</sup> Please note that the following reflects FAS and University Policies as of August, 2020 and is subject to change.

Sexual and Gender-Based Harassment and Other Sexual Misconduct adopts the University policies and incorporates the University procedures. The FAS policy also contains additional provisions that prohibit certain relationships between individuals of different university status and defines categories of sexual misconduct in student organizations and off-campus, even when the conduct may not affect someone in the Harvard community.

### **Harvard University’s policies prohibiting sexual harassment and other sexual misconduct:**

In August 2020 the University adopted two interim policies that address sexual harassment and misconduct. Conduct prohibited under the University’s previous Policy continues to be prohibited under the two new interim policies.

Broadly, sexual harassment/misconduct is “unwelcome conduct” on the basis of sex, including sexual orientation and gender identity. This includes unwelcome sexual advances; requests for sexual favors; and other verbal, nonverbal, graphic, or physical conduct of a sexual nature or based on sexual orientation or gender identity when:

- An employee of the University either explicitly or implicitly conditioning the provision of an aid, benefit, or services of the University, such as an individual’s employment or academic standing (for example, academic evaluation, grades, or advancement) on an individual’s participation in unwelcome sexual conduct (“quid pro quo”); *or*
- Unwelcome conduct determined by a reasonable person to be so severe, persistent, or pervasive that it effectively denies a person access to the University’s education or work programs or activities (hostile environment).

Conduct is unwelcome if a person did not consent to it. Consent is defined as agreement, assent, approval, or permission given voluntarily and may be communicated verbally or by actions.

### **FAS Policy on Relationships between Individuals of Different University Status:**

- The FAS policy prohibits romantic or sexual relationships between its faculty and any undergraduate student at Harvard College, regardless of whether the instructor is currently supervising or teaching that student. FAS Policy also prohibits romantic or sexual relationships between faculty, instructors, teaching fellows, and other individuals teaching a course or engaging in academic supervision, and a student subject to their teaching or other academic supervision.
- Amorous relationships that might be appropriate in other circumstances always have inherent dangers when they occur between any teacher or officer of the University and any person for whom he or she has a professional responsibility (i.e., as teacher, advisor, evaluator, supervisor). Implicit in the idea of professionalism is the recognition by those in positions of authority that in their relationships with students or staff there is always an element of power. It is incumbent upon those with authority not to abuse, nor to seem to abuse, the power with which they are entrusted.

- The FAS policy does not expressly forbid other kinds of romantic or sexual relationships, but it warns against the possibility of complications in relationships between people of different university status. The policy states that the person in a position of greater authority who will be held accountable for unprofessional behavior.

**FAS-Specific Policy on Other Sexual and Gender-Based Misconduct:**

- The FAS may ask ODR to investigate allegations of sexual and gender-based misconduct directed at people outside our community even if the conduct occurs off-campus and as a consequence falls outside of the jurisdiction of the Interim University Policies.
- The FAS includes student organizations in its prohibition of quid pro quo sexual harassment. The FAS prohibits unwelcome conduct of a sexual nature when submission to or rejection of such conduct is made either explicitly or implicitly a condition of an individual’s acceptance into or standing within a student organization or club.

**Resources** – different resources offer different levels of privacy:

*1. FAS Title IX Resource Coordinators, ODR, and the Title IX Coordinator:*

The Title IX Resource Coordinators for FAS faculty and researchers are:

**Seth Avakian**

Program Officer for Title IX and Professional Conduct  
[avakian@fas.harvard.edu](mailto:avakian@fas.harvard.edu)  
 617-495-9583

**Moriah Silver**

Program Officer for Title IX and Professional Conduct  
[moriah\\_silver@harvard.edu](mailto:moriah_silver@harvard.edu)  
 617-495-0321

**Kwok Yu**

Senior Associate Dean for Faculty Affairs (FAS)  
[kwok\\_yu@harvard.edu](mailto:kwok_yu@harvard.edu)  
 617-495-7483

