

OBERLIN COLLEGE FACULTY GUIDE

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TABLE OF CONTENTS

I. INTRODUCTION.....	4
A. Overview of Oberlin College.....	4
B. Applicability of the Faculty Guide.....	5
C. Purpose of Faculty Guide.....	5
II. PROFESSIONAL RESPONSIBILITIES AND OBLIGATIONS.....	6
A. Faculty Organization.....	6
1. Divisional Faculties and General Faculty.....	6
2. Faculty Councils.....	6
3. Faculty Meetings.....	7
4. Faculty Committees.....	7
5. Faculty Role as Student Advisors.....	7
6. Department Chairs and Program Directors.....	8
B. Appointments, Reappointments, Evaluations, Promotions.....	10
1. Qualifications.....	11
2. Term of Appointment to Tenure-Track Position.....	12
3. Part-time Faculty.....	12
4. Visiting Faculty.....	12
5. Term-Limited Appointments.....	12
6. Adjunct Status, Lecturer, Teacher.....	12
C. Reappointment, Tenure, and Promotion.....	13
D. Professional Ethics and Conduct.....	25
E. Faculty Professional Conduct Review Committee.....	26
F. Faculty Grievance Procedures.....	33
III. CLASSROOM AND ACADEMIC RESPONSIBILITIES.....	38
A. Conduct of Classes.....	38
B. Meeting of Classes.....	44
C. Private Reading Courses.....	45
1. College of Arts and Sciences.....	45
2. Conservatory of Music.....	46
D. Winter Term.....	46
E. Academic Honor System.....	49
F. Grading Practices.....	50
1. Final Grades.....	50
2. Changing a Final Grade.....	50
3. Grade appeals.....	51
G. College Student Records Policy.....	51

H. Students with Disabilities.....	52
IV. FACULTY SUPPORT PROGRAMS.....	54
A. Travel to and from Professional Meetings.....	54
B. Grants and Research Contracts	54
V. GENERAL PERSONNEL POLICIES	59
A. Compensation.....	59
B. Nondiscrimination Statement.....	59
C. Title IX Sexual Harassment Policy, Nondiscrimination and Anti-Harassment Policy, and Prohibited Relationship Policy	60
D. Guidelines on Employment of Spouses, Partners, and Immediate Family Members – Appendix 6.....	60
E. Drug-Free Workplace Policy.....	61
F. Leaves of Absence.....	61
1. Sabbatical Leaves.....	61
2. Parental Leave.....	68
3. Other Leaves without Pay	71
4. Benefits During Leave	72
5. Coordination of Leave Policies.....	72
G. Summer Employment at Oberlin College.....	73
H. Outside Work	73
I. Smoking Policy	74
J. Showing Films/Video.....	75
K. Scientific Misconduct Policy	75
1. Introduction.....	76
2. Definitions.....	76
3. Rights and Responsibilities.....	77
4. General Procedures and Principles	79
5. Conducting the Inquiry	80
6. The Inquiry Report.....	81
7. Conducting the Investigation	83
8. Requirements for Reporting to Federal Agency – Office of Research Integrity (ORI) – if Public Health Service (PHS) Support or Applications for Support are Involved.....	86
9. Institutional Administrative Actions.....	87
10. Other Considerations	87
11. Record Retention	88
L. Research Involving Human Subjects.....	88
M. Research Involving Animals	88
N. Facilities Information.....	89
O. Responsibility for Personal Property on College Premises	90
P. Business Conduct Policy	90
Q. Electronic Communication	90

VI. BENEFIT PROGRAMS	92
A. Retirement Annuity Plan (RA)	93
B. Supplemental Retirement Annuity Plan (SRA)	94
C. Federal Social Security.....	94
D. Retirement Benefits.....	94
E. Short Term/Long Term Disability.....	94
F. Long Term Care Insurance	95
G. Life and Accidental Death Insurance.....	95
H. Group Health Insurance Program	95
I. Group Vision Insurance.....	96
J. Group Dental Insurance.....	96
K. Workers' Compensation	96
L. Employee Assistance Program	96
M. Relocation Expenses.....	97
N. Faculty Children's Tuition Scholarships.....	97
O. Tuition Waivers for Spouses.....	99
P. Faculty Housing.....	99
INDEX.....	101

I. INTRODUCTION

A. Overview of Oberlin College

Oberlin College, an independent coeducational institution, holds a distinguished place among American colleges and universities. Oberlin was the first college to grant undergraduate degrees to women and historically was a leader in the educating of blacks; its heritage is one of respect for the individual and active concern for the larger society. The College uniquely combines an outstanding professional school of music with a leading undergraduate college of arts and sciences. The two divisions reinforce each other. The Conservatory of Music provides flexible programs to prepare students as professional musicians and teachers of music. Deeply committed to academic excellence, the College of Arts and Sciences offers a rich and balanced curriculum in the humanities, social sciences, and sciences. Within that framework the College expects that students will work closely with the faculty to design an educational program appropriate to their own particular interests, needs, and long-term goals.

Oberlin's faculty is dedicated to combining effective undergraduate instruction with productive scholarship and artistry. Members of the faculty are highly-skilled and professional, well-grounded in their chosen discipline; yet they characteristically have interests that extend beyond their own specialization. The College seeks to recognize and encourage teaching of unusually high caliber, and scholarly and other creative activities are considered essential to continued teaching excellence. Thus, active research, scholarship, artistry, and/or performance are expected of each faculty member.

The roots of Oberlin College reach back to 1833 when two young Yankee missionaries arrived at a stump-dotted clearing in the forests of Northeast Ohio.

The Rev. John J. Shipherd and Philo P. Stewart, inspired by Alsatian pastor John Frederick Oberlin, resolved to found a college and colony on the western frontier "where they would train teachers and other Christian leaders for the boundless most desolate fields in the West." They shortly gained the support of Charles Grandison Finney, one of the 19th century's great revivalists. Finney's reputation attracted students to the college and colony, "bound together by a solemn covenant which pledged them to the plainest living and highest thinking," as well as financial support for the College and the town of Oberlin.

In the spring of 1833, the first settler, Peter Pindar Pease, built his log house at the center of Oberlin. That December, 29 men and 15 women students began classes in the Oberlin Collegiate Institute. Two years later circulars describing Oberlin noted that "youths are received as members, irrespective of color." As a result, by the turn of the century one-third of all African American graduates of predominantly white institutions in the United States had graduated from Oberlin.

In 1837 four young women matriculated for the regular college course. Three of the four graduated in 1841 and became the first women in America to receive A.B. degrees.

In 1850, by an Act of the Ohio Legislature, the Oberlin Collegiate Institute became Oberlin College. The change was in name only since collegiate instruction had been offered from 1834 when the original charter was granted.

The music division became part of the College in 1867, two years after its founding as a private school. The Graduate School of Theology, organized in 1835 as the theological division, was merged with the Divinity School of Vanderbilt University in 1966.

Present-day Oberlin College reflects its early commitment to high intellectual standards, liberal education, excellence in teaching, and social and moral commitment.

This Faculty Guide operates in conformity with the Bylaws of Oberlin College and in conjunction with the management of the Board of Trustees. The Bylaws of the College are posted on the website of the Secretary of the College.

B. Applicability of the Faculty Guide

Unless otherwise stated herein, this Faculty Guide applies only to members of the Faculty at Oberlin College. Members of the Faculty include those persons employed by the College to instruct or teach students, including but not limited to: tenured professors (full or part-time), non-tenured tenure-track professors including associate and assistant professors (full or part-time), adjunct professors, instructors, teachers or lecturers (full or part-time), instructors, teachers or lecturers engaged to teach a single course or who are engaged on a course-by-course basis. The Faculty does not include persons designated by the College as “Administrative and Professional Staff,” although in some instances an individual may be employed both as a member of the Faculty and as a member of the Administrative and Professional Staff. Designations of various types of members of the Faculty are described below.

C. Purpose of Faculty Guide

The Faculty Guide serves to provide new faculty with a general introduction to Oberlin College and to provide a reference regarding important procedures and policies that affect all faculty. However, the Faculty Guide is not exhaustive. Faculty should refer to the course catalog and to the websites of various offices (e.g., Human Resources) for detailed information on various policies.

The Faculty Guide and the policies contained herein do not in any way constitute and should not be construed as, a contract or agreement, express or implied, of employment between a member of the Faculty and the College, or a promise of employment.

The College, at its option, may change, delete, suspend or discontinue any part or parts of the policies in the Faculty Guide at any time, with or without prior notice. Any such action shall apply to existing, as well as future Faculty. In addition, the College retains its right to interpret and apply its policies as it sees fit, in its sole discretion.

II. PROFESSIONAL RESPONSIBILITIES AND OBLIGATIONS

A. Faculty Organization

1. Divisional Faculties and General Faculty

All Faculty members in the College of Arts and Sciences, the President of the College, the Deans, and certain designated general administrators are members of the College Faculty. All Faculty members in the Conservatory of Music, the Deans, and certain designated general administrators are members of the Conservatory Faculty. The members of the College Faculty, the members of the Conservatory Faculty, and certain designated administrators constitute the General Faculty.

The General Faculty is entrusted with the management of the internal affairs of the College, subject to the concurrence of the Trustees concerning “any important change affecting the established methods or principles of administration.” (Article XIV, Section 2 of College Bylaws).

Each divisional Faculty may invite to its membership other teachers and general officers of the division concerned in addition to those designated in the Bylaws of Oberlin College. All members of the divisional Faculty are entitled to vote and hold office. Each divisional Faculty invites student participants according to its Faculty legislation and as otherwise provided by the College Bylaws. The General Faculty also may invite other teachers and administrators or divisional officers to membership. All members of the General Faculty are entitled to vote and hold office. The General Faculty according to its legislation has student participants.

2. Faculty Councils

The College Faculty Council consists of the President, the Dean of the College of Arts and Sciences, and eight elected members from the College Faculty. The Conservatory Faculty Council consists of the President, the Dean of the Conservatory, and seven elected members of the Conservatory Faculty. Divisional councils make recommendations on appointments, tenure, and changes in rank and salary for members of the College Faculty and Conservatory Faculty to the General Faculty Council. Divisional councils also serve as the executive committees of the respective Faculties.

The General Faculty Council consists of the President, the two Division Deans, and six elected Faculty members (four from the College of Arts and Sciences and two from the Conservatory of Music). The General Faculty Council acts as the executive committee of the General Faculty. It receives all nominations and recommendations from the divisional Faculty councils and

recommends appointments, tenure and changes in rank and salary for members of the teaching Faculty to the President. The President makes appropriate recommendations to the Board of Trustees for appointments, tenure, and changes in rank and salary for members of the General Faculty.

3. Faculty Meetings

Meetings of the Divisional and General Faculties are held monthly. In general, the College Faculty meets on the first Wednesday of the month, the Conservatory Faculty on the second Tuesday and the General Faculty on the third Wednesday. Exceptions occur with some frequency and are announced in advance. Agendas for Faculty meetings are circulated in advance. Any Faculty may meet on special call.

4. Faculty Committees

Every member of the Faculty is expected to render a reasonable share of the general service that comes upon the Faculty in common. One of the ways in which this service is rendered is through the Faculty committees. Memberships of committees are determined either by appointment or by election.

Early in the second semester of each year a committee preference form is distributed to all Faculty members. Appointments to committees are made by the respective faculties, upon recommendations of the appropriate nominating committee. The nominating committees make their recommendations taking into account expressed preferences of the Faculty members and the necessity for continuity on some committees. Ordinarily, new Faculty members are not assigned to committees during their first year of service.

Membership on the General Faculty Council, the College Faculty Council, the Conservatory Faculty Council, the College Educational Plans and Policies Committee, the Professional Conduct Review Committee (PCRC), and to certain standing committees of the Board of Trustees is upon election by the appropriate Faculty or Faculties. The Faculty or Faculties may also specify election for certain ad hoc committees that are authorized. Faculty members do not normally serve on committees during years in which they are on leave for one or both semesters. Information about the order of elections and the eligibility for voting and serving on these elected committees may be obtained from the Secretary of the College.

5. Faculty Role as Student Advisors

a) College of Arts and Sciences

Academic advising of students is the responsibility of all members of the College Faculty except those in their first year of service. Most Faculty members have a mix of general (first- and second-year) and major advisees. So far as possible, an equal number of students is assigned to

each Faculty advisor with his or her current teaching load taken into account. Junior and senior students select their advisor in consultation with the chair of their major department or are assigned to an advisor by the chair. The Faculty advisor is primarily responsible for advising about the academic program of his or her advisees. Additional goals for and responsibilities of academic advisors are listed on the Academic Advising Resources Center website. Advisors meet with their new first-year student advisees during Fall Orientation Week. Advisors who are assigned students who are beginning their career mid-year meet these new advisees during the Spring Orientation period.

Each entering class of students is assigned a Class Dean from the Office of the Dean of Students who can provide advice on non-academic, as well as academic, matters.

b) Conservatory of Music

Assignment of advisors for incoming students is done by the Conservatory Deans Office in consultation with the Faculty. In the performance majors, including jazz, the student's principal applied teacher generally serves as the advisor. In non-performance majors (e.g., composition, TIMARA, and music history), students are assigned as advisees to a Faculty member within the major department. Students are notified of their advisor assignment over the summer preceding their matriculation at Oberlin. The initial advising session between Faculty and new students occurs at assigned times during the Orientation period. Faculty members are expected to schedule advising appointment times with returning students prior to the beginning of add/drop each semester. Advising times are also scheduled at the end of the semester during the registration period.

Advisors meet with their advisees at registration time each semester to go over the student's planned course of study for the following semester and to evaluate the student's progress toward completing his or her major or majors. Both academic and music counseling are responsibilities of the advisor. A record of semester grades is distributed to the advisor at the close of each semester.

Students are also supported through the Student Help and Resource Exchange (SHARE) program.

6. Department Chairs and Program Directors

a) College of Arts and Sciences

Department chairs and program directors are appointed for specified terms (typically four years) by the College Faculty Council upon recommendation of the Dean and after consultation by the Dean with members of the department or program. Continuation of the appointment is subject to review by the College Faculty Council during the term of the appointment. The chair or director is responsible for the administration of departmental or programmatic affairs. His or her duties include the preparation of schedules for classes to be offered by the Faculty members in the department or program, and the assignment of Faculty advisors to students who have declared a

major in the department or program, all in a manner consistent with policies of the College Faculty, and in consultation with the other Faculty members who teach in the department or program. He or she is also responsible for supervising employees in the department or program, such as secretaries, laboratory technicians, and graduate assistants. The chair or director is responsible for submitting to the College Faculty Council requests to establish Faculty positions or to make leave replacements. When a position or a replacement has been authorized, the chair or director is responsible for submitting a job description to the College Faculty Council for approval, and for the recruitment and screening of qualified candidates, in consultation with the Dean and the Affirmative Action Officer. As a search is nearing completion, the chair or director should prepare and submit a recommendation to the College Faculty Council, on behalf of the department or program, for initial appointment.

The chair or director is responsible for preparing and submitting, in accord with policies and practices established by the faculties or the College Faculty Council, recommendations for Faculty members of the department or program who are eligible for reappointment, promotion, tenure, or salary review. The chair or director should arrange for another member of the department or program to prepare and submit recommendations for himself or herself. The schedule for consideration of these matters by the College Faculty Council is established each year and is transmitted by the Dean to chairs and directors. Information concerning specific practices and policies is available in the Office of the Dean.

The chair or director is responsible for the maintenance of the records and files of the department or program. At the end of each academic year, upon the invitation of the Dean, the chair or director shall submit an annual report on the work of the department or program. These records should include information about the publications and other professional activities of Faculty members in the department or program. The chair or director should write a letter to the College Faculty Council on behalf of the department or program evaluating the application of any Faculty member in his or her department or program for a leave of absence or for appointment to Research Status.

The chair or director is responsible for all administrative and financial matters within the department, based on the budget approved by the Dean. By agreement with the Dean, the teaching load of the chair or director may be reduced during his or her term of office to compensate for the duties required by the office. It is expected that chair and program directors will seek advice from the Dean concerning matters of College policy.

A Chairs' Handbook, containing detailed information regarding many of the responsibilities of chairs, is posted on the Dean's Office web site.

b) Conservatory of Music

The Conservatory is divided into nine divisions and two programs. These include the Divisions of Conducting and Ensembles, Contemporary Music, Jazz Studies, Music Theory, Musicology, Keyboard Studies, Strings, Vocal Studies, Woodwinds, Brass, and Percussion, and Programs in Historical Performance and in Pedagogy, Advocacy, and Community Engagement (PACE).

Division and program directors are appointed by the Conservatory Faculty Council upon recommendation of the Dean and after consultation by the Dean with members of the division or program.

The division/program directors are responsible for general supervision of the programmatic affairs of the division or program, coordination of departments within the division, and convening of meetings of the division. They represent the division or program at regular weekly meetings of the Division Directors and Educational Policy Committee. They are responsible for submitting to the Dean an annual report (not to exceed three pages) on the activities of the program or division for the year just concluded and goals for the coming year. Division/program directors are also responsible for the budget of the division and for the timely forwarding of the annual budget requests to the Dean.

Division directors work with and may supervise the administrative and technical employees of their division or program. Ultimate responsibility for the following matters also rests with the division/program directors, however, the detailed work may be delegated to faculty within the division, the appropriate associate dean, and/or administrative staff, as applicable:

- Curriculum, course scheduling, assignment of advisors to majors;
- Arranging applied music examinations, etc.;
- Responsibility for departmentally owned or leased equipment (instruments, audio equipment, computers, etc.);
- Responsibility for maintenance of files and records;
- Requests for new positions and leave replacements, job descriptions, search-and-screen, etc., for hiring new Faculty.

Together with the Dean of the Conservatory and other Conservatory staff who serve ex officio, the division/program directors serve as the Educational Policy Committee of the Conservatory.

B. Appointments, Reappointments, Evaluations, Promotions

The ability to teach is the quality most fundamentally prized in members of the Faculty. The College seeks to recognize and encourage teaching of unusually high caliber. Scholarly and other creative activities are essential to continued teaching excellence. Thus, active research, scholarship, artistry, or performance is expected of every member of the Faculty. Each member of the Faculty is also expected to assume a reasonable share of the Faculty's general responsibility to the College community by advising students, assisting in the administrative work of his or her department or program, and serving on Faculty committees; but ordinarily, and particularly in the case of untenured Faculty, such service will not be expected or rewarded in lieu of teaching or scholarship, artistry, or performance. Specific evidence related to the above criteria will be considered in Faculty evaluations.

Because Oberlin places such high value on teaching, a person offered initial appointment to the Faculty ought to exhibit promise of excellence as a teacher; a person offered reappointment ought to exhibit clear progress toward fulfilling that promise; and a person granted reappointment with tenure ought to have achieved excellence as a teacher. At the same time, evidence of scholarly or artistic production of high quality is essential for reappointment or promotion.

Appointments and reappointments are made in accordance with internal rules established by the Councils. Oberlin College is an Affirmative Action/Equal Opportunity employer.

1. Qualifications

The following statements set forth the qualifications expected of persons holding the several faculty ranks at Oberlin College. These titles may apply to tenure-track and non-tenure-track appointments and may vary in duration and expectations as determined by the divisional Faculty Council and Dean.

Instructor: Appointments at this rank are generally used for those who have not yet earned the Ph.D. (or other appropriate terminal degree). An appointment to the Faculty as Instructor will normally presume little teaching experience but an excellent prior academic record and excellent promise as a teacher and scholar.

Assistant Professor: An appointment or promotion to this rank will normally be limited to those whose subject-matter training has been completed to the standard commonly expected of specialists in the field (for example, in the fields in which this degree is appropriate, the Ph.D.). Reappointment to this rank will normally be limited to persons whose teaching and scholarly or artistic activity reveals that the excellence expected of teachers at Oberlin is being realized in practice.

Associate Professor: In addition to the requirements for Assistant Professor, an appointment or promotion to this rank will require demonstrated excellence and maturity in teaching and scholarly or artistic work. For those in tenure-track appointments, the granting of tenure normally is accompanied by promotion to the rank of Associate Professor, subject to the requirements for obtaining tenure.

Professor: In addition to the requirements for Associate Professor, excellent teaching, scholarly or creative production of recognized merit, significant service to the college, and good promise that such activities will be maintained in the future are the normal requirements of persons receiving this rank. In exceptional cases, the rank may also be offered to those who have shown outstanding excellence as teachers though not engaged in regular scholarly publication or artistic production. It is assumed that such exceptional persons will continue to have a sure grasp of their subject and that the promise of continued outstanding teaching ability is strong. The rank of Professor will not be granted as a matter of course, even to Faculty members with tenure, but will be normally considered only after six years as Associate Professor and only after careful

evaluation demonstrates that the Faculty member does possess the desired qualifications listed above.

2. Term of Appointment to Tenure-Track Position

The term of an initial appointment to the Oberlin Faculty is normally four years with a normal term of reappointment not to exceed three years. When a specific terminal degree is required, persons who have not completed all requirements for the terminal degree in their field at the time of initial appointment to the Oberlin Faculty will be appointed at the level of Instructor for a term of two years, with the provision that the appointment is automatically renewable for two years at the level of Assistant Professor, but if and only if all requirements for the degree have been completed by September 30 of the calendar year following the semester in which the appointment begins. Completion of the requirements for the terminal degree will not constitute sufficient evidence of progress in performance or scholarly productive work to support a case for reappointment after the second two-year term.

3. Part-time Faculty

Part-time Faculty will be appointed using the same procedures as for full-time Faculty. These procedures will include a detailed review of the candidate's dossier by members of the department and the divisional council, and personal interviews by members of the council, the department, and the administration. Part-time Faculty, as is the case with full-time Faculty, are expected to be engaged in scholarly productivity and will assume all normal non-teaching responsibilities, including membership in departmental and Faculty meetings with a full vote. They will be expected to advise students, to serve on committees and to perform other administrative duties, but at rates commensurate with their fractional appointments.

4. Visiting Faculty

Any of the Faculty ranks may be qualified by the term "Visiting," which indicates that the Faculty member is filling a short-term need and is not a candidate for tenure. Visiting Faculty typically serve for only one semester or one year, but they may be reappointed.

5. Term-Limited Appointments

The divisional councils may recommend to the General Faculty Council and the President the appointment of an individual to a Faculty position for a limited period of time.

6. Adjunct Status, Lecturer, Teacher

From time to time, divisional councils may recommend to the General Faculty Council and the President the appointment of an individual with adjunct faculty status, which may carry any title and rank, including Lecturer, Teacher, Assistant Professor, Associate Professor, or Professor. Normally, appointments with adjunct status are given to persons who teach less than full-time

during a semester on an interim basis, although renewed appointments of adjunct faculty are possible. Individuals with adjunct status should be recognized authorities in their field; they are not members of the General Faculty or of the divisional faculties unless so stated in their letter of appointment. Persons entitled to appointment as Lecturers include (1) full-time members of the Administrative and Professional Staff who without additional stipend offer at least one course for credit during the academic year and (2) directors of language or program houses who also offer courses. Lecturers, except those who are also program house directors, are not members of the General Faculty or of the divisional faculties unless so stated in their letter of appointment or by virtue of their Administrative and Professional Staff appointment. The title of Teacher is used only in the Conservatory of Music and is given to individuals who teach applied music on a part-time, hourly rate basis. Unless specified in the letter of appointment, or subsequently authorized in writing by a divisional Faculty Council and Dean, adjunct faculty are not eligible for paid leaves, College benefits, or tenure consideration.

Lecturers may be entitled to other College benefits. Lecturers should contact Human Resources for more information regarding eligibility for other benefits. Unless otherwise stated herein, adjunct faculty, lecturers and teachers must comply with the policies herein that apply to the Faculty as a whole.

C. Reappointment, Tenure, and Promotion

The term of an initial appointment is specified. Although terms are often set forth upon appointment and reappointment, employment is not guaranteed for a specific time period. Reappointment also depends on the authorization to continue a position. The credentials and performance of candidates for reappointment will be evaluated in terms of the standards set forth above.

There are no guarantees that reappointment or tenure will be granted to a candidate, and candidates should not rely upon any promises or assurances to the contrary. Annual letters regarding progress towards reappointment or tenure do not guarantee an outcome of the tenure process. They are designed to offer comments, concerns, and suggestions in regard to improving one's work at Oberlin, but by their nature they do not match the intensive scrutiny of the tenure process.

