THE
OBERLIN
COLLEGE
FACULTY
GUIDE

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Office of the Secretary
100 Cox Administration Building
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ACADEMIC RESPONSIBILITIES AND PROFESSIONAL OBLIGATIONS

A. 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, and/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/artistic performance. Specific evidence related to these criteria will be considered in every instance of evaluation. Because Oberlin places such high value on teaching, a person offered initial appointment 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 relevant legislation passed by the several faculties as implemented by the Councils. Oberlin College is an Affirmative Action/Equal Opportunity employer. The College has no restrictions on employing spouses or immediate family on the teaching faculty or Administrative and Professional Staff. (Guidelines may be found in Appendix A.) The following statements set forth the qualifications expected of persons holding the several faculty ranks at Oberlin College.

Instructor: An appointment to the faculty at this rank will normally presume little teaching experience but an excellent prior academic record and good 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 reveal 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. The granting of tenure normally is accompanied by promotion to the rank of Associate Professor.

Professor: In addition to the requirements for Associate Professor, excellent teaching, scholarly or creative production of recognized merit, and good promise that such teaching and scholarly activity 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.

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 will assume all normal nonteaching 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 not to exceed their fractional appointments.

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, or as Lecturer, or as Teacher. Normally, an appointment with adjunct status carries no
stipend from Oberlin College. Individuals with adjunct status should be recognized authorities in their field; they are entitled to offer courses; and they hold membership in the appropriate divisional faculty without vote. The only persons entitled to appointment as Lecturers are (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 and/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. Adjunct Professors and Teachers are not eligible for paid leaves, College benefits or tenure consideration. Lecturers are not eligible for paid leaves or tenure consideration.

1. Term of Appointment
The term of an initial appointment to the Oberlin faculty should normally be four years with a normal term of reappointment not to exceed three years. 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 for a term of two years, with the provision that the appointment is automatically renewable for two years, but if and only if all requirements for the degree have been completed by December 1 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.

2. Reappointment
The term of an initial appointment is specified. No position is assured of continuation beyond the specified term of appointment. Reappointment therefore depends on the authorization to continue a position and the positive evaluation of the faculty member who occupies it. Normally, reappointment will not be offered to persons who have not completed subject matter training to the standard commonly expected of specialists in the field (for example, in the fields in which this degree is appropriate, the Ph.D.). The credentials and performance of candidates for reappointment will be evaluated in terms of the standards set forth above and through the procedures indicated below.

3. Evaluations
The evaluation of members of the faculty for salary consideration, promotion, tenure, and reappointment is carried out through the regular procedures approved by the respective divisional faculties. Although specific procedures vary according to differences in the organization of the divisions, they have in common stipulations about the gathering of information, manner of deliberating, notification of decisions, and review of decisions upon request of the faculty member. The procedures as set forth in detail are available in the offices of the deans, with whom members of the faculty are encouraged to discuss any of these matters as they wish. (See Appendix B for Recommendation 2 of the Ad Hoc Committee on the Status of Women at Oberlin, as passed by the College of Arts and Sciences and the Conservatory of Music.)

B. TENURE

1. Full-time Faculty
Oberlin College supports and observes the criteria laid down in the 1940 AAUP Statement of Principles on Academic Freedom and Tenure. Tenure is not granted as a matter of course. It is granted only to those persons whose probationary performance as teachers and scholars meets the standards of excellence expected of faculty members at Oberlin. 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. A positive decision about tenure should be based on 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.

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.

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

The granting of tenure can be considered by the divisional faculty councils in the spring of a faculty member's fifth or sixth year of service, on the basis of performance in the preceding years. A recommendation for tenure may be made in the third or fourth year only if required (in accordance with AAUP policy) because a faculty member has taught full-time before coming to Oberlin, or if there are other compelling reasons for an early decision. In any case, a tenure decision will be made not later than the spring of the sixth year of service at Oberlin.

For faculty members appointed as Assistant Professors or Instructors, equivalent service up to a maximum of three years in a U.S. college or university, after completion of subject-matter training expected in the relevant field, shall normally count toward the probationary period. Oberlin reserves the right to maintain a probationary period of up to four years, in accordance with the published guidelines of the American Association of University Professors, but in exceptional cases it may agree, upon petition of the individual at the time of initial appointment, to waive part or all of such equivalent service (in which case, the waiver will be specified in the letter of initial appointment). For faculty members appointed as Associate Professors or Professors, a tenure decision will not normally be made until the end of the second year, even for those who have held appointment with tenure elsewhere.

(For additional details, see the policy on Faculty Service adopted by the General Faculty on January 21, 1975 and subsequently approved by the Board of Trustees, Appendix C.)

2. Part-time Faculty

Each year of service at a half-time or greater rate will earn one year toward tenure consideration. Here, consideration refers to the right of a person to be evaluated 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, but may not be employed without tenure after accrual of a total of seven years toward tenure consideration, as just defined.

As with full-time faculty, there is no option whether or not to be on a tenure “track”—it is mandatory.

Part-time faculty may be given tenure to a fractional position: one-half time, two-thirds time, etc. All tenure positions, whether full- or part-time, must first have secure funding, be recommended by the appropriate faculty councils, authorized by the President, and approved by the Board of Trustees.

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. As a general rule, service at Oberlin or at another institution prior to July 1, 1975 by persons employed part-time will not count toward tenure consideration.

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, the President, and the Board of Trustees.

Promotions and tenure appointments are reported to the faculty each year. The list of merit salary increases, when given, for members of the College and Conservatory faculties is available for inspection in the offices of the respective deans. Each faculty
member may request that salary action in his or her case not be reported on the lists available for inspection by other faculty members.

All of these conditions, except where contravened in individual letters of appointment, took effect July 1, 1975 and are not retroactive. These guidelines are not intended to change in any way the status of persons who have previously received tenure at Oberlin College.

C. FACULTY GRIEVANCE PROCEDURES
The General Faculty Mediation Committee shall, upon petition, review a personnel decision of the General or divisional faculty councils affecting the tenure, terminal reappointment, or non-reappointment of that faculty member. The Committee also may review a personnel decision of the faculty councils affecting the salary or promotion of a faculty member. The Faculty Grievance Procedure can be found in Appendix D.

D. PROFESSIONAL ETHICS AND CONDUCT
Oberlin College endorses the "Statement of Professional Ethics" adopted by the American Association of University Professors. The College expects that all members of the College community will adhere to these standards. Members of the College community--faculty, administrative and professional staff, and students--are expected to conduct themselves with responsibility in their relations with one another both within and outside the classroom.

The General Faculty has endorsed procedures for grievances involving possible sexual harassment, which can be found in Appendix G. Procedures for consideration of other complaints may be found in Appendix H.

The College respects the right of privacy of its faculty and administration, and it values diversity of opinion among its members. However, when conduct in conflict with its purposes or inconsistent with generally accepted standards of responsibility and professional ethics comes to the notice of the College, the College maintains its right to insist on the observance of these standards. Should a faculty member or administrator disapprove of a rule or regulation, it is expected nevertheless that he or she will abide by the rule, while retaining the right to seek its abolition or amendment through established procedures. If a faculty member or administrator is unwilling to comply, he or she may be asked to resign or, in exceptional cases, employment may be terminated upon the initiative of the College.

E. FACULTY ORGANIZATION
1. Divisional Faculties and General Faculty
   All faculty members in the College of Arts and Sciences, 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.

   Each divisional faculty may invite to 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 appropriate legislation. 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 committee of the respective faculty.

   The General Faculty Council consists of the President, the two divisional 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 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 senior appointments, tenure, 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 Tuesday of the month, the Conservatory Faculty on the second Tuesday and the General Faculty on the third Tuesday. Exceptions occur with some frequency and are announced in Oberlin Notes or by individual mailing. Agendas and meeting times for the three faculties are circulated each month. 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 which 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 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 General Faculty Mediation Committee, the Professional Conduct Review Committee, the General Faculty Planning Committee 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 which 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 Service as Student Advisors
a) College of Arts and Sciences
Following College Faculty action in 1958, academic advising of students is the responsibility of all members of the College Faculty except those in their first year of service. In some departments, certain faculty members may be designated to serve as advisors to majors with all other faculty serving as general advisors to first- and second-year students. In most departments, faculty members have a mix of general 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 in Information for Advisors, the advisor’s handbook issued annually by the Student Academic Affairs Office. 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.

b) Conservatory of Music
Assignment of advisors for incoming students is done by the Assistant Dean of the Conservatory in consultation with the faculty. In the performance majors, including jazz, the student’s principal applied teacher also serves as the advisor. In non-performance majors (music education, composition, TIMARA, music history and music theory), 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.

6. Department Chair and Program Directors
   a) College of Arts and Sciences

Department chair and program directors are appointed for a specified term 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 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. The chair or director should prepare and submit a recommendation of the department or program for initial appointment to a duly authorized position.

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 of 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
It is expected that chair and program directors will seek advice from the Dean concerning matters of College policy.

b) Conservatory of Music

Since 1988 the Conservatory has been divided into nine divisions and one program. These include the Divisions of Conducting and Ensembles, Contemporary Music, Music Theory, Musicology, Music Education, Keyboard Studies, Strings, Vocal Studies, Woodwinds, Brass, and Percussion, and the Historical Performance Program.

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 with the Dean and the other directors (EPC and division/program directors). 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 supervise the administrative and technical employees of their division.

Ultimate responsibility for the following matters also rests with the division/program directors, but the detailed work may be delegated as possible:

1. Curriculum, course scheduling, assignment of advisors to majors;
2. Arranging applied music examinations, etc.;
3. Responsibility for departmentally owned or leased equipment (instruments, audio equipment, computers, secretarial equipment, etc.);
4. Responsibility for maintenance of files and records;
5. 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 Associate and Assistant Deans, the division/program directors serve as the Educational Policy Committee of the Conservatory.

F. FACULTY PERSONNEL POLICIES

1. Salary Payment

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.

2. Retirement

The normal retirement age as described in the Summary Plan Document (SPD) for TIAA/CREF is 62. Once an employee begins drawing his/her annuity, no more contributions will be made to the plan. Age 52 is the earliest an employee can retire and be eligible for College-provided benefits (i.e. health insurance). Fully-terminated
employees can begin drawing their retirement annuities at age 55. The latest that fully-terminated employees must begin drawing their annuities is April 1 of the year following the year in which they reach age 70-1/2 or they will be subject to federal tax penalties.

3. **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 (see Section II.E.) 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.

4. **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:
   
   a) 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.
   
   b) 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 divisional 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 Saturday morning) during the College year. Faculty members may accept outside teaching assignments during the academic year 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. 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 divisional 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.

5. **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.

6. **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).

7. Office Space
The assignment of office space and secretarial services is a responsibility of the divisional dean. To insure equitable 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.

8. 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 Physical Plant Department. (Building representatives are listed in the back of the Oberlin College Telephone Directory.) Other keys for laboratories, seminar rooms, etc., are also available at the Physical Plant 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 of $5.00 ($10.00 for a master key) 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 Physical Plant Office.

9. 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 and administrative and professional staff 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 which 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 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. To illustrate, furniture and furnishings owned by a faculty member and placed in the office because of personal preference would not be eligible for reimbursement by the College; books or a computer would be. Theft of personal property would not be covered except under the conditions outlined above.

G. CLASSROOM AND SEMESTER RESPONSIBILITIES
1. Conduct of Classes
All faculty members are expected to meet their classes at regularly scheduled hours and to be available for consultation with students at appointed times. Notification of changes in hours or scheduling should be provided to students well in advance.

Course Material: The selection of materials for a course is made by the individual teacher in consultation with his or her department chair. Course materials for fall semester courses are normally ordered through the Co-op Book Store in the early summer, and no later than November for spring semester courses. The number of students enrolled in the pre-registration in a given course is available from the Office of the Registrar.

Course Syllabus: In the first week of the semester teachers are expected to distribute to each student in their classes a course syllabus which gives the general objectives of that course, the major assignments for the semester, the approximate times of hour examinations during the semester, and the dates on which major papers are due.
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 in 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.

Written Work: All written work required in all courses must be submitted no later than the last day of the Reading Period of each semester or on the last day of class in modular courses that terminate before the end of the semester. No credit may be given for written work handed in after the date unless an Incomplete grade has been obtained. (See course catalog for current policies.)

Mid-term Grade Reports: Following fall and spring breaks, faculty are required to submit tentative grade reports on all students enrolled in their courses. Teachers are urged to take this into account in planning their schedule of examinations and papers, since it is desirable that some formal check on a student’s progress be made before that time; for example, by an hour examination or one or two quizzes. The Registrar supplies the faculty with grade sheets on which the faculty member indicates whether a student is doing satisfactory, borderline, or unsatisfactory work in the classroom. Mid-term grade reports are sent to students the week after the break.

Student Course Changes: Students are eligible to receive credit only in those courses for which they register initially or which they add officially through the Registrar’s Office. Semester courses may be added or dropped no later than the 14th calendar day of the semester. First and second module courses may be added or dropped no later than the 7th calendar day of the module. Semester hour changes in courses with variable credit options must be requested no later than the last day of the reading period. Semester-long courses may be changed to the CR/NE grading option no later than the 28th calendar day of the semester; module courses may be changed to CR/NE no later than the 14th calendar day of the semester.

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.

2. Meeting of Classes

Classes in the College of Arts and Sciences and the Conservatory of Music are scheduled according to two standard cycles:

<table>
<thead>
<tr>
<th>Monday-Wednesday-Friday cycle</th>
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M-W eves.

<table>
<thead>
<tr>
<th>Tuesday-Thursday cycle</th>
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10
Additional Regulations and Notes:
a) All courses of three semester hours or less must use only one time slot in either the Monday-Wednesday-Friday cycle, or the Tuesday-Thursday-Saturday cycle, but not both. Courses that meet more than 150 minutes per week may use both cycles.
b) Classes on the Tuesday-Thursday-Saturday cycle that are scheduled around the traditional noon lunch hour may run late or begin early. Please remember that such flexible scheduling around the traditional noon lunch hour is no longer permissible for classes on the Monday-Wednesday-Friday schedule.
c) 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.
d) Classes of 75 minutes or longer may be scheduled beginning at 4:30 and ending by 6:30 if classes scheduled in these slots have alternative sections in other time slots, and 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.
e) 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 p.m., and the later at 3:30 to 6:30 p.m., so long as classes using the later scheduling option have alternative sections in other time slots, and the sections in other time slots give priority to the enrollment of athletes and musicians with schedule conflicts in the 4:30 to 6:30 time period.
f) Classes may be scheduled during the noon slot on the Monday-Wednesday-Friday session, but departments and programs should be aware that the 1994-95 Educational Plans and Policies Committee has passed the following motions as advice on the scheduling of such classes:
- that departments and programs avoid scheduling noon classes that are required for their majors where alternate choices or multiple sections of classes are not available at other times;
- that departments and programs consider using this time slot first to schedule classes with multiple sections.

3. Warner Concert Hall and Kulas Recital Hall Schedule
Schedules for all performance halls are maintained by the Concert Production Office. Members of the Piano, Voice, String and Wind, Brass and Percussion Departments may select one hour weekly studio class time in one of the performance halls as needed. The Organ Department is assigned fourteen hours of teaching time in Warner Concert Hall each week. In addition each member of the department is assigned one hour per week studio class time.

Additional free hours are posted on the Warner and Kulas Hall Schedule sheets located in the Concert Production Office beginning each Friday at 9:00 a.m. for the following week. Due to the great demand for rehearsal time, each faculty member may then sign for not more than one hour of additional time. If there are free periods remaining after each faculty member has had an opportunity to register for an hour, an additional hour may be signed for after 1:30 p.m. Friday. Only members of the faculty are permitted to sign for times in the performing halls, in person or by written authorization.
Dress Rehearsals: One or two days prior to scheduled Senior and Junior Recitals, two hours of senior recital dress rehearsal time or one hour of junior recital dress rehearsal time may be scheduled by the faculty member responsible for the recital. These hours will be reserved as requested, but the responsibility for making the reservation before 4:30 p.m. on Thursday of the previous week falls entirely on the faculty member.

Faculty and Guest Recitals: Two hours dress rehearsal time may be scheduled per faculty or guest recital. It is the responsibility of the faculty member giving the recital or sponsoring the guest to request time no later than 4:30 p.m. on Thursday of the week prior to the recital, when schedules are made available to faculty wishing to sign for additional time.

4. Private Reading Courses
The following regulations affecting private reading courses are set forth here for the information of the faculty:

For the student who wishes to work individually and in depth on a topic not covered in the regular curriculum, the option of a one-to-one tutorial is available. This work is normally at an advanced level in a specific field and is coordinated 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.

a) College of Arts and Sciences (legislation adopted December 1, 1970):
   (i) Completion of basic courses offered by the department concerned will be expected, but each department will have responsibility for establishing its own guidelines concerning reading courses. [Each department is given the responsibility of determining its program of private reading courses. General requirements have been replaced by departmental decisions. The departmental chairman, rather than the Associate Dean, gives final approval for private reading courses.];
   (ii) The subject matter of a reading course should not duplicate that of a regular course;
   (iii) Except under special departmental arrangements, a faculty member may supervise private reading courses for not more than five students in a given semester;
   (iv) Private reading courses will be taken for no more than three hours of credit;
   (v) A student will be limited to one private reading course per semester;
   (vi) 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;
   (iv) Receive final approval from the departmental chairperson.

b) Conservatory of Music
Approval for a private reading course depends upon the following conditions:
   (i) 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;
   (ii) The subject matter of the private reading course may not duplicate the work of a regular course;
   (iii) The student is limited to one private reading course per semester for no more than three hours;
   (iv) 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;
(v) Normally, the faculty supervisor for a private reading course should be a faculty member other than a student's own major applied teacher;
(vi) Approval for a private reading course must be given by the student's advisor, the faculty member supervising the project and the Assistant Dean of the Conservatory.