**Johannah Park**

Manager of Academic Programs  
[jkpark@fas.harvard.edu](mailto:jkpark@fas.harvard.edu)  
 617-495-9892

The University-wide Title IX Coordinator ([nicole\\_merhill@harvard.edu](mailto:nicole_merhill@harvard.edu)), (617-496-2470), the Office for Dispute Resolution (“ODR,” at 617-495-3786 or [odr@harvard.edu](mailto:odr@harvard.edu)) and FAS Title IX Resource Coordinators (for a list see <https://titleix.harvard.edu/coordinators>) are all available to

discuss options, support services, supportive measures and how to file a complaint. The Title IX Coordinator and the Title IX Resource Coordinators will handle information with utmost sensitivity, maintaining as much privacy as possible, but they may need to share information with those who have a need to know, for example when there is an ongoing risk of a hostile environment to the individual or other members of the community.

2. *Confidential Resources*: Harvard offers resources for confidential conversations, within certain limits proscribed by law.

- **Sexual Harassment/Assault Resources & Education (SHARE)**  
As of July 1<sup>st</sup>, 2021, OSAPR and the Title IX Office will be uniting to become the new Office for Gender Equity. Similar to OSAPR, SHARE offers confidential crisis counseling. SHARE can provide more information about the services its counselors offer and how it maintains confidentiality. 24-hour response hotline: 617- 495-9100
- **University Mental Health Services**: Provides confidential counseling services and referrals to students who have paid the student health fee: 617-495-2042.
- **Harvard Chaplains**: Provides confidential counseling for a variety of faiths: 617-495-5529.
- **Response** (peer counseling for Harvard College students): 617-495-9600.

Community Confidential Resources:

- **The Boston Area Rape Crisis Center**: BARCC offers legal advocacy, counseling, and operates a 24-hour hotline – <https://barcc.org/>
- **The Victim Rights Law Center**: VRLC offers pro bono civil legal services to sexual assault and rape victims – <https://www.victimrights.org/>

3. *HUPD*: Call the HUPD at 617-495-1212 or 617-432-1212 (Longwood Campus) to report an incident of sexual assault. HUPD can provide information about how it handles information.

To read more about FAS guidelines, officers and related resources, and procedures for resolving sexual and gender-based harassment and unprofessional conduct problems, please see: <https://www.fas.harvard.edu/sexual-gender-based-harassment-policyresources>.

### **Professional Conduct and Other Policies<sup>5</sup>**

FAS Faculty members (“Faculty” or “Faculty Members”) hold positions of authority and trust at FAS. As such, they have an obligation to uphold the highest standards of professionalism and integrity in their interactions with all members of the FAS community, including faculty colleagues, students, persons holding research appointments (e.g., postdoctoral fellows), and staff members. In keeping with this role:

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<sup>5</sup> Please note that the Professional Conduct Policy is under review, is subject to change, and reflects FAS and University Policies as of August, 2020.

- a. Faculty should treat members of the FAS community with respect and collegiality.
- b. Faculty members should not use their positions to obtain uncompensated labor from any member of the community under their supervision. This includes, but is not limited to, requiring staff under their direction to perform services or duties unrelated to or outside their professional/job responsibilities.
- c. Faculty members must uphold confidentiality in matters pertaining to employee files, records, or activities, which could reasonably be considered confidential. This could include employment information or employee records.
- d. Faculty must comply with all applicable laws, rules, regulations, and professional standards including FAS policies and practices; this includes, but is not limited to, policies regarding discrimination and sexual and gender-based harassment.

Non-compliance with these guidelines will be communicated to the Edgerley Family Dean of the FAS (FAS Dean) and could result in varying sanctions.

Additional information regarding expectations for the conduct of FAS instructors is provided in *Information for Faculty Offering Instruction in Arts and Sciences* (<https://infoforfaculty.fas.harvard.edu>), under “Responsibilities of Instructors”.

### **Interactions with Minors:**

Members of the Harvard community who interact with minors (i.e., individuals under the age of 18) in any official capacity are expected to foster and maintain an appropriate and secure environment for minors. Please see Harvard University’s “Policy for the Safety and Protection of Minors” (<https://youthprotection.harvard.edu/policy>) for more information.