College of Arts and Sciences

General Procedures

All reappointment, tenure, and promotion decisions are made on the basis of established criteria and with the utmost care. The Dean will discuss the criteria used as a basis for reappointment, tenure, promotion, and salary decisions with new appointees to tenure-track positions on the Faculty within four months after the beginning of the Faculty member's appointment.

Each year the Dean and Council are to establish and publish a calendar of personnel actions listing the dates by which departmental personnel recommendations are to be completed.

The criteria used within each department or program for evaluation shall be consistent with those stated herein. Within those constraints, however, a department or program may recommend the use of evaluation procedures that deviate from the standards described below. (For example, the evaluation of artistic work may require a deviation from the process used to evaluate published books and articles.) Any such variation from standard practice must be put in writing and submitted by the department chair to the Dean for approval. Once approved, a copy must then be made available to each member of the department or program, particularly the person being evaluated.

When Faculty are considered for reappointment, tenure, or promotion, only Faculty members of the department on tenure track appointments, except those with a conflict of interest or as specified below, are eligible to participate fully in departmental deliberations. Untenured Faculty in their first year of tenure-track service may participate in, or simply choose to observe, departmental deliberations, but may not vote. Untenured Faculty on the tenure track beyond their first year of service may, without prejudice, decline to vote. However, should they wish to exercise this option, they should indicate this decision well in advance, in writing to the department, and in all cases prior to the first departmental meeting at which the case is deliberated. Only tenure and tenure-track Faculty, with the exception noted above, are eligible to participate in these departmental deliberations and to vote on cases of reappointment, tenure, or promotion.

All tenure and tenure-track members eligible to vote should make every effort to attend those meetings regarding the reappointment, tenure, and promotion of a member of their department. If that is impossible (because of a leave or sickness), the department should make every effort to arrange for the absent member to participate at the meeting via telephone conferencing technology (making sure that the absent member can both hear the proceedings and speak at them), or video conferencing facilities. Only in those circumstances will an absent member of the department be allowed to vote on the case, and only if he/she has read the appropriate documentation prior to the meeting.

All tenure and tenure-track Faculty, with the exceptions noted above, are expected to participate in these departmental deliberations and to vote on cases of reappointment, tenure, or promotion. If fewer than three Faculty in a department are available to participate in deliberations and to vote on a reappointment, tenure, or promotion case in the College of Arts and Sciences, then the College Faculty Council, in consultation with the department, will augment the personnel committee for the purposes of the personnel decision. Hereafter the word "committee" refers to the personnel committee, which in most cases will be the department.

The Faculty are reminded of the importance of maintaining confidentiality during and after the evaluation of a candidate for reappointment, tenure, or promotion. In particular, a departmental report should not attribute comments to particular members of the faculty or to particular external evaluators. Candidates for tenure should not be informed of the identities of their external evaluators.

The Dean shall bring before the divisional Faculty Council any piece of correspondence addressed to Council related to the candidate under consideration. In any matter bearing directly upon the reappointment, promotion, or tenure of any member of the Faculty, an unsolicited letter or statement from any other member of the Faculty may be considered by the divisional council only after the person whose work is under consideration has been informed of the essence of the letter or statement.

The Dean shall receive any faculty member who wishes to discuss a Council decision. Only the Dean may speak on behalf of the Council.

Conflict of interest: Faculty may not participate in any way in the evaluation of other Faculty if a conflict of interest is present. Conflict of interest is considered to be present, among other situations, when evaluating members of one's family, those with whom one is in a committed domestic partnership, or those with whom one is in a business relationship.

1. Reappointment

The evaluation of a candidate for reappointment in tenure-track positions is expected to proceed along the following steps:

- a. The candidate completes a Personal Information Report, which includes an optional self-evaluation component, and assembles materials that will be part of the reappointment dossier, including a current curriculum vitae and copies of any scholarly or artistic work that the candidate wishes to include for evaluation.
- b. The Chair of the department compiles the reappointment dossier that, in addition to the items mentioned above, includes all student evaluation of teaching forms collected while the candidate has been on the Oberlin Faculty and all progress toward tenure reports previously generated by the department or by the College Faculty Council.
- c. After all materials are in place and have been reviewed by members of the reappointment committee, the committee meets to discuss the case and to make the department recommendation. A vote is taken openly¹ on the question of whether or not the candidate should be recommended for reappointment. Only persons who have reviewed the materials and have participated in the deliberations are to vote, although this participation may be via telephone or video conferencing. The Chair then writes the Department Report, presenting the committee's assessment of the performance of the candidate in each of several areas. All other committee members review the Department Report for accuracy and completeness. The Chair also prepares the Chair's Report, which reports the committee vote, presents any minority views within the committee, and certifies the process that was followed in committee deliberations. The Chair's report will be made available to the candidate and should not include the names of any committee members when reporting the votes.
- d. The final versions of the Department Report and the Chair's Report are given to the candidate and department at least one week before being sent, with the dossier, to the College Faculty Council. This is to ensure for the candidate the opportunity to provide the Council with

¹ A vote by secret ballot may be allowed if the reappointment committee petitions the College Faculty Council, at the beginning of the process, and the Council approves of the use of a secret ballot.

additional information if he or she feels such information is advisable. A copy of this information is to be given to the Department for its response in addition to being forwarded to the Council.

e. The College Faculty Council reviews the reappointment dossier. It may ask for clarification or for additional input from the department and/or the candidate.

f. If after consideration of a recommendation regarding reappointment it becomes apparent that the College Faculty Council may take an action to decide against the recommendation submitted by the department, or against reappointment, the Council shall delay action on the case until the Dean has informed the candidate and the department Chair about the concerns of the Council and subsequently informed the Council about whatever views may have been expressed in response by the persons who were consulted.

g. The College Faculty Council makes a decision regarding reappointment, which may take one of three forms: The candidate may be denied reappointment, the candidate may be reappointed through the period in which a tenure decision will be made, or the candidate may be reappointed for a shorter period, with the understanding that an additional reappointment decision will be made at a later, specified, date.

2. Tenure

Unless otherwise set forth herein, Oberlin College supports and observes the criteria set forth in the AAUP *Statement of Principles on Academic Freedom and Tenure*. Tenure is granted only to those persons whose probationary performance as teachers and scholars meets the standards of excellence expected of Faculty members at Oberlin College. Decisions on tenure are made on the basis of careful evaluation of appropriate information about a Faculty member's past record and future promise.

Specific evidence of excellent teaching is necessary for each member of the Faculty who is to be recommended for reappointment with tenure. Examples of such evidence include, but are not limited to:

- Student evaluations of teaching and comments from former students;
- Evaluations by co-teachers and other colleagues who directly observe the teaching performance.
- An examination of the candidate's syllabi and assignments over the probationary period.

A positive decision about tenure should be based on evidence and the conviction that the member of the Faculty under consideration has demonstrated solid achievement, and not mere promise or progress toward achievement, as a teacher, as a scholar or creative/performing artist, and in active engagement with the broader professional community and the likelihood that that contribution will continue.

- Publication or acceptance for publication of original scholarly work of high quality while a member of the Oberlin Faculty is generally expected as evidence of scholarly achievement.
- Maintenance of an active creative and performing life and demonstrated excellence through public performance is generally expected for Faculty members in the creative and performing arts.

- A positive decision about tenure should be based on the evidence that scholarly or artistic work is likely to continue at a high level in future.

In exceptional cases tenure may also be offered to those who have shown outstanding excellence as teachers though not engaged in regular scholarly publication or artistic production.

Procedure for Tenure Consideration

Tenure will only be considered for those Faculty members in tenure-track positions. The granting of tenure can be considered by the divisional Faculty councils in a Faculty member's sixth year of service (except in cases of special negotiation by the Dean and as set forth in writing), on the basis of performance in the preceding years. A recommendation for tenure may be made in the third, fourth, or fifth year only if required (in accordance with AAUP *Statement of Principles on Academic Freedom and Tenure*) because a Faculty member has taught full-time before coming to Oberlin, or if there are other compelling reasons for an early decision. Normally, a tenure decision will be made not later than the sixth year of service at Oberlin, unless the Faculty member successfully petitions the appropriate divisional Council for a delay in the decision. If a decision regarding tenure is not rendered by the College Faculty Council in the first seven years of a tenure-track appointment, then the candidate will automatically not receive tenure at Oberlin College.

For Faculty members appointed as Assistant Professors or Instructors, equivalent service, whether full- or part-time, up to a maximum of three years in a college or university, after completion of subject-matter training expected in the relevant field, may be counted toward the probationary period of service needed to be considered for tenure. The amount of prior service to be counted will be negotiated between the Dean and the prospective Faculty member at the time of the initial appointment and will be specified in the letter of initial appointment.

The evaluation of a candidate for tenure is expected to proceed along the following steps:

- a. The candidate completes a Personal Information Report, which includes an optional self-evaluation component, and assembles materials that will be part of the tenure dossier, including a current curriculum vitae and copies of any scholarly or artistic work that the candidate wishes to include for evaluation.
- b. The candidate compiles a list of scholars who might serve as external evaluators of the candidate's scholarship or artistic activity. The department creates its own, similar, list of external evaluators. Friends, former teachers, or close collaborators of the candidate may not be among the external evaluators. Any level of collaboration or friendship should be disclosed by the candidate. It is desirable, but not necessary, to include among the external evaluators at least one person with experience teaching at a liberal arts college. However, the primary consideration in selection of evaluators is their professional expertise and ability to assess the quality and importance of the work under review.
- c. The candidate compiles a list of Oberlin College Faculty outside of the candidate's department who might serve as observers of the departmental deliberations concerning the tenure

case. These observers will have complete access to materials used by the department and are to receive copies of the Department Report and the Chair's Report (see paragraph h below). They are to submit, independently, letters to the Dean attesting to the fairness of the departmental process, or noting any manner in which the department may have failed to follow proper procedure in considering the tenure case. It is not the role of these outside observers to comment on the merits of the tenure case. Any tenured member of the Faculty (excluding those serving on the College Faculty Council or the General Faculty Council) may serve in the role of observer. The candidate should discuss the choice of observers with the chair or with the Dean. The two observers must be mutually acceptable to the candidate and the department.

d. The Dean meets with the candidate and the Chair of the department to discuss the tenure evaluation process, giving special attention to the materials to be included in the dossier. If the process is expected to deviate in any way from the normal process outlined here (e.g., if specific evidence of scholarly or artistic productivity is to be presented outside of the normal review process) the Dean, the candidate, and the Chair must agree on this departure and state such agreement in writing. A ranked list of potential external evaluators is agreed upon at this time, but the Dean has authority to make the final choice of evaluators.

e. The Chair secures agreement from three external evaluators and sends materials to them, together with a cover letter outlining their responsibilities. The cover letter is to follow the format provided by the Dean's Office. The names of the external evaluators are not shared with the candidate. The Chair also secures agreement from two persons to serve as observers.

f. The Chair arranges for former students to be surveyed (perhaps by electronic means) for their assessment of the teaching and mentoring abilities of the candidate. (Note that this surveying is conducted entirely by the faculty, not by students.) The department is expected to provide qualitative and quantitative summaries of the survey results.

g. The Chair compiles the tenure dossier that, in addition to the items mentioned above, includes all student evaluation of teaching forms collected while the candidate has been on the Oberlin Faculty and all progress toward tenure reports previously generated by the department or by the divisional Faculty Council. The department is expected to provide qualitative and quantitative summaries of these forms.

h. After letters have been received from the external evaluators and other materials are in place and have been reviewed by members of the department, the department meets to discuss the case, in the presence of the observers. A vote is taken openly² on the question of whether or not the candidate should be recommended for tenure. Only persons who have reviewed the materials and have participated in the deliberations are permitted to vote, although this participation may be via telephone or video conferencing. The Chair then writes the Department Report, presenting the committee's assessment of the performance of the candidate in each of several areas. All other committee members review the Department Report for accuracy and completeness. The Chair also prepares the Chair's Report, which reports the committee vote, presents any minority views within the committee, and certifies the process that was followed in committee

² A vote by secret ballot may be allowed if the tenure committee petitions the College Faculty Council, at the beginning of the process, and the Council approves of the use of a secret ballot.

deliberations. The Chair's report will be made available to the candidate and should not include the names of any committee members when reporting the votes.

i. The final versions of the Department Report and the Chair's Report are given to the candidate and department at least one week before being sent, with the dossier, to the divisional Faculty Council. This is to ensure for the candidate the opportunity to provide the Council with additional information if he or she feels such information is advisable. A copy of this information is to be given to the Department for its response.

j. The divisional Faculty Council reviews the tenure dossier. It may ask for clarification or for additional input from the department and/or the candidate.

k. If after consideration of a recommendation regarding tenure it becomes apparent that the divisional Faculty Council may take an action to decide against the recommendation submitted by the department, or against the awarding of tenure, the Council shall delay action on the case until the Dean has informed the candidate and the department Chair about the concerns of the Council and subsequently informed the Council about whatever views may have been expressed in response by the persons who were consulted.

l. The divisional Faculty Council votes in favor of or against recommending tenure for the candidate. A majority of at least two votes is required for the adoption by the Faculty Council of a decision to recommend the award of tenure. Abstentions do not affect the outcome of voting. If a total of three or more Faculty Council members withdraw or abstain from voting on a tenure recommendation, then only a simple majority is required for a positive recommendation.

m. If the vote of the divisional Faculty Council is positive, the decision is forwarded to the General Faculty Council, which makes its own recommendation.

n. The President presents to the Trustees the cases of those candidates being recommended for tenure. The Trustees have the power to ratify a positive recommendation and award an appointment with continuous tenure or to deny the awarding of tenure.

For Faculty members appointed as Associate Professors or Professors, a tenure decision may be made at the time of appointment or a short probationary period may be specified in the initial appointment letter. If a tenure decision is made in conjunction with an offer of appointment, parts (a) - (l) of the process outlined above will be modified through discussions between the department and the Council. Typically, the department will evaluate the record of scholarship, augmenting its judgment with that of external sources where possible. The department will also assess teaching ability through the review of student evaluations of teaching collected at the candidate's current institution. After reviewing the evidence, the department will send a recommendation to the Council.

Part-time Faculty

Each year of service at a half-time or greater rate will earn one year toward tenure consideration. Here, tenure consideration refers to evaluation for tenure by a department and Council. The

standards, policies, and procedures for award of tenure at Oberlin College are the same for part-time as for full-time service, and are described above and in subsequent guidelines approved by the Councils. As with full-time Faculty, persons may be recommended for tenure by a department at any time. Part-time Faculty may be given tenure to a fractional position: one-half time, two-thirds time, etc.

To change from a tenured part-time position to tenure at another fractional level, or to a tenured full-time position, requires action by the appropriate divisional Council, the General Faculty Council, and the President.

3. Promotion to Full Professor

The evaluation of an associate professor for promotion may take place at any time, but will normally be considered only after six years have been completed in the rank of associate professor. The Chair of a department that wishes to initiate the process of evaluation should consult with the Dean early in the year. The process is as follows:

- a. The candidate completes a Personal Information Report, which includes an optional self-evaluation component, and assembles materials that will be part of the promotion dossier, including a current curriculum vitae.
- b. The Chair of the department compiles the promotion dossier that, in addition to the items mentioned above, includes evidence of teaching effectiveness. The dossier must include but need not be limited to Student Evaluations of Teaching from courses taught by the candidate in the last 16 semesters of teaching or since the tenure evaluation, whichever is less. If the exceptional case is being made for promotion based on outstanding excellence as a teacher, evidence beyond student evaluations of teaching must be provided. Such evidence may include teaching portfolios, peer-observations, and engagement with pedagogical practices beyond one's own classroom (e.g., organization or attendance at pedagogy workshops).
- c. After all materials are in place and have been reviewed by members of the department, the department (including members at all ranks) meets to discuss the case. Two extra-departmental observers will be present during the discussion of the dossier of a candidate for promotion by the candidate's department or program. A vote is taken openly³ on the question of whether or not the candidate should be recommended for promotion. Only persons who have reviewed the materials and have participated in the deliberations are to vote, although this participation may be via telephone or video conferencing. The Chair then writes the Department Report, presenting the committee's assessment of the performance of the candidate in each of several areas. All other committee members review the Department Report for accuracy and completeness. The Chair also prepares the Chair's Report, which reports the committee vote, presents any minority views within the committee, and certifies the process that was followed in committee deliberations. The Chair's report will be made available to the candidate and should not include the names of any committee members when reporting the votes.

³ A vote by secret ballot may be allowed if the reappointment committee petitions the College Faculty Council, at the beginning of the process, and the Council approves of the use of a secret ballot.

- d. The final versions of the Department Report and the Chair's Report are given to the candidate and department at least one week before being sent, with the dossier, to the divisional Faculty Council. This is to ensure for the candidate the opportunity to provide the Council with additional information if he or she feels such information is advisable. A copy of this information is to be given to the Department for its response.
- e. The extra-departmental observers will read the Departmental Report and Chair's Report, review them for accuracy and completeness, and submit to the Dean a report on the accuracy and completeness of the reports.
- f. The divisional Faculty Council reviews the promotion dossier. It may ask for clarification or for additional input from the department and/or the candidate.
- g. If after consideration of a recommendation regarding promotion it becomes apparent that the divisional Faculty Council may take an action to decide against the recommendation submitted by the department, or against promotion, the Council shall delay action on the case until the Dean has informed the candidate and the department Chair about the concerns of the Council and subsequently informed the Council about whatever views may have been expressed in response by the persons who were consulted.
- h. The divisional Faculty Council makes a recommendation regarding promotion. Note that a negative decision does not preclude reconsideration at a later date.
- i. If the vote of the divisional Faculty Council is positive, the recommendation is forwarded to the General Faculty Council, which makes its own recommendation.
- j. The President presents to the Trustees the cases of those persons being recommended for promotion. The Trustees have the power to ratify a positive recommendation and award promotion to full professor or to deny the promotion.

Promotions and tenure appointments are reported to the Faculty each year.

Conservatory of Music

General Procedures

All reappointment, tenure, and promotion decisions are made on the basis of established criteria and with the utmost care. The Dean will discuss the criteria used as a basis for reappointment, tenure, promotion, and salary decisions with new appointees to tenure track positions on the Faculty within four months after the beginning of the Faculty member's appointment. Each year the Dean publishes a planning calendar including dates relevant to salary consideration, reappointment, tenure, and promotion.

The evaluation of members of the Conservatory Faculty for salary consideration, promotion, tenure, and reappointment is carried out through regular procedures approved by the Conservatory Faculty Council. According to these procedures, in decisions concerning salary,

reappointment, tenure, or promotion, an action that passes or fails by less than a two-vote majority (e.g., 5-4 or 4-3) will be automatically reconsidered. The Conservatory Faculty Council will forward positive recommendations with respect to reappointment with continuous tenure to the General Faculty Council and the Board of Trustees only when the recommendation for tenure has passed by a 2/3-majority vote or, in cases in which one or more members of the Council have abstained from voting, by a two-vote majority.

The Dean shall bring before the divisional Faculty Council any piece of correspondence addressed to Council related to the candidate under consideration. In any matter bearing directly upon the reappointment, promotion, or tenure of any member of the Faculty, an unsolicited letter or statement from any other member of the Faculty may be considered by the divisional council only after the person whose work is under consideration has been informed of the essence of the letter or statement.

The Dean shall receive any faculty member who wishes to discuss a Council decision. Only the Dean may speak on behalf of the Council.

Conflict of interest: Faculty may not participate in any way in the evaluation of other Faculty if a conflict of interest is present. Conflict of interest is considered to be present, among other situations, when evaluating members of one's family, those with whom one is in a committed domestic partnership, or those with whom one is in a business relationship. Any potential conflict of interest will be submitted to the Council for consideration to determine if a person's relationship warrants recusal from the process.

Each division or program may recommend specific criteria to be used in interdivisional or program evaluations that go beyond those stated herein. Any elaborations or extensions of the criteria will be submitted in writing to the Dean and Council for approval. If approved, they will be made available to each member of the division or program.

Before the Conservatory Faculty Council begins to collect information or to deliberate about the reappointment, promotion, or tenure of any member of the faculty, the Dean should inform the individual under consideration of both the procedures to be followed and the information to be sought and used in the evaluation. The Dean, (when appropriate in consultation with the divisional Council) will authorize the process of evaluation to begin only after he or she is satisfied that the procedures proposed are in accord with Conservatory policy; that the individual under consideration has been fully informed about the nature of the procedures to be followed; and that the individual has had an opportunity to make available to the division, program, or Council all relevant materials.

In the interest of objectivity and fairness, tenured members of the division or program will be invited annually to participate in personnel evaluations and recommendations regarding their colleagues. Annual letters regarding progress towards reappointment or tenure do not guarantee an outcome of the tenure process. They are designed to offer comments, concerns, and suggestions in regard to improving one's work at Oberlin, but by their nature they do not match the intensive scrutiny of the tenure process.

- a) Tenured members of the division or program are expected to submit to the Dean and Conservatory Faculty Council a written evaluation of an individual who is being considered for reappointment, tenure, or promotion to the rank of Professor.

In the event that an evaluation is incomplete, unclear, or insufficiently informative, the divisional Council will return it to its source with a specific request indicating what further advice it requires. If the Council's request is not satisfied it may direct the Dean to meet with the faculty member(s) in order to secure the information which is required.

- b) At the time of consideration of salary increase, tenured members of the division or program will be expected to submit to the Dean and Conservatory Faculty Council an evaluation of each divisional or program colleague.
- c) Any individual under consideration for salary review, reappointment, tenure, or promotion may write a statement of his or her professional activities, which shall be available to all members of the division or program prior to or at the time of Council deliberations regarding the individual's future status.
- d) Individuals under consideration for reappointment or tenure will have their teaching observed by at least two members of Council and by tenured members of the division or program.
- e) The individual under consideration will be invited to submit to the Dean a written self-evaluation of his or her performance as a member of the Oberlin faculty. The Council deadline for submission of this statement will be indicative of the approximate date for Council consideration.

Council shall honor any request from an individual member of the faculty for reconsideration of a decision regarding his or her tenure, reappointment, salary, and/or promotion providing such request is made in the manner and within the time period prescribed in the Faculty Grievance Procedures (Section II.F).

Council shall consider (but not necessarily honor) written requests from individual members of the faculty to appear before it in person to discuss decisions regarding reappointment, tenure, and/or promotion.

In cases of individuals under consideration for tenure, reappointment, and/or promotion, where Council has perused the evidence and during preliminary Council discussion questions have arisen which cast doubt on the likelihood of a positive decision, the Conservatory Faculty Council will request that the Dean inform the individual of the nature of these reservations. This is to ensure the individual under consideration the opportunity to provide Council with such additional information, as he or she may deem advisable.

1. Reappointment

In the Conservatory of Music, appointments may be renewed or discontinued on an annual basis. Reappointment also depends on the authorization to continue a position and the positive evaluation of the faculty member who occupies it.

2. Tenure

a. Full-time Faculty

Unless otherwise set forth herein, Oberlin College supports and observes the criteria set forth in the AAUP *Statement of Principles on Academic Freedom and Tenure*. Tenure is granted only to those persons whose probationary performance as teachers and scholars meets the standards of excellence expected of Faculty members at Oberlin College. Decisions on tenure are made on the basis of careful evaluation of appropriate information about a Faculty member's past record and future promise.

An individual under consideration for reappointment with continuous tenure will have his or her creative and/or scholarly work reviewed by outside evaluators. Normally, no, fewer than three evaluators will be asked to write. The choice of evaluators is subject to the approval of the Conservatory Faculty Council after consultation with the individual's division or program. The individual under consideration will be invited to submit to the division/program the names of individuals s/he would like excluded from the list of external evaluators. The chosen evaluators will remain confidential and will not be disclosed to the candidate.

A positive decision about tenure should be based on the conviction that the member of the Faculty under consideration has demonstrated excellence, and not mere promise or progress toward excellence, as a teacher, as a scholar or creative/performing artist, and in active engagement with the broader professional community and the likelihood that that contribution will continue.

- Publication or acceptance for publication of original scholarly work of high quality while a member of the Oberlin Faculty is generally expected as evidence of scholarly achievement.
- Maintenance of an active creative and performing life and demonstrated excellence through public performance is generally expected for Faculty members in the creative and performing arts.
- A positive decision about tenure should be based on the evidence that scholarly or artistic work is likely to continue at a high level in future.

The granting of tenure normally will be considered by the Conservatory Faculty Council in a Faculty member's sixth year of service. On occasion a faculty member may be considered for tenure in the first five years of service provided that either the Dean has specified the year of consideration in the letter of appointment, or the Council approves a change in the specified timeline. If a decision regarding tenure is not rendered by the Conservatory Faculty Council in the first seven years of a tenure-track appointment, then the candidate will automatically not receive tenure at Oberlin College.