5. Concerto Auditions (Conservatory)
   a) Competition to appear as soloist with the Oberlin Orchestra or the Chamber Orchestra is open to seniors officially enrolled in a degree program and to diploma students in their final year who are registered for applied instruction and have been recommended by their teacher of applied music. Five-year students may enter the auditions in either the fourth or fifth year, but not in both years.
   b) Departmental preliminary auditions and the final auditions will be judged solely on the quality of the performance and whether it reflects the highest performance standards of the Conservatory. Every effort will be made not to be influenced by preference for or prejudice against the composition.
   c) Concerto auditions will take place normally at the end of the fifth week of the fall semester. Departmental preliminary auditions must be finished one week earlier, in order that judges then be selected and the auditions repertoire be circulated for familiarization. Before the end of spring semester, the Concert Production Office should, in consultation with the division directors/department chairs, schedule preliminary auditions and announce the selected dates.
   d) The judging committee at the final competition shall be named by the Conservatory Faculty Council and should consist of one member from each of divisions represented (Keyboard, Strings, Voice, Woodwinds/Brass/Percussion), one faculty member from a division other than performance, the conductor of the orchestra, and an invited adjudicator. Choice of the last should be rotated among the various fields of specialty, and divisions are invited to suggest persons to the Dean or to Council members. Teachers of finalists from areas not mentioned above may request that an extra judge from the appropriate area be selected by the Council. Teachers of student finalists are not eligible to serve on the judging committee.
   e) Twelve minutes of performing time will be allotted each contestant at the final audition.
   f) Performers of concerti must be prepared to play the entire work. Cuts should not be predetermined except for normal “tutti” deletions.
   g) An operatic aria will not be acceptable. Vocal numbers should be of a more substantial nature, such as concert arias or song "cycles" with orchestra, solo cantatas, or possibly an important solo "scene" from opera.
   h) Works for two or more players and orchestra may be entered only with the approval of the divisional faculties involved.
   i) To assist in the choice of repertoire, the number of possible solo opportunities with the Oberlin Orchestra and the Chamber Orchestra during the following school year should be proposed to the Dean and the Conservatory Faculty Council by mid-April. The Dean will then announce the number of possible opportunities no later than May 1. The number of winners each year will be determined by the conductors' choice of orchestral repertoire for the season, and by the quality of the performances in the final round of the competition. Every effort will be made to accommodate as many deserving contestants as possible.
   j) Teachers of contestants performing non-standard concerti must ascertain the availability of orchestra parts for the concerto being performed by consulting with the Orchestra Librarian well in advance of the competition.
   k) Each contestant should be available to be assigned to any of the projected concert dates which will be announced before the competition. Conflicting
concert dates may jeopardize a student’s being able to perform with the orchestra.

6. 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 which 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 the recorded audit on a special audit report card. There is no charge for a non-recorded audit.

7. Hour Examinations
The number of hour examinations given during the semester is entirely up to the individual teacher. One to three such examinations is suggested as a usual range. Students who are absent from hour examinations for legitimate reasons may take a make-up examination. It is the responsibility of the instructor to determine whether the absence may be excused. The use of “Bluebooks” containing the Honor Pledge is prescribed for announced tests as well as for final examinations. Hour examinations may be given in a course during the last two weeks of a course only if a final project is assigned in the course. A “final project” is any examination, paper, performance or other work due after the end of classes.

8. Reading Period
There will be a three-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. With the exception of certain musical performance examinations, auditions, and other Conservatory assessments, classes will not be held nor will final projects be due during the Reading Period. All assignments, other than final projects, in all courses must be submitted no later than the last day of the Reading Period of each semester.

9. Final Examinations
   a) General Procedures
      With the exception of certain musical performance examinations, auditions, and other Conservatory assessments, final projects are due during the Evaluation Period at the final examination time as scheduled by the Registrar. Any in-class component must be scheduled at the final examination time and is limited to two hours. Applications for Educational Incompletes in a course must be received by the beginning of the examination time scheduled for that course. Faculty members should give students reasonable notice of the requirements of the final project and should have reasonable expectation of the time and effort required of students to complete the final project, recognizing that a student can have as many as three or four other final projects.
      A student with two projects due at the same time may arrange with the instructor to submit one either at the time of a different section of the same course or during a scheduled make-up time. Special permission of the associate dean of the division is required 1) to move the due date for a final project to a time in advance of the Evaluation Period or to a different time within that period; 2) if a student wishes to begin an in-class component before the scheduled time, and; 3) if a student wishes to make up a final project that was not completed by the deadline.
   b) Applied Music Committee Examinations (Conservatory)
      Applied music committee examinations for freshmen and sophomores are held at the end of the second semester.

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, which 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, which 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. Winter Term

Goals:
1. to provide opportunities for intensive and/or unusual educational activities which 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 specially 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 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 on 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 during their first year of teaching. A faculty member may request released time from
responsibilities during a specific Winter Term. Such a request must be approved by the appropriate divisional 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 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/winterterm), the Course Catalog description of Winter Term, and the information contained in the Winter Term Supplement (also online, same address as above) published each fall.

H. 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. It has been extended to handle complaints regarding misuse of campus library materials.

Faculty cooperation is essential to the success of the Honor System. 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 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 divisional 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.

I. GRADING PRACTICES

1. Final Grades

Every instructor must report a final grade for each student enrolled in each of his or her courses. The Registrar supplies grade sheets for this purpose. The instructor should record in ink each student’s final grade, sign and date the grade sheet, and hand deliver it to the Registrar’s Office no later than the date indicated on the form. In May, all
graduating senior grades MUST be turned in to the Registrar no later than noon the Thursday prior to Commencement.

2. Incomplete Grades
In the College of Arts and Sciences an incomplete grade is a temporary grade, assigned at the end of a semester, to permit students additional time to complete work in a course (or courses); an “incomplete” is designed to offer extra support. All requests for incompletes must be made through the Academic Advising Office. There are two kinds of incompletes:

a) During his or her time at Oberlin, a student may have up to two incompletes authorized by a course instructor for educational reasons, such as a desire on the part of the student to spend additional time on a particular course. A request for an educationally related incomplete must be submitted to the Advising Office by the end of the Reading Period. Work must be finished by the end of the first week of Winter Term for first semester incompletes, and by three weeks after the end of the semester for second semester incompletes. Additional incompletes for educational reasons, beyond the first two, may be authorized by the Associate Dean of Student Academic Affairs, but only in exceptional circumstances.

b) Emergency incompletes may be authorized by the Associate Dean of Student Academic Affairs for reasons that arise from circumstances beyond the student’s control. Normally, these incompletes are for medical, psychological, or life crisis reasons. The due date for the work depends upon how much time was lost due to the emergency, up to a maximum of three weeks.

The due date for either kind of incomplete may be extended only for emergency reasons. If work is not completed within the specified time, a grade will be recorded based on the extent to which the course requirements have been met. All requests for incompletes must be made through the Academic Advising Office.

In the Conservatory of Music, an Incomplete is given only for satisfactory course work which cannot be completed by the end of the semester. Normally such approval is given only for reasons of illness or personal or family emergencies. Students desiring an Incomplete grade in Conservatory courses must receive approval from the faculty member in charge of that course, and submit a signed Incomplete form to the Assistant Dean of the Conservatory. Incompletes in Conservatory course work are granted by the faculty member involved, with the final approval of the Assistant Dean of the Conservatory, regardless of the division in which the student is enrolled. An Incomplete will not be authorized in private applied music studies or in ensemble work.

For more detailed information, faculty members should refer to the section on grading in the Student Regulations Handbook under the heading “Academic Regulations and Procedures of the College of Arts and Sciences” and “Regulations of the Conservatory of Music.”

3. Asterisk Grade
An asterisk grade is used at the end of the first semester to indicate that the work of a course covers both semesters and that no grade can be recorded. When the final grade is given at the end of the year the asterisk is removed and the grade earned is recorded for both semesters.

4. Written Evaluation
Upon request, a student may receive a written evaluation of his or her work taken under the CR/NE option. Students desiring such an evaluation should obtain the necessary forms from the Registrar’s Office and give them to the course instructor at the end of the semester or the course. At the student’s request, such written evaluations may be sent, along with transcripts, to a graduate or professional school and/or a prospective employer.

5. Changing a Final Grade
A final grade that has been recorded cannot be changed without the approval of the appropriate divisional dean. An instructor who wishes to recommend that a recorded grade be changed should submit a "change of grade" form (obtainable from the
Registrar), containing a statement of reasons and the change recommended, to the
appropriate divisional dean. The Dean will then either request the Registrar to make the
change recommended or will inform the instructor that the change will not be made.

6. Grade Average
Semester and cumulative averages for individual students are based on a four-point scale
as follows:

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<th>Points</th>
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<tr>
<td>B+</td>
<td>3.33</td>
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<td>C+</td>
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<tr>
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<tr>
<td>B-</td>
<td>2.67</td>
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<tr>
<td>C-</td>
<td>1.67</td>
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No quality points are assigned to a grade of Credit (CR) nor are the hours credit earned
under the Credit/No Entry grading option included when the quality point averages are
calculated.

Grades of No Entry (NE) submitted for unsatisfactory work of below C- caliber are
reported to the student but are not recorded on the student's Permanent Record.

7. Credit/No Entry Grading Option
Undergraduate students may elect to have one or more or all courses evaluated under
the Credit/No Entry (CR/NE) grading option, which is Oberlin's version of Pass/Fail or
Satisfactory/Unsatisfactory. Under this option all satisfactory work of C- or better is
given a CR grade. Unsatisfactory work below a C- results in a grade of NE. It is
understood that prior departmental approval and catalog listing are required for those
courses offered only on a CR/NE basis. Students who elect this option may request that
the instructor of a course in the College of Arts and Sciences file with the Registrar a
written evaluation of the student's work in the course. Some Conservatory courses
cannot be taken CR/NE. Please check with the Assistant Dean of the Conservatory for
specific details.

To exercise the Credit/No Entry option, students must file a card, signed by the advisor,
in the Registrar's Office no later than the 28th calendar day of the semester. A student
electing a course CR/NE may not request a grade at a later date. If a student receives a
NE in a course, no indication is made on the official transcript that the course has been
attempted.

Conservatory majors will be allowed to register for letter grades only for Principal
Applied Study, Music Theory 120, Fundamentals of Music Theory I-IV, Music History
101, Basic Aural Skills, Intermediate Aural Skills, and any class which is taken to satisfy a
requirement in secondary applied study. In addition, students who must take Advanced
Aural Skills to meet their degree requirement will be allowed to register for a letter grade
only.

8. Letter Grades
Letter grades of A+ through C- are recorded for all work satisfactorily completed in a
course in which a student has not requested the CR/NE option. If an instructor declares a
course to be taught under the CR/NE grading mode, then undergraduate students have
no option to request letter grades. All work completed by graduate students must be
assigned a letter grade.

J. COLLEGE RECORDS POLICY
In February 1975, the General Faculty Council approved Interim Guidelines with respect to
Section 438 of the General Education Provision Act (the Buckley Amendments). These interim
guidelines are found in Appendix E.

In 1962, the following actions governing College record policy were approved by the General
Faculty:

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.

K. LIBRARY OBLIGATIONS
Faculty members are expected to follow the stated regulations of the Oberlin College Library. Barcodes which allow library materials to be checked out with a college ID may be obtained at the circulation desk at any campus library. The library has generous lending regulations, with loan periods varying depending upon the format of the material. Books may generally be checked out for a full semester, but may be recalled when requested by another patron. After the first two weeks of use, library materials must be returned immediately when they are recalled. Faculty members who fail to observe return deadlines or do not respond to library notices may be invoiced by the Student Accounts Office for the cost of replacement plus a processing charge. Guidelines for setting up a reserve shelf for courses are distributed each year directly to all faculty members. They may also be obtained from the Main Library Reserve Room supervisor or at any of the branches.

L. DISABLED PERSONS
The rights of disabled persons are defined in the Americans with Disabilities Act of 1990, and the Federal Regulations of 1973 and 1977. A summary of provisions of the Regulation dealing with academic arrangements is provided in Appendix F.

II FACULTY SUPPORT PROGRAMS

A. LEAVES OF ABSENCE
1. Sabbatical Leaves
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.
Faculty members (full- and part-time) may apply to the appropriate divisional faculty council for regular sabbatical leaves after six years of teaching following their initial appointment or following their last sabbatical leave. Application for early sabbatical leaves may be made after four or five years of teaching following the initial appointment or following the last sabbatical leave. 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.

Eligibility for Regular Sabbatical Leave - Tenured Faculty: Faculty members will normally be considered eligible for sabbatical leave after six years of service to the College. In determining eligibility for sabbatical leave, unpaid leaves of absence from Oberlin College will not be regarded as years in service.

Eligibility for Research Leaves After Initial Appointment: After an initial four-year appointment followed by reappointment, untenured members of the faculty are eligible upon presentation of a worthy request for 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 seventh or eighth semester of service. 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.

Eligibility for Regular Sabbatical Leave - Nontenured Faculty: Nontenured faculty members who are currently in the sixth year of service are eligible to apply for sabbatical leave. The divisional council will make, in conjunction with recommendations from the applicant’s department, one of the following decisions based upon the applicant’s record of service to the College:

a) 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 sabbatical leave without regard to a subsequent decision about tenure.

b) The divisional council may grant sabbatical leave contingent on a positive decision on tenure later in the year.

c) The divisional council may deny the request for sabbatical leave.

**Eligibility for Regular Sabbatical Leaves - Part-Time Faculty:** Each year of part-time service earns one year toward consideration for a leave from the part-time position. Persons on part-time appointment may apply for regular and early sabbatical leaves, as well as for Research Status and leaves without pay. Part-time faculty on sabbatical leave or Research Status 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 will receive a prorated portion of the support allowance.

**Part-Time Faculty "On Duty" During Both Semesters; Part-Time Faculty "On-Duty" During a Single Semester**

- a) An individual may request to be relieved of all College responsibilities for the year. That individual will receive five-ninths of his/her regular salary for the year.
- b) An individual may request to be relieved of five-ninths of his/her College responsibilities for the year. That individual will receive all of his/her regular pay 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.

**Early Sabbatical Leaves:** Faculty members may apply for 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 regular sabbatical leaves have been evaluated.

The following procedures should be followed for all sabbatical leaves: Requests for sabbatical leaves should be submitted to the divisional dean at a date announced. 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.

**Conservatory of Music:**

In the Conservatory of Music, the Conservatory Faculty Council will consider each leave-of-absence 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. Any unpaid leave-of-absence request must be discussed by the dean and members of the department or program concerned; before Council action is taken on the request, a written assessment of the effects of the proposed leave on the department or program must be presented by the department chair to the Conservatory Faculty Council.

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 divisional 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. Leaves Without Pay
Faculty members who anticipate that they may need to request a leave without pay are to
consult with the divisional 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, Councils
will not entertain requests for leaves-without-pay after March 1st. Divisional councils
consider these requests on the basis of benefit to both the College and the individual.
Unless the divisional council determines otherwise at the time an unpaid leave is
granted, the period of the leave is not reckoned as a year in service for purposes of
establishing eligibility for a subsequent sabbatical leave.

3. Maternity/Paternity Leave
Maternity leave shall be granted to members of the faculty and administrative and
professional staff (A&PS) under the following conditions:
   a) If a physician deems it advisable that (1) a faculty or A&PS member not
      work, or (2) that a reduced workload is required for a period preceding the
      predicted date of birth of the child; then, (1) a leave of absence for medical
      reasons, or (2) a partial reduction of normal duties, shall be granted upon the
      submission of proper medical certification to the division head.
   b) Maternity leave shall begin on the date of birth of the child. Any female
      member of the faculty or A&PS on maternity leave will be excused from regular
      duties during the two-month period following the birth of her child and will
      receive the salary and benefits during this period which would normally be
      received under the terms of her employment.
   c) Up to ten consecutive months of additional leave without pay after a
      maternity leave will be granted upon written request of the faculty or A&PS
      member to the division head. As with persons on other leaves without pay,
      faculty salaries will be reduced at the rate of one-ninth for each month of unpaid
      leave taken during the regular academic year and salary reductions for A&PS
      with less than full year appointments will be adjusted for time on unpaid leave
      on the basis of the specific terms of appointment. The usual arrangements for the
      continuation of benefits during an unpaid leave will apply during this period.
   d) In the case of medical complications requiring more than two months of
      maternity leave, the faculty or A&PS member should arrange for a physician’s
      certificate to be sent to the division head in order that a disability leave may be
      arranged.
Notification of the expected date of delivery and requests for any leave time exceeding the two months paid leave should be made in writing as soon as feasible to the department head, with a copy to the division head. Arrangements for replacement, if required, should be made by the department and requested from the appropriate council or division head.

For an untenured faculty member choosing a semester’s or a year’s maternity leave, the period of leave will not be counted as part of her probationary service toward a tenure decision. Paternity leave without pay will be granted upon application under the terms of any other leave of absence without pay as in accordance with the Family Leave Act. The earliest possible notice should be given.

4. Other Leaves
Leaves of absence for health reasons or for other special situations are handled by the College administration in the light of the circumstances of each case. A member of the faculty who may be interested in such a leave should consult the appropriate divisional dean.

5. Staff Benefits for Persons on Leave
Arrangements for payment of staff benefit premiums for persons on leave are described herein under Benefit Programs. Contact the Human Resources office for complete details.

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.

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:

1. Research Status
Full-time and part-time members of the teaching faculty may be placed on Research Status for a period 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 on the Oberlin faculty are eligible. Faculty members are eligible to hold Research Status appointments when they have completed six semesters of teaching since their most recent sabbatical.
(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 divisional 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
divisional 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.

(vix) 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.

(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.

2. 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.

3. Grants-in-Aid

Grants-in-Aid are awarded by the General Faculty’s Committee on Research and Development 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.