### **Non-Retaliation Policy:**

The [University Non-Retaliation Policy](#) expressly forbids anyone to take any form of retaliatory action against any member of the Harvard community who in good faith voices concerns, seeks advice, files a complaint or grievance, seeks the aid of Human Resources, testifies or participates in investigations, compliance reviews, proceedings or hearings, or opposes actual or perceived violations of Harvard University’s policy or unlawful acts.

## **Useful Documents**

## **Useful Resources**

*Information for Faculty Offering Instruction in Arts and Sciences*  
<https://infoforfaculty.fas.harvard.edu>

*Harvard Course Catalog*  
<https://courses.harvard.edu/index.html>

*FAS Appointment and Promotion Handbook*  
<https://academic-appointments.fas.harvard.edu/>

*FAS Tenure-Track Handbook*  
[https://facultyresources.fas.harvard.edu/files/facultyresources/files/final\\_ay\\_20-21\\_tenure\\_track\\_handbook\\_for\\_website.pdf](https://facultyresources.fas.harvard.edu/files/facultyresources/files/final_ay_20-21_tenure_track_handbook_for_website.pdf)

*Guide to Faculty Mentoring in the Faculty of Arts and Sciences*  
<https://facultyresources.fas.harvard.edu/mentoring-professional-development>

*Harvard College Handbook for Students*  
<https://handbook.fas.harvard.edu/book/welcome>

*Graduate School of Arts and Sciences Policies*  
<https://gsas.harvard.edu/policies>

*Resources for Directors of Graduate Studies*  
<https://gsas.harvard.edu/directors-graduate-studies>

*FAS Faculty Research Policies*  
<https://research.fas.harvard.edu/policies/faculty-research>

*Resources for FAS Faculty and Researchers*  
<https://facultyresources.fas.harvard.edu/>



## Leadership Responsibility Matrix: Departments

May, 2020

The Department Chair plays a crucial role in institutional governance. The Chair advances the academic mission of the department, advocates for departmental needs, and represents the field to others throughout Harvard and beyond. Concomitantly, the Chair plays an important role in communicating the priorities of the University, the FAS and the Division to members of the department. Likewise, the Department Director of Administration and Operations (DAO) is the central point of departmental leadership and authority on issues related to business operations, representing departmental interests to colleagues outside the department, and representing University/School/Divisional policies and procedures to departmental constituents. These two roles are jointly responsible for ensuring the effective functioning of the department, and for creating a healthy workplace culture. The ability of the department to execute its mission is largely dependent on a close, productive partnership between these two key leadership roles, which in turn depends on an accurate and complete understanding of their roles and responsibilities. This document details these roles and responsibilities.

Task/Role	Faculty Chair	DAO
<b>Governance</b>	Primary The Faculty Chair convenes and chairs faculty meetings and ensures that decisions are made in accordance with the unit's, Division's, and University's governance policies.	Support The DAO oversees coordination of faculty meetings, circulation of agendas, minutes, and memos, and maintains records of decisions taken.
<b>Academic Affairs</b>	Primary The Faculty Chair is responsible for development of the academic plan and faculty committee assignments. The Faculty Chair drives the curriculum planning process, ensures that the graduate and undergraduate curricula are mounted, and oversees activities of the Curriculum Committee and programmatic activities of the Directors of Graduate and Undergraduate Studies.	Support The DAO oversees administrative implementation of the curriculum plan and the programmatic activities of the Graduate and Undergraduate programs. The DAO oversees all administrative activities related to planning for and hosting visiting committees and interim visiting committees.