For Faculty members appointed as Assistant Professors or Instructors, equivalent service, whether full- or part-time, up to a maximum of three years in a college or university, after completion of subject-matter training expected in the relevant field, may be counted toward the probationary period. The amount of prior service to be counted will be negotiated between the Dean and the prospective Faculty member at the time of the initial appointment and will be specified in the letter of initial appointment.

b. Part-time Faculty

To be eligible for a tenure-track appointment, a part-time faculty member must be appointed at half time (0.5 FTE) or above. For part-time faculty members, each year of service at a half-time or greater rate will earn one year toward tenure consideration. The standards, policies, procedures for award of tenure at Oberlin College are the same for part-time as for full-time service, and are described above and in subsequent guidelines approved by the Councils.

Prior service at other institutions, whether full- or part-time, will normally count toward tenure consideration at Oberlin. The amount of prior part-time service to be counted will be negotiated between the Dean and the prospective faculty member at the time of the initial appointment. Up to a total of three years, but no more, may be counted.

To change from a tenured part-time position to tenure at another fractional level, or to a tenured full-time position, requires action by the appropriate divisional Council, the General Faculty Council, and the President.

Promotions and tenure appointments are reported to the Faculty each year.

D. Professional Ethics and Conduct

The General Faculty of Oberlin College endorses the "Statement of Professional Ethics" adopted and as amended by the American Association of University Professors ("AAUP"). The College expects that all faculty will adhere to the Statement of Professional Ethics adopted by the AAUP, the professional and ethical standards adopted by Oberlin College, and the professional and ethical standards adopted by the professional and academic organizations to which they hold membership. The College maintains its right to insist on the observance of these standards. While the College will not determine whether a faculty member has violated professional and ethical standards of other organizations, it may further sanction conduct found to be in violation of those standards. Faculty members who disagree with these standards may seek to abolish or amend them through established procedures. Failure to comply with these established professional and ethical standards may result in disciplinary action up to and including dismissal.

While tenure is a primary protection for academic freedom and is central to the quality of the academic enterprise and the advancement of College's mission, tenure is not simply a guarantee of employment until retirement. Termination of faculty for adequate cause should be

reserved for documented serious violations of established policies and in compliance with these procedures.

E. Faculty Professional Conduct Review Committee

The General Faculty must have a Professional Conduct Review Committee (“PCRC”) that is responsible for responding to formal complaints of professional misconduct made against any individual holding a tenure-track and tenured faculty appointment at Oberlin College, as outlined in these procedures recommended by the General Faculty and approved by the President of the College. The Department of Human Resources, in partnership with the appropriate Division Dean, is responsible for responding to formal complaints of professional misconduct made against all other individuals holding an instructional appointment at Oberlin College.

PCRC Composition

The PCRC consists of thirteen members of the General Faculty who are not members-elect of any faculty council and who hold a tenured faculty appointment. Members of the PCRC will serve for two-year terms. Eight members must hold a faculty appointment in the College of Arts and Sciences; and five members must hold a faculty appointment in the Conservatory. The election of the PCRC will be conducted after the divisional and General Faculty Council elections are completed. Terms of PCRC members should be staggered.

PCRC Election Procedures

The following individuals are eligible to vote for members of the PCRC: individuals with a tenure-track or tenured faculty appointment, the President, the Provost, the Dean of the College of Arts and Sciences, and the Dean of the Conservatory.

- a. **Nomination ballot.** The Secretary of the College will create a list of faculty members eligible to serve on the PCRC. Faculty holding appointments in the College may nominate 16 faculty members from that list. Faculty holding appointments in the Conservatory may nominate 10 faculty members from that list.
- b. **Final ballot.** In the final balloting, all eligible electors may vote for eight of the College finalists and five of the Conservatory finalists. The eight (8) College finalists receiving the highest number of votes will serve on the PCRC. The five (5) Conservatory finalists receiving the highest number of votes will serve on the PCRC. Alternates, as required, will be drawn from the lists of remaining finalists, according to division, in order of number of votes received. Ties will be resolved by lot.
- c. **PCRC Chair.** At its first meeting of the academic year, the PCRC will elect a chair to serve for a full year or until replaced.
- d. **Appointment of Faculty Appeals Officers.** At its first meeting of the academic year and after the election of the chair, the PCRC will appoint no fewer than three tenured faculty members to serve as an appeal officer to hear appeals under the Office of Equity, Diversity, and Inclusion policies. Such appointees are required to complete the required training. It is

the responsibility of the PCRC to ensure sufficient appeals officers in addition to the appeals officers appointed by the Division Deans.

PCRC Training

PCRC members are required to complete a training provided by the Office of the General Counsel and Secretary and the Office of Equity, Director, and Inclusion regarding fair, impartial, and objective management of faculty misconduct complaints and faculty grievances.

PCRC Procedures

The PCRC Procedures are designed to provide fundamental fairness and respect for all parties by ensuring adequate notice, an equitable opportunity to be heard, and an equitable opportunity to respond to a professional or ethical standards complaint.

These procedures apply to formal complaints of violations of the AAUP Statement of Professional Ethics and Oberlin College professional and ethical standards only⁴. These procedures do not apply when the concern is that the faculty is unfit due to physical or mental incapacity. Complaints that a faculty member has violated the College Nondiscrimination and Anti-Harassment Policy, the Title IX Sexual Misconduct Policy, the Prohibited Relationships Policy or any other Policy managed by the Office of Equity, Diversity, and Inclusion will follow the procedures established by that office.

Informal Resolution

Any concerns that a faculty member has violated professional ethics standards should be brought to the Dean of the division where the faculty member whose conduct is of concern holds their primary appointment. The Division Dean will attempt to secure an informal resolution. All informal resolutions should be summarized in writing, made a part of the faculty member's official personnel file, and submitted to the Secretary of the College. In addition, other officials (e.g., department chair) or committees will be informed of any sanctions on an as needed basis to enforce the agreed upon resolution. Once the Hearing Panel has issued its report, the Informal Resolution Process is no longer available.

Formal Resolution

If an informal resolution is not successful, any member of the campus community may submit a signed written complaint to the Secretary of the College. Complaints should be brought as soon as possible but no later than six months of knowledge of the alleged misconduct. The Secretary of the College will provide the respondent faculty member and their Division Dean a copy of the complaint along with the PCRC procedures. The respondent faculty member will have three business days to submit an initial written response to the complaint to the Secretary of the College. The Secretary of the College will convene the PCRC within five business days of receiving the Complaint.

A. Procedures

1. General Procedures

⁴ A PCRC may recommend corrective action for a faculty found to have violated the professional and ethical standards to which they have agreed to comply as a member a professional or academic association.

a. PCRC proceedings are confidential. These procedures are entirely administrative in nature and are not considered legal proceedings. No participant may audio or video record the proceedings.

b. “Parties” are defined as the complaining individual or committee (“Complainant(s)”), on the one hand, and the faculty member or members subject to the complaint (“Respondent Faculty Member”), on the other hand. Each party is encouraged to select an advisor to represent or advise them at any stage in the review proceedings. All advisors must comply with the professional standards for members of an academic community or risk being excused from participation or attendance. All parties may be represented by legal counsel as their advisor during all phases of the proceedings.

c. Participants with documented disabilities have the right to request accommodations necessary to be able to fully participate in a PCRC proceedings.

d. Generally, the PCRC and any of its panels will meet and conduct business only when all members are present. The Committee and its panels should utilize telephone and video conferencing tools to facilitate participation when physical presence is not possible.

e. Throughout a PCRC proceeding, participants will receive timely notice of any meeting at which their attendance may be requested or required. The timeframes outlined in this policy may be extended for good cause by the Chair of the PCRC to ensure the integrity and completeness of the investigation, to accommodate the availability of witnesses, to address College breaks or vacations, or other legitimate reasons. Any extension of the timeframes, and the reason for the extension, will be shared with the parties in writing. Participants in this process will receive written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time to prepare to participate. The College will attempt to accommodate the schedules of parties and witnesses; however, resolution must be completed in a reasonably prompt timeframe, and may proceed to conclusion even in the absence of a party or witness.

f. In exceptional cases, where the alleged misconduct of a faculty member as presented in the complaint threatens direct and immediate injury to one or more members of the campus community or to the essential functions of the College, the President may direct that the affected faculty member be relieved of some or all of their duties and responsibilities, without prejudice and without loss of compensation, pending the final disposition of the case.

g. Whenever the Division Dean is unable to serve, the division’s faculty council will select a member by lot to assume the role of the Division Dean under this policy.

2. Preponderance of the Evidence Standard

The PCRC panels will determine a Responding Faculty Member’s responsibility by a preponderance of the evidence. Under this standard, faculty are presumed not to have engaged in the conduct reported *unless* a preponderance of the evidence supports a finding that the misconduct occurred. This means that the PCRC will decide whether it is “more likely than

not,” based upon all of the relevant information, that the Responding Faculty Member is responsible for the alleged violation(s).

3. Investigation

a. The Secretary of the College will convene the PCRC and advise the committee of the nature of the complaint and the individuals involved. Members of the PCRC who determine that they are unable to serve as a fair and impartial member of the PCRC because of any conflict of interest will indicate so and excuse themselves from the process, after consultation with the PCRC Chair and the legal advisor assigned.

b. The PCRC will select three of its members to serve as an Investigative Panel. Four members will serve on Hearing Panel, if needed. Members of both the Conservatory and College faculties must be included on both panels.

c. The members of the Investigative Panel will select its own chairperson. The Investigative Panel must consult with the legal advisor for the PCRC secured by the General Counsel for the College.

d. The Investigative Panel will conduct a fact-finding investigation that includes meeting separately with the parties and pertinent witnesses; and reviewing and analyzing other relevant information. The Investigative Panel may request that the parties or Administration make available to it any information or documents that the panel believes will be of assistance in conducting the investigation. The College will not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege. Information gathered during the investigation will be used to evaluate whether a policy violation has occurred. All individuals involved in the investigation - including the parties, any third-party witnesses, or advisors - will be treated with respect. The Investigation Panel will manage the investigation professionally by complying with best practices for managing sensitive information confidentially.

e. The Investigative Panel will not consider or provide for inspection and review evidence which the College knows was illegally or unlawfully created or obtained.

f. The Investigative Panel will strive to complete a written report of its findings within 30 business days. The written report must be given to both parties and the Secretary of the College. The final investigation report will be made available to the parties at least ten (10) business days before the date of the hearing.

g. The Investigative Panel is responsible for making findings of fact and credibility determinations based on the preponderance of the evidence standards. The Investigative Panel is not authorized make recommendations regarding sanctions.

4. Hearing

a. The Secretary of the College will schedule a hearing and notify the parties, the chair of the Investigative Panel, the appropriate Division Dean, and the Hearing Panel members of the hearing. Parties will have three business days after receiving the hearing notice to object to a hearing panel member on the grounds of conflict of interest. The Hearing Panel must consult with the legal counsel for the PCRC secured by the General Counsel of the College.

b. The appropriate Division Dean will participate in all meetings of the Hearing Panel.

c. Members of the Hearing Panel will select its own chairperson. Only the Hearing Panel Chair will supervise the recording of the Hearing. If parties request a record of the Hearing, a transcript of the Hearing will be provided with appropriate redactions to protect the FERPA rights of students involved. Each party is entitled to one transcript without cost. PCRC members and participants are permitted to access to all records and recordings maintained by the Office of the Secretary.

d. The hearing is intended to provide a fair and ample opportunity for each party to present relevant information and witnesses. The Hearing Panel will make factual findings, determine whether the cited professional and ethical standards were violated, and recommend appropriate corrective action(s) and remedies, if appropriate. The hearing is not a judicial proceeding and, therefore, is not designed to be adversarial in nature or comply with rules of evidence, civil procedure, or criminal procedure. At the Hearing Chairperson's discretion, anyone disrupting the hearing may be removed.

e. It is the responsibility of the Hearing Panel to assure that the information necessary to make an informed decision is presented. The Hearing Panel members may play an active role in questioning both parties and witnesses involved in the case. At times, the Hearing Panel members may need to ask difficult or sensitive questions in order to understand areas of factual dispute or gain a full understanding of the context. All information subject to the parties' inspection and review will be available at any hearing to give each party equal opportunity to refer to such evidence during the hearing, including for purposes of questioning witnesses. Parties and other individuals who offer information at a hearing are expected to respond honestly, and to the best of their knowledge.

f. The hearing will be called to order by the chairperson. The Hearing Chairperson will explain the hearing process and will provide an opportunity to all parties to ask procedural questions before initial statements and the presentation of information. All individuals present at the hearing will introduce themselves and their role in the hearing. The Investigative Panel Chair will provide a brief statement summarizing the investigation. The statement should focus on the areas of agreement and disagreement in order to assist the Hearing Panel in prioritizing areas of inquiry.

g. The Hearing Panel will hear oral presentations by the parties or others that it deems necessary. The Hearing Panel may set time limits on opening statements. The Hearing

Panel may request that the parties or Administration make available to it any information or documents that the panel believes will be of assistance in conducting the investigation. The College will not require, allow, rely upon, or otherwise use questions or information that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege. Information gathered during the investigation will be used to evaluate whether a policy violation has occurred. All individuals involved in the investigation, including the parties, any third-party witnesses, experts, or advisors will be treated with respect. The Hearing Panel will manage the investigation professionally by complying with best practices for managing sensitive information privately. In all cases, the Hearing Panel has the responsibility for determining the relevance and appropriateness of the questions to be asked and sharing the rationale for not asking any questions.

h. The Complainant and the Respondent Faculty Member may question any witness or object to any evidence that the other party seeks to admit or the panel seeks to consider. In all cases, the Hearing Panel has the responsibility for determining the relevance and appropriateness of the questions to be asked and sharing the rationale for not asking any questions.

i. At the conclusion of the presentation of all witnesses, the parties will have the option to address briefly any outstanding issues of fact with a brief closing statement (no more than 10 minutes in length).

j. Parties and witness are expected to directly engage in the hearing process rather than allow their advisor to speak on their behalf. Advisors may not question witnesses. Advisors, however, may provide a brief closing statement.

k. After all of the information has been presented, all parties will be dismissed and the hearing will be formally concluded. The Hearing Panel reserves the right to recall any party or witness for further questions and to seek additional information necessary to make a decision. The Hearing Panel will conduct their deliberations in private and will not be recorded. The Panel must complete their deliberations within two business days. The decision must be based solely on the hearing record and determined by majority vote. If the Panel is split evenly, then a finding of not responsible must be rendered. The votes of individual Panel members will not be shared with the parties. The findings and recommended sanctions of the Hearing Panel will be documented in writing by the Hearing Panel chair. The findings will detail the findings of fact and the basis/rationale for the decision of the Hearing Panel, making reference to the evidence that led to the finding. The written report will be provided to the Secretary of the College, the parties, and the appropriate Division Dean.

5. Corrective Action

The Dean will decide what sanction will be imposed, giving considerable deference to the recommendation of the Hearing Panel. The range of possible corrective action includes, but is not limited to, educational training, warning, formal reprimand, removal from elected or appointed committees, removal from special appointments (e.g., department chair or endowed

professorship), suspension from any or all parts of regular duties, suspension or revocation of future sabbatical or research leave, salary reduction (temporary or permanent), or dismissal. The Division Dean will issue a sanction letter within three business days after receiving the Hearing Panel's report. The Dean will also provide a separate outcome report to the Complainant. Any deviation from the Hearing Panel's report must be explained in the written sanction letter.

6. Dismissal of Tenured Faculty members for Cause

Dismissal of a tenured faculty member includes revocation of tenure. This provision does not apply to non-tenured faculty members.

a. If the Division Dean approves dismissal of a tenured faculty member, that recommendation is submitted to the President of the College for an independent review of the record. If the Division Dean believes that dismissal of a tenured faculty member is warranted even though the Hearing Panel did not recommend dismissal, they may indicate so to the President of the College. The Dean's report will be provided to the parties and members of the Hearing Panel.

b. The President will conduct an independent review of the record. As part of that independent review, the President will request a written statement from the parties.

c. The President will formulate their own recommendation and supporting rationale in a written report to be submitted to the Chair of the Board of Trustees for final action within thirty (30) business days. In keeping with the principle of faculty self-governance, the President and the Board will give considerable deference to the recommendations of the PCRC regarding faculty dismissals.

d. The action of the Board of Trustees is final and will be shared with parties, the administration, and the PCRC.

7. Appeal Procedure

The General Faculty Council serves as the final review body for matters not involving dismissals of tenured faculty members. In any request for an appeal, the burden of proof lies with the party requesting the appeal, as the original determination and sanction are presumed to have been decided reasonably and appropriately. Either the Complainant or the Responding Faculty Member may appeal. The four grounds for appealing are: (1) there was a material deviation from procedure that affected the outcome; (2) there was an undisclosed conflict of interest of one of the decision-makers that affected the outcome; (3) there is newly-discovered relevant information that was not previously available at the time of the hearing; or (4) the sanctions are inappropriate or disproportionate for the violations that occurred.

If the General Faculty Council determines that the appeal does not properly fit within one of the four grounds, the appeal will be denied. Disagreement with the outcome is not grounds for an appeal. If the appeal does fit within one of the four grounds for appeal, the General Faculty Council will review the record and the information submitted on appeal and issue a

written report that may result in the following outcomes:

- a. If there was a material deviation from procedure that affected the outcome, the GFC may remand the matter to the Hearing Panel to rectify the error, or in rare cases where the error cannot be resolved, a new hearing may be ordered.
- b. If a conflict of interest of a decision-maker is deemed to have affected the outcome, the GFC may remand the case to an appropriate place in the process to rectify this affect.
- c. If newly-discovered information that was not available previously appears to be relevant, the GFC can recommend that the case be returned to the Hearing Panel to assess the weight and effect of the new information and render a determination after considering the new facts.
- d. If the sanctions appear inappropriate or disproportionate, alter the sanctions, accordingly.
- e. Affirm the findings and sanctions.

When the GFC is reviewing an appeal, the Division Dean involved in the proceedings will not participate in the appeal. The President, Provost, or Vice President and General Counsel will not participate in the review of the appeal. Any member of GFC may recuse themselves if they feel that they have a conflict of interest and/or cannot fairly make a decision. A minimum of three GFC faculty members must participate in the review of the appeal. The other Division Dean will chair the meeting(s) in which the appeal is reviewed but will not vote.

The GFC's review will be limited to the record before the Hearing Panel and will use the preponderance of the evidence standard. The GFC members participating in the review will deliberate in private and without any recording. The GFC will consult with legal counsel secured by the General Counsel of the College before issuing its written report. The majority of the members of the GFC deliberating must agree to alter the Hearing Panel's report or recommended sanctions. If there is no majority vote, then the outcome remains unchanged.

The written report should be issued within twenty (20) business days of receiving the appeal. The decision of the GFC is final.

F. Faculty Grievance Procedures

Faculty members may seek review and appeal of personnel decisions through the process provided herein. This process provides for appeal of a personnel decision through the applicable divisional council and/or through the PCRC.

1. In order to facilitate resolution of conflict which may result from a personnel decision by a Faculty council, the General Faculty shall provide for mediation through the PCRC. A

mediation panel shall be selected from the membership of this Committee whenever a Faculty member, after appropriate preliminary steps, requests mediation concerning a Faculty council's personnel decision regarding that Faculty member.

- a. As used herein, "personnel decision" is limited to a decision concerning tenure, reappointment, promotion, or salary.
- b. The personnel decision may have been made by the General Faculty Council or one of the divisional Faculty councils.
- c. Whenever this document refers to a personnel decision by a Faculty council, the language shall be understood to include a final personnel decision by a department or program, provided that such department or program decision does not lead to a decision by a Faculty council.
- d. As described below, the panel shall proceed to mediate disputed personnel decisions concerning tenure or reappointment.
- e. As described below, the panel may proceed to mediate disputed personnel decisions concerning promotion or salary.

2. A Faculty member who is dissatisfied with a Faculty council's personnel decision regarding himself or herself may consult with the Division Dean and the departmental or program chairperson. The Faculty member may then petition for review of the decision, either by requesting that the council reconsider its decision, or by requesting that the PCRC seek resolution of the matter.

- a. As a matter of course, each Faculty council shall adopt a statement of reasons for each decision it renders against tenure, reappointment, or promotion. The Faculty member affected may obtain upon request a copy of these reasons.
- b. The Faculty member may consult with the Division Dean regarding an adverse personnel decision. If the decision was one that obliges the council to adopt a statement of reasons, the Dean shall provide the Faculty member with a copy of those reasons prior to or during the consultation. The Faculty member may also consult with the chairperson of the department or program.
- c. Within 21 days after being informed in writing of a decision regarding tenure, reappointment, promotion, or salary, the Faculty member may petition for review of the decision. Under normal circumstances the petitioner is expected to consult with the Division Dean and, in the College of Arts and Sciences, the departmental chairperson regarding the questioned decision before requesting review. The request shall be in writing and shall include a detailed statement of the petitioner's reasons for requesting review. The request may take only one of the following two forms: a request that the

Faculty council reconsider its decision, or a request that the PCRC seek resolution of the matter.

d. If the petitioner requests that the Faculty council reconsider its decision, the council shall carry out the reconsideration and respond in writing within 21 days after receiving the petitioner's request. The decision of the council(s) shall be final, and dispositive of the matter.

e. Alternatively, the petitioner may submit to the Secretary of the College a request that the PCRC seek resolution of the matter. Upon receipt of this request the Secretary of the College shall convene the PCRC within four days.

f. All references to specified periods of time in this section and hereafter shall be computed--unless the context specifically indicates otherwise--on the basis of "in-session" time. In-session days are those from the first day of registration for the fall semester through the end of the spring semester, excepting vacation days (fall, spring, and Christmas recesses and Thanksgiving Day). Specified periods of four days or less shall be understood not to include Saturdays and Sundays. At the mutual agreement of all parties, work on unresolved cases may continue beyond in-session days.

5. For each individual case, the Secretary of the College shall, within four days after receiving the petitioner's request for mediation, convene a meeting of those members of the PCRC from whom a mediation panel for that case is to be selected. Three of their number (two from the College Faculty and one from the Conservatory Faculty) shall be selected by lot to serve as an impartial mediation panel to seek resolution of the case.

a. Normally a PCRC member will not serve on a second mediation panel until all PCRC members from that member's division of the Faculty have served on a mediation panel during their current year of membership on the PCRC. Similarly, service on a third (or fourth, etc.) mediation panel will be conditional on each PCRC member's service on two (three, etc.) mediation panels.

b. After the mediation panel members have been selected, the remaining members of the PCRC shall withdraw and shall have no further involvement with the case unless a vacancy is to be filled as prescribed in paragraph e.

c. The mediation panel shall select its own chairperson immediately after being constituted. The Secretary shall then transmit to the panel the petitioner's detailed statement of reasons for requesting mediation.

d. A member of the mediation panel shall resign from the panel if he or she feels disqualified to participate in the case because of bias or conflict of interest. In the event of a vacancy on the mediation panel, the remaining members of the panel shall select a replacement by a method of their choosing, subject only to the condition that the vacancy be filled by a PCRC member from the same division.

e. Normally the mediation panel shall meet and conduct business only when all members are present.

6. In cases involving tenure or reappointment the mediation panel shall proceed immediately as prescribed in Section 8. In cases involving promotion or salary, the mediation panel shall, within three days after being selected, decide whether mediation is merited on the basis of the petitioner's detailed statement of reasons for requesting mediation.

a. Normally mediation shall not be deemed merited in cases involving promotion or salary unless there has been prolonged denial of promotion or the petitioner has received below-average salary increases in each of the last three regular periodic salary considerations.

b. If the mediation panel decides to undertake a case involving promotion or salary, the panel shall proceed immediately as prescribed in Section 8.

c. If the mediation panel decides not to undertake the case, the panel's chairperson shall, within two days after the decision, notify in writing the petitioner and the Secretary of the College. Members of that panel immediately become eligible for selection by lot to membership on a subsequent mediation panel.

d. A petitioner whose request for mediation is denied may, within seven days after receiving notification of that denial, request that the Faculty council reconsider its personnel decision. The request shall be in writing and shall include a detailed statement of the petitioner's reasons for requesting reconsideration. Upon receiving such a request, the council shall proceed as prescribed in paragraph 4.

7. The petitioner may have an adviser of his or her choice, drawn from the General Faculty, who may represent or advise the petitioner at any stage in the mediation proceedings. The Chairperson of a council shall normally be its representative and spokesperson in all proceedings before the mediation panel.