The regular practice of the Committee has been to announce a competition for grants-in-aid twice during the academic year. It 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 and / or the next academic year, and announces its decisions early in April. The Committee provides application forms.

The grants-in-aid program is administered according to provisions established and occasionally revised by the Committee. Announcements concerning the program are sent from the Office of Sponsored Programs twice a year to the faculty detailing their specific provisions.

4. Teaching Grants
The purpose of these awards 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 is usually held in the early part of the Spring semester. 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.

Grants From Outside Agencies
The Office of the 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 Associate Vice President for Research and Development 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;

1. 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.

2. 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).

3. 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, e.g. 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.

C. TRAVEL TO AND FROM PROFESSIONAL MEETINGS
Oberlin College encourages its faculty members to attend professional meetings related to their subject matter fields. Reimbursement rates are established periodically, and the faculty notified early in the academic year, in accordance with the following general provisions:

Travel: If travel is by plane, the College will pay on the basis of no more than economy class round-trip fare, by the most direct route. The College will reimburse faculty members in full for
an amount fixed each year, and shares in a further amount up to a maximum College payment. If travel is by private car, the College will pay the owner the College allowed mileage charges for travel on the basis of AAA mileage, plus turnpike tolls and tunnel and bridge charges. The partial reimbursement provisions described above apply.

Per diem: For faculty members who qualify for reimbursement for travel, the College will make a per diem payment for each day of attendance at the professional meeting, up to three days. The per diem does not cover days enroute.

Reimbursement is available for up to two meetings a year (July 1-June 30) with the proviso that the faculty member consult his or her department chairman, program director or dean about plans for the second meeting.

Claim for payment should be made after attendance at a meeting. Forms to request reimbursement are available in the Controller’s Office. Payment is by check and takes several days to process. 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.

To provide a record of actual expenses incurred in attendance at professional meetings and to relieve faculty members of the requirement that these expenses and the reimbursement from Oberlin College be reported on individual income tax returns, each faculty member is expected to report his actual expenses at the time payment is requested, or immediately after return from the meeting if an advance payment has been received. Forms to be used in requesting reimbursement are obtained Controller’s Office.

Detailed information outlining College travel guidelines is available upon request from the Purchasing Office.

III. BENEFIT PROGRAMS

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

A. TIAA-CREF Retirement Annuity Plan
B. Supplemental Retirement Annuities
C. Federal Social Security
D. Total Disability Insurance
E. Long Term Care Insurance
F. Life and Accidental Death Insurance
G. Group Health Insurance Program
H. Group Vision Insurance
I. Group Dental Insurance
J. Flexible Spending Account
K. Workers’ Compensation
L. Employee Assistance Program
M. Relocation Expenses
N. Additional Benefit Programs

Full descriptions which are required under the Employee Retirement Income Security Act of 1974 (ERISA) are available in the Office of Human Resources. The summaries which 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.

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. 8438 or 8430.

A. TIAA-CREF RETIREMENT ANNUITY PLAN

The College has a Retirement Annuity Plan for eligible employees which is administered by the Teachers Insurance and Annuity Association (TIAA). Faculty and administrative and professional staff members on full-time regular appointments or on temporary or part-time appointments of at least four-ninths of a full-time appointment are eligible to begin participation in the plan after completing one year of service and attaining age 26. The contributions cannot be credited to a TIAA-CREF account until the employee enrolls. Enrollment forms are available in Human Resources.

Each faculty or administrative and professional staff member participating in the plan enters into a deferred annuity contract with the Teachers Insurance and Annuity Association which is vested
in the individual. The College will make the required contributions to the Plan in the amounts described in the schedule below. All participating faculty and administrative and professional staff may make matching contributions to the Plan which will be matched by the College in the amounts described below. Participants may also make additional Plan contributions on their own behalf. All Plan contributions by participants will be deducted from salary payments or, if elected by the participant, will be made on a tax-deferred basis under an agreement for salary reduction executed in accordance with Sections 403(b) and 415 of the Internal Revenue Code.

Plan contributions, whether required, matching or additional are made on a monthly basis for all faculty and administrative and professional staff who are participants in the Plan in accordance with the following schedule, effective January 1, 1985 and as restated January 1, 1998 and other dates specified in the plan document:

<table>
<thead>
<tr>
<th>Percent of Salary Contributed</th>
<th>Age 26-34</th>
<th>Age 35-44</th>
<th>Age 45-54</th>
<th>Age 55+</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required:</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Individual</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>Oberlin</td>
<td>5.0</td>
<td>8.0</td>
<td>10.0</td>
<td>12.0</td>
</tr>
<tr>
<td>Optional/Matching Contribution:</td>
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</tr>
<tr>
<td>Individual</td>
<td>2.0</td>
<td>2.0</td>
<td>2.5</td>
<td>3.0</td>
</tr>
<tr>
<td>Oberlin</td>
<td>2.0</td>
<td>2.0</td>
<td>2.5</td>
<td>3.0</td>
</tr>
<tr>
<td>Total Potential Contribution:</td>
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<td></td>
<td></td>
</tr>
<tr>
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<td>2.0</td>
<td>2.0</td>
<td>2.5</td>
<td>3.0</td>
</tr>
<tr>
<td>Oberlin</td>
<td>7.0</td>
<td>10.0</td>
<td>12.5</td>
<td>15.0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>9.0</td>
<td>12.0</td>
<td>15.0</td>
<td>18.0</td>
</tr>
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</table>

Effective February 1, 1992, cash withdrawals from the CREF Retirement Annuities are permitted within the following parameters:
1. Employee must have terminated employment
2. And have reached his/her 60th birthday
3. And have completed at least ten years of continuous service (additional information available in Human Resources)

B. SUPPLEMENTAL RETIREMENT ANNUITIES PLAN
Regardless of their eligibility for the regular retirement annuity plan, all faculty and administrative and professional staff are eligible to purchase Supplemental Retirement Annuities (SRAs) under a tax-deferred annuity plan administered by TIAA/CREF. Unlike a regular TIAA/CREF annuity, a SRA participant can withdraw both the TIAA and CREF accumulations in whole or in $1000 increments in the circumstances described below. In addition to any tax penalties that may apply, withdrawals and distributions from a SRA are fully taxable as current income for the calendar year in which they are received.

1. Participants age 59-1/2 or older may withdraw all contributions and earnings without tax penalty.
2. Participants under age 59-1/2 who sustain disability or death or who terminate employment after age 55, may also withdraw all contributions and earnings without tax penalty.
3. Participants under age 59-1/2, in circumstances other than those described in 2. above, may withdraw all contributions and earnings accumulated on or before December 31, 1988 with a 10% tax penalty. The tax penalty may be waived in some situations.
4. Participants under age 59-1/2 with no pre-1989 accumulation may withdraw contributions made after December 31, 1988 (but not earnings) only in case of hardship. Hardship is defined as an immediate need that cannot be met from other resources, including medical expenses, purchase of principal residence, payments for post-secondary tuition, and payments to prevent eviction from a principal residence.
5. Participants at any age, who terminate employment, may begin to draw annuity payments without tax penalty.
Participation in the tax-deferred SRA plan is entirely voluntary, with no College contribution. SRA contributions cannot be used to substitute for matching contributions in the regular retirement annuity plan. All contributions to an SRA must be made through a salary reduction agreement executed in accordance with Section 403(b) of the Internal Revenue Code. Such contributions may be made in any amount, provided the College’s contribution to TIAA/CREF and the total salary reduction authorized by the employee for the regular retirement annuity plan and the SRA plan do not exceed the limitations set forth in Section 403(b) and 415 of the Internal Revenue Code. A SRA also offers a loan provision that gives employees access to their savings before retirement and, provided all repayments are made on time, without tax penalty. Other SRA options are available through American Express or New England Securities. More information is available in Human Resources.

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 and administrative and professional staff members must register their Social Security number with the Human Resources 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. TOTAL DISABILITY INSURANCE
When a faculty or administrative and professional staff member in a continuing tenure or tenure-track appointment becomes totally disabled from an accident or illness, the College continues to pay the employee’s regular monthly salary for 180 days. At the end of 180 days, the long-term disability insurance plan provides eligible employees with a monthly income of 60% (including payments from Workmen’s Compensation and/or Social Security) of base monthly salary up to a maximum monthly benefit of $10,000.

All continuing faculty and administrative and professional staff members less than age 62 who are on regular appointment of four-ninths or more are covered by the Total Disability Insurance Plan which provides a continuing income up to age 67 during a period of prolonged disability resulting from illness or accident. Continuing faculty and administrative and professional staff who incur long term disability after attaining age 62 receive disability income payments on the following schedule:

<table>
<thead>
<tr>
<th>Age at Disability</th>
<th>Maximum Period of Payment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than age 62</td>
<td>to age 67</td>
</tr>
<tr>
<td>62</td>
<td>60 months</td>
</tr>
<tr>
<td>63</td>
<td>48 months</td>
</tr>
<tr>
<td>64</td>
<td>42 months</td>
</tr>
<tr>
<td>65</td>
<td>36 months</td>
</tr>
<tr>
<td>66</td>
<td>30 months</td>
</tr>
<tr>
<td>67</td>
<td>24 months</td>
</tr>
<tr>
<td>68</td>
<td>18 months</td>
</tr>
<tr>
<td>69 and over</td>
<td>12 months</td>
</tr>
</tbody>
</table>

Benefit payments which begin after the 180 days of disability continue for the duration of benefits as long as the participant is unable to engage in any occupation for which he or she is qualified by age or experience.

During the period when disability income benefits are being paid, the Disability Insurance Program also pays to TIAA-CREF a monthly contribution. Premiums paid to TIAA/CREF Retirement Annuities during Total Disability result in monthly increases in the amount of accumulation in the annuities and produce an annuity income at retirement supplementing any retirement benefits which have accrued prior to disability. Contact Human Resources to complete the application.

E. VOLUNTARY LONG TERM CARE INSURANCE
Group rates are available for this in-home, assisted living, nursing home care insurance. There is a guarantee issue during the initial enrollment period. This plan provides options for coverage,
duration of care and premiums. Employees, spouses, children over the age of 18, brothers, sisters and their spouses, parents & parents-in-law under the age of 84 are eligible to apply.

F. TERM LIFE AND ACCIDENTAL DEATH INSURANCE

All faculty and administrative and professional staff members working the equivalent of four-ninths or more of full-time appointment are eligible to participate in the group life insurance program. The effective date of coverage under the plan is the date an enrollment card is signed. Basic Life and Accidental Death and Disability insurance is funded totally by the College, a plan of 1 times annual earnings to a maximum of $100,000. Optional Life and Accidental Death and Dismemberment is funded by the employee. The plan allows an employee to choose an additional amount of Life and Accidental Death and Dismemberment for him/herself and dependents. Group premium rates use age-banded rates.

When a faculty member retires from active service the College will continue to pay for $2,000 of life insurance and accidental death and dismemberment insurance. In addition, based on the coverage the faculty member has prior to retirement and barring illness which may result in death within 12 months of retirement, a faculty member may choose to take additional coverage into retirement. Consult Human Resources for details.

In the case of accidental death or dismemberment, the plan provides, during active employment but not during retirement, an amount of additional insurance equivalent to the amount of the employee's life insurance coverage.

G. GROUP HEALTH INSURANCE PROGRAM

Faculty on appointments of four-ninths or more are eligible to participate in the College's group health insurance program. This program, which provides hospital, surgical and major medical benefits furnished through The Oberlin College Preferred Health Plan, is described at length in the Summary Plan Document available from Human Resources. New employees are eligible for Program coverage on the first day of the month coincident with or following the date of employment. Employees make the following monthly contributions to premiums:

1) Employee only  = .5% of salary
2) Employee and 1 Dependent Child  = 1.0% of salary
3) Employee and Spouse/Domestic Partner or Employee and 2 Dependent Children  = 1.5% of salary
4) Employee, and Spouse/Domestic Partner and 1 Dependent Child or Employee and 3 or more Dependent Children  = 2.0% of salary maximum

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.

H. VOLUNTARY GROUP VISION INSURANCE

The voluntary vision plan covers an annual examination and one pair of standard glasses, or in lieu of these, up to $130.00 for contact lenses. A small deductible is required at the time of service. This plan is available for single or family coverage and the full cost is paid by participating employees.

I. VOLUNTARY GROUP DENTAL INSURANCE

The MetLife Preferred Dental Program provides in-network and out-of-network benefits for enrollees. The plan covers preventative and repair dental work. Current premium rates are available at the Human Resources Office.

J. FLEXIBLE SPENDING ACCOUNT

The Flexible Spending Account (FSA) permits faculty members to allocate a portion of their salaries to cover medical premiums, dental and vision expenses and premiums, unreimbursed medical expenses and premiums, and child care expenses. Plan participants redirect a specified amount of salary to be used to pay for one or more of the foregoing types of expenses. The College establishes individual accounts for each category and reimburses qualifying expenses incurred by participants up to the amount available in the related account. Income allocated to these accounts is not subject to federal, state, or local income tax, or to FICA (Social Security) contributions. In accordance with Internal Revenue Service regulations, unused balances of
employee contributions at the end of the calendar year will be forfeited. A more detailed description of the FSA Plan is available from Human Resources.

K. WORKERS’ COMPENSATION
Faculty members are covered by the State of Ohio Workers’ Compensation Law, which provides payment for death, hospital and medical expenses, and disability resulting from injury on the job. 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 the original immediately to Human Resources. Employees must report the incident/accident to Workers’ Compensation by using the 800 number listed on the accident report form and the Workers’ Compensation Medical Card. 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. Employees must use the Workers’ Compensation Medical Card received during benefits orientation to obtain work-related injury/illness medical care.

L. EMPLOYEE ASSISTANCE PROGRAM
The College does not wish to intrude into the personal lives of employees, but it does have a direct interest in providing suitable assistance to overcome job-performance deficiencies that result from 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. In accordance with professional ethics and Ohio law, all consultations are confidential. Employee benefit plans may pay for some or all of the cost of any treatment that is necessary.

M. RELLOCATION 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. ADDITIONAL BENEFIT PROGRAMS
Employee Benefit Contributions for Persons on Leave
Employee benefit payments by the College and the individual may be continued during periods in which a participant is on sabbatical or other paid leave, or 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. Faculty and administrative and professional staff members 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. The Internal Revenue Service does not allow Oberlin College to make retirement contributions to the accounts of individuals on unpaid leaves of absence. 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 faculty or administrative and professional staff member 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 a faculty or administrative and professional staff member is on an approved leave of absence at reduced salary. The employee must contact Human Resources to obtain a physician’s statement and apply for disability. See Part D.
Faculty and Administrative and Professional Staff

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 adopted, effective beginning with the academic year 1975-76, the program outlined below with respect to tuition remission for children of faculty and administrative and professional staff. The Board hopes to continue this program, but cannot foresee all possible eventualities, and makes no future commitment.

1. For all members of the faculty and administrative and professional staff whose appointment became effective on or before June 30, 1972, and who have served continuously since that time, the former plan shall remain in effect, that is, children of such persons shall be entitled to free tuition at Oberlin College, if they are admitted to Oberlin, and they shall be entitled to a tuition scholarship for attendance at another institution of college grade up to the amount of the Oberlin tuition as it may be in effect at the time the tuition scholarship is made.

2. In the case of members of the faculty, administrative and professional staff appointed on July 1, 1972, or thereafter up to December 31, 1975, and who have served as members of the faculty and administrative and professional staff continuously since a date within that period, children will receive free tuition at Oberlin, if they are admitted to Oberlin. In the case of children going to other institutions of college grade, a tuition grant will be made up to eighty percent of the Oberlin tuition which is in effect during the year for which the grant is made.

3. In the case of the faculty and administrative and professional staff appointed on or after January 1, 1976, children may receive free tuition at Oberlin, if they are admitted to Oberlin, and where the child attends another institution of college grade, a tuition scholarship will be made up to fifty percent of the Oberlin tuition at that time.

In the case of children of part-time, full-status personnel, the tuition grant payable to other institutions shall be prorated, by applying the fractional amount of the appointment to the benefits stated above, except that no benefits will be available for personnel whose appointment is less than half-time.

Eligibility for the children's tuition scholarships will continue during a sabbatical or research status leave and may also be authorized for certain leaves without continuance of Oberlin salary. 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 Office of the Director of Financial Aid. The Director of Financial Aid determines eligibility for all students.

**Tuition Waivers for Spouses**

A tuition waiver to take one course per semester is available to spouses of faculty and administrative and professional staff. This program does not apply to private reading courses nor to applied studies in the Conservatory. The consent of the instructor and registration through the Registrar’s Office is required. Regular Oberlin College students are given priority for all class enrollments. See Appendix I for further details.

In general, spouses cannot officially audit courses under the tuition waiver plan. However, sometimes arrangements can be made with an individual instructor to audit a course on an informal basis. Further information about auditing courses is available from the Registrar’s Office.

**Faculty and Administrative and Professional Staff Housing**

A limited number of College-owned houses or apartments are available for rental by faculty and administrative and professional staff. Normally, occupancy of College rental housing is limited to a maximum of five years for administrative and professional staff, or, for faculty, until 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.

**IV GENERAL SERVICES AND FACILITIES: COLLEGE AND COMMUNITY**

**A. LIBRARY SERVICES**

The libraries at Oberlin provide a rich and diverse source of materials and services to support the curriculum and to aid faculty in research and teaching. Among primarily undergraduate institutions, Oberlin has one of the largest library collections in the nation, comparable in many respects to those of large universities. More importantly, the library staff is committed to being responsive to the needs of its users, and actively collaborates with faculty to help students take advantage of the library’s diverse resources and to ensure they develop research skills and information competencies during their years at Oberlin.