<p><b>Faculty Affairs</b></p>	<p><b>Primary</b>  The Faculty Chair assumes primary responsibility for faculty searches, promotions, and reviews and oversees search-related advertising, search plans, and case statements. The Faculty Chair advises faculty and must approve requests for sabbatical leave eligibility and postponement. The Faculty Chair, as applicable to the unit structure, oversees the mentoring of junior faculty, monitors faculty service and engagement in the community and faculty work with undergraduates, graduate students, and postdocs, and may be involved in the process to address faculty behavioral issues as they arise.</p>	<p><b>Support</b>  The DAO (or designee) oversees all administrative aspects of the search and appointment process for all departmental appointments. The DAO oversees all administrative aspects of the search, promotion, review, and appointment processes for faculty; the DAO oversees all administrative aspects of the search, appointment, and review process for lecturers, visitors, fellows, and other unit affiliates. The DAO, in conjunction with the Faculty Chair and/or Faculty Affairs, may oversee administrative aspects of faculty sabbatical leave and postponement, medical and parenthood leaves, and other faculty leaves as appropriate. The DAO represents the unit to the various Faculty Affairs and Faculty Development deans within the division, FAS, and other Harvard professional schools.</p>
<p><b>General Management (Finance, Office operations)</b></p>	<p><b>Support</b>  The Faculty Chair understands and acts in accordance with an accurate view of the department’s finances and operational matters, offering input and support as needed. The Chair supports the annual budget process.</p>	<p><b>Primary</b>  The DAO oversees the preparation and management of budgets, financial reporting, grants management, financial forecasting, and advises as to financial feasibility of new and/or changing programmatic, administrative, or other activities. The DAO oversees space management, IT, and office operations. The DAO is responsible for keeping the Faculty Chair apprised of these procedures and soliciting input on strategic decisions.  The DAO oversees the department’s budget, sponsored research, any gift funds, subventions, and endowments. The DAO oversees the unit’s financial policies (including procurement, spending limits, and compliance with gift terms), and annual budgets.</p>
<p><b>Program Design and Development</b></p>	<p><b>Primary</b>  The Faculty Chair develops, solicits, and/or advocates for new programs/projects, and provides</p>	<p><b>Support</b>  The DAO undertakes to assess the feasibility of any new programming, and advises the Faculty Chair accordingly.</p>

	resources for the design and implementation of approved programs.	The DAO oversees the design and development of approved programs using standard project management principles, to promote effectiveness and sustainability.
<b>Program Implementation</b>	Support The Faculty Chair ensures that adequate resources (financial, personnel, time) are made available to implement approved programs.	Primary The DAO oversees the implementation of all approved projects and programs using established systems and procedures for project design, implementation, and evaluation, to promote effectiveness and sustainability.
<b>Sponsored Research</b>	PI/Signatory In the case of a departmental grant, the Faculty Chair assumes primary responsibility for writing grant applications for which the Chair is the Principal Investigator, and reviews and signs off on all grant reporting.	Signatory/Compliance & Implementation The DAO advises on the viability of all grant-supported research and programming, assists in the preparation of grant applications, and oversees the post-award implementation, reporting, and audits. Note: in some units, the DAO or the DAO's designated representative, may have signature authority on behalf of the Faculty Chair.
<b>Communications</b>	Primary The Faculty Chair serves as the primary spokesperson for the unit, and assists in the process of developing a professional communications strategy.	Support As applicable, the DAO oversees the development and implementation of a professional communications strategy and evaluates the impact of the strategy.
<b>Human Resources</b>	Support The Faculty Chair offers input on HR matters, and may assist with recruitment, retention, and team building of staff. The Faculty Chair is the primary supervisor of the DAO and conducts the DAO's performance evaluation, in collaboration with the Divisional Dean's office to which the DAO has a dotted line reporting relationship. The Faculty Chair facilitates performance management procedures for other staff members who report to departmental faculty members. The Faculty Chair may be called	Primary The DAO determines the appropriate organizational model for the department, and oversees the process of populating the org chart. The DAO is generally the senior-most manager for all staff positions and has the authority to hire, fire, fill vacancies, initiate disciplinary processes, approve leaves, and undertake restructuring. The DAO is responsible for performance management for all staff, except staff appointments reporting directly to a faculty member. Note: upon mutual agreement, completion of a staff member's annual review may be delegated by a faculty member to the