8. Upon receiving from the Secretary of the College the petitioner's detailed statement of reasons for requesting mediation, the chairperson of the mediation panel shall invite the petitioner to meet with the panel for the purpose of facilitating the panel's understanding of the nature of the grievance as defined by the petitioner in writing.

a. At that same meeting the petitioner shall provide the chairperson of the mediation panel with copies of all documents which the petitioner wishes to submit in support of his or her written statement defining the nature of the grievance.

b. The chairperson of the mediation panel shall promptly submit the petitioner's

statement to the appropriate Faculty council. Within seven days the council shall provide the panel and the petitioner with (a) a written response to the petitioner's definition of the grievance and (b) a copy of the adopted statement of the council's reasons for the disputed decision. At the same time the council shall provide the panel alone with (c) a written statement detailing the procedures followed and the persons consulted in reaching the decision and (d) copies of all documents employed by the council as a whole in its deliberations leading to the disputed decision. The mediation panel shall not disclose the contents of any of these materials to anyone who is not a member of the panel.

9. After receiving the written materials described in Section 8, the mediation panel shall seek informally to bring about a resolution of the case by facilitating communication between the petitioner and the Faculty council, by being alert to any procedural impropriety that may have occurred, and, when feasible, by identifying possible bases for compromise.

a. In the course of seeking a resolution, the mediation panel may meet with the petitioner and with the Faculty council, either together or separately, but it shall be inappropriate for members of the panel to discuss the case with individual members of the council, except its chairperson as the representative of the council.

b. The mediation panel shall not disclose confidential documents.

c. The mediation period normally shall not exceed 14 days from the time the mediation panel receives from the appropriate council the documents described in Section 8.b. The mediation period may be extended at most seven days by mutual agreement of the petitioner and the council.

d. At the conclusion of the mediation process the chairperson of the mediation panel shall write to the petitioner, the chairperson of the council, and the Secretary of the College, informing them whether the panel was able to bring about a resolution of the case. The panel shall return all materials to the persons from whom they were received.

10. If the outcome of the mediation process does not satisfy the petitioner, and if the Faculty council has not formally reconsidered its original decision, then the petitioner may request that the council undertake such reconsideration.

a. The petitioner's request shall be in writing, shall include a detailed statement of the reasons for requesting reconsideration, and shall be made within seven days after the petitioner is notified of the outcome of the mediation process.

b. Upon receiving such a request, the Faculty council shall proceed as prescribed in paragraph 4.

11. All matters of interpretation of these Faculty Grievance Procedures shall be resolved by the PCRC or its panels.

III. CLASSROOM AND ACADEMIC RESPONSIBILITIES

A. Conduct of Classes

All faculty members are expected to be available to students and colleagues for routine administrative responsibilities from the arrival of students on campus to the end of the examination period. All Faculty members are expected to meet their classes at regularly scheduled hours and to be available for consultation with students at appointed times, which should be posted. Notification of changes in office hours should be provided to students well in advance whenever possible. Faculty in the College of Arts and Sciences should make sure students, department chair and departmental administrative assistant(s) are informed about any occasional changes in course meeting time or place; Faculty in the Conservatory of Music should inform students, the Associate Dean's office, and the Division Director. Classes missed because of Faculty absence or illness should be made up at times as convenient as possible to students. It is a courtesy to visiting prospective students and parents to put a notice of cancellation on the classroom door if possible.

1. Course Material: The selection of materials for a course is made by the individual teacher in consultation with his or her department chair/division director. Course materials for fall semester courses are normally ordered through the Oberlin Bookstore in late spring; materials for spring semester courses are normally ordered in November. The number of students enrolled is available at <http://www.oberlin.edu/registrar/restricted/>. Login directions are available from Office of the Registrar. Course packets can be ordered through the bookstore if enough lead time is available to secure permissions. Course packets may not be produced on department photocopiers because of logistics and copyright issues. Faculty are encouraged to make use of library reserve services, electronic reserve facilities, and Blackboard to make articles and other non-textbook material available for students, within the limits of copyright law.

2. Course Syllabus: In the first week of the semester teachers are expected to distribute to each student in their classes a course syllabus that gives the general objectives of that course, the major assignments for the semester, the instructor's expectations about grading, attendance, submission of late work, and class participation, the approximate dates of examinations during the semester, the dates on which major assignments are due, and the date and time of the final exam or due date for the final project (final exam times are listed on the Registrar's home page - <http://new.oberlin.edu/office/registrar/index.dot>). It is crucial that the syllabus articulate how students' grades will be determined as well as any other expectations that might affect grades. In the College of Arts and Sciences, Faculty legislation requires that course syllabi should distinguish clearly between required and supplemental work. If students are expected only to skim or browse a given text, that should be explicitly stated. No instructor should require more reading or any other kind of work than adequately prepared students in the course can be expected to complete while taking a full-time Oberlin course load.

The course syllabus should also include a description of how the Honor Code (see <http://new.oberlin.edu/arts-and-sciences/academics/>) applies to assignments in the course, and an invitation for students with documented disabilities to contact the instructor to make reasonable accommodations (for more information see <http://new.oberlin.edu/office/disability-services/>).

3. Attendance: Students are expected to make full use of their educational opportunities by regular class attendance and to assume the academic risk of absences. An instructor, however, may set such standards of attendance as he or she feels are necessary for the satisfactory conduct of a given course. It is the responsibility of students to meet those standards, and of the instructor to determine whether absences may be excused. Classes, rehearsals, and performances are generally not held on Yom Kippur and the previous evening.

The General Faculty has approved the following regulations:

- i) Students wishing to observe recognized religious holidays are excused automatically from classes that occur on these dates.
- ii) Faculty are to make it possible for students observing recognized holidays to make up any work they miss, provided arrangements have been made in advance.
- iii) As much as possible, Faculty members are to allow students who are involved in sanctioned athletic events of the College to make up missed work. The student-athlete is responsible for giving prior notice to the Faculty member about any anticipated absences.

4. Audits: With permission of the instructor, students may audit courses. If the audit is to be recorded, the student must present to the instructor for signature a special audit registration card that must be filed at the Registrar's Office. Faculty members have the right to refuse audits in any course. When permission is granted, there should be a clear understanding between the student and the instructor as to what is expected of an auditor. Students are charged a service fee for each recorded audit each semester. Instructors are asked to verify recorded audits when submitting final grades.

5. Midterm and Final Grades: Faculty members are required to submit electronically midterm grades on all students enrolled in their courses, private readings, applied lessons, and ensembles. Teachers are urged to take this into account in planning their schedule of graded assignments, since it is desirable that some formal check on a student's progress be made before that time. Midterm grades, entered directly by the Faculty member, indicate that a student is doing work that is satisfactory (S), borderline (R), or unsatisfactory (U), or not in attendance (student has never joined the course in person or has informally withdrawn) (N). Midterm grades are normally due two days after the end of the midterm break.

Final grades are due as announced by the Registrar. In January, all grades MUST be electronically submitted at the designated time, normally no later than 11:30 pm on the first working day in January. In May, all graduating senior grades MUST be electronically submitted no later than noon the Thursday prior to Commencement. All other grades MUST be electronically submitted no later than 11:30 pm on the Wednesday following Commencement. All final grades must be entered directly by the Faculty member on time.

Winter Term Grade Reports: Students must submit Winter Term reports to their sponsors no later than ten days after the end of Winter Term. Sponsors must submit electronically Winter Term grades no later than ten days after student reports are due to sponsors. Conservatory Faculty who supervise student teachers of secondary applied study are required to approve and submit all grades assigned by student teachers within their studio. The grading system is detailed on the Registrar's website at <http://www.oberlin.edu/regist/gradingfall2004later.htm>.

Instructors are responsible for keeping detailed records of how final grades are determined for at least five years following the end of each course.

6. Graded Assignments During the Semester: The number, type, and demands of graded assignments given during the semester is entirely up to the individual teacher, but no assignment should hamper students' ability to stay current with work in other courses. Thus, instructors should limit the duration of take-home exams and provide students sufficient time between the distribution of an assignment and its due date to complete the assignment. Faculty should bear in mind that College of Arts & Science students typically are enrolled in 4 full academic courses and Conservatory students in 24 credits per semester with comparable assignments in other courses. For in-class exams scheduled during regular class meetings, only students who are absent from class for legitimate reasons may take a make-up exam. The instructor determines whether the absence may be excused.

Note that the Honor Code applies to all academic work and that students are expected to certify their adherence to the Honor Code upon the completion of each curricular exercise by writing and signing the Honor Pledge.

7. Reading Period: There will be a four-day Reading Period between the last day of classes and the beginning of the Evaluation Period each semester to be used by students to prepare final projects or for exams. With the exception of certain musical performance examinations, auditions, and other Conservatory assessments, classes will not be held nor will final projects or exams be due during the Reading Period. Optional review sessions or individual lessons or conferences may be arranged during Reading Period.

With the exception of final exams or final projects (see Final Exams and Final Projects below for the definition of a final project), regular assignments for a given course must be due no later than the last day of classes, and, if late, such work may be accepted no later than the last day of Reading Period. That is, Faculty are permitted to grant extensions to individual students for the submission of late work until the end of Reading Period. Faculty are expected to structure syllabi and assignments so that students can reasonably finish the work assigned before Reading Period. No credit may be given for work submitted after these deadlines unless an Incomplete grade has been duly authorized (please see section 9 below).

Faculty must not give informal extensions nor make arrangements with students that contradict the policies about due dates and submission of work. All extensions beyond Reading Period must be formal Incompletes. See below for more information on Incompletes.

8. End of Semester Work: There is a multiple-day period, designated in advance by the

Registrar and posted on the Academic Calendar as the Final Exam Period, when final exams are given or when the final projects for courses are due. No classes are held during this period, though optional review sessions or individual conferences may be arranged during the Final Exam Period. The Registrar determines the day and time at which "in-class" final exams are scheduled or when final projects are due and posts this on the Registrar's website as the Final Exam Schedule. Faculty may not give final exams or make final projects due in advance of the time designated by the Registrar, nor at any different time within the Final Exam Period without permission from the Registrar. It is the expectation that the final work submitted in any course will be due at a time that coincides with the end of the exam time scheduled for that course by the Registrar. Thus, a significant assignment, such as an in-class or take-home exam, the last of several papers written for a course, or a presentation, may be due in the last two weeks of a course *only if* a final exam or final project is assigned in the course.

a. Final Exams: A final exam may be administered either at the time and place scheduled for that course by the Registrar or as a take-home exam. The time period for an "in-class" final exam is limited to two hours. Take-home final exams should not be distributed before the last day of classes, and should be due at the time that coincides with the end of the exam time scheduled for that course by the Registrar. If students are expected to complete the take-home final exam in a single sitting, the time period for the exam should not exceed four hours. If a take-home final exam will take longer than four hours, students should be allowed to spread out their work on the exam over the Reading Period and the Final Exam Period up to the end of the exam time scheduled for that course by the Registrar. In any case, faculty should ensure that take-home final examinations do not interfere with students' other end-of-semester work.

b. Final Projects: In lieu of a final exam, instructors have the option of designating an academic exercise (a paper, performance, or other work) assigned or distributed before the end of classes as the course's final project. As the final work submitted in a course, final projects are due at the time that coincides with the end of the exam time scheduled for that course by the Registrar. (The only exceptions to this are certain musical performance examinations, auditions, and other Conservatory assessments.)

Faculty members should give students reasonable notice of the requirements of the final project and should have appropriate expectations of the time and effort required of students to complete the final project, recognizing that a student will have several other final projects and exams.

The time of a final exam or the due date of a final project for an *individual student* cannot be changed from the time scheduled for that course by the Registrar— not even at the time allocated to other sections of the same course — without special permission from the Associate Dean for Student Support/Academic Advising Resources Center (for courses in the College of Arts and Sciences) or the Conservatory Associate Dean for Student Academic Affairs (for courses in the Conservatory of Music). Acceptable reasons for a student to request a final exam time change include having two exams scheduled at the same time or having three exams scheduled or three final projects due in a 24-hour period. Travel schedules are NOT a legitimate reason to change exam times. Students who must be absent from "in-class" final exams for legitimate reasons may make up these final exams upon presentation of signed form of permission from the Associate Dean for Student Support/Academic Advising Resources Center or the Conservatory Associate Dean.

Applied Music Committee Examinations (Conservatory of Music) for freshmen and sophomores are typically held at the end of the second semester.

9. **Incomplete Grades:** Students must have an authorized Incomplete(s) to submit semester work (other than a final project) after the end of Reading Period or to defer the taking of a final examination or submission of a final project beyond the designated examination time for the course. For courses in the College of Arts and Sciences, there are two kinds of Incompletes— Emergency and Educational. For courses in the Conservatory of Music, only Emergency Incompletes are available.

a. **Emergency Incompletes:** These Incompletes are authorized for reasons that arise from circumstances beyond the student's control, usually for medical, psychological, or life-crisis reasons. Normally, Emergency Incompletes are authorized for end-of-semester work, not for work missed earlier in the semester. The due date for finishing work is set according to how much time was lost during the semester, but it may not be later than the deadline published on the Academic Calendar. (Normally that deadline is no later than three weeks after the last day of classes.) Applications for Emergency Incompletes must be submitted to the appropriate Dean's office no later than the beginning of the final exam time for the course as scheduled by the Registrar. For courses in the College of Arts and Sciences, Emergency Incompletes must be authorized by the Associate Dean of Student Support/Academic Advising Resources Center. Emergency Incompletes in Conservatory courses must be authorized by the Conservatory Associate Dean for Student Academic Affairs.

b. **Educational Incompletes:** During his or her time at Oberlin, a student may have up to two Educational Incompletes (only in Arts and Sciences courses) authorized by the course instructor for educational reasons, such as a desire on the part of the student to spend additional time on a particular course. A student eligible for an Educational Incomplete must begin the process by going to the office of the Associate Dean for Student Support/Academic Advising Resources Center and requesting a form. The student should then bring the form to the instructor to request the Educational Incomplete. The due date for finishing work is determined by the instructor, but it may not be later than the deadline published on the Academic Calendar. (Normally that deadline is no later than three weeks after the last day of classes.)

An instructor may deny a request for an Educational Incomplete. Approved requests for Educational Incompletes must be submitted to the Associate Dean for Student Support/Academic Advising Resources Center no later than the beginning of the final exam time for the course as scheduled by the Academic Advising Resources Center/Office of the Registrar.

As with other late work, if an Incomplete is approved, it is the individual Faculty member's option to lower a grade in accordance with the course policies outlined in the course syllabus.

The due date for submitting Incomplete work (whether an Emergency or an Educational Incomplete) may be extended ONLY for emergency reasons by the appropriate Dean (see above). If the coursework is not completed within the specified time, a grade will be recorded based on the extent to which the course requirements have been met. For students with authorized Incompletes, Faculty are required to submit a default grade at the time of submitting

final grades for the course. The default grade is the grade—based on submitted assignments, tests and exams—the student would receive if no other work were submitted by the deadline for Incomplete work. Normally, grades based on submission of Incomplete work are due from Faculty one week after the deadline for finishing the Incomplete. Timely submission of these grades is essential as they impact decisions about academic standing.

10. Use of Graders (College of Arts and Sciences): Faculty members are responsible for the grades in their courses within the bounds set by policies established by the College Faculty, and, therefore, are in most cases expected to do their own grading. As a minimum, they must read and evaluate the work that accounts for the major part of each student's grade. In any case where a Faculty member is assisted by a grader, he or she still bears the undivided responsibility for every grade given in the course.

In very large classes or courses with much routine written work, Faculty members may use qualified persons to assist with grading. Qualified undergraduate students may, with the approval of the appropriate Dean and with adequate supervision and checking by the instructor, assist in grading of short quizzes, assignments, objective tests, and other materials that do not account for the major work on which the semester grade is based.

Undergraduate student graders must not be used to grade major essay questions on hour and final examinations, major term papers, and other graded work requiring substantial judgment and professional competence.

In no case may a student in a course do any grading in that course. Graduate students and others who have done graduate study and are clearly competent in the field may assist more fully than undergraduates in grading. An instructor should not use a member of his or her own family as a paid grader.

11. Course Evaluations

In the College of Arts and Sciences, instructors are required to distribute Student Evaluation of Teaching forms in class near the end of each semester. These forms should be designed to produce quantitative and qualitative data measuring teaching effectiveness in each of six areas: 1) course organization and clarity, 2) instructor enthusiasm, 3) teacher-student interaction, rapport, and approachability, 4) workload and difficulty of the course, 5) exams, papers, grading fairness, and feedback, and 6) self-rated learning. The instructor's department and the College Faculty Council must approve the forms.

The instructor should leave the room during the time allotted for filling out the evaluations; a responsible person other than the instructor should be designated in advance to collect evaluations and take them to the department office. The instructor should not review evaluations until all grades for the course have been submitted. Guidelines for storage, maintenance, and summarizing of student teaching evaluations have been established by vote of the College Faculty.

All evaluations for Conservatory courses are completed online. Untenured faculty members must conduct evaluations in each of their course offerings every semester; tenured faculty members must conduct evaluations in each course at least once a year. Tenured faculty members who wish not to conduct evaluations in a specific course should contact the Conservatory's Associate Dean for Academic Affairs no later than the start of the midterm break of the concerned semester.

Evaluations will be sent to students electronically. Students may complete the evaluations online at any time before the stated end of the evaluation period. So as to help increase student response rates, faculty are encouraged to remind students in class to complete the evaluations. Faculty may even wish to set aside class time for students to complete the evaluations on their personal laptops or mobile devices. (To this end, the Conservatory and College can provide additional laptops, iPads, and the like for students to complete evaluations in class; interested faculty members should contact the Conservatory's Associate Dean for Academic Affairs.)

Upon submission of final grades, faculty members will receive anonymized copies of the evaluation forms.

B. Meeting of Classes

The scheduling of classes is administered by the offices of the two Division Deans, in consultation with the Registrar. The office of the appropriate Division Dean must approve of any change in the regular schedule of a course. Changes in class location must be arranged through the Registrar.

Classes in the College of Arts and Sciences and the Conservatory of Music are scheduled according to two standard cycles between 8:00 am and noon or 1:30 and 4:30 pm on Monday-Wednesday-Friday, between 8:00 am and 12:15 pm or 1:00 and 4:30 pm on Tuesday-Thursday, and on Monday-Tuesday-Wednesday-Thursday evenings. The Conservatory of Music also allows for classes to meet on Wednesday and Friday from 11:00 until 12:15.

Additional Regulations and Notes:

1. Courses must use only one time slot in either the Monday-Wednesday-Friday cycle or the Tuesday-Thursday-(Saturday) cycle, unless they are scheduled to meet more than 150 minutes per week.
2. Classes on the Tuesday-Thursday-Saturday cycle that are scheduled around the traditional noon lunch hour may run late or begin early. Such flexible scheduling around the traditional noon lunch hour is not allowed for classes on the Monday-Wednesday-Friday schedule; that is, they cannot end after 12:00 or begin before 1:30 in order to preserve community time.

3. No course on any cycle may start after the beginning of a time period unless it ends when that period normally ends; similarly, no course may end before a period ends unless it starts when the period normally starts.
4. Classes of 75 minutes or longer may be scheduled beginning at 4:30 and ending by 6:30 only if classes scheduled in these slots have alternative sections in other time slots and if the sections in other time slots give priority to the enrollment of athletes and musicians with scheduling conflicts in the 4:30 to 6:30 time period.
5. In addition to scheduling one traditional afternoon session, from 1:30 to 4:30, science laboratories and art studios may choose to schedule two afternoon sections; the earlier at 12 noon to 3:00 pm, and the later at 3:30 to 6:30 pm, as long as classes using the later scheduling option have alternative sections in other time slots, and as long as the sections in other time periods give priority to the enrollment of athletes and musicians with schedule conflicts in the 4:30 to 6:30 time period.
6. Chairs are urged to make every effort to schedule classes across the available days and times.
7. Evening classes may be scheduled at 7:00 p.m. or after. Individual classes may occupy one or more evenings.
8. The period from noon until 1:20 on Monday, Wednesday, and Friday is reserved as “community time”. No classes are to be held during this time (with the exception of Conservatory classes that meet until 12:15 on Wednesday and Friday).

C. Private Reading Courses

Students who wish to work individually and in-depth on a topic not covered in the regular curriculum may register for a private reading. This one-to-one tutorial is normally at an advanced level in a specific field and is arranged with a member of the Faculty who has agreed to supervise the student, and who possesses expertise in the area in which private reading is to be undertaken.

1. College of Arts and Sciences

Opportunities for different types of one-on-one or small group work with individual faculty have different titles in different departments: Practicum, Tutorial, Supervised Research, Individual Project, Special Project, and Capstone Project. Departments should post catalog descriptions for such one-on-one or small group opportunities for students. All departments and programs offer Private Readings, which are one-to-one tutorials normally conducted at an advanced level. A student may, in keeping with conditions outlined below, arrange a Private Reading with a member of the Faculty who has agreed to supervise the student and who possesses expertise in the area in which private reading is to be undertaken. For Faculty, Private Readings and many other one-on-

one interactions with students are undertaken *in addition* to their regular teaching assignments, so department and program chairs should monitor the total number of one-on-one activities offered by members of their department or program.

- (a) Private Readings provide students an opportunity to work one-on-one with a member of the faculty who has agreed to supervise the student. Each department establishes its own guidelines concerning Private Readings. Department or Program chairs give final approval for all Private Readings.
- (b) Except under special departmental arrangements, a faculty member may not supervise private reading courses for more than five students in a given semester.
- (c) Private readings must have a clear academic or artistic focus; under no circumstances should a Private Reading consist only of practical activities like tutoring or entail acting as a research assistant for a faculty member.
- (d) The subject matter of the private reading course should not duplicate that of a regular course.
- (e) Private reading courses may not be used to fulfill the Curriculum Exploration, Writing, Quantitative and Formal Reasoning, or Cultural Diversity requirements.
- (f) A student is limited to one Private Reading per semester for either a half course/2 credits or a full course/4 credits. Exceptions must be approved by the Academic Advising Resources Center.
- (g) Applied music lessons may not count as private reading courses.

A student wishing to elect a private reading course must:

- (i) Secure a registration card from the Office of the Registrar;
- (ii) Discuss the course with the Faculty member who will supervise the work and secure his/her approval;
- (iii) Secure the signature of his/her advisor; and
- (iv) Receive final approval from the departmental chair.

2. Conservatory of Music

Opportunities for different types of one-on-one or small group work with individual faculty have different titles in different departments: Practicum, Tutorial, Supervised Research, Individual Project, Special Project, and Capstone Project. Departments should post catalog descriptions for such one-on-one or small group opportunities for students. All departments and programs offer Private Readings, which are one- to-one tutorials normally conducted at an advanced level. A

student may, in keeping with conditions outlined below, arrange a Private Reading with a member of the Faculty who has agreed to supervise the student and who possesses expertise in the area in which the private reading is to be undertaken. For Faculty, Private Readings and many other one-on-one interactions with students are undertaken in addition to their regular teaching assignments, so department and program chairs should monitor the total number of one-on-one activities offered by members of their department or program.

Conservatory of Music approval for a private reading course depends upon the following conditions:

- (a) The student shall have completed the basic courses pertinent to the subject matter of the private reading. As a rule, only juniors and seniors are eligible to undertake private reading courses;
- (b) The subject matter of the private reading course may not duplicate the work of a regular course;
- (c) The student is limited to one private reading course per semester; exceptions must be approved by the Conservatory Office of the Dean.
- (d) Applied music lessons, ensemble playing, work in elementary and intermediate aural skills, or other forms of musical performance may not count as a private reading course;
- (e) Normally, the Faculty supervisor for a private reading course should be a Faculty member other than a student's own major applied teacher; and
- (f) Approval for a private reading course must be given by the student's advisor, the Faculty member supervising the project and the Conservatory Dean's Office.

D. Winter Term

The purposes and goals of Winter Term at Oberlin College are:

1. to provide opportunities for intensive and/or unusual educational activities that might be difficult for students or Faculty to fit into their fall and spring schedules;
2. to encourage students to conceptualize and pursue self-directed educational projects, in consultation with the Faculty;
3. to provide Faculty with increased opportunities for educational experimentation, collaborative work with students, interdisciplinary projects, scholarly and artistic activity and development, and the exploration of areas of expertise not reflected in their usual course offerings;
4. to encourage students to test and apply knowledge in off-campus settings through internships, community service, applied research, or career-related experiences;
5. to promote educationally valuable interactions among students, Faculty, members of the administrative and professional staff, and alumni;

6. to provide educational flexibility in general.