The Oberlin College Library includes the Main Library in the Mudd Center, the Art Library, the Science Library, the Conservatory Library, and a central storage facility in Carnegie, which contains less frequently used materials. The collections, which total over two million items, include (as of 2001) more than 1,225,000 cataloged volumes, 2,400 print periodical subscriptions, over 5,000 VHS cassettes and digital video disks, 446,000 US Government documents, 8,100 electronic subscriptions, and 103 current newspapers. The collections also include significant holdings of musical scores, sound recordings, and microforms.

The library’s web page offers convenient access to OBIS, the library’s online system, and the library’s extensive collection of online databases in various fields. The library also provides access to Ingenta, which provides e-mail notification of recent tables of contents from thousands of journals and rapid delivery of recent journal articles. A number of library services, such as interlibrary loan, book purchase requests, and brief reference queries, are available through the web.

Materials not owned by Oberlin can generally be obtained quickly from other libraries. The Library participates in a number of national and regional consortia, including OhioLINK, a cooperative network of over 70 Ohio academic libraries organized to promote the sharing of resources. Books can be requested directly from the OhioLINK central catalog, which combines the holdings of all OhioLINK member libraries; materials generally arrive within three business days. Materials not available through OhioLINK, including journal articles, may be requested through interlibrary loan.

The Library’s Audiovisual Services Department, located on the fourth level of the Main Library, supports activities of the college community which require the use of audio or visual media. AV houses a film, video, and audio cassette collection and provides viewing/listening facilities. Videotapes are available for loan to faculty; students may view videos in the AV department. A
A wide variety of audiovisual equipment is available for use by faculty, students, and campus organizations. Most equipment for classroom use is available on a free loan basis; equipment for college-related, non-academic uses is provided on a rental basis. The AV staff provides instruction in the use of audiovisual equipment and offers training in the use of "smart" classrooms on campus. AV Services also offers basic video production services in support of classroom instruction.

Several media-supported classrooms in Mudd Center are available for scheduling through Audiovisual Services. The Moffett Auditorium (Mudd 050) and Mudd 456 are equipped with rear-screen data and video projection. A laptop connection is available for data display and VCR and DVD players are permanently housed in the rooms. Mudd 443 is a "smart" classroom primarily used for library instruction, but may used for other purposes as scheduling permits.

More information about library collections, facilities, services, and policies is available at the library's home page: http://www.oberlin.edu/library/. For specific questions or assistance, feel free to contact the following:

Liaison Librarians: Each academic department is assigned a professional librarian who serves as liaison between faculty and the library, with special responsibility for collection development. Faculty members are encouraged to contact the liaison assigned to his or her department for all their library needs.

Director of Libraries: Administration and policy.

Collection Development Librarian: Special acquisitions and gifts.

Reference Librarians (or branch librarians for art, science, and music): Reference services, research assistance, library instruction for classes, consultation about teaching students information skills and competencies, information about online resources.

Head of Circulation: circulation, interlibrary loan, and OhioLINK policies and procedures.

Reserve Supervisor (or branch staff for art, science, and music): electronic reserves (Eres), reserve room policies and procedures.

Director of Audiovisual Services: information about media services in support of classroom teaching.

B. CONSERVATORY AUDIO DEPARTMENT
The Conservatory Audio Department is located in the central section of the Conservatory Complex in Room 33. The telephone number is X8272. The Conservatory Audio department records most Conservatory-sponsored concerts and provides sound reinforcement for same. Tape copies of these concerts can be requested by filling out a form at the Audio department office. Requested tapes will usually be ready in two weeks. Rates for this service can be obtained by calling the Audio administrative assistant. The Audio department sometimes provides recording and sound reinforcement services to non-Conservatory departments, but the availability of these services is limited by the demands of the Conservatory concert schedule. Departments or individuals will be billed for these services. Inquiries should be addressed to the Director at least two weeks in advance of the event.

C. ARCHIVES
The Archives, located in the Seeley G. Mudd Learning Center, is the storage facility of records worthy of permanent retention. Many documents concerned with the history of Oberlin College and town are preserved here. For information about the use of archival materials contact the Archivist in Room 420.

D. ALLEN ART MUSEUM
Faculty members and their families may participate in the activities of the Allen Art Museum through membership in the Oberlin Friends of Art. The Museum collection and program of activities are among the finest in any American college or university.
E. CENTER FOR INFORMATION TECHNOLOGY
The Irvin E. Houck Center for Information Technology occupies part of the lower level of the Seeley G. Mudd Center. A fiber optic data communications network links the campus and also provides access to the Internet. The College is accessible through the World Wide Web at www.oberlin.edu.

F. PRINTING SERVICES
The Printing Services Department in the Service Building offers duplicating and limited mailing services to all departments.

G. COLLEGE RELATIONS
1. Oberlin Online
   The calendar of events, news and general information service is published daily on the College's website.
2. Oberlin Alumni Magazine
   The alumni magazine is published quarterly and sent free to alumni, faculty members and administrators. It reports on decisions and events on campus; relates faculty activities; publishes occasional articles by and/or about faculty members and alumni; and prints news notes about alumni. The magazine is also transmitted electronically.
3. News Services
   News Services is responsible for publicizing College events, activities, grants, fellowships, awards, etc. In order to have adequate time for an event-release, complete information should be transmitted to news services at least one month before the event.
4. Publications Design/Editing
   Publications that are to be sent off campus (excluding scholarly work) are reviewed by the publications director, the art director and the graphic designer, who aid in design and editing. The service is free and is required to assure a quality publication that represents well the College to the public.

H. COLLEGE TRANSPORTATION SERVICE
Oberlin College maintains a fleet of cars and vans for the convenience of faculty and administrative and professional staff. College cars and drivers, when available and at a cost, may be used to deliver and pick up passengers at specified locations. Arrangements for College cars and buses should be made through the Transportation Office of the Physical Plant Department, which will also answer further questions about this service. Arrangements for outside buses are also ordered through the Transportation Office.

I. CAMPUS SAFETY AND SECURITY AND PARKING
1. Department of Safety and Security
   The Department of Safety and Security is located at 159 W. Lorain St.; the building is open and staffed 24-hours a day, every day of the year. Campus Safety and Security is responsible for providing the College community, its visitors, and the buildings and facilities with public safety and security services of both a general and an emergency nature. Uniformed officers are on duty 24-hours a day to respond to requests for service from the community. Officers conduct both mobile and walking patrols of the campus and included among the services rendered (but not limited to) are: emergency medical response; medical transport (of ambulatory persons); escorts to the Student Accounts Office or local banks for persons carrying large sums of College funds; and, response to and investigation of incidents of criminal activity or acts of a suspicious nature. During evening hours, Campus Security officers are supplemented by member's of the department's Student Security Patrol. These men and women students provide escorts for persons at night, check security of residence halls, and act as additional "eyes and ears" for the safety of the campus. A nighttime shuttle service is also offered for student transportation.
   Museum Security is responsible for protecting the exhibits, collections, and facilities of the Allen Memorial Art Museum, and for providing public safety and informational services to the staff and visiting patrons. Museum Security officers are on duty whenever the museum facilities are open, whether for administrative hours or for public gallery hours. The Museum Security staff works very closely with museum administrators and staff in the planning of various exhibits, tours and special events.
Administration & Communications encompasses the Office of the Director of Safety and Security, the Community Service Officer (crime prevention and personal safety programming), parking and traffic, and Central Communications. The College’s main switchboard rings into the dispatcher’s console after hours and one weekends, and the College’s central FAX machine (775-8886) is also located in the communications area and is available for use (send/receive) on a 24-hour basis. The Community Service Officer (CSO), staffed by an experienced Campus Security officer, can provide crime prevention and/or personal safety talks for a groups of all sizes. Printed materials covering a wide range of security and safety related topics are also available through the CSO.

2. **Campus Parking & Traffic**

Management of the College’s parking and traffic system is a function of the Department of Security. All faculty, staff, and student vehicles parked on the College campus must be registered annually with the Department of Security and bear a valid campus parking permit. There is no charge for faculty/staff vehicle registration, and parking permits for faculty/staff are issued on the basis of where an individual’s primary office or workplace is located on campus, or what permit assignment may best suit an individual’s needs based upon daily activities.

Issuance of a permit for a specific lot or for general campus use **does not guarantee** an available parking space in a lot. An issued permit allows the vehicle owner/operator use of College parking facilities as they are available, and provides a quick means by which to identify vehicle owners in the event of an emergency.

New faculty from out-of-state can contact either Campus Security (Ext. 8444) or the Oberlin Police Department (774-1061) for information about drivers’ licenses, license plates, and vehicle titles for the State of Ohio. Up-to-date information on the locations of the closest license bureaus and title officers can also be obtained. The State of Ohio allows a “grace period” for new residents so there is time to settle in and obtain all the necessary information before undertaking licensing changes.

J. **PHILIPS PHYSICAL EDUCATION CENTER AND OTHER RECREATIONAL FACILITIES**

The Jesse Philips Physical Education Center opened in the fall of 1971 and is the finest gymnasium for a college of Oberlin’s size in the country. It includes varsity and intramural basketball courts, the Robert K. Carr Swimming Pool, fourteen squash and handball courts, facilities for fencing, weight lifting and Nautilus, as well as classrooms and locker space for men and women. Athletic facilities also include the Jones Field House, twelve all-weather tennis courts, six bowling lanes, 20 varsity/intramural playing fields and the Heisman Club Field House, which houses a 200 meter indoor track and four indoor tennis courts. The Field House was recognized in 1994 as one of the top twenty-five facilities in the country by Athletics Business magazine.

Many members of the faculty and staff participate in a noon hour recreation program and in intramural sports activities. The College’s athletic facilities are open to all employees and their families upon presentation of their College Identification Card. There are additional fees for lockers, towels, and equipment which can be secured through the equipment room. Family members of College employees can obtain their own ID cards by contacting the Human Resources Department. There are some restrictions and guidelines that apply to family member passes. A policy handbook and other information can be obtained in the gymnasium’s main lobby.

Some of the recreational facilities of the College are open on a limited basis throughout the summer. All intercollegiate athletic contests at Oberlin College are open to faculty and staff and their families without charge.

K. **THE CITY OF OBERLIN AND NEIGHBORING COMMUNITIES**

Oberlin is a community located thirty-four miles southwest of Cleveland, Ohio. Cleveland Hopkins International Airport is twenty-five miles from Oberlin and is served by virtually all major airlines. Amtrak offers a local station in nearby Elyria for regional travel. Limited public bus service exists between Oberlin, Elyria and Cleveland.

There are two elementary schools, a middle school and a senior high school in Oberlin. In close proximity is Lake Ridge Academy, a private preparatory academy offering day classes for K-12. Numerous churches serve the religious life of the community. The Oberlin Inn, several banks, a
movie theater, the City Hall, Post Office, and most business and professional establishments are within one city block of Main and College Streets which adjoin the campus. The Oberlin Public Library is located at 65 S. Main Street. Established in 1948, it is open to all residents of the community. Its collection includes books, films, recordings, games and educational toys for loan. Among the services that it offers are weekly story hours and a summer reading club for children, film showings, and programs for senior citizens. The City of Oberlin has fine medical and dental services, as well as general practitioners and medical specialists in obstetrics & gynecology, pediatrics, general surgery, dermatology, audiology, allergy/asthma, cardiopulmonary medicine, gastroenterology, neurology, oncology, urology, pathology, radiology, internal medicine, orthopedics and optometry. Kendal at Oberlin is a very fine retirement community of homes and apartments which serves as a residence for many emeriti colleagues of the College. Oberlin is the site of a principal air route control center of the Federal Aviation Agency. There are also several light industries in Oberlin including the National Association of College Stores, and a fully-accredited medical facility. There are a number of recreation programs sponsored by the City in both summer and winter seasons. Access to an 18-hole golf course is available through membership in the Oberlin Golf Club. Oberlin is located within an hour of the popular Lake Erie Islands area and the nationally-known Cedar Point Amusement Park and beach in Sandusky. Numerous state parks are readily accessible, including Findley State Park, located about twelve miles south of Oberlin. Bike trail information can be obtained from the Information Desk at Wilder Hall.
GUIDELINES ON EMPLOYMENT OF SPOUSES AND MEMBERS OF THE IMMEDIATE FAMILY

Subject to the guidelines listed below, Oberlin College has no restrictions on the full-time and permanent employment of spouses on the teaching faculty.

Guidelines:

A. All candidates for openings will be judged competitively on the basis of their professional qualifications. Spouses or members of the immediate family of a faculty member will be considered equally with other candidates.

B. No faculty member will participate in any part of the evaluation process of a member of his or her immediate family.

This policy was adopted by the General Faculty of Oberlin College at its meeting of April 28, 1993.
Final Disposition

of the

Twenty-two Recommendations

made by the

Ad Hoc Committee on the Status of Women at Oberlin

in its

REPORT AND RECOMMENDATIONS

dated December 8, 1972

Anna Ruth Brummett, Chairman

Oberlin College
September, 1973
RECOMMENDATION 1: Elimination of salary and rank inequities where they are shown to exist

In view of the evidence presented above,* it is recommended that both deans and divisional councils be instructed by the General Faculty as follows:

1. To require department chairpersons and the divisional dean to present to the divisional councils historical data on personnel actions and rationale for those actions for all women in their department as well as for any men who also appear to have been discriminated against, and to provide for the keeping of personnel records in accordance with law. The Dean, with the advice of Council, will identify to department chairpersons, those persons who appear to have been discriminated against.

2. To take positive steps immediately to eliminate within a two-year period all inequities in salaries and ranks where such inequities are shown to exist.

3. To examine carefully the past record of salary increases and promotions for women and to consider ways of compensating for past inequities.

4. To maintain close contact with the Committee on the Status of Women and the office of the Associate Dean concerned with the status of women, both of which are prepared to assist in identifying inequities and providing data.

Amended version passed by the General Faculty. Referred to the deans and divisional councils for implementation.

* See pp. 7 and 8 of original report
Appendix B-2
RECOMMENDATION 2:  College of Arts and Sciences

Improving and regularizing Departmental and Council procedures to insure maximum objectivity and justice in decisions regarding reappointment, tenure, promotion, and salary.

1. The Faculty Guide shall describe as explicitly as possible the 1) criteria used as a basis for reappointment, tenure, promotion, and salary decisions and 2) procedures which will be used in arriving at such decisions.

   a) The Dean and the College Faculty Council shall have the responsibility of keeping this information current with respect to actual practice. Individual faculty members will immediately be informed of any changes.

   b) The Dean will discuss these criteria with new appointees to continuing positions on the faculty within four months after the beginning of the faculty member's appointment.

2. The criteria used within each department for evaluation shall be consistent with those stated in the Faculty Guide. Within those constraints, however, any department may recommend for use in intra-departmental evaluations, specific criteria which go beyond those stated in the Faculty Guide. Such elaborations or extensions of the criteria must be put in writing and submitted by the department chairperson to the Dean and Council for approval. If approved, a copy must then be made available to each member of the department.

   a) The department chairperson shall have the responsibility of keeping this information current with respect to actual practice.

   b) The department chairperson will discuss these criteria with new members of the department within four months after the beginning of the member's appointment.

   c) Before a department, a program, or a divisional council begins to collect information or to deliberate about the reappointment, promotion, or tenure of any member of the faculty, the divisional 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. In the College of Arts and Sciences, the department chairperson or program director should be required to furnish to the dean a written description of the procedures to be followed. 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 College 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 department, program, or council all relevant materials.

3. In the interest of objectivity and fairness, all continuing members of the department (except the individual under consideration) are entitled to participate with vote in deliberations regarding personnel recommendations. The form of these deliberations, to be reconsidered annually, shall be determined for each department by its continuing members.

   a) If a department decides to conduct its deliberations in a departmental meeting (excluding only the person under consideration), it is assumed that any member of the department has the right to speak privately on such matters with the Chairperson.

   b) It is further assumed that the individual under consideration will be invited to submit in writing a self-evaluation of his or her performance as a member of the Oberlin faculty. This self-evaluation shall be available to all members...
of the department prior to or at the time of the departmental deliberations regarding the individual’s future status.

c) It is also assumed that each department will seek and will take into consideration student evaluations of the individual under consideration. (Such student evaluations might include information furnished by Major/Program Committees, individual written student evaluations, and course evaluations. It is suggested that input from former students would be a very worthwhile addition to this information.) If information gathered through course evaluations is to be used in personnel decisions, the course evaluations ought to be made available to members of the department or program who participate in assessing the performance of their colleagues. Such information merits careful study, and insofar as it is used in the assessment of teaching, it requires knowledgeable interpretation.

d) The Chairperson is obligated to provide the Dean and the College Faculty Council with a written description of the process which led to the departmental recommendation.

e) If the departmental recommendation is not unanimously supported, the Chairperson is obligated to indicate the minority opinion and its rationale.

f) The Chairperson is encouraged to share the departmental recommendation in its final written form with other members of the department (representing both majority and minority opinion) to insure that it accurately reflects the department’s intent.

g) It is assumed that the Chairperson will provide the Dean and Council with supporting evidence for his or her own recommendation, especially if it differs from the departmental recommendation.

4. To implement the above recommendations effectively, it is further recommended that the Dean and College Faculty Council undertake a substantial modification of the faculty evaluation form presently in use.

5. In the interest of making certain that Council has access to all pertinent information at the time of an individual faculty member’s consideration:

a) Council’s agenda will be announced so that all faculty members know when personnel actions will come under consideration.

b) As soon as final departmental decisions are reached on questions of reappointment, tenure, promotions and/or salary, chairpersons are expected to inform each individual concerned about the department’s recommendations, and to provide him or her with a copy of the departmental evaluation and chairman’s report one week before submission to the Dean and Council. (This is to insure for the individual under consideration the opportunity to provide 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.)

c) The Dean will instruct department chairpersons to forward with their report of departmental recommendations to Council any statement of self-evaluation which the faculty member under consideration has submitted to the department. The Dean may, on his or her own initiative or at the request of any Council member, ask department chairpersons for any additional information (such as student course evaluation) which the department used in forming its recommendations. This is to insure that, so far as possible, the Dean and Council have access to the same information as the department in the making of personnel decisions.
d) The Faculty Guide shall contain the following statements regarding an individual’s right to request a review of a Council decision with respect to his or her status.