	upon to assist with dispute resolution.	DAO. The DAO is responsible for determining local HR policy including negotiation of flexible schedules, leaves, standard hours, overtime guidelines, dispute resolution practices, etc.
<b>Liaison to FAS &amp; University Administrative Structures</b>	Support The Faculty Chair represents the unit to the appropriate dean, to the office of the President and Provost, and to various faculty committees, and ensures that the DAO receives the necessary information emanating from these groups.	Primary The DAO represents the unit and the Faculty Chair to the appropriate deans and representatives from the offices of the President and Provost, Central Administration, FAS, Human Resources, Sponsored Programs, Finance, Faculty Affairs, and other senior administrative leadership groups, and ensures that the unit and the Faculty Chair receive the necessary information emanating from these groups. The DAO participates in community service in the form of membership on various division-, school-, and university-wide committees and working groups in support of the continued improvement of the institution.
<b>Reports/ Reporting</b>	Primary The Faculty Chair is the lead author on academic plans, internal and/or external reviews, and reports to donors.	Support The DAO may oversee the compilation of data/information for reports, drafting as applicable, and production and dissemination of reports.
<b>Alumni Relations</b>	Primary The Faculty Chair represents the unit to such groups, where possible.	Support The DAO serves as the primary point of contact for alumni events, groups, and communications.



## Leadership Responsibility Matrix: Centers

May, 2020

The Center Faculty Director plays a crucial role in institutional governance. The Faculty Director advances the academic mission of the center, advocates for center needs, and represents the center to others throughout Harvard and beyond. Concomitantly, the Faculty Director plays an important role in communicating the priorities of the University, the FAS and the Division to members of the center. Likewise, the Center Executive Director (CED) is the central point of center leadership and authority on issues related to business operations and program planning, representing center interests to colleagues outside the department, and representing University/School/Divisional policies and procedures to center constituents. These two roles are jointly responsible for ensuring the effective functioning of the center, and for creating a healthy workplace culture. The ability of the center to execute its mission is largely dependent on a close, productive partnership between these two key leadership roles, which in turn depends on an accurate and complete understanding of their roles and responsibilities. This document details these roles and responsibilities.

Task/Role	Faculty Director	CED
<b>Governance</b>	<b>Primary</b> The Faculty Director nominates and/or appoints committee members, as appropriate, and convenes and chairs meetings of the unit’s governing and advisory bodies and ensures that decisions are made in accordance with the unit’s, division’s, and university’s governance policies.	<b>Support</b> The CED oversees communication with the unit’s faculty and affiliates, and (where applicable) oversees coordination of governance meetings, circulation of agendas, minutes, and memos, and maintains records of decisions taken.
<b>Establish Intellectual Vision</b>	<b>Primary</b> In consultation with the faculty/affiliates of the unit and any appropriate governing bodies, the Faculty Director oversees the process of determining/proposing the Center’s intellectual agenda.	<b>Support</b> The CED advises the Faculty Manager regarding the feasibility of the proposed vision, especially with regard to specific issues of compliance, available resources, or institutional history.
<b>Fundraising</b>	<b>Primary</b> The Faculty Director is the primary point of contact for	<b>Support</b> As applicable, the CED oversees the development and implementation of a