Winter Term dates. Winter Term is a four-week period (at least 26 calendar days) beginning in early January.

Sponsors. All Winter Term student projects must be sponsored in order to be counted toward graduation requirements or be included on the transcript. Ordinarily, sponsors are teaching members of the Faculty, but members of the Oberlin College Administrative and Professional Staff can arrange to sponsor specific Winter Term projects by obtaining permission from their supervisors.

Directors. Directors of projects need not be members of the Oberlin Faculty or administration. Students, alumni, and persons not associated in any way with Oberlin College can serve as directors of Winter Term projects. Projects with directors still require sponsors.

Faculty participation in Winter Term. All academic advisors are expected to offer guidance for planning Winter Term projects to all of their advisees, and to assist especially those in their first year.

Normally, Faculty members are expected to serve as Winter Term sponsors during two of each three years of service. All Faculty members in the College of Arts and Sciences and in the Conservatory of Music who are available as sponsors of Winter Term projects shall list general or specific areas within which they would be willing to sponsor projects. Such lists would not exclude other types of projects. Faculty members directing off-campus group projects are not expected to be in Oberlin during Winter Term and ordinarily should not serve as sponsors for on-campus Winter Term projects.

For Faculty members on one-semester leaves, Winter Term will be considered part of the semester of leave. Generally, Faculty leaves will be considered as part of the three-year cycle of Winter Term service (i.e., a Winter Term that is part of a leave will represent the third year of the three-year cycle).

Normally, Faculty members in both divisions will have Winter Term released time in their first year of teaching. A Faculty member may request released time for a specific Winter Term. Such a request must be approved by the appropriate division Dean; all requests will be considered in the context of the Faculty member's department or program Winter Term offerings.

Faculty workload. Full-time members of the Faculty not on leave or released time normally should expect to devote the equivalent of half-time (of their regular semester teaching responsibilities) to Winter Term sponsorship or teaching.

Course Catalog. Department/programs of the College of Arts and Sciences and Divisions/Program of the Conservatory of Music shall list general or specific areas within which they would be willing to sponsor projects. Such lists would not exclude other types of projects.

Winter Term information. Faculty members are urged to read the Winter Term Handbook (www.oberlin.edu/winterterm), the Course Catalog description of Winter Term, and the list of group projects posted each fall on the Winter Term website.

E. Academic Honor System

The Honor System, under which students assume a large responsibility for maintaining academic honesty, applies to all work submitted for credit, such as examinations, quizzes, papers, laboratory assignments, and any other assigned work which the instructor designates as coming under the Honor System.

Faculty cooperation is essential to the success of the Honor System. The following is an introduction to the Honor System, but Faculty should familiarize themselves with the full provisions of the Honor System as set forth in the Student Regulations, Policies, and Procedures, available at the website of the Dean of Students.

Faculty members are expected to leave the examination room after giving out the examination and remaining long enough to answer questions. Students should be required by the instructor to write and sign the Honor Pledge at the end of all examinations and tests. Faculty members should cooperate in eliminating conditions conducive to cheating, such as overcrowding in an examination room. Faculty members are expected to make absolutely clear on their syllabi and upon announcing each new type of individual assignment how the Honor System is to operate in their courses--e.g., the extent to which students may consult and discuss with others for homework assignments, laboratory work, and out-of-class examinations and papers. On take-home examinations, the rules should be written on the outside of the test papers so that they may be read before the questions are opened. As practice of different instructors varies, failure to explain explicitly how the Honor System applies to each assignment may result in serious misunderstandings.

Plagiarism is covered by the Honor System. If there is room for doubt, the instructor should make clear in advance his or her required methods of documenting papers.

The Honor System is administered by a student Honor Committee and the General Faculty Committee on the Honor System, under terms of the Honor System Charter.

In case a Faculty member has evidence of an instance of dishonesty on the part of a student, he or she is expected to report this immediately to any member of the student Honor Committee; the instructor may first talk to the accused student and give him or her a chance to report his or her own case. The student Honor Committee will investigate the case in confidence and reach a decision. If a violation of the Honor System is found to have occurred, the decision and proposed penalty is reviewed by the Faculty Honor System Committee and taken to a Division Dean as a recommendation for action

If an honor violation is reported to the student committee by someone other than the course instructor (e.g., a classmate), the instructor is obliged to cooperate with the student committee's

investigation regardless of his or her own personal opinion of the accused's guilt or innocence, since under the terms of the Honor Charter the student Honor Committee is required to investigate all complaints made to it. In order to protect the accused student, Faculty members are expected not to discuss cases with persons other than those directly involved. Faculty members should direct any questions to the chair of the Faculty Honor System Committee.

F. Grading Practices

Note that a new grading system was put into place effective for students matriculating Fall 2004. Under the new system letter grades are A+ to C-, D, and F and there is a Pass/No Pass option. Students who matriculated prior to Fall 2004 are graded using the old system, with letter grades of A+ to C- and NE, and a Credit/No Entry option.

For detailed information on incomplete grades, Faculty members should refer to the Course Catalog and to the web sites of the Academic Advising Resources Center (www.oberlin.edu/aarc) and the Associate Deans of the Conservatory (www.oberlin.edu/condean).

1. Final Grades

Every instructor must report a final grade for each student enrolled in each of his or her courses by means of electronic submission to the Registrar's Office. In January, all grades MUST be electronically submitted at the designated time, normally no later than 11:30 pm on the first working day of January. In May, all graduating senior grades MUST be electronically submitted no later than noon the Thursday prior to Commencement. All other grades MUST be electronically submitted no later than 11:30 pm on the Wednesday following Commencement.

For incomplete grades, the Registrar's Office will send each instructor an electronic grade sheet via email. The instructor should record each student's final grade, and return the grade sheet, via email to the Registrar's Office no later than the date indicated on the form.

Conservatory faculty who supervise student teachers of secondary applied study are required to approve and submit all grades assigned by student teachers within their studio.

Instructors are responsible for keeping detailed records of how final grades are determined for at least five years following the end of the course.

2. Changing a Final Grade

A final grade that has been recorded cannot be changed without the approval of the Associate Dean for Academic Advising, who may if necessary consult Dean of the College of Arts and Sciences, for courses taught by Faculty in the Arts and Sciences and the Conservatory Associate Dean for courses taught by Faculty in the Conservatory. An instructor who wishes to

recommend that a recorded grade be changed should submit a "change of grade" form (obtainable from the Academic Advising Resources Center/Registrar), containing a statement of reasons and the change recommended, to the appropriate Division Dean. The Registrar will make the change recommended or will inform the instructor that the change will not be made.

3. Grade appeals

The instructor of a course has responsibility for assigning grades.

- a. If a student believes that a grade has been assigned in error, the student should first discuss the matter with the instructor.
- b. If this fails to resolve the issue, the student may present the grievance to the director of the division, or the chair of the department or program, and request his or her assistance in resolving the issue.
- c. If the director of the division or the chair of the department or program is unable to resolve the matter, the student may present a complaint to the Associate Dean of the Conservatory or to the Dean of the College of Arts and Sciences, as appropriate to the faculty appointment of the instructor. The Dean will invite opinions of all parties involved, will ascertain matters of fact, and will make a determination about the disposition of the matter. Final judgment rests with that Dean.

G. College Student Records Policy

The General Faculty has approved the following actions governing College student record policy

1. That, in recognition of the necessity for all members in the College community to have complete freedom in all areas of belief and attitude, the College neither solicit nor maintain any records pertaining to any type of belief or attitude; and

That, although it is difficult to draw a line between belief or attitude and behaviors resulting from them, the areas of religion and politics be considered especially privileged areas, and that records of affiliation and activity in these areas not be solicited or maintained so long as existing civil and/or College regulations are not violated, unless such information is freely volunteered by the student over his or her signature, or unless such information appears in the public record.

2. That, individual Faculty members or College officers having any knowledge of a student's affiliations or activities in the areas of religion or politics, or of his or her having received psychological or psychiatric counseling, be reminded of the possible misinterpretations or misuse of such information, and that each be urged to use the greatest precaution in releasing it.

In addition, federal law protects the privacy of certain student education records. It is the policy of the College to comply with applicable laws regarding student education records. Except as otherwise provided by law, the College must obtain student consent before releasing or

disclosing certain student information. Faculty Members with questions regarding these requirements should contact the Dean.

H. Students with Disabilities

The Americans with Disabilities Act of 1990, as amended, along with the Rehabilitation Act of 1973, generally prohibit discrimination on the basis of disability, and protect qualified individuals with disabilities from discrimination, in employment and education. These laws also require, in part, that covered entities provide qualified individuals with disabilities with reasonable accommodations that do not impose undue hardship.

It is the policy of the College to support those qualified individuals who have disabilities in the administration of educational policies, employment policies, scholarship and loan programs, and athletic and other College-administered programs. Furthermore, it is the policy of the College to enable those qualified individuals with disabilities to participate as independently as possible in Oberlin College activities so that campus life will be enhanced and the College community as a whole will be enriched.

Oberlin College resolves to make reasonable efforts to see that the opportunities it offers are accessible to all qualified individuals. Appropriate academic adjustments and modifications of policies and procedures will be considered for students with disabilities. In particular, the following practices should be applied:

1. **Admission to Classes.** Institutions may not, on the basis of disability, exclude a qualified disabled student from any course or area of concentration. This provision requires that some classes may have to be relocated, and some laboratory equipment may have to be modified to accommodate the needs of a qualified student with a disability, and that auxiliary aids must be permitted in the classroom when they are necessary to ensure the full participation of a handicapped student.
2. **Academic Requirements.** Instructors are obligated to make changes in course requirements if necessary to ensure that such requirements do not discriminate against a qualified student with a disability. Similarly, the faculty must alter or waive any requirement for a major or a College degree that has the effect of discriminating against a qualified student with a disability. Examples of such modifications may include changes in the length of time permitted for completion of requirements, or providing an alternative for particular laboratory assignments or field trips. If a requirement is essential to a course, major, or degree, and a student with a disability cannot fulfill it, then the person is not "qualified" within the definition of this term.
3. **Other Adjustments.** Prohibitive rules that would have the effect of limiting the participation of a qualified student with a disability in campus activities should be waived for that student. Such prohibitive rules include a ban on having a service animal in classrooms or dormitories, or on using a tape recorder in a classroom or during guest lectures. If an instructor is concerned about possible misuse of recordings of lecture material that will be published or otherwise protected by

copyright, the instructor may ask a student to sign a form available in the Associate Dean of Students Office, on which the student agrees that any recordings will be used only for his or her own personal study. A copy of each signed agreement is kept on file in the appropriate Division Dean's office.

4. Examinations. If necessary, course instructors are obligated to provide alternate testing procedures for a student with a disability so that the results of the evaluation represent the student's achievement in the course rather than the student's impaired sensory, manual, or speaking skills (except where such skills are the specific factors being measured).

5. Counseling. When advising a student with a disability, it is inappropriate to counsel such a student toward a more restrictive career than would be suggested for a non-disabled student, unless such counsel is based on strict licensing or certification requirements in a profession.

6. Student Appeal. The College provides, as required, an internal procedure through which a student may appeal an adverse decision on a request for some academic adjustment. In more than one case in other schools, however, a complaint of discrimination on the basis of discrimination has been taken directly to a Court of Law and given a hearing there, bypassing institutional grievance procedures.

Further information about the applicable laws, and about auxiliary learning aids that are available for students with disabilities, may be obtained from the Office of Student Academic Services.

IV. FACULTY SUPPORT PROGRAMS

A. Travel to and from Professional Meetings

Oberlin College encourages its Faculty members to attend professional meetings related to their subject matter fields. The Faculty members are notified early in the academic year of the reimbursement rates for that year. Details are available at the websites of the Division Deans.

Reimbursement is available for up to two meetings a year (July 1-June 30). However, requests for support for a second meeting must be sent in advance to the office of the Division Dean and should be accompanied by a brief endorsement from the Faculty member's department chair or program director.

Claim for payment should be made after attendance at a meeting. In unusual cases, an advance may be obtained before the meeting. Faculty members on sabbatical leave are eligible for reimbursement. Faculty members on leave without pay are not eligible.

B. Grants and Research Contracts

All grant and research contract activity is administered through the Office of Sponsored Programs, including both grants from Oberlin College and grants from external sources that require the College to act as fiscal agent. The Sponsored Programs Office maintains up-to-date information on both kinds of grant and contract opportunities.

1. Grants From Oberlin College

The College administers a number of awards every year to support research and development, including re-grants from federal, foundation and corporate sources. A complete list is furnished each year by the Office of Sponsored Programs, together with application materials and deadlines. Awards regularly offered include:

a. Research Status

Full-time and part-time members of the teaching Faculty may be placed on Research Status for a period of up to one year. A Research Status appointment is not a leave of absence. It assumes that the recipient will devote his or her full attention to scholarly work. It is subject to the following terms:

(i) All Faculty members who have served at least two years at Oberlin are eligible. However, Research Status will normally be awarded so that an interval of at least five years separates Research Status appointments. Also, Faculty members are only eligible for Research Status

appointment when they have completed six semesters of teaching since their most recent sabbatical or other college-funded research leave.

(ii) The primary criterion to be used in making Research Status appointments is the quality of the proposed scholarly or artistic work. If a choice must be made among persons proposing research programs of substantially equal merit, preference will be given to those whose projects will contribute directly to the teaching effectiveness of Oberlin College and to those who hold permanent appointments at Oberlin.

(iii) Competitions for Research Status awards are announced by the Office of Sponsored Programs, and applications are due in that office by early June, approximately thirteen months prior to the beginning of the proposed award.

(iv) Proposals are evaluated by the Research and Development Committee and the Division Deans and Faculty councils. The President, acting on the basis of those evaluations, makes final decisions concerning Research Status awards. The appointments are subject to approval by the Board of Trustees,

(v) A condition of Research Status being awarded is that the Faculty member apply for funds from outside sources for the same project and for the same period. Exceptions to this requirement may be made by the Research and Development Committee if it is determined that there are no appropriate sources of outside support.

(vi) Faculty on Research Status are entitled to receive a supplement to whatever award is received from an outside granting agency. The exact amount of the award will be at the discretion of the Research and Development Committee, with the advice of the appropriate Division Dean. The aggregated award will be at least equal to a Faculty member's full salary and benefits.

(vii) Research Status appointees will also be reimbursed for expenses related to work done during the Research Status appointment, up to a maximum to be set by the President. Provisions for reimbursement are outlined in a special memorandum from the Director of the Office of Sponsored Programs that is given to all recipients. Questions about the expense reimbursement should be directed to the Director of the Office of Sponsored Programs.

(viii) Oberlin College Research Status appointments are announced in the first semester so that recipients of the awards and their departments may make early plans.

(ix) Replacement for Research Status appointments is not guaranteed. Requests for replacements of Research Status appointments will normally follow procedures used for ranking requests for teaching replacements of regular sabbatical leave awards.

(x) Persons placed on Research Status will become eligible for regular sabbatical leave consideration only after six years of service following the close of the Research Status appointment. This provision is made to protect the continuity of the teaching work of the College. However, persons placed on Research Status in lieu of a Mid-Probationary Leave are

exempted from this provision and thus will be eligible for sabbatical leave as regularly scheduled.

(xi) The granting of a Research Status appointment by the Board of Trustees presupposes the intention of the applicant to return at the close of the appointment and to continue in the service of Oberlin College for a reasonable time thereafter. A "reasonable time" is usually interpreted to mean at least one year.

b. H.H. Powers Travel Awards

A gift to Oberlin College from the Trustees of the Bureau of University Travel makes it possible to award several Faculty members travel grants each year. Such awards may be used either during a summer or an academic year, or a combination of summer and academic year. Awards are available each year under the following stipulations:

- (i) The awards are to be made for projects that require travel outside the United States, Canada and Mexico. The travel itself should be an integral part of the project.
- (ii) These awards may not be used to pay for travel to a single foreign destination at which a project is to be carried out. They are to be used for travel from place to place in pursuit of a project that requires travel to two or more locations outside North America. The locations at which the project is to be carried out may or may not be in the same country.
- (iii) The awards are normally limited to \$5,000 for each project. Funds may be requested for travel from and to the United States, and between the locations named in the project description. A limited per diem allowance may also be granted.
- (iv) A person on sabbatical leave may make application for an award to be used during the leave period. Powers grants may not be used, however, for travel to a foreign location where a Faculty member will reside for the main part of the sabbatical leave.

Applications for H. H. Powers Travel Awards should be submitted to the Office of Sponsored Programs, which will announce competition for the awards at the beginning of the Fall semester. The application takes the form of a brief a description of the proposed project, background of the applicant relevant to carrying out the project, travel plans, and estimated expenses. Applications are evaluated by the Research and Development Committee.

c. Grants-in-Aid

Grants-in-aid are awarded by the Research and Development Committee in support of original research and creative work by members of the teaching Faculty and art curators, as well as certain other activities related to their professional development. The normal limit for each award is \$5,000.

Announcements concerning the program are sent from the Office of Sponsored Programs twice a year to the Faculty detailing their specific provisions. The Research and Development Committee receives applications during the fall to support projects undertaken or on-going during the academic year, and announces its decisions early in November. It also receives applications during the spring term to support projects undertaken during the following summer or the next academic year, and announces its decisions early in April. The Committee provides

application forms.

d. Teaching Grants

The purpose of teaching grants is to assist members of the Faculty to improve teaching at Oberlin. To this end, the grants may be applied to projects that fall within two broad categories:

(i) Projects that relate directly to specific courses offered by a Faculty member. Suitable projects will be designed to accomplish one or more of the following goals:

(a) improve the applicant's teaching skills;

(b) afford applicants new areas of expertise, where such areas are directly relevant to the applicant's present teaching duties at Oberlin and;

(c) improve the effectiveness of an already existing course, where what is to be taught is not to be substantially changed, but how it is to be taught will be significantly improved. These grants are not intended for projects whose primary aim is the development of new courses.

(ii) Projects focused on pedagogical issues beyond the purview of any single course offering. Of particular interest are proposals focused at increasing contact and communication among Faculty in different divisions or departments and programs. Projects might take the form of (but are not restricted to) requests for funds to cover travel costs for outside speakers or consultants expert on issues of pedagogical concern to the Faculty at large, or requests for funds to devise and implement interdepartmental or divisional pedagogical seminars. Proposals should outline the general pedagogical problem, and indicate how the project addresses the problem.

Competitions for these grants are usually held in the early part of the Fall and Spring semesters. Limit for each award is normally \$1,200. Proposals are evaluated by the College Educational Plans and Policies Committee, and the Conservatory Educational Policy Committee.

2. Grants From Outside Agencies

The Office of Sponsored Programs has on-line access to data banks of information concerning federal and non-federal support for research and curriculum development. It also maintains an up-to-date library on such programs, which Faculty members are encouraged to use, together with file copies of all grants and contracts now in force at Oberlin. Faculty members are encouraged to consult the Director of the Office of Sponsored Programs when planning an application.

The following policies apply to all applications to outside agencies for which Oberlin College is required to be the fiscal agent:

a. All proposals for funding from foundations, corporations and federal agencies for which Oberlin College will act as the fiscal agent must be submitted for institutional approval to the Office of Sponsored Programs. Normally, they should be submitted to the office at least two weeks before the submission deadline.

b. Institutional approval will require signatures by the division head and, in the case of proposals

submitted by Faculty members, the chair of the Faculty member's department or program, or division director. Institutional approval will also require the signature of the Authorized Institutional Representative (the President, or an officer designated by the President).

c. In the case of proposals that would require matching funds, a preliminary proposal of two pages should be submitted to the Office of Sponsored Programs at least six weeks before the deadline for submission.

These policies do not apply to those proposals in which the award money is paid directly to an individual Faculty member, such as NEH Fellowships. However, all Faculty members planning to submit a proposal to an outside agency that would have an impact on his or her department's or program's staffing or curriculum are strongly urged to consult with the department chair or program director.

Oberlin College has adopted the principles of the Joint Statement of the Council of the American Association of University Professors and the American Council on Education "On Preventing Conflicts of Interest in Government-Sponsored Research at Universities." Copies of this statement are available from the Office of Sponsored Programs.

V. GENERAL PERSONNEL POLICIES

A. Compensation

Oberlin College operates on a fiscal year beginning July 1 of each year. Salaries are paid on the last day of each month of the fiscal year. Faculty appointments are customarily made on the basis of a nine-month academic year (or fraction thereof), but salaries are paid over twelve months. For new members of the Faculty the first month payment is generally July 31 or the date of arrival in Oberlin, whichever is later. Signatures are required to establish immigration status and for purposes of staff benefits and income tax. These should be executed promptly at the Office of Human Resources. Subsequent changes should also be arranged at this office. Arrangements may be made for the automatic deposit of salary payment in an Oberlin bank, in which case the check stub showing salary paid and authorized deductions withheld is mailed to the Faculty member each month.

Lists of salaries for members of the College and Conservatory faculties are available for inspection in the offices of the respective Deans. Each Faculty member may request that his or her salary not be reported on the lists available for inspection by other Faculty members.

Faculty Members are generally considered exempt from the Fair Labor Standards Act (FLSA) and therefore do not receive overtime pay. It is the College's policy to comply with the salary basis requirements of the FLSA. Therefore, the College prohibits improper deductions from the salaries of exempt employees. All Faculty Members should be aware of this policy and that the College does not allow deductions that violate the FLSA.

If any Faculty Member believes that his or her wages have been subject to an improper deduction, he or she should immediately report the deduction to the Human Resources Department in writing so that any mistake can be corrected.

If an improper deduction is determined to have been made, the College will reimburse the employee and will take steps to prevent future occurrences.

B. Nondiscrimination Statement

Oberlin College is committed to creating an environment free from unlawful discrimination and harassment and complies with all applicable federal, state, and local laws regarding nondiscrimination. Oberlin College supports equal opportunity for all persons and prohibits discrimination or harassment on the basis of race, color, sex, religion, national origin, disability, age, genetic information, military or veteran status, ancestry, marital status, sexual orientation, gender identity, gender expression in employment, educational programs and activities, and admissions. Preventing discrimination and harassment and creating an inclusive and equitable living, learning, and working environment is a responsibility of all members of the Oberlin

College community. Inquiries or complaints may be addressed to the Director of the Office of Equity, Diversity, and Inclusion and Title IX/Section 504/ADA Coordinator:

Rebecca Mosely, PhD
Carnegie 204
52 West Lorain Street,
Oberlin, OH 44074
440-775-8555
edi@oberlin.edu

C. Title IX Sexual Harassment Policy, Nondiscrimination and Anti-Harassment Policy, and Prohibited Relationship Policy

The College's official Title IX Sexual Harassment Policy, Nondiscrimination and Anti-Harassment Policy, and Prohibited Relationship Policy are maintained by the Office of Equity, Diversity and Inclusion and the Department of Human Resources. Information regarding these policies and biennial training requirements for all faculty are available on the Office of Equity, Diversity and Inclusion website: <https://www.oberlin.edu/equity-diversity-inclusion>. All official college policies are maintained on the Department of Human Resources' Policy Registry: <https://www.oberlin.edu/human-resources/policies-registry>.

D. Guidelines on Employment of Spouses, Partners, and Immediate Family Members – Appendix 6

Subject to the guidelines listed below, Oberlin College recognizes no restrictions on the full-time and permanent employment of spouses, partners or immediate family members on the teaching faculty and other college employment.

Guidelines:

- a) All candidates for job openings will be judged competitively on the basis of professional qualifications. Spouses, partners, or immediate family members will be considered equally with other candidates.
- b) No faculty or staff member will participate in any part of the evaluation process of a spouse, partner, or member of his or her immediate family.

E. Drug-Free Workplace Policy

It is College policy to maintain the campus as a drug-free workplace. The unlawful manufacture, distribution, dispensation, possession, sale or use of alcohol or controlled substances is prohibited in the workplace or during performance of work on behalf of the College. Controlled substances include illegal drugs as well as prescription drugs for which an individual does not have a valid prescription. Any violation will subject persons to discipline, up to and including termination of employment. Faculty members must, as a condition of employment, abide by this prohibition and report to the Division Dean and the manager of the Human Resources office any conviction for drug related activity in the workplace within five days after the conviction.

It is each College employee's responsibility to act in a professional and responsible manner. Alcohol consumption at College hosted or sponsored activities should be limited and carefully controlled.