1) The Dean shall receive any faculty member who wishes to discuss a Council decision.

2) The Dean shall bring before Council any piece of correspondence addressed to Council. 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.

3) 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.

4) 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.

6. The Faculty Grievance Procedures shall be amended to specify sex and/or race discrimination as a legitimate basis for taking a case to the grievance committee.

7. Any woman who feels that sex discrimination has entered into decisions regarding her status, shall have the right to take her case to the Committee on the Status of Women. The Committee will consider the case and serve in an advisory capacity for the woman. The Committee may elect to take steps to support the woman’s grievance before the appropriate bodies in which case one member of the Committee will be designated to represent the woman in the matter.

8. The Dean shall have the responsibility of making available to each member of the College Faculty in the fall of 1973 and to all new faculty in subsequent years, a copy of RECOMMENDATION 2, in its entirety, as adopted by the College Faculty.

Amended version passed by the College Faculty. Referred to the Dean of the College, the College Faculty Council, and departments for implementation.

RECOMMENDATION 2: Conservatory of Music:
Improving and regularizing Divisional (or Program) and Council procedures to insure maximum objectivity and justice in decisions regarding reappointment, tenure, promotion, and salary.

1. The Faculty Guide shall describe as specifically as possible the criteria and procedures used as a basis for reappointment, tenure, promotion, and salary decisions.

   a) The Dean and Conservatory Faculty Council shall have the responsibility of keeping this information current with respect to actual practice. Individual faculty members will immediately be informed of any changes.

   b) The Dean will discuss these criteria with new appointees to continuing positions on the faculty within four months after the beginning of the faculty member’s appointment.
2. Each division or program may recommend specific criteria to be used in intradivisional or program evaluations which go beyond those stated in the Faculty Guide. 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.

   a) The Dean shall have the responsibility of keeping this information current with respect to actual practice.

   b) The Dean will discuss these criteria with new members of the faculty within four months of the beginning of the member’s appointment.

   c) 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.

3. In the interest of objectivity and fairness, continuing members of the division or program will be invited annually to participate in personnel evaluations and recommendations regarding their colleagues.

   a) It is assumed that continuing members of the division or program will be expected to submit to the Dean an 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 should 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) It is also assumed that, at the time of consideration of salary increase, continuing 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) It is assumed that any individual under consideration 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) It is assumed that individuals under consideration for reappointment or tenure will have their teaching observed by members of Council and by continuing members of the division or program.

   e) It is assumed that 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 under consideration and the individual’s division or program.

   f) It is further assumed that 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.

g) It is also assumed that all students are expected to submit written evaluations to the Dean, due steps being taken to protect the anonymity of the students. This information will be available to the Dean, members of the Council, and to the individual faculty persons being evaluated. These evaluations will also be made available to continuing members of the division or program at the time of an individual’s consideration for reappointment and/or tenure.

4. To implement the above recommendations effectively, it is further recommended that the Dean and Conservatory Council create a suitable Faculty Evaluation Form to be used by members of the faculty in evaluating their colleagues.

5. In the interest of making certain that Council has access to all pertinent information at the time of an individual faculty member’s consideration, the Faculty Guide shall contain the following statements regarding an individual’s right to request a review of a Council decision on his or her status:

a) The Dean shall receive any faculty member who wishes to discuss a Council decision.

b) The Dean shall bring before Council any piece of correspondence addressed to the Council. 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.

c) 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.

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

e) 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 and of the supporting evidence submitted. This is to insure the individual under consideration the opportunity to provide Council with such additional information as he or she may deem advisable.*

6. The Faculty Grievance Procedures shall be amended to specify sex and/or race discrimination as a legitimate basis for taking a case to the grievance committee.

7. Any woman who feels that sex discrimination has entered into decisions regarding her status, shall have the right to take her case to the Committee on the Status of Women. The Committee will consider the case and serve in an advisory capacity for the woman. The Committee may elect to take steps to support the woman’s grievance before the appropriate bodies in which case one member of the Committee will be designated to represent the woman in the matter.

* Adopted by the Conservatory Faculty, November 11, 1975.
Appendix B-7
8. The Dean shall have the responsibility of making available to each member of the Conservatory Faculty in the fall of 1973 and to all new faculty in subsequent years, a copy of Recommendation 2, in its entirety, as adopted by the Conservatory Faculty.

Amended version passed by the Conservatory Faculty. Referred to the Dean of the Conservatory, the Conservatory Faculty Council, and divisions and programs for implementation.

N.B. The language of Recommendation B-2 (Conservatory of Music) was revised in the fall of 1988 to replace the word "department" with the phrase "divisions and programs" to reflect the administrative reorganization of the Conservatory Faculty voted in the second semester of 1987-88.
Appendix B-8
RECOMMENDATION 3: Recruitment and hiring procedures.

The Committee recommends the following changes in the recruitment and hiring procedures:

1. The deans of the College and Conservatory and the General Faculty Council, in cooperation with the Committee on the Status of Women, will urge all departments to make every effort to locate qualified women candidates for available positions.

2. To insure that positive steps are taken, the following procedures will be in effect until the number of women on the faculty is increased and maintained at a level at least corresponding to the availability of women in the candidate pool.
   a) Each department will be expected to include at least one woman among the usual three candidates brought for interviews unless the Chairperson can show convincing evidence of real but unsuccessful efforts to locate qualified and available women candidates.
   b) Special efforts should be made to recruit minority women for faculty positions.
   c) Chairpersons and departments will be reminded by the deans that women candidates are to be considered solely on the basis of professional qualifications. Family ties which a woman might have should be of no more concern to a department than similar ties which male candidates might have and should in no way affect the issuance of a job offer.

3. Departments which include one or more women candidates among the usual three on-campus interviews, may receive permission to bring one or two additional women candidates if they so request.

4. Final departmental recommendations for hiring a male candidate must be accompanied by written evidence that: 1) effort has been made to attract qualified women candidates, and 2) such candidates have been given due consideration in the appointment procedures.

Amended version passed by the General Faculty. Referred to divisional deans, councils, and departments for implementation.

RECOMMENDATION 4: Hiring Timetable

The Committee recommends that the General Faculty commit itself to the following goal: To increase the rate of hiring women for regular positions on the faculty such that, within a three-year period, the percentage of women on the faculty will reflect as a minimum the percentage of women in the candidate pool. Further, as positions become available, each department will make strong efforts to hire one or more women.

Passed by the General Faculty. Referred to divisional deans, councils, and departments for implementation.

RECOMMENDATION 5: Abolishing the category of Lecturer.

It is recommended by the General Faculty that the Administration abolish the category of Lecturer for persons who do not hold full-time positions at Oberlin College.

Amended version passed by the General Faculty. Referred to the President and Administration for implementation.
RECOMMENDATION 6: Creation of part-time, full-status faculty and clarification of the category of Teacher

A. It is recommended by the General Faculty that the Administration create a category of part-time, full-status faculty described as follows:

1. to have responsibility for at least one credit-bearing course approved by the department or program or by EPPC, to be hired through the regular hiring process;

2. to hold a regular academic rank (Instructor, Assistant Professor, Associate Professor, Professor) appropriate to the training and experience brought to the position;

3. to receive a salary proportionate to the fraction of responsibility at the rank held and to be eligible for full or prorated participation in insurance and other fringe benefits;

4. to receive appropriately prorated support for research and other professional activities, including conferences and sabbatical leaves;

5. to assume all normal faculty nonteaching responsibilities, including participation in Departmental and Faculty meetings with the right to vote, prorated advising, service on committees, and other administrative duties;

6. to be eligible for multiple (e.g., three-) year contracts, and for tenure; (The period of service prior to a tenure decision could be lengthened for part-time faculty.)

7. to be considered for full-time positions when the individual’s own and Oberlin’s needs make such a change desirable, whether or not tenure has been granted.

B. It is recommended by the General Faculty that the title of Teacher be used only for those persons who are employed by the Conservatory to teach applied music on an hourly basis and who have full employment elsewhere. It is assumed that Oberlin College will have no responsibility for payment of fringe benefits for such persons.

Amended version passed by the General Faculty. Referred to the President, Administration, and Trustees for implementation.

RECOMMENDATION 7: Increased flexibility in the use of part-time positions.

The General Faculty strongly urges departments, deans, and councils to be open to the possibilities of creating part-time, full-status faculty positions, both for women and men seeking initial employment, and for full-time faculty who may wish part-time, full-status employment for reasons such as health, family, research, or the desire for partial retirement.

Passed by the General Faculty. Referred to the President and Administration for implementation.

RECOMMENDATION 8: Attitudinal changes.

It is recommended that all faculty and other College personnel recognize the existence of differential treatment as experienced by students and examine their own attitudes and practices in this regard. Conscientious attempts must be made by all members of the College community to rectify existing attitudinal and functional inequities in the treatment of students. Students should be counseled according to their capabilities. This is particularly important as more students enter fields not in accordance with traditional sexual stereotypes and where few if any female role models exist.

To attain this goal, women must be actively encouraged by all Oberlin College members to enter new and different fields, to explore their intellectual capacities to the full, and to continue their education after college. No member of the Oberlin College community should be guilty of assuming that Oberlin women students are less intelligent, less capable, or less
committed to serious achievement than men students, thereby undermining the women’s confidence and effectively limiting their aspirations.

Passed by the General Faculty.
Referred to Members of the Faculty and Administration for implementation.

RECOMMENDATION 9: Publications changes.

It is recommended that the administrative units of the College responsible for the preparation and distribution of information to prospective students and to the outside community revise this literature in order to cease portraying students in traditional sex-based academic roles.

Referred to the President for action, and to the Director of College Information for implementation.

RECOMMENDATION 10: Women’s studies.

It is recommended that additional courses in Women’s Studies be developed and offered within departments or programs or both.

Passed by the General Faculty.
Referred to departments and Programs for implementation.

RECOMMENDATION 11: Improvement in counseling.

It is recommended that

a) The offices of the Dean of Students and Associate Dean of the College, together with a committee of women students, compile a roster of faculty and staff women, faculty wives, and women in the community who have specialties and careers which might be of interest to students, and that students and advisors be made aware of the existence of such a roster.

b) The offices of the Dean of Students, the Associate Dean of the College, the academic advisors, and the Office of Placement and Graduate Counseling (Office of Career Services) make use of the above roster to enrich the counseling available to students.

c) Funds be made available to the Office of Placement and Graduate Counseling for the development of continuing programs, e.g., career counseling, leadership conferences and the like, to encourage and to assist women students in developing their talents and in selecting careers.

Referred to the deans for action and implementation.

RECOMMENDATION 12: Physical education and athletics.

It is recommended that

a) Coaching and instruction for women in sports be expanded in order to better assist women in developing their athletic skills. In conjunction with the increased coaching, we recommend that efforts be directed at significantly increasing the range and number of varsity sports in which women can participate.

It is recognized that national and regional regulations regarding the participation of women in varsity sports exist and that the Physical
Education Department at Oberlin may prefer to work within these regulations. Changes in the regulations are beginning to take place, however, and the Committee looks to the Oberlin Physical Education Department to provide effective leadership in this area.

b) All courses and athletic facilities in the Physical Education Department be made equally accessible to women and men.

Referral to the Physical Education Department for action and to the P. E. Dept., the Budget Advisory Committee, and the Provost for implementation.

RECOMMENDATION 13: Expansion of educational opportunities.

It is recommended that the appropriate administrative units of the College expand and strengthen opportunities for women in the surrounding community to continue and complete their education, both to serve the needs of these women and to help implement Oberlin’s policy of diversifying its student body. Degree programs should be open on a part-time as well as on a full-time basis. The present policy of making financial aid available, on the basis of need, to part-time as well as full-time students should be continued and funds for this purpose increased.

Referral to the President for action and to the Dean of Admissions for implementation.

RECOMMENDATION 14: Revision of the job classification system.

The Personnel Office should be asked to undertake, and to make public, a review of all positions in all offices and departments of the College to discover any inequities or patterns of discrimination, over-all or individual, that may currently exist, with attention directed in particular to inequities in the areas of classification, hiring and firing, salaries, and benefits. Specifically, it is urged that:

1. a complete revision of the present job classification system be undertaken in 1973-74 (as an extension of the reclassification presently being completed for the administrative and technical assistant category), with classification in the future based on skills required for duties performed on the job, as distinct from the status of the administrator, faculty member, department, or office employing the worker;

2. a revised job classification scale and requirements for all positions be made public so that both vertical mobility within departments and offices, and interdepartment and interoffice promotions, are made possible;

3. all applicants for administrative, professional, staff, and service positions be channeled by the Personnel Office to administrative and faculty departments on the basis of job interest and ability rather than on the basis of sex;

4. minority women be actively recruited for all non-faculty positions, and departments and offices be required to state reasons for employment of minority-group workers in any number smaller than is proportional to the number in the Oberlin community;

5. where instances of inequity or discrimination presently exist, funds be allocated to correct the injustices; further, that wages within job classifications be brought into conformity with established wage scales, with appropriate regard for seniority and equal pay for equal work;

6. all employees at the time of their appointment be given, by the Personnel Office, detailed information concerning their duties, salary, salary range, benefits, and possibilities and procedures for promotion;
any employee who fails to receive a promotion, salary increase, or contract renewal, for reasons which appear to be the result of sexual or racial discrimination, be able to carry her case to a review committee (i.e., to some such group as OCOPE, or if she is not represented by such a group, to the permanent Committee on the Status of Women), without risk of recrimination in any area of the College;

any part-time employee who works a total of 20 or more hours a week, or the equivalent thereof, per year, be entitled to a salary and benefits that are prorated in accordance with the rate of pay and benefits for a full-time worker in the same position;

arbitrary dress requirements, references to appearance, and references to personality unless relevant to a specific job, be removed from all job evaluation forms used in the College.

RECOMMENDATION 15: Scholarship aid for children.

Wider publicity should be given to the present scholarship plan for children of non-faculty employees. If a committee should be appointed to study scholarship grants to children of faculty added after 1971, this committee should study as well similar grants to children of persons in administrative, professional, staff, and service positions, so that a plan, fair and equitable for all College employees, results.

RECOMMENDATION 16: Provision for paid maternity leave.

The Committee recommends the establishment of a uniform maternity leave policy to apply to all female employees of the College. We support a policy which would grant women up to one month paid maternity leave and up to two additional months of unpaid child-care leave, without penalty or loss of seniority. Such a policy should apply to administrative and technical assistants, and to service workers, even if current contracts do not include such provisions.

RECOMMENDATION 17: Increasing the number of women in administrative and professional positions.

The number of women in administrative and professional positions should be increased until it reaches the percentage of women in the labor force. Specifically, it is urged that:

1. women be actively recruited for such positions at all levels and especially in those offices which at present have no women administrators;

2. women be appointed to administrative and professional positions which have possibilities for promotion.

RECOMMENDATION 18: Study of faculty status for librarians and curators.
A committee should be created by the Nominations Committee of the General Faculty to study the feasibility of faculty status for museum curators and for all librarians who serve as members of the Oberlin College Library staff.

Passed by the General Faculty, Referred to the Nominations Committee of the General Faculty for implementation.

RECOMMENDATION 19: Improving the status of house directors.

The work of the House Directors should be seen as part of the educational process of the College, and the traditional view that their primary function is a housekeeping one should be abandoned. Progress towards this goal is currently being made through increasing consultation between House Directors and the Office of the Dean of Students, and we look for a continuation of this beneficial trend.

Referred to the President for action and to the Dean of Students for implementation.

RECOMMENDATION 20: Employment.

The Committee recommends that the General Faculty give support to special efforts to consider the available pool of trained faculty and administrators' spouses to fill both faculty and administrative openings at the College.

To facilitate the process, the following steps are recommended:

1. Provision by the divisional deans of a roster of professional spouses in Oberlin, to be circulated to department chairpersons and administrators;

2. Local publicity in the Oberlin News Tribune of all job openings (including faculty and administrative posts);

3. Consideration and interviewing of local candidates for faculty and administrative positions on a basis comparable with that of outside candidates;

4. Establishment by the College of more flexible employment opportunities, i.e., more part-time faculty and administrative positions;

5. Willingness of department chairpersons to communicate to the appropriate department chairperson, upon the request of a candidate under consideration, the desire of the candidate’s spouse for employment at Oberlin College.

Amended version passed by the General Faculty. Referred to Departments and Heads of Administrative Offices for implementation.

RECOMMENDATION 21: Educational opportunities.

The Committee recommends that Oberlin College provide easier access to its rich educational program for wives of College employees and other women in the community on a flexible basis outlined in RECOMMENDATION 13.

Referred to the President for action and to the Dean of Admissions for implementation.
RECOMMENDATION 22: The establishment of a standing committee on the status of women
(See note on page B-17)

The Ad Hoc Committee recommends the establishment of a standing committee of the General Faculty on the Status of Women. The standing committee should include representation by faculty women, faculty wives, female students, and administrative, professional, secretarial, and service women, as well as one member of the Board of Trustees. This committee will be charged with the responsibility for looking after the interests and status of women in the Oberlin College Community, including the areas listed below and any pertinent issues which arise in the future.

1. Composition of the standing committee:

   6 members of the General Faculty including the Associate Dean concerned with the status of women, ex officio.
   4 members of the student body,
   4 persons who can represent the following groups: staff, service workers, faculty wives. ("Faculty wives" as used here indicates the group of women not employed by the College and married to a member of the faculty, staff, or administration.),
   1 member of the Board of Trustees (The Trustee member would be invited to participate in the work of the committee to the extent possible and would receive copies of minutes and all working documents of the committee.).

2. Chairing of the committee:

   The chairperson of the committee shall be elected by the members of the committee.