	<p>donors, prospects, &amp; fundraising units within Harvard. The Faculty Director assists in the development of a fundraising strategy for the unit.</p>	<p>fundraising plan/strategy, as well as the unit's donor stewardship program.</p>
<p><b>General Management (Finance, Office Operations)</b></p>	<p><b>Support</b> The Faculty Director understands and acts in accordance with an accurate view of the department's finances and operational matters, offering input and support as needed. The Director supports the annual budget process.</p>	<p><b>Primary</b> The CED oversees the preparation and management of budgets, financial reporting, grants management, financial forecasting, and advises as to financial feasibility of new and/or changing programmatic, administrative, or other activities. The CED oversees space management, IT, and office operations. The CED is responsible for keeping the Faculty Director apprised of these procedures and soliciting input on strategic decisions. The CED oversees the department's budget, sponsored research, any gift funds, subventions, endowments, and (as applicable) overseas offices. The CED oversees the unit's financial policies (including procurement, spending limits, and compliance with gift terms), and annual budgets.</p>
<p><b>Program Design and Development</b></p>	<p><b>Primary</b> The Faculty Director develops, solicits, and/or advocates for new programs/projects, and provides resources for the design and implementation of approved programs.</p>	<p><b>Support</b> The CED undertakes to assess the feasibility of any new programming, and advises the Faculty Director accordingly. The CED oversees the design and development of approved programs using standard project management principles, to promote effectiveness and sustainability.</p>
<p><b>Program Implementation</b></p>	<p><b>Support</b> The Faculty Director ensures that adequate resources (financial, personnel, time) are made available to implement approved programs.</p>	<p><b>Primary</b> The CED oversees the implementation of all approved projects and programs using established systems and procedures for project design, implementation, and evaluation, to promote effectiveness and sustainability.</p>

<b>Sponsored Research</b>	<p>PI/Signatory  The Faculty Director assumes primary responsibility for writing grant applications for which the Faculty Director is the Principal Investigator, and reviews and signs off all grant reporting.</p>	<p>Signatory/Compliance &amp; implementation  The CED advises on the viability of all grant-supported research and programming, assists in the preparation of grant applications, and oversees the post-award implementation, reporting, and audits. Note: in some units, the CED or the CED's designated representative, may have signature authority on behalf of the Faculty Director.</p>
<b>Communications</b>	<p>Primary  The Faculty Director serves as the primary spokesperson for the unit, and assists in the process of developing a professional communications strategy.</p>	<p>Support: Oversees platforms &amp; strategy  As applicable, the CED oversees the development and implementation of a professional communications strategy and evaluates the impact of the strategy.</p>
<b>Human Resources</b>	<p>Support  The Faculty Director offers input on HR matters, and may assist with recruitment, retention, and team building of staff. The Faculty Director is the primary supervisor of the CED and conducts the CED's performance evaluation, in collaboration with the Divisional Dean's office to which the CED has a dotted line reporting relationship. The Faculty Director may be called upon to assist with dispute resolution.</p>	<p>Primary  The CED determines the appropriate organizational model for the unit, and oversees the process of populating the org chart. The CED is generally the senior-most manager for all staff positions and has the authority to hire, fire, fill vacancies, initiate disciplinary processes, approve leaves, and undertake restructuring. The CED is responsible for performance management for all staff, except staff appointments reporting directly to a faculty member. Note: upon mutual agreement, completion of a staff member's annual review may be delegated by a faculty member to the CED. The CED is responsible for determining local HR policy including negotiation of flexible schedules, leaves, standard hours, overtime guidelines, dispute resolution practices, etc.</p>
<b>Liaison to FAS &amp; University</b>	<p>Support  The Faculty Director represents the unit to the</p>	<p>Primary  The CED represents the unit to the appropriate deans and representatives</p>

<b>Administrative Structures</b>	<p>appropriate dean, to the office of the President and Provost, and to various faculty committees, and ensures that the CED and unit staff receive the necessary information emanating from these groups.</p>	<p>from the offices of the President and Provost, Central Administration, FAS, Human Resources, Sponsored Programs, Finance, Faculty Affairs, and other senior administrative leadership groups, and ensures that the unit receives the necessary information emanating from these groups. The CED participates in community service in the form of membership on various division-, school-, and university-wide committees and working groups in support of the continued improvement of the institution.</p>
<b>Reports/Reporting</b>	<p>Primary The Faculty Director is the lead author on annual reports, internal and/or external reviews, and reports to donors.</p>	<p>Support The CED may oversee the compilation of data/information for reports, drafting as applicable, and production and dissemination of reports.</p>
<b>Alumni Relations</b>	<p>Primary The Faculty Director represents the unit to such groups, where possible.</p>	<p>Support The CED serves as the primary point of contact for alumni events, groups, and communications.</p>