The College has programs to assist employees to comply with its drug-free workplace policy. The College has an Employee Assistance Program that helps employees and/or supervisors to identify and address a wide range of personal issues, including those involving alcohol or controlled substances. Employee health plans may cover some or all of the costs of treatment. The Office of the Dean of Student Life and Services circulates information each semester about the availability and location of various recovery support groups. A number of these groups meet on campus. Others meet at local churches and other local organizations.

Faculty members should make use of these services as needed. They are encouraged to handle problems with substance abuse on a voluntary basis and at early stages.

F. Leaves of Absence

1. Sabbatical Leaves

This policy applies to eligible faculty members, as more fully described below. The primary purpose of sabbatical leaves is to free faculty members from normal teaching and advising responsibilities to enable them to pursue scholarly and professional goals more intensively than is possible while fulfilling the usual obligations to Oberlin College. While such leaves are not to be considered as payment for previous service, it is the demands of active teaching service that create the need for sabbatical leaves.

The College offers "Regular" sabbatical leaves and "Early" sabbatical leaves. The procedures for requesting sabbatical leaves and the eligibility requirements for sabbatical leaves are set forth below. In general, eligible faculty members (full- and part-time) may apply to the appropriate divisional faculty council for Regular Sabbatical Leaves after they have accrued six years of teaching following their initial appointment or following their last sabbatical leave or Research-Status Leave. Eligible faculty members may apply for Early Sabbatical Leave after four or five years of teaching following the initial appointment or following the last sabbatical leave or

research-status leave. The duration for either type of leave may be for one semester and Winter Term at full salary, or for one year at five-ninths salary. The deadline for applications is established annually by the divisional councils.

a) Eligibility for Regular Sabbatical Leave – Full-Time Tenured Faculty: Subject to the general procedures and requirements described below, tenured or tenure-track faculty members will normally be considered eligible for Regular Sabbatical Leave after they have accrued six years of teaching at the College. In determining eligibility for Regular Sabbatical leave, unpaid leaves of absence from Oberlin College and paid Research-Status leaves will not be regarded as years in service.

b) Eligibility for Mid-Probationary Leaves After Initial Appointment – Tenure-Track Faculty: Subject to the general procedures and requirements described below, and after an initial tenure-track appointment followed by reappointment, untenured members of the faculty in tenure-track positions may apply for a Mid-Probationary Leave. A Mid-Probationary Leave is a paid leave of absence for the purpose of pursuing research or (as in the case of performing artists) other professional development during the Winter Term, and the faculty member's seventh or eighth semester of service. The applicant must set forth reasons justifying his or her requests, and those reasons will be evaluated by the appropriate divisional council. Insofar as possible, such persons ought to be replaced while absent; but the replacement will not be a condition of granting the leave; nor will this leave of absence count against eligibility for subsequent sabbatical or other leaves of absence.

c) Eligibility for Regular Sabbatical Leave - Nontenured Faculty: Subject to the general procedures and requirements described below, nontenured faculty members who are currently in the sixth year of service are eligible to apply for Regular Sabbatical Leave. The divisional council will review the application in conjunction with recommendations from the applicant's department, and will make one of the following decisions based upon the applicant's record of service to the College:

i) Under exceptional circumstances, the divisional council may recommend to the Board of Trustees that Article XVII, Section 6 of the Bylaws be waived in order that a person may be granted a Regular Sabbatical Leave without regard to a subsequent decision about tenure;

ii) The divisional council may grant Regular Sabbatical Leave contingent on a positive decision on tenure later in the year; or

iii) The divisional council may deny the request for Regular Sabbatical Leave.

d) Eligibility for Sabbatical Leaves - Part-Time Faculty: Subject to the general procedures and requirements describe below, part-time faculty may apply for Sabbatical Leaves. Persons on part-time appointment may apply for Regular Sabbatical Leave, Early Sabbatical Leave, Research-Status Leave, or leaves without pay. Each year of part-time teaching will be considered one full year toward consideration for a leave from the part-time position. Delaying the leave

past the scheduled year of eligibility does not accrue additional compensation for when the leave is taken. Part-time faculty on Regular or Early Sabbatical Leave or Research -Status Leave will receive a prorated salary to be specified by the divisional council concerned. For tenured part-time faculty, the average (mean) fraction of actual F.T.E. teaching during the last six years of teaching, not counting leaves, shall be taken into account in specifying the prorated salary. Those on Research -Status Leave will receive a prorated portion of the support allowance.

e) Compensation during Sabbatical Leaves for Part-Time Faculty "on duty" during both semesters, and for Part-Time Faculty "on-duty" during a single semester, will be handled as follows:

i) An individual who requests, and is permitted, to be relieved of all College responsibilities for the sabbatical year will receive five-ninths of his/her regular (part-time) pay – applying the average fraction of actual F.T.E. teaching during the previous six years – for the year.

ii) An individual who requests, and is permitted, to be relieved of five-ninths of his/her College responsibilities for the year will receive all of his/her regular (part-time) pay – applying the average fraction of actual F.T.E. teaching during the previous six years – for the year. The teaching, advising and community service that remain (four-ninths of the individual's standard load) may be packaged into a single semester or may be spread out over the full year, by agreement with the department.

f) Early Sabbatical Leaves: Subject to the general procedures and requirements described below, faculty members may apply for Early Sabbatical Leaves after four or five years of teaching following their initial appointment or following their last sabbatical leave. These leaves will be considered only after the evaluation and assessment of Regular Sabbatical Leaves granted, the needs of the particular department and division, and other factors.

General Procedures and Requirements:

The following general procedures and requirements apply to all faculty members applying for Regular Sabbatical Leave, Early Sabbatical Leave, Research-Status Leaves, and unpaid leaves related to research.

Decisions regarding requests for any type of Sabbatical Leave or Research-Leave are made at the discretion of the applicable divisional council with approval of the Board of Trustees. The divisional council will consider each leave request on its merits and will approve such a request only after carefully evaluating the substance of the proposal and the long- and short-term curricular and staffing needs of the department or program. Before Council action is taken on the request, a written assessment of the effects of the proposed leave on the department or program may be presented by the department chair to the divisional council.

The following procedures should be followed for all sabbatical leaves: Requests for sabbatical leaves should be submitted to the Division Dean by the deadline established annually.

Applications should describe in some detail the project which the applicant proposes to carry out during the leave. For faculty members in the College of Arts and Sciences, all applications must be accompanied by a letter from the departmental chair or program director expressing views on the project and stating whether or not a sabbatical replacement is essential.

Applicants should, at the time of application, specify the term for which the leave is requested. If the duration of the requested leave is dependent on the availability of external funds or other extraneous factors, the applicant must clearly indicate the specific factor(s) at the time of application, and specify a date (no later than April 15) for finally determining the duration of the requested leave if it is to be granted.

In granting all sabbatical leaves it is the obligation of the divisional councils to ascertain that past achievement, professional dedication, and reasonable planning all suggest that the sabbatical requested will be fruitful for the faculty member and subsequently for his or her field of research, scholarship, artistry, and/or teaching.

Any extension of a leave of absence beyond one year requires special justification. In order to ensure continuity of instruction full- or part-time leaves for full-time faculty members should not be extended beyond one year except under unusual circumstances, especially those that result in exceptional professional renewal for the faculty member or those that clearly benefit the institution.

No faculty member should accept remuneration, while on sabbatical leave, for teaching or for work accepted primarily as a means of earning additional income. Remuneration may be accepted for special activities approved in advance by the General Faculty Council, on recommendation of the appropriate divisional council, as contributing to the best interests of the College. The General Faculty Council will decide in specific instances whether such remuneration shall be in addition to the salary payments indicated above or shall operate to reduce such payments. If, subsequent to the granting of a leave, the possibility of such remuneration arises, the President will advise the member as to the propriety of accepting such remuneration. Sabbatical leave recipients are expected to file with the President a full report of activities during such leaves. A copy of this report should be sent to the Division Dean and will be available to faculty councils in connection with consideration of promotions in rank and salary.

It is understood that the number of leaves granted in any year will be subject to budgetary considerations and to personnel needs in the departments involved. Sabbatical leaves require approval of the Board of Trustees, which also approves general policies affecting leaves. The granting by the Board of Trustees of a leave with continuance of full or part salary presupposes the intention of the applicant to return at the close of the leave and to continue in the service of Oberlin College for a reasonable time thereafter. A "reasonable time" is usually interpreted to mean at least one year.

2. Family and Medical Leave

This leave policy applies to full time members of the Faculty as defined in the Oberlin College Faculty Guide. In accordance with the Family and Medical Leave Act, Faculty may be entitled to 12 weeks of unpaid leave for certain family and medical reasons, including birth of a child, care of a newborn or newly adopted child, care of a spouse, parent or a child with a serious health condition or a serious health condition of the eligible employee. (See also the policy on Parental Leave.)

A. Types of Leave Permitted

FMLA Leave may be taken for the following reasons:

1. To care for your child after birth, or placement for adoption or foster care; or
2. To care for your spouse, son or daughter, or parent who has a “serious health condition”; or
3. For a “serious health condition” of your own that renders you unable to perform your job.

A “serious medical condition” means an illness, injury, impairment or physical or mental condition that involves a period of incapacity or treatment of more than two weeks duration following inpatient care in a hospital, hospice, or residential care facility; or continuing treatment by or under the supervision of a health care provider for a chronic or long-term condition of disability that is incurable; or pre-natal care.

To the extent that the leave request relates to a “serious health condition”, the eligible employee must provide a medical provider certification form, and any additional documentation required under the terms of the short-term disability policy.

For the purposes of this policy, the FMLA year will be the academic year. Accordingly, eligible employees are entitled up to 12 weeks leave in each academic year in which they are eligible.

An eligible teaching staff member is entitled to a maximum of 12 weeks of unpaid FMLA leave within a rolling 12-month period. Eligible staff may submit a request for additional unpaid personal leave to the Division Dean. The granting of such a request is at the discretion of the Divisional Faculty Council.

A “rolling 12-month period” is a 12-month period measured backward from the date an employee uses FMLA leave. Each time an employee takes FMLA leave the remaining leave entitlement would be any balance of the 12 weeks that has not been used during the immediately preceding 12 months. As each new day is added to the 12-month period, one day 12 months ago is eliminated. *Example:* Larry takes four weeks of FMLA leave beginning on February 1, 2006, three weeks beginning June 1, 2006, and five weeks beginning December 1, 2006. Larry is not entitled to any additional leave until February

1, 2007. On February 1, 2007 he would be entitled to four weeks of leave; on June 1, 2007 he would be entitled to three additional weeks of leave; *etc.*

Replacement Departments may request to the appropriate divisional faculty council a replacement for a teaching staff member who elects to take a Maternity-related medical, Medical, or Family leave. The College will make every effort to fully replace such leaves, whether paid or unpaid.

B. Relation to Other Policies

In all instances, employees will be required to use any accrued paid leave (such as vacation days, STD/LTD) as part of the 12-week total allowed for FMLA leave. In other words, if any paid time off is available to an eligible employee, it is to be used concurrently for FMLA leave. After paid time is exhausted, the remainder of the FMLA leave is unpaid and the eligible employee accrues no seniority or other benefit accruals.

An eligible employee may be entitled to benefits during an FMLA leave under the Short-Term Disability or Long-Term Disability policies. Neither STD nor LTD provides additional time-off. Rather, these policies simply provide certain benefits to eligible employees who are on an authorized leave of absence.

C. Eligibility

To be eligible for leave under this policy, an eligible employee must have been employed at Oberlin College for at least 12 months and must have worked at least 1250 hours during the 12-month period preceding the beginning of the leave.

D. Conditions of Leave

1. *Notice.* When the need for leave is foreseeable, such as the birth of a child, the placement in adoption or foster care of a child, or planned medical treatment, the eligible employee must provide reasonable prior notice and make an effort to schedule leave so that it does not unduly disrupt the College's operations. Eligible employees who are ill will be required to report periodically on their status and their intention to return to work. When the leave is not foreseeable, the eligible employee must give as much notice as possible and in any case, within five (5) days after the leave begins.

2. *Medical certification.* The College will require medical certification from a health care provider to support a claim for leave for an eligible employee's own serious health condition or to care for a seriously ill child, spouse, or parent. For the eligible employee's own medical leave, the certification must include a statement that the eligible employee is unable to perform at least one of the functions of his or her position. For the eligible employee's own medical leave, or for leave to care for a seriously ill child, spouse, or parent, the certification must include an estimate of the amount of time needed for leave and/or time that the eligible employee is needed to provide care.

The College may require a second medical opinion and/or periodic recertifications at its own expense. If the first and second opinions differ, the College may require the binding opinion of a third health care provider, approved jointly by the College and the eligible employee and paid for by the College. The College may also require an employee to submit to a medical examination certifying fitness for duty before returning from a leave of absence.

In addition, in the case of illnesses, the eligible employee is required to report every 30 days on his or her leave status and intention to return to work.

3. *Intermittent or reduced leave.* Leave may be taken on an intermittent or reduced-leave schedule if it is medically necessary for a serious health condition of the eligible employee or his or her spouse, child, or parent. If leave is requested on this basis, however, the College may require the eligible employee to transfer temporarily to a part-time schedule or an alternative position that better accommodates recurring absences. The alternative position will have equivalent pay and benefits. Reduced-schedule or intermittent leave may be requested for leave to care for a newborn child, or a child placed for adoption or foster care, however such leave is not guaranteed and will be considered on a case-by-case basis based upon the needs of the particular department affected.

Spouses who are both employed by the College are entitled to a total of 12 weeks' leave (rather than 12 weeks each) for the birth or placement in adoption or foster care of a child or for the care of a sick parent.

E. Employee Benefits

1. *Group Health Care Benefits.* Group health care coverage will continue for eligible employees on leave as if they were still working. Eligible employees who are not granted an approved leave of absence under this policy are advised to arrange to pay their share of premiums during the absence. If other available paid leave is utilized, premiums will continue to be paid through payroll deductions. In all other circumstances, eligible employees are responsible for making sure the College receives premium payments by the normal payroll dates. The Human Resources Department will provide a schedule of payment amounts and due dates at the beginning of any unpaid leave of absence.

2. *Seniority does not accrue.* Other seniority-based benefits will also not accrue during an FMLA leave of absence, unless otherwise specified within the particular benefit policy.

3. *Recovery of premiums.* If an eligible employee chooses not to return to work after an approved unpaid leave of absence, the College may recover from the eligible employee the cost of any payments made to maintain the eligible employee's health insurance, unless the failure to return is because of a serious health condition or reasons beyond the eligible employee's control. Benefit entitlements based on length of service will be calculated as of the last paid work day before the start of unpaid absence.

F. Procedures

An FMLA request form must be filled out by the eligible employee. This form must be completed in detail, signed by the eligible employee, and forwarded to the Department Head, Division Dean and Human Resources Department. If possible, the form should be submitted 30 days before the effective date of the leave. All requests for family and medical leaves of absence due to illness must include sufficient medical certification stating:

- (1) the date on which the serious condition began;
- (2) the probable duration of the condition; and
- (3) the appropriate medical facts that the health care provider knows about the condition.

In addition, for leave to care for a child, spouse, or parent, the certificate must include an estimate of the amount of the time that the eligible employee is needed to provide such care.

For leave for an eligible employee illness, the certificate must certify that the eligible employee is unable to perform at least one of the functions of his or her position. For certification for intermittent leave or leave on a reduced-leave schedule for planned medical treatment, the certificate must state the dates on which such treatment is expected to be given and the duration of the treatment.

G. Restoration

Upon expiration of the leave, the eligible employee will generally be reinstated to the former position held by the eligible employee, or to an equivalent position with the same pay, benefits and opportunities for advancement. The College will not discharge or discriminate against any person for opposing any practice made unlawful by the Act, or interfere with, restrain or deny any person the exercise of any right provided by FMLA.

2. Parental Leave

This section incorporates provisions of the Family and Medical Leave Act (FMLA), under which eligible employees may take up to 12 weeks of unpaid leave in any 12-month period for (1) the birth of a child and care for the newborn; (2) the placement of a child with an employee for adoption or foster care; (3) a serious health condition that makes the employee unable to perform the functions of his or her position; or (4) the care of a spouse, child, or parent with a serious health condition.

Definitions:

“Eligible teaching staff member” means persons holding appointments of Instructor, Lecturer, Teacher, Assistant Professor, Associate Professor, or Professor, as well as all Clinical Faculty in the Conservatory of Music, for a term of at least three years in a continuing faculty position of half time or more, or who have been employed at Oberlin

College in a non-continuing position of half time or more for at least three years and who has served at the college for at least one year.

(NOTE: Employees who are not eligible for paid leaves under this policy may, however, qualify for unpaid parental, family, and medical leaves, as required by the FMLA.)

“Spouse” means married by law as well as a qualified member of a domestic partnership.

“Domestic partnership” is defined as: two unrelated individuals, who share the necessities of life, live together, and have an emotional and financial commitment to one another of an indefinite length. In addition, partners cannot be married to someone else, be under eighteen years of age, have any additional domestic partners, or be related by blood closer than the criteria for marriage that the State of Ohio allows. Because partners of opposite sex who meet the above criteria have the option to legalize their partnership through marriage, this definition applies only to partners of the same sex. (Note that Persons wishing to establish a domestic partnership must complete a form that is available in the Human Resources Office.)

“Child” means a biological child; an adopted child; a stepchild who lives with the teaching staff member; a foster child placed by a licensed agency; a grandchild, niece or nephew who resides in the teaching staff member’s household and is dependent on him/her for support according to the Internal Revenue Code; the child of a spouse who lives with the teaching staff member; and who is unmarried and is either under the age of 18 or over 18 if the child is incapable of self-care due to mental or physical disability.

“Infant” means a child under the age of one year.

“Adopt” means either legal adoption under Ohio law or the assumption of legal custody under Ohio law for a child with the intention to adopt.

“Family member” means an employee’s spouse, child, or parent (but not the parent of a spouse or qualified domestic partner). A “parent” means any individual who assumed the day-to-day and financial responsibilities for the employee when the employee was a child, even if the person was not the biological or adopted parent or legal guardian.

A “health care provider” means a licensed physician, podiatrist, dentist, clinical psychologist, psychiatrist, optometrist, physician assistant, nurse practitioner and nurse midwife performing within the scope of their licenses as defined under state and federal regulations.

a. Maternity leave

An eligible teaching staff member who has served at the College for at least a year and who gives birth to a child may take a one-semester paid leave beginning within 4 months of the birth. When there is sufficient advance notice of the date of delivery to take this

into account, the semester of paid leave will be the one with the smaller load assignment in the academic year. In this case, the minimum teaching expectation for a full-time faculty member under current teaching load expectations would be three courses. In the event that the college goes to a 4.5 or 4 course teaching load, the semester of paid leave will be one with at least 2 courses, assuming there is enough advance notice of the date of delivery to take this into account. When the eligible teaching staff member is appointed for less than full-time, and there is sufficient advance notice of the date of delivery to take this into account, the semester of paid leave will be the one with the smaller number of courses.

A teaching staff member who takes a maternity leave may also take an additional semester of unpaid leave.

If the leave is taken in the fall semester, it will include winter term; if it is taken in the spring semester it will not include winter term.

During the leave, the teaching staff member is relieved of all committee service, advising, and other departmental obligations. This leave is concurrent with FMLA leave.

The birth of more than one child from the same pregnancy constitutes one birth for the purposes of this policy.

b. Adoption Leave

An eligible teaching staff member who adopts an infant or whose spouse adopts an infant and either has no spouse or has a spouse who works full time but is not entitled to a paid adoption leave is entitled to a one semester paid leave beginning within 4 months of the adoption. The adoption of more than one child on the same day constitutes one adoption.

Where both parents are eligible teaching staff members, only one of them may take an adoption leave.

c. Parental leave

In the event of the birth of a child or the adoption of an infant, a parent who is an eligible teaching staff member but who is not eligible for a maternity leave is entitled to one course release beginning within 4 months of the birth or adoption.

Where both parents are eligible teaching staff members, only one of them may take a maternity leave or a parental leave.

d. Maternity-related medical leave

If an eligible teaching staff member cannot perform her normal duties due to medical complications arising from her pregnancy or childbirth, she is entitled to medical leave in accordance with the medical leave policy.

e. Effect on probationary appointment and tenure review

An eligible teaching staff member who is a new parent during his/her period of probationary appointment and has received a maternity or parental leave will automatically receive an extension of one year on his/her probationary period of appointment.

f. Reporting requirements

Request for a Maternity, Parental, Adoption, Maternity-related medical, Medical, or Family leave should be made in writing to the appropriate division Dean. When the leave is foreseeable, the teaching staff member must provide as much advance notice as possible of the intent to take such a leave. When the leave is not foreseeable, the teaching staff member must provide notice as soon as possible—usually within two business days of learning of the need for the leave. The teaching staff member should provide the Dean with the approximate dates when such leave will begin and end.

The teaching staff member requesting a Maternity, Parental, Adoption, Maternity-related medical, Medical, or Family leave should meet with the Chair of his/her department as soon as possible to discuss the potential impact of his/her absence on the department's teaching program.

All written requests for leave should be copied to the Compensation Manager of Human Resources. The Compensation Manager will provide the teaching staff member and Division Dean with the appropriate insurance and payroll information as well as the necessary forms for timely submission.

g. Leave replacement

Departments may request to the appropriate divisional faculty council a replacement for a teaching staff member who elects to take a Maternity, Parental, Adoption, Maternity-related medical, Medical, or Family leave. The College will make every effort to fully replace such leaves, whether paid or unpaid.

3. Other Leaves without Pay

This leave policy applies to full time members of the faculty as defined in the Oberlin College Faculty Guide. Faculty members who anticipate that they may need to request a leave without pay for reasons other than those set forth in the leave policies above, such as an unpaid leave for research, are to consult with the Division Dean by February 1st of the year prior to the academic year in which the leave would occur. Faculty who are applying for a grant from an external funding agency should apply for a provisional leave by March 1st. Normally, divisional

councils will not entertain requests for leaves- without- pay after March 1st. Divisional councils will consider such requests on a case-by-case basis. Among other factors, divisional councils will consider these requests on the basis of benefit to both the College and the individual and the staffing needs of the department affected. Any unpaid leaves taken pursuant to this policy shall be considered an absence from teaching and will not count toward satisfying the College's sabbatical requirements.

4. Benefits During Leave

The College and the individual may continue employee benefit payments during periods in which a participant is on sabbatical or other paid leave, or on research status appointment. The amount of the College contribution to the Retirement Annuity Plan will be based on the actual salary paid to the individual during the period of leave.

Eligible employees on leave without continuation of Oberlin salary for up to one year may continue benefit coverage by paying the employee's share of the cost of such premiums. In such cases the College will continue to pay its normal share of employee benefit premiums. In all cases in which benefits are continued during a period of leave without pay, the employee must make the necessary arrangements with Human Resources prior to departing on leave, and the individual's share of the premium costs must be remitted to the Controller monthly or quarterly in advance during the period of leave. If an outside grant or another institution supports the eligible employee during the leave, the application should include a request for funds to cover the employer's staff benefit payments.

Disability insurance coverage, based on the employee's regular annual salary rate, will continue to be provided by the College during periods in which an eligible employee is on an approved leave of absence at reduced salary.

5. Coordination of Leave Policies

A. FMLA, Parental Leave, Short-Term Disability, and Long-Term Disability

The policies providing for FMLA leave, parental leave, short-term disability and long-term disability should be construed in conjunction with one another. To the extent that any of these policies require additional documentation, notices, or certifications, the employee will be obligated to comply with such requirements.

All leave under the FMLA policy, the Parental Leave Policy and the Short-Term Disability shall run concurrently. That is, portions of an employee's leave will count at the same time for leave available under these policies.

B. Effect of Other Leaves on Sabbatical Leave

As with any other leave of absence, any time taken off for FMLA leave and/or Parental Leave (whether paid, unpaid or covered by STD/LTD) shall be considered an absence from teaching and will not count toward satisfying the College's sabbatical requirements.

C. Effect of Leave on Other Policies (conflict of interest, etc.)

Eligible employees on leave must comply with all other College policies, as set forth in the Faculty Guide and A&PS Handbook, to the extent they are applicable, including without limiting the foregoing, the College's policies on conflicts of interest and business ethics.

D. Effect of Leave on Tenure Review

For an untenured eligible employee in a tenure-track position who takes leave under these policies, provided that such leave occurs prior to the commencement of tenure review, the period of leave will not be counted as part of his or her probationary service toward a tenure decision.