3. Procedures for appointing the members of the committee:

   a) All of the above appointments shall be made in consultation with the Associate Dean concerned with the status of women.
   b) The 5 members of the General Faculty shall be chosen by the Nominations Committee of the General Faculty and shall represent both the College and Conservatory faculties and the Administration.
   c) The 4 student members shall be appointed according to current student appointments procedures or, if necessary, by the 11 other members of the standing committee and shall represent both the College and Conservatory.
   d) The 4 persons representing staff, service workers and "faculty wives" shall be selected by the Nominations Committee of the General Faculty from rosters of names solicited from the groups to be represented.
   e) The Trustee member shall be selected by the President of the College.

4. Charges to the standing committee:

   General charges:
   1) To be responsible for overseeing implementation of the approved recommendations presented in this report.
   2) To extend the investigation of the status of women at Oberlin.
   3) To hold public hearings and/or discussions in order to bring relevant concerns before the College Community.

   Specific charges:
1) To maintain communication with the Oberlin Day Care Center, examining its relationship to Oberlin College and supporting the Center's interests where the committee deems it appropriate.

2) To oversee the development of Women's Studies. (See RECOMMENDATION 10.)

3) To investigate the possibility of a Continuing Education Program at Oberlin. Specifically, to investigate federal aid grants for continuing education and training possibilities.

4) To study the possibility of extending present educational opportunities for staff women, and to encourage on-the-job training for employees.

5) To assure that the issue of child-care leave is resolved in an equitable and reasonable fashion.

6) To investigate present sex-based discriminatory regulations and practices in the area of retirement benefits.

In conclusion, the Ad Hoc Committee expects that the Standing Committee on the Status of Women will be sensitive to the concerns of all of the women in the Oberlin College Community and will actively pursue the goal of equal status of women.

Amended version passed by the General Faculty. Referred to the President and the Nominations Committee of the General Faculty for implementation.

Note: The Standing Committee on the Status of Women is currently suspended at the request of the Committee in 1997.
APPENDIX C

RECOMMENDATIONS OF THE GENERAL FACULTY COUNCIL
TO THE GENERAL FACULTY WITH RESPECT TO THE
"REPORT OF THE COMMITTEE ON FACULTY SERVICE, PART I"

Approved by the General Faculty on
January 21, 1975 with one amendment
which has been incorporated in the
text of Recommendation 2.

The General Faculty Council at its regular meeting on January 7, 1975, approved the following statement and recommendations based upon the Report of the Committee on Faculty Service, Part I.

Introduction
The General Faculty at its November 5, 1974 meeting approved in principle the recommendations of the Craig Report with regard to tenure and faculty development. The General Faculty Council, using this as its guide, studied in particular the section on tenure (Part I of the "Report of the Committee on Faculty Service" the so-called "Craig Report"). The Craig Report indicates that: (a) the tenure ratio of Oberlin College faculty is well within the one-half to two-thirds range recommended by the Commission on Academic Tenure (sponsored by the AAUP and AAC); (b) any quota applied now would not take effect until after the period of time in which there is presumably the greatest need for it (the first five years); and, (c) Oberlin's competitive situation with other major universities and colleges makes the consideration for tenure on merit, rather than on numerical limits, an important factor when seeking young faculty members as well as established scholars. The General Faculty Council therefore concludes that no tenure quota is necessary or desirable at Oberlin.

After considering the recommendations made by the Conservatory Faculty Council and the College Faculty Council on the tenure section of the Craig Report, the General Faculty Council recommends to the General Faculty that:

Recommendation 1 be adopted as modified

(1) Tenure decisions be made on the basis of maximum information and with the utmost care by departments and councils.

Comment. It is also assumed that the College will continue to employ rigorous procedures in making initial appointments. In areas where the Ph.D. or other appropriate terminal degree is expected the recently adopted practice of not granting a second probationary appointment if requirements for this degree are not complete should be continued.

Recommendation 2 (as amended by the General Faculty on January 21, 1975).

(2) Length of service, age, and rank profiles be maintained for departments and given weight at the time of appointments. Wherever possible, faculty members in a department be distributed over the full length of service and age range. It may be desirable in some cases to appoint an older, experienced faculty member to fill an age or length of service gap in a department with a relatively young average age or young length of service age.

Comment. It is recognized that it may be desirable to group small areas or units in compiling statistically meaningful age-rank profiles. Budgetary restraints may limit the College's ability to make initial appointments to the faculty at the higher ranks.

[NOTE: Recommendations 3 and 4 were superseded by action of the two teaching faculties and the Board of Trustees in 1985. These concerned patterns of initial appointment and crediting of prior service elsewhere. These are now covered in sections of Pages 1-7 of the Faculty Guide.]
Recommendation 5 be adopted as modified

(5) That steps be taken immediately to systematize the keeping of records of statistical data on faculty of the type used in the study of the Committee on Faculty Service.

Comment. Retrospective data as well as current data should be developed. Projections of profiles of the faculty should be made. A computer model of the faculty such as that mentioned in Appendix B of the Report of the Committee on Faculty Service might be useful in this connection. Finally, it is hoped that the data presented in that report will serve as a basis upon which to build.
APPENDIX D

FACULTY GRIEVANCE PROCEDURES
(As approved by the General Faculty on April 15, 1986.)

A. In order to facilitate resolution of conflict which may result from a personnel decision by a faculty council, the General Faculty shall have a Mediation Committee. 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.

1. As used herein, "personnel decision" is limited to a decision concerning tenure, reappointment, promotion, or salary.

2. The personnel decision may have been made by the General Faculty Council or one of the divisional faculty councils.

3. Whenever this document refers to a personnel decision by a faculty council, the language shall be understood to include a personnel decision by a department or program, provided that such department or program decision does not lead to a decision by a faculty council.

4. The panel shall seek to mediate disputed personnel decisions concerning tenure or reappointment.

5. The panel may seek to mediate disputed personnel decisions concerning promotion or salary.

B. The Mediation Committee shall consist of nine members of the General Faculty who are not members or immediate past members of any faculty council and whose terms of appointment are subject in whole or in part to action by a divisional faculty council.

1. Six members of the Mediation Committee shall be members of the College Faculty, and three members shall be members of the Conservatory Faculty.

2. As used herein, "terms of appointment" means tenure, reappointment, promotion, or salary.

3. The election of Mediation Committee members shall be conducted after completion of elections to divisional faculty councils and the General Faculty Council. Members and members-elect of any of these faculty councils are not eligible for election to the Mediation Committee, nor are persons who have been granted leaves of absence for all or part of the Mediation Committee's term of office.

4. The members of the Mediation Committee shall serve for the academic year (July 1-June 30).

C. Voting for members of the Mediation Committee shall be restricted to members of the General Faculty whose terms of appointment are subject in whole or in part to action by a divisional faculty council, and to the President, the Provost, the Dean of the College, and the Dean of the Conservatory.

1. In the nominating balloting, members of the General Faculty whose terms of appointment are subject in whole or in part to action by the College Faculty Council shall nominate twelve of their eligible number. Members of the General Faculty whose terms of appointment are subject in whole or in part to action by the Conservatory Faculty Council shall nominate six of their eligible number.

*The Mediation Committee replaces the former General Faculty Review Committee.
Appendix D-1
2. In the final balloting, all eligible electors may vote for six of the College finalists and three of the Conservatory finalists. The six College finalists receiving the highest number of votes shall be declared the College members of the Mediation Committee. The three Conservatory finalists receiving the highest number of votes shall be declared the Conservatory members of the Mediation Committee. Alternates, as required, shall be drawn from the lists of remaining finalists, according to division, in order of number of votes received. Ties shall be resolved by lot.

D. A faculty member who is dissatisfied with a faculty council's personnel decision regarding himself or herself may consult with the divisional 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 Mediation Committee seek resolution of the matter.

1. 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.

2. The faculty member may consult with the divisional 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.

3. 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 divisional 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 Mediation Committee seek resolution of the matter.

4. 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, subject only to the ultimate final authority of the Board of Trustees.

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

6. 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.

E. 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 Mediation Committee 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.

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

2. After the mediation panel members have been selected, the remaining members of the Mediation Committee shall withdraw and shall have no further involvement with the case unless a vacancy is to be filled as prescribed in paragraph 4.

3. 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.

4. 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 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 Mediation Committee member from the same division.

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

F. In cases involving tenure or reappointment the mediation panel shall proceed immediately as prescribed in Section H. 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.

1. 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.

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

3. 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.

4. 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 D.4.

G. 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.

H. 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.

1. 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.

2. 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.

I. After receiving the written materials described in Section H, 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.

1. 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.

2. The mediation panel shall not disclose confidential documents.

3. 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 H.2. The mediation period may be extended at most seven days by mutual agreement of the petitioner and the council.

4. 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.

J. 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.

1. 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.

2. Upon receiving such a request, the faculty council shall proceed as prescribed in paragraph D.4.

K. All matters of interpretation of these Faculty Grievance Procedures shall be resolved by the Mediation Committee or its panels.
APPENDIX E

REVISED INTERIM GUIDELINES TO GOVERN OBERLIN COLLEGE POLICY WITH REGARD TO THE BUCKLEY AMENDMENT

1. Pursuant to section 438 of The General Education Provisions Act, with the exceptions noted in item 2, Oberlin College students presently or formerly enrolled shall have the right to review and inspect education records maintained by the College which contain information directly related to the student.

2. Exceptions are as follows:
   a. Financial records of the student’s parents or any information contained therein shall not be open to inspection by the student.
   b. Confidential letters and statements of recommendation which were placed in the file before January 1, 1975, shall not be open to inspection.
   c. Files maintained by individual faculty and staff which are the sole possession of the maker and which are not accessible or revealed to any person except a substitute.
   d. Material considered to be privileged medical and psychological information shall not be open to inspection. The student is, however, entitled to have these records personally reviewed by a physician or other appropriate professional of the student’s choice.

3. Offices keeping records which may be reviewed by the student are:

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<th>Office of</th>
<th>Supervisor</th>
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<tr>
<td>Dean of the Conservatory</td>
<td>Dean</td>
</tr>
<tr>
<td>Dean of Student Life and Services</td>
<td>Dean</td>
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<tr>
<td>Career Services</td>
<td>Director</td>
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<tr>
<td>Registrar</td>
<td>Registrar</td>
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<tr>
<td>Financial Aid</td>
<td>Director</td>
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<tr>
<td>Admissions</td>
<td>Director</td>
</tr>
<tr>
<td>Communications (“College Relations”)</td>
<td>Director</td>
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</table>

Information kept in these offices and persons who have access to these records are noted at the end of this memorandum.
4. Students may waive their right of access by attaching to or writing on the document in question the following statement: "I hereby waive my right of access to this document now or at any time in the future. I do so with the full understanding that a waiver may not be required as a condition for admission, or receipt of financial aid or any other services or benefits of the institution." (Signature must follow.)

5. In order to inspect material in his or her file, the student must make a written request to the supervisor of the office which controls the file, if required to do so by the supervisor. Steps will then be taken as soon as possible, and in all cases within no more than 45 days from the date of the request, to make the requested materials available in an appropriate office in Oberlin.

   a. The right of inspection includes the right to receive a copy of any and all inspected documents at the student's expense. A fee schedule, covering administrative costs, will be posted in the offices where student records are kept.

   b. The right of inspection includes the right to be informed of the titles and originators of all documents in the student's file whether or not they are open to inspection by the student.

6. If a student wishes to challenge the accuracy of any material after inspecting it, he or she may do so, either by inserting a written statement into the file or by requesting a hearing. Any such request must be made in writing to the head of the office in which the file is kept and will be granted within 45 days at the most.

   Until such time as the U.S. Office of Education spells out hearing procedures, the Dean of Student Life and Services will appoint a three-member committee consisting of a departmental chairperson, a faculty member, and an administrator (normally the Dean of Student Life and Services) to conduct the hearing. During the academic year when students are in residence, the Dean of Student Life and Services will select one student to be added to membership of this committee.

7. In cases, such as letters of recommendation, where the material in the student's file was originally included specifically at the request of the student and not on the initiative of the College as a regular part of its record-keeping, either the student or the originator of the material may have it withdrawn from the student's file at any time. In either instance the Office of Career Services will notify the student and the writer of the letter that the letter has been withdrawn.

8. No records pertaining to the student shall be released to individuals or organizations without the student's written request or consent, except:

   a. authorized College personnel within Oberlin College who have legitimate educational interests;

   b. authorized representatives of (i) the Comptroller General of the United States, (ii) the Secretary, (iii) an administrative head of an education agency (as defined in section 409 of this Act), or (iv) State educational authorities, under the conditions set forth in paragraph (3), which are state agencies which audit, evaluate, and enforce Federal legal requirements in connection with Federally-supported education programs;

   c. in connection with an application for, or receipt of financial aid;

   d. organizations conducting studies for, or on behalf of, educational agencies or institutions for the purpose of developing, validating, or administering predictive tests, administering student aid programs, and improving instruction, if such studies are conducted in such a manner as will not permit the personal identification of students and their parents by persons other than representatives of such organizations and such information will be destroyed when no longer needed for the purpose for which it is conducted;

   e. accrediting organizations in order to carry out their accrediting functions;

Appendix E-2
f. directory information—that is, information which the College has the policy of announcing publicly. “Directory Information” includes the student’s name, address, telephone listing, date and place of birth, major field of study, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, and the most recent previous educational agency or institution attended by the student;

However, any student may refuse to have this information released if he or she notifies the Dean of Students in writing on or before the end of the second week of his or her first semester in residence during a given academic year;

g. information the knowledge of which is necessary to protect the health or safety of the student or other persons;

h. in compliance with judicial order, or pursuant to any lawfully issued subpoena. The College will use its best efforts to notify the student before it responds to an order or subpoena.

9. All Oberlin College offices which maintain education records on individual students shall keep records of all cases in which documents in a student’s file are examined or an examination is requested by persons not authorized to have access to the records. Records shall include the following: date when the file was examined, by whom (name and title), and for what legitimate educational purpose. These records shall be open to inspection by the student. Those inspecting the file shall be informed that information therein may not be disclosed to another party without the written consent of the student.

10. All applications for federal funds submitted by Oberlin College to the U.S. Commissioner of Education must contain or be accompanied by an assurance that the institution is in compliance and will continue to comply with section 438 of the General Education Provisions Act.

EDUCATIONAL RECORDS KEPT IN COLLEGE OFFICES
Those offices where educational records are kept and the persons in charge of those offices are noted below. The items kept in each office are listed under the office, as well as the persons who have access to the records. Information is accessible only to those officers and faculty members of the College who need the information to carry out their institutional responsibilities.

1. Office of the Dean of the Conservatory

Withdrawal and leave of absence forms, transcripts, transfer of credit forms, Freshman Committee results, Sophomore Committee results, applied music progress reports, Application for Change in Applied Instruction, Secondary Piano Proficiency notice of exemption, personal correspondence, summary of application information compiled from the Admissions Office, audition forms, recital programs.

Persons who have access to these files are the Conservatory deans, the principal applied teacher, and members of the Academic Standing Committee. Confidential material submitted by the student to the Dean is not shared with the applied teacher.

2. Office of the Assistant Dean of the Conservatory

Withdrawal and leave of absence forms, transcripts, transfer of credit forms, Midterm grade reports, Freshman Committee results, Sophomore Committee results, Junior Committee Results, applied music progress reports, Application for Change in Applied Instruction, Secondary Piano Proficiency notice of exemption, personal correspondence, summary of application information compiled from the Admissions Office.

Persons who have access to these files are the Conservatory deans, the principal applied teacher, and members of the Academic Standing Committee. Confidential material submitted by the student to the Dean is not shared with the applied teacher.

Appendix E-3
3. **Office of Student Academic Services and the Office of the Dean of the College of A & S**

An academic record card showing board scores, grade point average, high school rank and hours earned in Oberlin; comments of professors on a student’s mid-term or semester achievement taken from mid-semester grade cards or faculty grade cards; letters of academic action taken by the Academic Standing Committee, and correspondence related to these actions; a folder is kept on minority students which contains counseling notes, copies of letters of reference, and notes regarding personal problems.

**Services for Students with Disabilities:**

Faculty and advisor referral forms, referrals completed by the student, tutor report forms, and tutor evaluation forms.

Persons who have access to these files are members of the Academic Standing Committee and faculty advisors.

4. **Office of the Dean of Student Life and Services**

Rea mission forms, housing and dining applications, applications for town housing and board options, correspondence to and from the student and his or her parents, information cards, grade slips, class schedules, records of conversations with students, dean’s incident reports with attached Security incident reports, recommendations written by a dean, withdrawal or leave of absence forms.

These records are available only to members of the Dean of Students’ staff. If other College personnel (faculty or College officials) wish access to these files, they must get the approval of a student dean before the file is made available to them.

A personal notebook is also kept which contains things a student would prefer not to have in the main file. It contains matters that have come up in discussions between a student and a dean and interoffice memoranda related to incidents involving the student. Only the student deans have access to these files.

5. **Office of Financial Aid**

A file on each student currently enrolled who has ever applied for financial aid. These files contain the following: if the student has been an aid applicant, parents’ confidential statements, an analysis of each PCS by College Scholarship Service, interview sheet (which includes any action by the Academic Standing Committee, withdrawals and/or readmissions, and any other information that is pertinent), all correspondence pertaining to the student, applications for aid, fund data sheets, and other documents submitted in support of requests for aid.

A loan envelope is maintained on each student who has ever been granted a loan by the College. This envelope contains the loan application, affidavits submitted in support of application and the action taken with regard to the application.

Only members of the office staff have access to these records.

6. **Office of Career Services**

Occupational and summer information form, Winter Term self-evaluation form, registration for summer information form, grade report form, transcripts, responses to surveys, senior registration form, letters of reference, records of individual appointments, correspondence from students, copies of OCDP correspondence to students, personal data sheet, records of credentials sent out and occupational plans of seniors. Some notes made by Placement Counselors if submitted before January 1, 1975.