G. Summer Employment at Oberlin College

Summer employment under research or teaching programs administered by the College is compensated at a negotiated rate that is not to exceed one-ninth of the member's base annual salary for the prior academic year for each month employed. Authorization and/or appointment for such summer employment must be approved through procedures established by the divisional and General Faculty councils. Summer applied music instruction is remunerated at a standard hourly rate established by the Dean of the Conservatory each year.

H. Outside Work

Full-time faculty members are on full-time service to the College. Writing, consulting, performing, public service activities, and work with professional associations, whether paid or unpaid, are considered to be a desirable part of the Faculty member's total assignments, if the following conditions are met:

1. They contribute significantly to the professional development of the individual, to the strengthening of scholarship or the dissemination of art or music, to the recognition of the Faculty member in his or her field, or to the reputation of the College.
2. They do not interfere with the Faculty member's teaching or other duties at Oberlin College.

Commitments for any outside work during the year will be reported to and cleared with the respective Division Dean, who will consult with his or her divisional council in doubtful cases. Outside work should generally average no more than one day per academic week (Monday through Friday) during the College year.

Faculty members may accept outside teaching assignments during the academic year or during periods of paid leave only after approval of the appropriate divisional council. Approval will be given only if the assignment meets the conditions stated above (such as teaching advanced courses not offered at Oberlin) or fulfills the emergency needs of another institution.

Faculty members not on leave may accept engagements that involve protracted absence (generally considered to be more than two weeks) from the College during the academic year only after approval of the appropriate divisional council. Permission for such absence must be obtained for each academic year in which the absence is to occur.

Members of the Faculty who hold part-time appointments with full Faculty status and who wish to seek additional employment elsewhere should discuss their plans with the appropriate Division Dean, who may consult with the divisional council in doubtful cases.

In all cases of outside teaching, consulting, performing, or work with professional associations requiring absence from Oberlin, the Faculty member is responsible for seeing that the progress of the course is uninterrupted and, in the case of applied music, for making up the lessons which have been missed.

Conservatory Policy Regarding the Teaching of Special and Irregular Students

Teaching schedules are compatible with the norm established through NASM studies. This policy favors both the teacher and the regularly enrolled student. It also assumes that additional instructional demands may interfere with the teacher's responsibilities to the Oberlin students assigned to him or her for instruction.

The teaching of private students beyond one's official teaching schedule is not prohibited. Studios and practice facilities are furnished by Oberlin College, however, for the purpose of teaching students duly enrolled in the institution. Therefore, any use of these facilities for private teaching must be approved by the Dean of the Conservatory. It should be stressed that a teacher's primary commitment is to Oberlin College and to the students enrolled in the institution. Private teaching should not call this commitment into question.

I. Smoking Policy

Oberlin College's policy is to limit smoking by its Faculty, staff, students, and visitors to outdoor areas on campus that are sufficiently distant from building entrances and exits. Smoking is banned at all times in all campus buildings including libraries, offices, residence halls, dining

rooms, laboratories, classrooms, lounges, et cetera. Smoking in College-owned vehicles is also banned.

J. Showing Films/Video

The following licensing provisions relate to the showing of films/videos at Oberlin. Films/videos that are rented from vendors or borrowed from libraries (e.g., Oberlin College, Oberlin City, etc.) only carry permission for either “home viewing” or viewing in educational classroom settings. The same is true of commercial videos/films that Faculty, staff, and students may have purchased personally. Any other showing/venue requires permission for “public performance” and usually requires the payment of a fee to the company that owns the copyright or licensing arrangement for the film/video. (The purchase/rental of some videos/films may carry public performance rights; this is the exception rather than the rule, however.)

The law allows for Faculty member to show a film/video to the students in a class during a class meeting as part of the regular requirements for the class. If it is necessary to schedule a special time for the film, or to schedule a special time to complete the showing of a film/video that runs longer than the class period, such an arrangement is allowed as long as the audience remains limited to the class members, and the Faculty member or a designated person to show the film/video is present. If a student who misses a film/video shown during a regular class is required to view the film/video out of class, and that film/video cannot be checked out from the library reserve room, then the Faculty member should contact the Audiovisual Department of the library to make sure proper provisions for such viewing are made. (Language class instructors may wish to contact the director of the Language Laboratory.)

If a film/video is being shown in a lecture hall, a dorm lounge, language house lounge, classroom or any other location in a non-classroom setting or for a non-classroom purpose, either specific written permission or the payment of a public performance fee is required. (A non-classroom setting means any gathering that is not for the stated purpose of the meeting of a regular class.) In order to receive the exemption from payment of a public performance fee in a non-classroom setting, it does not suffice for attendance at a film/video showing to be required for students in a class. The film/video must be shown in a class (and only to members of the class), and it must be part of the class requirements.

It is the responsibility of the person(s) showing the film/video for public performance to ascertain that they have the right to show the film/video or that the public performance fee has been paid.

If a public performance fee has been paid, or explicit permission to show the film/video has been obtained, a film/video may be shown publicly.

K. Scientific Misconduct Policy

POLICY FOR RESPONDING TO ALLEGATIONS OF SCIENTIFIC MISCONDUCT

Adopted by the General Faculty on February 18, 1997

1. Introduction

A. General Policy

Oberlin College's missions in teaching, learning and scholarship require honesty. Incumbent on its Faculty, staff, and students are integrity in scholarship and the responsibility for good-faith reporting of any scientific misconduct.

B. Scope

This policy and its associated procedures apply to all individuals at Oberlin College engaged in scientific research that is supported by, or for which support is requested from, any federal granting agency. This policy applies to any person paid by, under the control of, or affiliated with the institution, such as scientists, trainees, technicians and other staff members, students, fellows, guest researchers, or collaborators. The policy and associated procedures will apply when an institutional official receives an allegation of possible misconduct in science. Particular circumstances in an individual case may dictate variation from normal procedures. Summer timing also may require variation from normal procedures. Any change from normal procedures also must ensure fair treatment to the subject of the inquiry or investigation. The Dean of the College of Arts and Sciences should approve any significant variation.

2. Definitions

A. *Allegation* means any written or oral statement or other indication of possible scientific misconduct made to an institutional official.

B. *Complainant* means a person who makes an allegation of scientific misconduct.

C. *Deciding official* means the institutional official who makes final determinations on allegations of scientific misconduct and recommendations for responsive institutional actions. The deciding official at Oberlin College is the Dean of the College of Arts and Sciences.

D. *Employee* means, for the purpose of these instructions only, any person paid by, under the control of, or affiliated with the institution, including but not limited to scientists, trainees, students, fellows, technicians, support staff, and guest researchers.

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

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

G. *Institutional counsel* means legal counsel who represents the institution during the scientific misconduct inquiry and investigation and who is responsible for advising the research integrity

officer, the inquiry investigation committees, and the deciding official on relevant legal issues. The institutional counsel does not represent the respondent, the complainant, or any other person participating during the inquiry, investigation, or any follow-up action, except the institutional officials responsible for managing or conducting the institutional scientific misconduct process as part of their official duties.

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

I. *Federal granting agency support* means grants, contracts, or cooperative agreements, or applications therefor.

J. *Research integrity officer* means the institutional official responsible for assessing allegations of scientific misconduct and determining when such allegations warrant inquiries and for overseeing any inquiries and investigations. Oberlin College's research integrity officer is currently the Director of the Office of Sponsored Programs.

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

L. *Respondent* means the person against whom an allegation of scientific misconduct is directed or the person who is the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

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

N. *Scientific misconduct or misconduct in science* means fabrication, falsification, plagiarism, or other dishonest practices. It does not include honest error or honest differences in interpretations or judgments of data.

3. Rights and Responsibilities

A. Research Integrity Officer

The Director of the Office of Sponsored Programs will serve as the research integrity officer, who will have primary responsibility for implementation of the procedures set forth in this document. The research integrity officer must be sensitive to the varied demands made on those who conduct research, those who are accused of misconduct, and those who report apparent misconduct in good faith.

The research integrity officer will appoint the inquiry and investigation committees and ensure that necessary and appropriate expertise is secured to carry out a thorough and authoritative evaluation of the relevant evidence in an inquiry or investigation. The research integrity officer will attempt to ensure that confidentiality is maintained.

The research integrity officer will assist inquiry and investigation committees and all institutional personnel in complying with these procedures and with applicable standards imposed by federal funding agencies. The research integrity officer is also responsible for maintaining files of all documents and evidence and for the confidentiality and the security of the files.

The research integrity officer will report to the appropriate federal agency as required by regulation and keep it apprised of any developments during the course of the inquiry or investigation that may affect current or potential funding for the individual(s) under investigation or that the agency needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

B. Complainant

The complainant will have an opportunity to testify before the inquiry and investigation committees, to review portions of the inquiry and investigation reports pertinent to his/her allegations or testimony, to be informed of the results of the inquiry and investigation, and to be protected from retaliation. Also, if the research integrity officer has determined that the complainant may be able to provide pertinent information on any portions of the draft report, these portions will be given to the complainant for comment.

The Complainant is responsible for making allegations in good faith, maintaining confidentiality, and cooperating with an inquiry or investigation.

C. Respondent

The respondent will be informed of the allegations when an inquiry is opened and notified in writing of the final determinations and resulting actions. The respondent will also have the opportunity to be interviewed by and present evidence to the inquiry and investigation committees, to review the draft inquiry and investigation reports, and to have the advice of counsel.

The respondent is responsible for maintaining confidentiality and cooperating with the conduct of an inquiry or investigation. If the respondent is not found guilty of scientific misconduct, he/she has the right to receive institutional assistance in restoring his/her reputation.

D. Deciding Official

The deciding official (the Dean of the College of Arts and Sciences) will receive the inquiry and/or investigation report and any written comments made by the respondent or the complainant on the draft report. The deciding official will consult with the research integrity officer and other appropriate officials and committees and will determine whether to conduct an investigation, whether misconduct occurred, whether to recommend sanctions, or whether to take other appropriate administrative actions.

4. General Procedures and Principles

A. Responsibility to Report Misconduct

All employees or individuals associated with Oberlin College should report observed, suspected, or apparent misconduct in science to the research integrity officer. If an individual is unsure whether a suspected incident falls within the definition of scientific misconduct, he/she may call the research integrity officer to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of scientific misconduct, the research integrity officer will refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

At any time, an employee may have confidential discussions and consultations about concerns of possible misconduct with the research integrity officer and will be counseled about appropriate procedures for reporting allegations.

B. Protecting the Complainant

The research integrity officer will monitor the treatment of individuals who bring allegations of misconduct or of inadequate institutional response thereto, and those who cooperate in inquiries or investigations. The research integrity officer will ensure that these persons will not be retaliated against in the terms and conditions of their employment or other status at the institution and will review instances of alleged retaliation for appropriate action.

Employees should immediately report any alleged or apparent retaliation to the research integrity officer.

Also the institution will protect the privacy of those who report misconduct in good faith to the maximum extent possible. For example, if the complainant requests anonymity, the institution will make an effort to honor the request during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The complainant will be advised that if the matter is referred to an investigation committee and the complainant's testimony is required, anonymity may no longer be guaranteed. Institutions are required to undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.

C. Protecting the Respondent

Inquiries and investigations will be conducted in a manner that will ensure fair treatment to the respondent(s) in the inquiry or investigation and confidentiality to the extent possible without compromising public health and safety or thoroughly carrying out the inquiry or investigation.

Institutional employees accused of scientific misconduct may consult with legal counsel or a non-lawyer personal adviser (who is not a principal witness in the case) to seek advice and may bring the counsel or personal adviser to interviews or meetings on the case.

D. Cooperation with Inquiries and Investigations

Institutional employees will cooperate with the research integrity officer and other institutional officials in the review of allegations and the conduct of inquiries and investigations. Employees have an obligation to provide relevant evidence to the research integrity officer or other institutional officials on misconduct allegations.

E. Preliminary Assessment of Allegations

Upon receiving an allegation of scientific misconduct, the research integrity officer will immediately assess the allegation to determine whether there is sufficient evidence to warrant an inquiry, whether federal support or applications for funding are involved, and whether the allegation falls under the definition of scientific misconduct.

5. Conducting the Inquiry

A. Initiation and Purpose of the Inquiry

Following the preliminary assessment, if the research integrity officer determines that the allegation provides sufficient information to allow specific follow-up, that federal support or applications for funding are involved, and that the allegation falls under the definition of scientific misconduct, he/she will immediately initiate the inquiry process. In initiating the inquiry, the research integrity officer should identify clearly the original allegation and any related issues that should be evaluated. The purpose of the inquiry is to make a preliminary evaluation of the available evidence and testimony of the respondent, complainant, and key witnesses to determine whether there is sufficient evidence of possible scientific misconduct to warrant an investigation. The purpose of the inquiry is NOT to reach a final conclusion about whether misconduct definitely occurred or who was responsible. The findings of the inquiry must be set forth in an inquiry report.

B. Sequestration of the Research Records

After determining that an allegation falls within the definition of misconduct in science and is subject to inquiry, the research integrity officer must ensure that all original research records and materials relevant to the allegation are immediately secured.

C. Appointment of the Inquiry Committee

The research integrity officer, in consultation with other institutional officials as appropriate, will appoint an inquiry committee and committee chair within 10 days of the initiation of the inquiry. The inquiry committee should consist of individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegation, interview the principals and key witnesses, and conduct the inquiry. These individuals may be scientists, subject matter experts, administrators, lawyers, or other qualified persons, and they may be from inside or outside Oberlin College.

The research integrity officer will notify the respondent of the proposed committee membership in 10 days. If the respondent submits a written objection to any appointed member of the inquiry committee or expert based on bias or conflict of interest within 5 days, the research integrity officer will determine whether to replace the challenged member or expert with a qualified substitute.

D. Charge to the Committee and the First Meeting

The research integrity officer will prepare a charge for the inquiry committee that describes the allegations and any related issues identified during the allegation assessment and states that the purpose of the inquiry is to make a preliminary evaluation of the evidence and testimony of the respondent, complainant, and key witnesses to determine whether there is sufficient evidence of possible scientific misconduct to warrant an investigation. The purpose is not to determine whether scientific misconduct definitely occurred or who was responsible.

At the committee's first meeting, the research integrity officer will review the charge with the committee, discuss the allegations, any related issues, and the appropriate procedures for conducting the inquiry, assist the committee with organizing plans for the inquiry, and answer any questions raised by the committee. The research integrity officer and institutional counsel will be present or available throughout the inquiry to advise the committee as needed.

E. Inquiry Process

When the institution's review of the allegation identifies non-scientific misconduct issues, the research integrity officer should refer these matters to the proper institutional or federal office for action. Issues requiring referral are described below.

6. The Inquiry Report

A. Elements of the Inquiry Report

A written inquiry report must be prepared that states the name and title of the committee members and experts, if any; the allegations; the federal support; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; a description of the evidence in sufficient detail to demonstrate whether and investigation is warranted or not; and the committee's determination as to whether an investigation is recommended and whether

any other actions should be taken if an investigation is not recommended. Institutional counsel will review the report for legal sufficiency.

B. Comments on the Draft Report by the Respondent and the Complainant

The research integrity officer will provide the respondent with a copy of the draft inquiry report for comment and rebuttal and will provide the complainant; if he/she is identifiable, with portions of the draft inquiry report that address the complainant's role and opinions in the investigation.

1. Confidentiality

The research integrity officer may establish reasonable conditions for review to protect the confidentiality of the report.

2. Receipt of Comments

Within 14 calendar days of their receipt of the draft report, the complainant and respondent will provide their comments, if any, to the inquiry committee. Any comments that the complainant or respondent submits on the draft report will become part of the final inquiry report and record. Based on the comments, the inquiry committee may revise the report as appropriate.

C. Inquiry Decision and Notification

1. Decision by Deciding Official

The research integrity officer will transmit the final report and any comments to the deciding official, who will make the determination of whether findings from the inquiry provide sufficient evidence of possible scientific misconduct to justify conducting an investigation. The inquiry is completed when the deciding official makes this determination, which will be made within 60 days of the first meeting of the inquiry committee. Any extension of this period will be based on good cause and recorded in the inquiry file.

2. Notification

The research integrity officer will notify both the respondent and the complainant in writing of the deciding official's decision of whether to proceed to an investigation and will remind them of their obligation to cooperate in the event an investigation is opened. The research integrity officer will also notify all appropriate institutional officials of the deciding official's decision.

D. Time Limit for Completing the Inquiry Report

The inquiry committee will normally complete the inquiry and submit its report in writing to the research integrity officer no more than 60 calendar days following its first meeting, unless the research integrity officer approves an extension for good cause. If the research integrity officer

approves an extension, the reason for the extension will be entered into the records of the case and the report. The respondent will be notified of the extension.

7. Conducting the Investigation

A. Purpose of the Investigation

The purpose of the investigation is to explore in detail the allegations, to examine the evidence in depth, and to determine specifically whether misconduct has been committed, by whom, and to what extent. The investigation will also determine whether there are additional instances of possible misconduct that would justify broadening the scope beyond the initial allegations. The findings of the investigation will be set forth in an investigative report.

B. Sequestration of the Research Records

The research integrity officer will immediately sequester any additional pertinent research records that were not previously sequestered during the inquiry. This sequestration should occur before or at the time the respondent is notified that an investigation has begun. The need for additional sequestration of records may occur for any number of reasons, including the institution's decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured. The procedures to be followed for sequestration during the investigation are the same procedures that apply during the inquiry.

C. Appointment of the Investigation Committee.

The research integrity officer, in consultation with other institutional officials as appropriate, will appoint an investigation committee and the committee chair within 10 days of the notification to the respondent that an investigation is planned or as soon thereafter as practicable. The investigation committee should consist of the appropriate standing institutional committee (e.g., the Professional Conduct Review Committee if the respondent is a Faculty member) supplemented by at least three individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegations, interview the principals and key witnesses, and conduct the investigation. These individuals may be scientists, administrators, subject matter experts, lawyers, or other qualified persons, and they may be from inside or outside Oberlin College. Individuals appointed to the investigation committee may also have served on the inquiry committee.

The research integrity officer will notify the respondent of the proposed committee membership within 5 days. If the respondent submits a written objection to any member of the investigation committee or expert, the research integrity officer will determine whether to replace the challenged member or expert with a qualified substitute.

D. Charge to the Committee and the First Meeting

1. Charge to the Committee

The research integrity officer will define the subject matter of the investigation in a written charge to the committee that describes the allegations and related issues identified during the inquiry, defines scientific misconduct, and identifies the name of the respondent. The charge will state that the committee is to evaluate the evidence and testimony of the respondent, complainant, and key witnesses to determine whether, based on a preponderance of the evidence, scientific misconduct occurred and, if so, to what extent it occurred, who was responsible, and how serious was the misconduct.

During the investigation, if additional information becomes available that substantially changes the subject matter of the investigation or would suggest additional respondents, the committee will notify the research integrity officer, who will determine whether it is necessary to notify the respondent of the new subject matter or to provide notice to additional respondents.

2. The First Meeting

The research integrity officer, with the assistance of institutional counsel, will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The investigation committee will be provided with a copy of these instruction and any appropriate federal regulations.

E. Investigation Process

1. Elements of the Investigation Report

The final report submitted to the federal agency must describe the policies and procedures under which the investigation was conducted, describe how and from whom information relevant to the investigation was obtained, state of the findings, and explain the basis for the findings. The report will include the actual text or an accurate summary of the views of any individual(s) found to have engaged in misconduct as well as a description of any sanctions imposed and administrative actions taken by the institution.

2. Comments on the Draft Report

a. Respondent

The research integrity officer will provide the respondent with a copy of the draft investigation report for comment and rebuttal. The respondent will be allowed 10 days to review and comment on the draft report. The respondent's comments will be attached to the final report. The findings of the final report should take into account the respondent's comments in addition to all the other evidence.

b. Complainant

The research integrity officer will provide the complainant, if he/she is identifiable, with those portions of the draft investigation report that address the complainant's role and opinions in the investigation. The report should be modified, as appropriate, based on the complainant's comments.

c. Institutional Counsel

The draft investigation report will be transmitted to the institutional counsel for a review of its legal sufficiency. Comments should be incorporated into the report as appropriate.

d. Confidentiality

In distributing the draft report, or portions thereof, to the respondent and complainant, the research integrity officer will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the research integrity officer may request the recipient to sign a confidentiality statement or to come to his/her office to review the report.

3. Institutional Review and Decision

The investigation committee's report constitutes the final investigation report for purposes of federal agency review.

When a final decision on the case has been reached, the research integrity officer will notify both the respondent and the complainant in writing. In addition, the deciding official will determine whether law enforcement agencies, professional societies, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case. The research integrity officer is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

F. Transmittal of the Final Investigation Report to the Relevant Federal Agency

After comments have been received and the necessary changes have been made to the draft report, the investigation committee should transmit the final report with attachments, including the respondent's and complainant's comments, to the deciding official, through the research integrity officer. The deciding official shall submit the report to the relevant federal agency.

G. Time Limit for Completing the Investigation Report

An investigation should ordinarily be completed within 120 days of its initiation, with the initiation being defined as the first meeting of the investigation committee. This includes conducting the investigation, preparing the report of findings, making the draft report available to the subject of the investigation for comment, submitting the report to the deciding official for

approval, and submitting the report to the relevant federal agency.

8. Requirements for Reporting to Federal Agency – Office of Research Integrity (ORI) – if Public Health Service (PHS) Support or Applications for Support are Involved

A. An institution's decision to initiate an investigation must be report in writing to the Director, ORI, on or before the date the investigation begins. At a minimum, the notification should include the name of the person(s) against whom the allegations have been made, the general nature of the allegation as it relates to the PHS definition of scientific misconduct, and the PHS applications or grant number(s) involved. ORI must also be notified of the final outcome of the investigation and must be provided with a copy of the investigation report. Any significant variations from the provisions of the institutional policies and procedures should be explained in any reports submitted to ORI.

B. If an institution plans to terminate an inquiry or investigation for any reason without completing all relevant requirements of the PHS regulations, the research integrity officer will submit a report of the planned termination to ORI, including a description of the reasons for the proposed termination.

C. If the institution determines that it will not be able to complete the investigation in 120 days, the research integrity officer will submit to ORI a written request for an extension that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the request is granted, the research integrity officer will file periodic progress reports as requested by the ORI.

D. When PHS funding or applications for funding are involved and an admission of scientific misconduct is made, the research integrity officer will contact ORI for consultation and advice. Normally, the individual making the admission will be asked to sign a statement attesting to the occurrence and extent of misconduct. When the case involves PHS funds, the institution cannot accept an admission of scientific misconduct as a basis for closing a case or not undertaking an investigation without prior approval from ORI.

E. The research integrity officer will notify ORI at any stage of the inquiry or investigation if any of the following apply:

1. there is an immediate health hazard involved;
2. there is an immediate need to protect Federal funds or equipment;
3. there is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;
4. it is probable that the alleged incident is going to be reported publicly;
5. the allegation involves a public health sensitive issue;
6. there is a reasonable indication of possible criminal violation. In this instance, the institution must inform ORI within 24 hours of obtaining that information.

9. Institutional Administrative Actions

Oberlin College will take appropriate administrative actions against individuals when an allegation of misconduct has been substantiated. If the Deciding Official determines that the alleged misconduct is substantiated by the findings, he/she will recommend the appropriate actions to be taken, after consultation with the research integrity officer. The actions may include:

- a. withdrawal or correction of all pending or published abstracts and papers emanating from the research where scientific misconduct was found;
- b. removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;
- c. restitution of funds as appropriate.

10. Other Considerations

A. Termination of Institutional Employment or Resignation Prior to Completing Inquiry or Investigation

The termination of the respondent's institutional employment, by resignation or otherwise, before or after an allegation of possible scientific misconduct has been reported, will not preclude or terminate the misconduct procedures.

If the respondent, without admitting to the misconduct, elects to resign his/her position prior to the initiation of an inquiry, but after an allegation has been reported, or during an inquiry or investigation, the inquiry or investigation will proceed. If the respondent refuses to participate in the process after resignation, the committee will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the committee's review of all the evidence.

B. Restoration of the Respondent's Reputation

If the institution finds no misconduct and the federal agency concurs, after consulting with the respondent, the research integrity officer will undertake reasonable efforts to restore the respondent's reputation. Depending upon the particular circumstances, the research integrity officer should consider notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in forums in which the allegation of scientific misconduct was previously publicized, or expunging all reference to the scientific misconduct allegation from the respondent's personnel file. Any institutional actions to restore the respondent's reputation must first be approved by the deciding official.

C. Protection of the Complainant and Others

Regardless of whether the institution determines that scientific misconduct occurred, the research integrity officer will undertake reasonable efforts to protect complainants who made allegations of scientific misconduct in good faith and others who cooperate in good faith with inquiries and investigations of such allegations. Upon completion of an investigation, the deciding official will determine, after consulting with the complainant, what steps, if any, are needed to restore the position or reputation of the complainant. The research integrity officer is responsible for implementing any steps the deciding official approves. The research integrity officer will also take appropriate steps during the inquiry and investigation to prevent any retaliation against the complainant.

D. Allegations Not Made in Good Faith

If relevant, the deciding official will determine whether the complainant's allegations of scientific misconduct was made in good faith. If an allegation was not made in good faith, the deciding official will determine whether any administrative action should be taken against the complainant.

E. Interim Administrative Actions

Institutional officials will take interim administrative actions, as appropriate, to protect federal funds and ensure that the purposes of the federal financial assistance are carried out.

11. Record Retention

After completion of a case and all ensuing related actions, the research integrity officer will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other materials furnished to the research integrity officer or committees. The research integrity officer will keep the files for three years after completion of the case to permit later assessment of the case. If the case involved research supported by PHS or for which support from PHS had been requested, ORI or other authorized Department of Health and Human Services personnel will be given access to the records upon request.

L. Research Involving Human Subjects

Oberlin College affirms that human research subjects should be treated with dignity, respect, and with due regard for their welfare. The Institutional Review Board (IRB) is charged with reviewing research involving human subjects performed under College auspices. The IRB must review all research involving human participants conducted by Faculty or students prior to any contact by Faculty or students with human participants. Further information is available from the chair of IRB and at their website: <http://new.oberlin.edu/office/dean-of-the-college-of-arts-and-sciences/irb/>

M. Research Involving Animals

All research involving the use of vertebrates must be approved by the Institutional Animal Care and Use Committee (IACUC). IACUC is responsible for ensuring that all appropriate guidelines

are met for the humane care and use of laboratory animals, including breeding colonies. Any Faculty member, staff member, or student using vertebrates in their teaching or research must submit a proposal to IACUC, which must approve of the use before it takes place. Further information is available from the chair of IACUC.

N. Facilities Information

1. Classroom Space

The assignment of classrooms for the College of Arts and Sciences is the responsibility of the Registrar. Conservatory of Music assignments are made by the Office of the Dean of the Conservatory. Assignments for one semester do not continue into the following semester. To accommodate changes in class size and in course offerings it usually is necessary to shift classroom assignments from one semester to the next. Such changes may be necessary even when making them requires the movement of installed equipment (e.g., maps).

2. Office Space

The assignment of office space and secretarial services is a responsibility of the Division Dean. To ensure efficient sharing of clerical service, secretarial personnel are assigned to departments or programs, rather than to individual members of the Faculty. The chair or director is also responsible for the facilities, equipment, and supplies assigned to the department or program, subject to such consultation in respect to use as may be customary in the department or program.

3. Keys to Offices and Buildings

After obtaining a key requisition form from the appropriate building representative, a new Faculty member may pick up keys for his or her office and building entrance at the Office of Facilities Operations. Other keys for laboratories, seminar rooms, etc., are also available at the Facilities Operations office if authorized by the building representative. No charge is made to a Faculty member for the first key issued or for the replacement of damaged or broken keys; however, a replacement charge will be collected for keys lost or stolen. The locking of individual offices is the responsibility of the occupant. Faculty members entering a building during hours when it is not open to the public are responsible for the security of the building; they should exercise care to see that entry doors are not left unlocked and that unauthorized persons are not admitted. The right to hold a key is not transferable and in no case should a key be loaned or duplicated. Keys should be returned promptly to the Physical Plant Office when the holder's duties no longer require access to the office or building. Loss of keys should be reported at once to the Facilities Operations office.

O. Responsibility for Personal Property on College Premises

Items of personal property, such as books, computers, typewriters, and musical instruments, are frequently kept in Faculty and administrative offices or studios. The College does not carry insurance on such property and, thus, does not assume responsibility for its protection or safety. Faculty members are urged to review the terms of their personal insurance policies to ascertain whether losses to their personal property would be covered. If a loss of personal property is incurred that resulted from the failure of some building component (such as a leaking roof) or negligence on the part of the College, a claim for the portion of the loss that is not reimbursed by personal insurance may be submitted for consideration to the Director of Purchasing and Auxiliary Services for reimbursement provided such property contributed directly to execution of the individual's work at the College.

P. Business Conduct Policy

Oberlin College has implemented a separate Business Conduct Policy, which can be found on the Human Resources website, that applies to College employees involved in various business transactions and addresses a variety of general business and ethical issues. Members of the Faculty involved in business transactions on behalf of the College should comply with the terms of the Business Conduct Policy.

Q. Electronic Communication

Oberlin College provides Members of the Faculty with access to computers, electronic mail (e-mail), internet, voice mail and related communication technologies to support professional activities. These resources are made available as business and communication tools and are to be used solely for the legitimate business purposes of the College.

All such communications technology and devices, including but not limited to computer usage, internet access, e-mail and voice mail, are College property, including the communications transmitted using these devices. Such communications should not be considered private. All e-mail and voice mail messages and computer usage histories are College records. The College reserves the right to access, monitor and disclose e-mail and voice mail messages and computer usage histories for any purpose. However, unauthorized employees should not attempt to gain access to another Faculty Member or employee's computer, e-mail or voice mail.

College e-mail, voice mail and other information systems are not to be used in a way that may be disruptive or offensive to others. Similarly, College computers may not be used to send or receive materials that may be disruptive or offensive, nor may they be used to access any information from any on-line or other source that may be disruptive or offensive to others.

Electronic communications are subject to the College's strict policies regarding sexual and workplace harassment.

VI. BENEFIT PROGRAMS

The College presently offers the following benefit programs to eligible employees:

A. RETIREMENT ANNUITY PLAN

B. SUPPLEMENTAL RETIREMENT ANNUITIES

C. FEDERAL SOCIAL SECURITY

D. RETIREMENT BENEFITS

E. SHORT TERM/LONG TERM DISABILITY

F. LONG TERM CARE INSURANCE

G. LIFE AND ACCIDENTAL DEATH INSURANCE

H. GROUP HEALTH INSURANCE PROGRAM

I. GROUP VISION INSURANCE

J. GROUP DENTAL INSURANCE

K. WORKERS' COMPENSATION

L. EMPLOYEE ASSISTANCE PROGRAM

M. RELOCATION EXPENSES

N. FACULTY CHILDREN'S TUITION SCHOLARSHIPS

O. TUITION WAIVERS FOR SPOUSES

P. FACULTY HOUSING

Full descriptions that are required under the Employee Retirement Income Security Act of 1974 (ERISA) are available in the Office of Human Resources. The summaries that follow are only broad outlines of the main provisions. Specific questions regarding individual cases should be directed to the Office of Human Resources. All employee benefit programs are subject to

approval and revision by the Oberlin College Board of Trustees. Actual plan documents govern your benefits rights. To the extent there are any inconsistencies in the general descriptions below and the actual plan documents and summary plan descriptions, the terms of the plan documents and summary plan descriptions shall govern.

Employees interested in applying for or changing their coverage under any of these benefit plans should consult with the Office of Human Resources, Service Building, 2nd Floor, ext. 58430.

A. Retirement Annuity Plan (RA)

The College has a Retirement Annuity Plan for eligible employees that is administered by the Teachers Insurance and Annuity Association (TIAA). Faculty on full-time regular appointments or on temporary or part-time appointments of at least four-ninths of a full-time appointment automatically begin participation in the plan after completing one year of service and attaining age 26. Enrollment information is available in the Office of Human Resources.

Each Faculty member participating in the plan enters into a deferred annuity contract with TIAA and is vested immediately. The College will make the required contributions to the Plan in the amounts described in the schedule below. Participants may also make additional Plan contributions on their own behalf after attaining one year of service. All Plan contributions by participants will be deducted from salary on a pre-tax basis.

	Percent of Salary Contributed			
	Age 26-34	Age 35-44	Age 45-54	Age 55+
On 1 st \$100,000 of salary	5.0	8.0	10.0	12.0
On salary in excess of \$100,000	5.0	8.0	8.0	8.0

For more information, refer to the SPD or contact the Human Resources Office.

B. Supplemental Retirement Annuity Plan (SRA)

Regardless of eligibility for the regular retirement annuity plan, all Faculty are eligible to participate in the Supplemental Retirement Annuities (SRAs) under tax-deferred annuity plans administered by TIAA. Participation in the tax-deferred SRA plan is voluntary with no College contribution. Detailed information is available from the Human Resources Office.

C. Federal Social Security

Oberlin College employees are covered by the provisions of the Social Security Act as amended. Retirement benefits paid under Social Security are in addition to the TIAA-CREF retirement annuities discussed above.

New Faculty members must register their Social Security number with the Human Resources Office upon employment.

The College will withhold and pay to the Federal Government the required FICA contribution by employees, and will also pay the corresponding FICA contribution by the employer.

D. Retirement Benefits

A retirement benefits description is available from the Office of Human Resources Office or at the Office of Human Resources Website.

The minimum requirements for retirement from the college are ten years of service and age 52.

E. Short Term/Long Term Disability

When a Faculty member in a continuing tenure or tenure-track appointment or beyond the first year of a non-continuing appointment becomes disabled from an accident or illness, the College continues to pay the Faculty member's regular monthly salary for up to 6 months based on medical documentation. A supporting letter from a licensed physician must accompany an application for such short-term disability leave. If, based on medical documentation, the Faculty member needs to be off work past 6 months, the Faculty member must apply for long-term disability leave, under which the plan provides the Faculty member with a monthly income of 60% of base monthly salary up to a maximum benefit of \$10,000 per month. Such payment will

be reduced by deductible sources of income and disability earnings (including payments from Workers' Compensation and/or Social Security).

F. Long Term Care Insurance

Oberlin provides optional insurance, through a plan administered by UNUM, for long-term care, received either at home or in a facility. In addition to employees, eligible family members may also enroll. Details are available from the Human Resources Office or on the Human Resources website.

G. Life and Accidental Death Insurance

All Faculty members working the equivalent of four-ninths or more are eligible to participate in the group life insurance program. Basic Life and Accidental Death and Disability insurance is funded by Oberlin College. The coverage amount is one times the employee's annual salary up to a maximum of \$200,000.

Faculty may apply to purchase additional Life and Accidental Death and Disability insurance. Coverage may be purchase up to five times the employee's annual salary up to a maximum of \$500,000. Lesser coverage can also be obtained for the participant's spouse and other family members.

See the plan document (available from the Human Resources office) for more details.

H. Group Health Insurance Program

Faculty on appointments of four-ninths or more are eligible to participate in the College's group health insurance program. The plan provides hospital, surgical, mental health, substance abuse, pharmaceutical and major medical benefits. Details of the plan are , described at length in the Summary Plan Document available from Human Resources.

The health plan coverage is linked to Flexible Spending Accounts or Health Savings Accounts depending on the plan selected.

Dependent children of Faculty and A&PS enrolled at Oberlin are covered under the College health-benefits plan and are not required to participate under the student health care program. Students who select this option would neither pay the Health Fee nor have access to student health services covered by that fee. Their health care would be provided through the College health-benefits program. Students participating in intercollegiate athletics will continue to be required to obtain supplemental coverage through the Student Sickness and Accident Insurance Plan.

The College offers retiree health insurance. For details, see the Summary Plan Document for Retiree Health, available in the Human Resources Office.

I. Group Vision Insurance

Oberlin provides optional, employee-paid, vision insurance through a plan that is administered by a third party administrator. Details are available from the Human Resources Office.

J. Group Dental Insurance

Oberlin provides optional, employee-paid, dental insurance, administered by a third party administrator. Details are available from the Human Resources Office.

K. Workers' Compensation

Faculty members are covered by the State of Ohio Workers' Compensation Law, which provides partial payment for death, hospital and medical expenses, and disability due to injury or illness sustained in the course of employment. It is very important, therefore, that the department head or director be notified promptly if any job-related injury occurs. All injuries must be reported on an Employee Accident Report, sending a copy within 24 hours to the Environmental Health and Safety officer and a copy within 48 hours to Human Resources. Employees must also complete Workers' Compensation claim forms which are available in Human Resources. Hospital and medical expenses covered by Workers' Compensation are not covered by the College Group Health Insurance Program. Workers' Compensation is fully funded by the College through payments to the Ohio Bureau of Workers' Compensation.

L. Employee Assistance Program

The College has instituted an employee assistance program that provides referrals and assistance for personal problems such as physical illness, mental or emotional stress, alcoholism, and drug dependency. Administered by Human Resources and the Counseling Center, the Employee Assistance Program helps supervisors, department heads, and employees identify these problems and provide prompt referral to appropriate resources. The consultation is intended to help the employee define the problem and explore alternatives for remedy. Referral for appropriate treatment may be suggested. Employee benefit plans may pay for some or all of the cost of any treatment that is necessary.

It is the employee's responsibility to seek assistance from the Employee Assistance Program prior to reaching a point where his or her judgment, performance, or behavior has led to imminent disciplinary action. Participation in the Employee Assistance Program after the disciplinary process has begun may not preclude disciplinary action, up to and including termination of employment.

M. Relocation Expenses

The College will pay the first \$1,000 of actual moving expenses of household goods and half of the additional moving expenses of the next \$2,000, up to a maximum College payment of \$2,000. If requested, the College will pay the carrier directly and extend an interest-free loan to cover additional costs of moving household goods. Personal travel expenses are not covered by the College's relocation assistance policy. Contact the Oberlin College Director of Purchasing and Auxiliary Services for details.

N. Faculty Children's Tuition Scholarships

Subject to further determination of the Board, from time to time, as may seem desirable to the Board, the Board of Trustees has adopted the program outlined below with respect to tuition remission for children of Faculty. The Board hopes to continue this program, but cannot foresee all possible eventualities, and makes no future commitment.

For Faculty whose appointment became effective on or before June 30, 1972, and who have served continuously since that time: children of such employees shall be entitled to scholarship in the amount of the tuition charged at the institution attended, or tuition at Oberlin College, if admitted.

Faculty whose appointment became effective on July 1, 1972, or thereafter, up to December 31, 1975, and who has served continuously since that time: children of such employees shall be entitled to receive a full tuition scholarship at Oberlin College, if admitted. If attending another college the scholarship will be eighty (80) percent of the Oberlin College tuition which is in effect during the year for which payment is made, or the tuition of the institution attended, whichever is less.

Faculty whose appointment became effective on January 1, 1976, or thereafter, up to June 30, 2010, and who has served continuously since that time: children of such employees shall be entitled to receive a full tuition scholarship at Oberlin College, if admitted. If attending another college the scholarship will be fifty (50) percent of the Oberlin College tuition which is in effect during the year for which payment is made, or the tuition of the institution attended, whichever is less.

Faculty whose appointment became effective on July 1, 2010, or thereafter, and who has served continuously since that time: children of such employees shall be entitled to receive a full tuition scholarship at Oberlin College, if admitted, or tuition exchange if admitted to a GLCA school. If attending another college the scholarship requires a four (4) year vesting period. After the vesting period the scholarship will be fifty (50) percent of the Oberlin College tuition which is in effect

during the year for which payment is made, or the tuition of the institution attended, whichever is less. The vesting period does not apply to the Oberlin College tuition or participating in the GLCA tuition exchange.

Faculty with an FTE greater than half-time would be eligible although any FTE less than one full FTE would have the tuition prorated. There is no benefit for an employee with an appointment less than half-time.

Non-continuing Faculty would receive tuition benefit(s) only if the four (4) year vesting has been satisfied.

The program has specific limitations concerning conditions children must meet. While the following is not a complete list, these conditions are of particular note.

1. The student must be "not over age 25." This provision is interpreted to mean that the student will not have reached his or her 26th birthday as of the first day of classes of the semester or quarter for which the scholarship is requested.
2. The student must be a "natural or legally adopted" child. Stepchildren, foster children, and other dependents who are not legally adopted by the employee are ineligible.
3. The student must be a "dependent" child. This is interpreted to mean that the eligible employee must have claimed the child as a dependent on his or her most recent federal income tax return. In practice, an employee should claim the child in the calendar year preceding college enrollment.
4. The student must have been born before the date of his or her employee-parent's retirement.
5. If the eligible employee dies, either: a) the eligible employee's spouse must not be remarried and he or she must claim the student as a dependent or b) the student must be an orphan who has not been legally adopted by another person who is ineligible for the benefit.
6. The student is eligible to receive the benefit for eight full-time undergraduate semesters or 12 full-time undergraduate quarters. Payment is limited to tuition or instructional fees. Other mandatory fees are not covered under this program.
7. The student must be enrolled at an institution that is approved by one of the regional accrediting agencies.

Further information about the children's tuition remission plan may be obtained in the Human Resources Office.

O. Tuition Waivers for Spouses

Tuition remission is available to spouses of Faculty, subject to the following:

1. Spouses of members of the Faculty may take one course per semester without tuition charge provided no regular student is on a waiting list for that class and the other conditions of the program listed below are met.
2. Applicants must have a High School Diploma and be accepted to Oberlin College as a special or regular student. Once enrolled, the students will be subject to all College regulations governing academic performance.
3. Only one course per semester may be taken under this program. Private Reading courses and applied studies in the Conservatory are not eligible for tuition remission.
4. Consent of the instructor is required for enrollment in any course under this program.
5. Eligibility for one's spouse for this program requires that one be on a Faculty appointment of at least 4/9 of an academic year.

Spouses seeking tuition remission should apply prior to enrollment at the Office of the Registrar. Persons seeking a degree from Oberlin College should also apply for admission to the College through the appropriate divisional office of admissions. Spouses utilizing this program must register at the beginning of the add/drop period. Please note: Regular degree seeking students will be given priority for all enrollments.

If a spouse wishes to officially audit a course, the spouse must also be officially registered for a course; the tuition waiver does not cover the auditor's fee. Alternatively, sometimes arrangements can be made with an individual instructor to audit a course on an informal basis, in which case there is no auditor fee. Complete information about auditing courses is available from the Registrar's Office.

The College assumes no responsibility for the taxes or tax penalties assessed and will make withholding deductions where required without reimbursement to members of the Faculty.

P. Faculty Housing

A limited number of College-owned houses or apartments are available for rental by Faculty. Normally, occupancy of College rental housing is limited to the end of the fiscal year in which tenure is granted. Further information may be obtained from the Rental Property Manager in the Service Building.

Amendment History

Endorsement of the Nondiscrimination Statement, Nondiscrimination and Anti-Harassment Policy, Prohibited Relationships Policy, and Title IX Sexual Harassment Policy was approved by the General Faculty Council on August 10, 2020.

Amendment to the Professional Conduct Review Committee and Mediation Committee provisions was approved by the General Faculty on May 19 and 21, 2021.

Approval of the Faculty Formal Resolution Process for Alleged Violations of Office of Equity, Diversity and Inclusion Policies was approved by the General Faculty on May 19, 2021.

INDEX

A

AAUP, 16, 24
 Statement of Professional Ethics, 25
Academic Freedom, 16, 24
Academic Honor System, 50
Academic Responsibilities, 39
Accidental Death Insurance, 95
Adjunct Faculty, 5, 12
Advising, 7, 8, 10, 71
Affirmative Action, 11
Americans with Disabilities Act, 53
Animals, Research Involving, 89
Annuity Plan, 93
Appointments, 10
Assistant Professor, 11
Associate Professor, 11
Attendance, Class, 39, 40
Audit, Spouse, 99
Audits, Student, 40

B

Benefit Programs, 92
Building Keys, 90
Business Conduct Policy, 91

C

Calendar of Personnel Actions, 13, 21
Children's Tuition Scholarships, 97
Classes, Conduct of, 39
Classroom Responsibilities, 39
Classroom Space, 90
College Educational Plans and Policies Committee, 7
College Faculty
 Meetings, 7
 Membership, 6
College Faculty Council, 6
Committees of the Faculty, 7
Conflict of Interest
 College of Arts and Sciences, 15
 Conservatory, 22
Conservatory Faculty
 Meetings, 7
 Membership, 6
Conservatory Faculty Council, 6
Contracts, Research, 55
Councils, Faculty, 6
Course Evaluations
 of Courses, 44
Course Material, 39

D

Dental Insurance, 96
Department Chairs
 College of Arts and Sciences, 8
 Conservatory of Music, 9
Disabilities, Students with, 53
Disability Insurance, 94
Divisional Faculties, 6
Divisions, Conservatory, 9
Domestic partnership, 70
Drug-Free Workplace Policy, 61

E

Educational Plans and Policies Committee, 7
Electronic Communication, 91
Employee Assistance Program, 96
Employment
 of Spouses, Partners, 61
 Summer, 74
ERISA, 92
Ethics, Professional, 25
Evaluations
 of Faculty
 Arts and Sciences, 13
 Conservatory, 21
Examinations
 Applied Music, 10

F

Family and Medical Leave, 65
Federal Social Security, 94
Films, Policy for Showing, 75
Final Grades, 51

G

General Faculty
 Meetings, 7
 Membership, 6
General Faculty Council, 6
Graders, 44
Grades
 Appeals, 52
 Changing a Grade, 51
 Final Grades, 51
 Grading System, 51
 Incomplete, 43
Grants
 Grants-in-aid, 57
 Powers Travel Awards, 57
 Research Status, 55

Teaching Grants, 58
Grievance Procedures, 34

H

Health Insurance, 95
Honor System, 50
Housing, Faculty, 99
Human Subjects, Research Involving, 89

I

IACUC, 89
Incomplete Grades, 43
Institutional Review Board (IRB), 89
Instructor, 11
Insurance
 Accident (Workers' Comp), 96
 Dental, 96
 Disability, 94
 Health, 95
 Life and Accidental Death, 95
 Long Term Care, 95
 Vision, 96
Irregular Students (Conservatory), 75

K

Keys to Offices and Buildings, 90

L

Leaves of Absence
 Adoption Leave, 71
 Benefits During Leave, 73
 Coordination of Leave Policies, 73
 Family and Medical Leave, 65
 Maternity leave, 70
 Mid-Probationary Leaves, 63
 Other Leaves Without Pay, 72
 Parental Leave, 69
 Sabbatical Leave, 62
Lecturer, 12
Life Accidental Death Insurance, 95
Long Term Care Insurance, 95

M

Maternity leave, 70
Mediation Committee. *See* Grievance Procedures
Meeting of Classes, 45
Meetings, Faculty, 7
Meetings, Professional, 55
Moving Expenses, 97

O

Office Keys, 90
Office of Sponsored Programs, 55
Office Space, 90

Outside Work, 74

P

Parental leave, 71
Part-time Faculty, 12
Personal Property, Responsibility for, 90
Powers, H.H., Travel Awards, 57
Private Reading Courses, 46
Professional Conduct Review Committee, 26
Professional Ethics, 25
Professional Meetings, 55
Professor, 11
Program Directors, 8
Promotions, 10, 13

R

Ranks. Faculty, 11
Reading Courses, Private, 46
Reading Period, 41
Reappointment, 10, 13
 College of Arts and Sciences, 15
 Conservatory, 24
Records, College Policy, 52
Reimbursement for Travel, 55
Relocation Expenses, 97
Research and Development, 55
Research Contracts, 55
Research Status, 55
Retirement, 93, 94
Retirement Annuity Plan, 93

S

Sabbatical Leaves, 62
Salary
 Changes in, 6
 Dept. Recommendations, 9
 Grievance, 34
 Lists, 60
 Payment, 60
Schedules, Class, 45
Scholarships, Faculty Children, 97
Scientific Misconduct Policy, 76
Sexual Offense Policy, 61
Short Term Disability Insurance, 94
Smoking Policy, 75
Social Security, 94
Sponsored Programs Office, 55
Spousal Tuition Remission, 98
Spouses, Employment of, 61
Summer Employment, 74
Summer Grants-in-Aid, 57
Supplemental Retirement Annuities, 94
Support at Professional Meetings, 55
Support Programs, 55
Syllabus, 39

T

Teacher, 12
Tenure, 13
 College of Arts and Science, 16
 Conservatory, 24
Term of Appointment, 12
Term-Limited Appointments, 12
Textbooks. *See* Course Materials
TIAA, 93
Totally Disability Insurance, 94
Travel Awards, H.H. Powers, 57
Travel Reimbursement, 55

Tuition Remission, 97
Tuition Waivers for Spouses, 98

V

Video, Policy for Showing, 75
Vision Insurance, 96
Visiting Faculty, 12

W

Winter Term, 48