**Alumni folders include:**

Appendix E-4
Same as above and in addition, occupational and educational information since graduation, personal information submitted by the alumnus, current address and Class Directory Report.

Persons who have access to these files are persons presenting written authorization from the student that their records be made available.

7. Office of the Registrar

The student's permanent file which includes application for admission, secondary school report including transcripts, test results, guidance counselor's and classroom teachers' reports, and any letters of recommendation. Items added to this file are transcripts of work completed away from Oberlin, copies of withdrawal form, leave of absence form, letters of official action taken by College officials, academic standing or judicial committees, department chairman, faculty advisers and others.

Also on file are the student's permanent record card and the student information card (which is sent to Alumni Records at graduation or withdrawal).

Persons who have access to these files are members of the faculty, or administrative and professional staff with bona fide reasons.

8. Office of Admissions

Rank, SAT, intended major, alumni connections, high school attended, activities, 1st generation status and financial status of application.

Persons who have access to these files are individual faculty members or administrators with bona fide reasons.

9. Office of Communications (now "College Relations")

The information contained in these files is obtained from the "directory information" card which each student completes each semester. Other materials gathered are participation in College activities (excluding religious and political activities), leadership roles, athletic statistics such as height, weight, how participant has done.

The only persons who have access to these files are staff of the Office of Communications.

Reference
GFC, February 18, 1975 (updated February 1995)
APPENDIX F

FEDERAL REGULATION REGARDING TREATMENT OF HANDICAPPED STUDENTS

Section 504 of the Rehabilitation Act of 1973 reads:

"No otherwise qualified handicapped individual ... shall, solely by reason of his handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

In April of 1977, the Department of Health, Education, and Welfare issued a Regulation which defines handicapped persons as those individuals who have a physical or mental impairment which substantially limits a major life activity, and generally requires that "each program and activity, when viewed in its entirety, is readily accessible to handicapped persons and is offered in the most integrated setting appropriate." Specific requirements of interest to faculty members include the following (in summary form):

1. **Admission to Classes.** Institutions may not, on the basis of handicap, exclude a qualified handicapped 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 handicapped student, and that auxiliary aids must be permitted in the classroom when they are necessary to insure the full participation of a handicapped student.

2. **Academic Requirements.** Instructors are obligated to make changes in course requirements if necessary to insure that such requirements do not discriminate against a qualified handicapped student. 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 handicapped student. 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 handicapped person cannot fulfill it, then the person is not "qualified" within the definition of this term.

3. **Other Adjustments.** Prohibitive rules which would have the effect of limiting the participation of a handicapped student in campus activities must be waived for that handicapped student. Such rules include a ban on having a guide dog 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 divisional dean's office.

4. **Examinations.** If necessary, course instructors are obligated to provide alternate testing procedures for a handicapped student 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 handicapped student, it is considered discriminatory to counsel such a student toward a more restrictive career than would be suggested for a nonhandicapped 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 handicap has been taken directly to a Court of Law and given a hearing there, bypassing institutional grievance procedures.

Further information about the Section 504 Regulation, and about auxiliary learning aids that are available for handicapped students, may be obtained from the Office of Student Academic Services.

Appendix F-1
APPENDIX G
OBERLIN COLLEGE SEXUAL OFFENSE POLICY
POLICY AND PROCEDURES

The Oberlin College community is committed to preserving the dignity and safety of its members. It will not tolerate sexual offense in any form, including acquaintance rape. Offenders will be subject to appropriate College adjudication processes and disciplinary action. Oberlin College will provide appropriate support to community members who feel that they have been victims of a sexual offense.

CAMPUS RESOURCES

The Student Sexual Assault Support Team (SAST) provides counseling and advice to persons who have experienced any form of sexual assault including rape. You can reach this 24-hour hotline by calling 775-8429. A counselor-on-call will be contacted and return your call immediately.

The Residential Life Deans and Community Coordinators are also available to provide assistance. They are familiar with the various College procedures and resources, and can help in identifying those procedures for you if that course of action seems appropriate.

Camille Hamlin Mitchell, the Administrator of the Oberlin College Sexual Offense Policy, 204 Carnegie Building, x8555.

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<th>IMPORTANT TELEPHONE NUMBERS</th>
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<tr>
<td>CAMPUS SECURITY</td>
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<td>COUNSELING CENTER</td>
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<tr>
<td>OFFICE OF CHAPLAINS</td>
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<td>SEXUAL INFORMATION CENTER</td>
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<tr>
<td>RESIDENTIAL LIFE DEANS</td>
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<tr>
<td>SAST</td>
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<tr>
<td>STUDENT HEALTH</td>
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<tr>
<td>24-HOUR NURSE LINE</td>
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<tr>
<td>LORAIN COUNTY RAPE CRISIS HOTLINE</td>
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If you believe you are the victim of acquaintance rape or sexual assault, and need immediate assistance, contact Campus Security (775-8444) who will also contact a College Dean and/or the Sexual Offense Policy Administrator to provide immediate support and assistance to you. The Security staff has your well-being as its primary concern; they have been trained to treat you with respect and sensitivity. They will ensure that you receive prompt and appropriate medical attention. Please remember that if you have been raped, it is important that you receive prompt medical attention for the collection of evidence and for prevention of disease and pregnancy. Security will notify the Oberlin Police. If you wish to file criminal charges, Security will assist you. It is important to note, that even though you have sought assistance from College Security or the Oberlin police, you will not be obligated to press criminal charges unless you choose to.

The following policy was adopted by the General Faculty on April 28, 1993; revised May 18, 1999.

Sexual Offense Policy and Procedures

I. INTRODUCTION

Oberlin College will not tolerate sexual offense in the work or academic setting. Offenders will be subject to appropriate College adjudication processes and disciplinary action. Oberlin College will provide appropriate support to community members who feel that they have been victims of a sexual offense.

II. SEXUAL RELATIONS BETWEEN STUDENTS, FACULTY AND STAFF

Oberlin College seeks to provide and maintain the best possible learning and working environment. For this reason it is prohibited for faculty members to engage in any sexual relationships with students to whom they are not married or in formal domestic partnerships, even when both parties believe that the relationship is consensual. This prohibition applies even if the student is not enrolled in the faculty member’s class. Also prohibited, with the same exceptions, are sexual relationships between staff and students. Faculty and staff who violate this prohibition are subject to appropriate College adjudication processes and disciplinary action.

All sexual interaction between students must be consensual. The term “consent” cannot be defined with enough precision to make a definition meaningful for any and/or all situations. Consent must be looked at on a case-by-case basis, by examining the facts of the particular matter. In some cases, however, consent may never be given, such as when an individual is asleep or unconscious, or when an individual’s judgment is impaired by drugs or alcohol. Students should take advantage of educational and training opportunities offered at the College to clarify the meaning and nature of sexual consent.

The spouse and partner guidelines for faculty (See Faculty Guide, Appendix A, reproduced below as Appendix 6) apply to all non-student employees, married or not, who enter into sexual relationships. Because of the dynamics of power and authority between supervisors and workers, Oberlin College discourages sexual relationships between supervisors and subordinate employees.

Appendix G-1
III. DEFINITION OF SEXUAL OFFENSE

Sexual offense is behavior which calls attention to gender, sexuality, gender identity or sexual orientation of persons in a manner which prevents or impairs an individual’s full enjoyment of educational or occupational benefits or opportunities. Enjoyment of educational or occupational benefits is to be interpreted broadly. Consequently, a sexual offense may occur on or off campus as long as it affects the campus community.

What is often at issue is not sexual attention per se but intimidation, coercion or abuse of power. Such behavior may be especially harmful in situations where the imposition of unwanted sexual attention is accompanied by the promise of academic or employment rewards or the threat of reprisal. Sexual offense includes sexual harassment.

Because Oberlin College values and protects academic freedom, because vigorous and open discussion of controversial issues may cause discomfort, and because vital teaching and learning may themselves be the occasion for students and professors to face difficult or awkward or painful matters, it is important for all to realize that this policy on sexual offense is not intended to restrict serious discussion of controversial issues in academic situations.

No matter how carefully worded a definition of sexual offense might be, unforeseen situations may arise which cannot easily be included in any definition. Thus, a sexual offense is defined to include, but not be limited to, the following:

A. Sexual Harassment
1. Sexual harassment means unwelcome sexual conduct which has the purpose or effect of unreasonably interfering with an individual’s performance or which creates an environment that a reasonable person would find hostile, offensive, or intimidating.
2. Sexual harassment includes behavior which is inappropriate to the academic or employment setting—for example, unwelcome or irrelevant comments, gestures, or touching—which may reasonably be perceived as a sexual overtone or sexual denigration. This includes making known to other people a person’s sexual orientation without his/her consent, and with the intent to denigrate that person sexually.
3. Sexual harassment includes a request for sexual favors when submission to or rejection of such a request might reasonably be viewed as a basis for evaluative decisions affecting an individual’s career or educational experience.

B. Sexual Assault
Sexual assault is coercion with or without the use of physical force for the purpose of sexual relations; or sexual contact to which any party involved does not give full and free consent.

C. Sexual Battery
Sexual battery occurs when a person engages in sexual intercourse, fellatio or cunnilingus with another through the use of coercion or when the victim’s ability to appraise a situation or control his or her own conduct is substantially impaired. Sexual battery is a felony crime in the state of Ohio.

D. Rape
Rape occurs when a person engages in sexual intercourse, fellatio, cunnilingus, or penetration of anal or vaginal areas with any object, with another person through the use of force, threat of force, or by forcefully, deceitfully, or surreptitiously administering intoxicants. Rape is a felony crime in the state of Ohio.

IV. POLICY ADMINISTRATION

A. Administration
In order to address the campus-wide needs for effective implementation of the following procedures and to provide ongoing education for the campus community, the President will appoint an Administrator, who will report to the President, and a Sexual Offense Review Committee (SORC) as outlined in the Appendices to this policy.

B. Education
It is essential that all employees and students of Oberlin College are knowledgeable about what behaviors constitute sexual offense and understand their responsibilities with respect to this policy. The Administrator will coordinate education and training on issues pertaining to sexual offense for the entire College community, including educating various groups such as SORC, members of the formal panels and the faculty Professional Conduct Review Committee, campus security officers, residence hall staff, academic departments, union representatives, and all supervisors. Every new employee will receive an orientation to the provisions of this policy. Yearly education for the College community will include presentations for students, faculty and staff.

The complete sexual offense policy will be published in the Student Rules and Regulations, the Faculty Guide, and all other student and employee handbooks. The names of advocate members of SORC and of the Administrator will also be printed in the Oberlin College telephone directory.

V. PROCEDURES

Appendix G-2
In this policy statement, a **RESPONDENT** is the person against whom a charge of sexual offense is brought; a **COMPLAINANT** is the person who brings a charge of sexual offense.

**A. Duty to Report**

Any member of the campus community who believe(s) that his or her educational or work experience has been subjected to sexual harassment, sexual assault, sexual battery or rape should contact the Administrator or an Advocate member of SORC (see Appendix 2). Any other member of the campus community who is aware of the occurrence of sexual harassment, sexual assault, sexual battery or rape must contact the Administrator. (If the Administrator is either the respondent or the complainant, the co-chair of SORC will be contacted and will assume the responsibilities of the Administrator). Complaints of sexual offense may also be made directly to the President, who will insure that the complaint is forwarded to the appropriate administrator.

**B. Confidentiality**

Complaints of sexual offense should be dealt with according to established procedures, which treat all information as confidential. Only those individuals who possess a legitimate need to know should be told of the details of allegations. Parties involved should not engage in public discussion of their cases.

**C. Time Frame**

Under normal circumstances, the time frames referred to in this policy should be followed. Any change in these time frames must be authorized by the Administrator or his/her designee. These time frames do not include days on which the College is not in session. The College is in session from the first day of enrollment until the last day of the Spring term, except for official College holidays, shut down and Winter Term.

**D. Initial Investigation**

1. When the Administrator receives a sexual offense complaint, the Administrator will interview the complaining individual. The Administrator will also advise the respondent of the complaint, and interview the respondent as to his/her position with respect to the allegation(s). The Administrator will also interview relevant witnesses and collect appropriate demonstrative evidence during his/her investigation. The Administrator will advise each person whom she/he has interviewed that he or she is to keep the matter confidential.

2. The Administrator is authorized to attempt to mediate or otherwise informally resolve the complaint. Agreements made by the parties during this conflict resolution process are binding, and a person’s violation of any agreement may result in discipline or other appropriate action. The Administrator may also decide that the seriousness of an alleged offense makes it necessary to file a formal complaint on behalf of the College even though a complainant may prefer to pursue informal procedures.

**E. Formal Panel**

1. If the Administrator believes, after investigation, that a sexual offense has occurred and if the Administrator has been unable to resolve the matter, the Administrator shall draft a complaint which will be forwarded to the Formal Panel. The written complaint should normally contain the names of the complainant and respondent and, in general, it should contain the date or dates, time or times, and nature of the alleged sexual offense(s), the place where the alleged sexual offense occurred and a general outline of the facts and nature of the alleged offense(s). The Formal Panel may consider and decide matters which in and of themselves are not violations of the Sexual Offense Policy when such matters are relevant to violations.

2. At any time prior to the completion of the Formal Panel process, the President may suspend the respondent or assign a respondent to other duties. If the respondent is a faculty member, the President should make the determination concerning suspension with the concurrence of the appropriate divisional council and the General Faculty Council. Compensation will continue during the period of such pre-completion-of-formal-procedure suspension.

3. After a decision to press a written complaint is made by the Administrator, the Administrator normally has five (5) working days to prepare and deliver the written complaint to the respondent by certified mail (or, alternatively, by signed-for, hand delivery), and to notify the Secretary of the College that a complaint has been filed. The Administrator will also provide the respondent with a copy of the Sexual Offense Policy and Procedures at the same time the written complaint is delivered. The respondent normally has three (3) working days following receipt of the written complaint to make contact with the Administrator to discuss the complaint and the procedures. Within seven (7) working days following such contact with the Administrator, the respondent may file a written response. If the respondent does not contact the Administrator and/or provides no written response to the complaint within these time limits, the case will still go forward.

4. At the request of either the complainant or the respondent, or when the Administrator deems it appropriate, the Administrator or his/her designee will inform both parties that contact between the parties must be limited only to that which is necessary and in the best interests of both parties and the institution. The Administrator or his/her designee shall make such determination after discussion with appropriate division heads and/or the Director of Human Rights.

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Resources. Violation of such limitations may be taken into account by the Formal Panel, and may result in discipline.

5. Normally within ten (10) working days following delivery of the written charges, the Secretary of the College will convene the Formal Panel (see Appendix 3). The President shall select an elected member of the Professional Conduct Review Committee to serve as the Chair each time the Formal Panel is convened during that academic year.

6. All parties have the right to choose an advisor from the Oberlin College community to assist and support them through the Formal Panel process. Each party may also bring a non-participating support person to the hearing. No parties will be permitted to have an attorney act as their representative in a hearing. Neither the advisor nor the support person may serve as a witness at the hearing, and they will not be permitted to question witnesses or address the Formal Panel.

7. The hearing will be closed to the public. No attorney representing any party may attend the hearing.

8. Every member of the College community has an obligation to cooperate with the Formal Panel to answer truthfully all questions asked.

9. The Formal Panel will hear the witnesses and evidence of the complainant, the respondent, and the Administrator. Either party may elect not to provide testimony in the presence of the other party, and the witnesses speaking on his/her behalf. Both parties shall be informed of this option by the Administrator prior to the hearing, and shall make their choice on this option known to the Administrator and, through the Administrator, to the Formal Panel before the commencement of any part of the Formal Hearing. Otherwise each will provide testimony in the presence of all. If either party elects not to provide testimony in the presence of the complainant or respondent, as the case may be, separate rooms for the hearing will be provided, and one room will be wired for sound.

10. The complainant, respondent, and Administrator have the right to present relevant witnesses and to provide other forms of pertinent information with respect to the case. Witnesses are not required to be members of the Oberlin College community.

11. The Formal Panel has the right to question any and all witnesses who appear before it. The Formal Panel has the right to request witnesses to appear other than those called by the parties and/or the Administrator. The complainant, respondent and the Administrator have the right to ask questions of the witnesses. If this privilege is abused or if other extenuating circumstances exist, the Formal Panel may prohibit such examination altogether or may require the abusing party to submit questions in writing from which the Formal Panel may choose to ask the witness. The complainant, Administrator, respondent and Formal Panel will disclose their witnesses sufficiently in advance so that all parties have an opportunity to prepare for the witnesses.

12. The Administrator or his/her designee shall make a record of the entire hearing, normally by means of audio tape. This recording will become part of the confidential record (see Appendix 4). The Administrator is the only party permitted to tape the proceedings.

13. The conduct of Formal Panel hearings shall normally proceed as specified in Appendix 4, although the Formal Panel is free to deviate from its procedures when it deems appropriate.

14. The Formal Panel shall be responsible for determining whether the preponderance of the evidence supports the allegations against the alleged respondent, and if so, whether such allegations constitute a sexual offense as defined in this policy. In order to find that a respondent has committed a sexual offense in violation of this policy, the decision of the Formal Panel must be at least 3-2. The Administrator or his/her designee will be responsible for informing the Formal Panel if the respondent is a repeat offender.

15. Following the receipt of evidence, the Formal Panel shall provide a report and a recommendation to the President. The report shall indicate whether the Formal Panel has concluded from its investigation that a sexual offense has occurred. The necessary hearings will normally be conducted and a report and recommendations for appropriate action be presented to the President within twenty (20) days after the Formal Panel has convened.

16. Promptly after the Formal Panel has made its recommendation, the Chair will collect all notes and related documents accumulated by the Formal Panel during the proceedings and forward the material to the Administrator for safekeeping.

17. The President or a designee appointed by him or her will review the report, normally within five (5) days of its receipt. The President will render his or her decision after discussions with appropriate governing bodies and will provide written notification (which will include the Formal Panel report) to the complainant, the respondent, and the Administrator. In the event that the respondent is a faculty member, the appropriate governing bodies are the appropriate divisional council and the General Faculty Council. In cases where the respondent is a member of a collective bargaining unit, the President shall render a decision in consultation with the Director of Human Resources. When the respondent is a member of the administrative and professional staff, the...
President shall consult with the appropriate division head. In cases involving a recommendation for serious sanction (suspension or initiation of dismissal proceedings), the procedures described in the College Bylaws and, in the case of faculty, the appropriate AAUP guidelines will be followed.

18. Appeal. The respondent, complainant or Administrator may present written arguments to the President or his or her designee as to why the Formal Panel’s findings and recommendations or the President’s decision were inappropriate within ten (10) days after the issuance of the decision by the President or his or her designee. The President or his or her designee will have five (5) days from receipt of such written arguments to act.

19. In the event that the respondent is the President, the recommendations of the Formal Panel will be reported to the Chair of the Board of Trustees.

F. PROTECTION FROM RETALIATION

If an individual experiences retaliation for making a complaint (when doing so in good faith), for cooperating during an investigation, or for appearing as a witness in a case, that person shall inform the Administrator. The Administrator will conduct an initial investigation and, if it appears likely that such retaliation has occurred, the Administrator will prepare a written complaint and forward it to the Secretary of the College and serve a copy of the complaint on the alleged wrongdoer. The Secretary of the College has the authority to call a new Formal Panel to hear the complaint or to refer the complaint to an existing Formal Panel.

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Appendix 1: THE ADMINISTRATOR

1. Duties
   a) The Sexual Offense Policy Administrator, who is appointed by the President, will be responsible for campus-wide education regarding the sexual offense policy, training Sexual Offense Review Committee (SORC) members, members of the community who sit on Formal Panels, and the members of the community who serve as Advocates. The Administrator is also responsible for initiating and coordinating the College’s educational programs regarding sexual offense issues and policies for students, faculty, and staff.
   b) The Administrator will be assisted by a Sexual Offense Review Committee (SORC), whose duties are outlined in Appendix 2. The SORC will give advice regarding ongoing policy issues and consult with the Administrator regarding the implementation of the sexual offense policy.
   c) The Administrator will serve as the permanent co-chair of SORC; the other co-chair will be a tenured teaching member of the General Faculty.
   d) The Administrator will be responsible for informal conflict resolution procedures and for coordinating the formal procedures.
   e) The Administrator will be responsible when necessary for advising appropriate faculty, staff and the Academic Standing Committee on behalf of a student or students who have experienced some form of sexual offense or been involved in a sexual offense proceeding. In cases involving the Formal Hearings Panel, students may need to request extensions or incompletes in their course work. The Administrator will help students in completing the process of requesting Incompletes. The Administrator shall notify students of and options for and available assistance in changing academic and living situations after an alleged sexual assault incident, if so requested by the student and if such changes are reasonably available.

2. Record Keeping
   a) Statistical. The Administrator should keep statistical records of certain crimes of a sexual nature which have been reported to campus security, the Oberlin police department, or to any College official with significant responsibility for student welfare and campus activity. Crimes of a sexual nature for which statistical records need to be kept are rape, statutory rape, sexual assault and forcible fondling. The Administrator, in conjunction with the Dean of Student Life, shall publish the statistical records at such time and in such manner as required by the Student Right-to-Know and Campus Security Act.
   b) Records of matters investigated by the Administrator. Records, including the names of both parties, will be kept of all cases investigated by the Administrator.
   c) Records of Formal Procedures. Records of all Formal Panel hearings will be kept in confidence by the Administrator and all members of the Panel. Normally, they will be divulged only to the President for his or her review or, if requested, to College counsel, or if subpoenaed by a court of law. When necessary to determine disciplinary action, the record before the Formal Panel may be disclosed to the appropriate divisional faculty council and to the General Faculty Council.
   d) Duties of the Administrator regarding record keeping
      1) The Administrator will be responsible for keeping records on the actions of SORC, a statistical record of all incidents, and confidential files on complaints of sexual offense. Normally, the co-chairs of SORC will have access to the confidential files on sexual offense complaints or charges, which will be kept under lock and key in the Administrator’s office.

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2) Records of complaints will show the complaint and the disposition of the complaint, as well as the names of the complainant and respondent.

e) Special Access to Records and Information

1) In cases which invoke the use of procedures found in Oberlin College collective bargaining agreements, the Director of Human Resources or his/her designee shall be granted access to the applicable confidential files. In cases in which charges are filed concurrently or subsequent to the case with outside government agencies, the Affirmative Action Officer and/or Title IX Compliance Officer shall be granted access to the applicable confidential files.

2) College counsel shall have access to the applicable confidential files in all cases involving litigation or threat of litigation.

Appendix 2: The Sexual Offense Review Committee (SORC)

1. Composition

a) The Sexual Offense Review Committee (SORC) will be composed of two representatives from each of the following constituencies: Students, Faculty, Administrative and Professional Staff, and at least one member each from the OCOPE and UAW bargaining units. SORC members should include representation by people of color and lesbian/gay/bisexual/transsexual people, if possible. Appointments to the Committee will be made by the President after consultation with current SORC members, the Administrator, and the executive body of the applicable employee group. In appointing student members, the President shall consult with the Student Senate. Each Committee member will serve a two-year term, with terms among members of the same constituency overlapping.

b) Five members of SORC will be appointed to serve as first-contact advocates for the campus community. (See Section 2 below: Advocacy). The entire Committee will be responsible for update and review of the sexual offense policy. The Administrator will keep an updated list of resources on and off campus (e.g., support groups, counseling services, community programs) and provide advocates with the information.

c) Co-chairs of SORC will be a tenured teaching member of the General Faculty and the Administrator.

d) SORC members will normally be appointed by the end of April of each school year. Training for SORC will be coordinated by the Administrator.

e) The SORC will issue an annual report summarizing the number, types, and outcomes of sexual offense cases and forward it to the Administrator. No names of persons will be included in the report. At least every second year, SORC will undertake a review of the Sexual Offense Policy and, if necessary, recommend revisions to the General Faculty.

2. Advocacy

a) Role of Advocates: An advocate is the first person who should be called with questions about Oberlin’s sexual offense policy, either for making informational inquiries or for reporting incidents of sexual offense. Advocacy is available to both complainants and respondents. The Administrator is responsible for educating advocates about the nature of sexual offense and Oberlin’s sexual offense policy. Advocates’ names, campus addresses, and campus phone numbers will be published in flyers sent to the entire Oberlin College community by the end of each April for the following academic year. During the summer, advocates who are on campus will continue to be available to the College community for cases which may arise while the College is not in session.

b) There will be an Advocate from each campus constituency (i.e., faculty, students, administrative and professional staff, OCOPE and the UAW). These Advocates will have institutional support for their work: hourly employees may need release time and/or paid overtime. The College will fund advocates’ attendance at relevant workshops or conferences once a year. Hourly employees will be given release time with pay for time spent attending such workshops or conferences. If appropriate, the deans of the College or the Conservatory or the appropriate division head may grant faculty and administrative and professional staff members release time from their departmental duties. When necessary, students may be excused from classes without penalty.

c) The Administrator will conduct an extensive training session for the Advocates each year. The Administrator will schedule additional meetings with the campus advocates as necessary to review any changes in policy or procedures.

d) An Advocate is not a counselor, but is available to provide information and to refer individuals to the proper resources if counseling is indicated. An Advocate will describe options and procedures so that if further action is warranted and/or desired, the individual requesting information will be able to make appropriate decisions about a course of action.

e) All contacts with an Advocate will be recorded and forwarded to the Administrator or his/her designee. All further actions will be determined by the Administrator or his/her designee in consultation with the complaining individual.

f) An Advocate may serve as an advisor during the Formal Panel process, but may not be called by any party as a witness or participate in the hearing in any way other than to provide support to a complainant or respondent.

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Appendix 3:  THE FORMAL PANEL

a) The five-member Formal Panel will be convened by the Secretary of the College. The President shall select an elected member of the Professional Conduct Review Committee to serve as the Chair each time the Formal Panel is convened.

b) Respondent is a Faculty Member: Augmenting the Formal Panel. In cases in which the respondent is a faculty member and the complainant is not, the Formal Panel will be composed of five (5) faculty members drawn by lot from the membership of the Professional Conduct Review Committee, plus a sixth non-faculty representative who will be chosen by lot from the membership of either the Administrative and Professional Staff Grievance Committee, the Judicial Board (as expanded; see below, paragraph c); the UAW Grievance Committee, or the OCOPE Grievance Committee, as appropriate. This non-faculty representative will have full voice during the hearing of the case, and will present a written recommendation to the panel, but the faculty members alone will determine guilt or innocence.

c) Respondent is not a faculty member. For cases in which the accused is not a faculty member, the pool for the Formal Panel will be drawn from the Professional Conduct Review Committee, the Administrative and Professional Staff Grievance Committee, the Judicial Board, the UAW Grievance Committee, and the OCOPE Grievance Committee. In order to provide for diversity in the pool of students who might serve on Formal Panels, the Administrator will, in consultation with appropriate student organizations, each April appoint five (5) students to serve along with the members of the Judicial Board as the pool for Formal Panels. Panels will be drawn by lot from this pool with a Formal Panel being composed of three (3) members of the respondent’s employee/student group and two (2) members of the employee/student group of the complainant.

d) The Administrator will coordinate education and training concerning sexual offense and Oberlin’s policy for each campus group represented in the Formal Panel pool. All members of the Professional Conduct Review Committee, the Administrative and Professional Staff Grievance Committee, the Judicial Board, the UAW Grievance Committee, and the OCOPE Grievance Committee. In order to provide for diversity in the pool of students who might serve on Formal Panels, the Administrator will, in consultation with appropriate student organizations, each April appoint five (5) students to serve along with the members of the Judicial Board as the pool for Formal Panels. Panels will be drawn by lot from this pool with a Formal Panel being composed of three (3) members of the respondent’s employee/student group and two (2) members of the employee/student group of the complainant.

e) Any member of the Formal Panel should disqualify him or herself from a case if, after learning of the identities of the parties involved, he or she feels that he or she cannot participate objectively.

f) All matters of interpretation regarding proceedings of the Formal Panel shall be determined by the Panel.

Appendix 4:  CONDUCT OF FORMAL PANEL HEARINGS

The following shall be the order of procedure for a formal hearing:

a) Opening statement of Complainant or Administrator, if acting as complainant) and presentation of written complaint

b) Opening statement of Respondent

c) Witnesses and evidence submitted by the Complainant or Administrator, if acting as complainant

d) Witnesses and evidence submitted by the Respondent

e) Witnesses and evidence requested by the Formal Panel

f) Rebuttal witnesses and evidence submitted by the Complainant or Administrator, if acting as Complainant

g) Rebuttal witnesses and evidence submitted by the Respondent

h) Summary of evidence (closing statement) submitted by Complainant or Administrator, if acting as Complainant

i) Summary of evidence (closing statement) submitted by Respondent

Appendix 5:  APPROPRIATE DISCIPLINARY GUIDELINES

Sexual offenses may demand serious sanctions. The Formal Panel will judge each case on its merits and recommend disciplinary action according to the seriousness of the offense and, when appropriate, on the record of the accused.

a) If a person is found guilty of sexual harassment, the recommended disciplinary action may include, but not be limited to, admonition, probation, suspension, or dismissal, depending on the severity of that offense. Offenses involving abuse of power, as opposed to misconduct between equals, and especially repeated abuse of power (i.e., professor-student; supervisor-employee, tenured-untenured faculty) are always severe and may result in dismissal.

b) If a person is found guilty of sexual assault (coercion with or without physical force) or attempted sexual assault, the recommended disciplinary action may be dismissal, termination, or suspension/expulsion, according to the procedures for students and each employee group.

c) If a person is found guilty of sexual battery or rape, the recommended disciplinary action will be dismissal.
d) Disciplinary action shall normally include participation in an education program designated by the Administrator. Repeated offenses while on probation may result in suspension or dismissal.
APPENDIX H

FACULTY PROFESSIONAL CONDUCT REVIEW COMMITTEE

A. The General Faculty shall have a Professional Conduct Review Committee which shall consider formal complaints about professional conduct made against any individual holding a faculty appointment at Oberlin College. Formal complaints of sexual offense shall proceed as specified in Appendix G.

B. The Professional Conduct Review Committee shall consist of nine members of the General Faculty who are not members-elect of any faculty council and whose terms of appointment are subject in whole or in part to action by a divisional faculty council. (Persons granted leaves of absence for all or part of the academic year of a Review Committee's term of office also would be ineligible for election to the Committee.)

1. Six members of the Professional Conduct Review Committee shall be members of the College Faculty and three members shall be members of the Conservatory Faculty.

2. The election of the Professional Conduct Review Committee shall be conducted after the divisional and General Faculty Council elections are completed and in tandem with elections for the General Faculty Mediation Committee (grievance committee).

3. Individuals may be elected to both the Professional Conduct Review Committee and the Mediation Committee.

4. The members of the Professional Conduct Review Committee shall serve for a term of one year, effective at the beginning of the academic year following their election.

5. If members are involved with a case that cannot be concluded by the end of a term of service, the members should be asked to continue with the case until it is resolved.

C. Voting for members of the Professional Conduct Review Committee shall be restricted to members of the General Faculty whose terms of appointment are subject in whole or in part to action by a divisional faculty council, and to the President, the Provost, the Dean of the College, and the Dean of the Conservatory.

1. In the nominating balloting, members of the General Faculty whose terms of appointment are subject in whole or in part to action by the College Faculty Council shall nominate twelve of their eligible number. Members of the General Faculty whose terms of appointment are subject in whole or in part to action by the Conservatory Faculty Council shall nominate six of their eligible number.

2. In the final balloting, all eligible electors may vote for six of the College finalists and three of the Conservatory finalists. The six College finalists receiving the highest number of votes shall be declared the College members of the Professional Conduct Review Committee. The three Conservatory finalists receiving the highest number of votes shall be declared the Conservatory members of the Professional Conduct Review Committee. Alternates, as required, shall be drawn from the lists of remaining finalists, according to division, in order of number of votes received. Ties shall be resolved by lot.

D. Normally, before the filing of a formal complaint, efforts must have been undertaken previously to resolve the complaint informally. In cases involving complaints of sexual misconduct, see Appendix G. In other cases the divisional dean should be involved in the informal resolution of the complaint, if it has not been resolved at the departmental level. Formal complaints should be filed promptly, for example, normally no longer than six months after the alleged misconduct.

1. A signed written complaint is to be filed with the Secretary of the College, who will convene the Professional Conduct Review Committee within four days. The Committee will deal with the case as promptly as possible.
2. The Review Committee shall be informed only whether the complaint has been filed against a member of the Arts & Sciences or Conservatory faculty. The Committee shall select four of its members to serve as an Investigative Panel; the remaining five members shall serve, if needed, as the Hearing Panel for the case. Members of both the Conservatory and College Faculties shall be included on both panels. The proceedings of the Review Committee, and its panels, shall be confidential.

   a. Each panel shall select its own chair at the time the Professional Conduct Review Committee is convened by the Secretary of the College.

   b. After the panel chairs are selected, the members of the Hearing Panel shall withdraw and shall have no further involvement with the case unless and until a formal hearing is requested as prescribed below.

   c. After members of the Hearing Panel have withdrawn, the Secretary shall transmit to the Investigative Panel the complainant’s statement of complaint.

   d. A member of either panel shall remove him or her self from participation in any case with respect to which he or she feels disqualified because of bias or interest. All vacancies shall be filled by alternates as described in Section C2. Replacements for a panel member shall serve for that one case only (unless specifically called upon to serve in other cases as they arise).

   e. Under normal circumstances, the Professional Conduct Review Committee and any of its panels shall meet and conduct business only when all members are present. The chair shall vote only in the event of a tie.

3. Each party is encouraged to select an adviser (a nonstudent member of the College community) to represent or advise him or her at any stage in the review proceedings.

4. The Investigative Panel shall meet with the complainant for the purpose of facilitating the panel’s understanding of the nature of the complaint.

5. The Panel will obtain a written response to the complaint and shall meet with the respondent for the purpose of facilitating the panel’s understanding of that response.

6. The panel may conduct such further investigation as appears warranted.

7. The panel shall prepare a written report of its findings. The written report shall be given to both parties. Either party, or the Investigative Panel itself, may request a formal hearing by the Hearing Panel. Failing such a request, the matter is considered closed.

8. The Hearing Panel shall consider the complaint, response, and report of the Investigative Panel. It shall hear oral presentations by the parties, or by others as it deems necessary.

9. The appropriate divisional dean shall participate in all meetings of the Hearing Panel.

10. The Hearing Panel shall present a written report of its findings, along with any recommendations for action, to the President. The range of possible actions that might be recommended include, but need not be limited to: conclusion of the case without sanction; imposition of sanction such as warning, reprimand, suspension, or initiation of dismissal proceedings. The report shall also be given to the complainant and to the respondent. In cases involving a recommendation for warning or reprimand, it is expected that the President will normally inform the appropriate faculty council of the action taken. In cases involving a recommendation for serious sanction (suspension or initiation of dismissal proceedings), the procedures described in the College Bylaws and the appropriate AAUP guidelines will be followed.
11. Early each year the College will provide an educational seminar for members of the Professional Conduct Review Committee to familiarize themselves with the meaning of the term "sexual harassment."

Adopted by the General Faculty on October 21, 1986.
APPENDIX I

SPOUSAL TUITION REMISSION

Based upon the recommendations of the College Benefits Committee and with the approval of the President and the Board of Trustees, changes have been instituted in the Tuition Remission Program for spouses of members of the faculty and the administrative and professional staff. Effective June 10, 1989 the Spousal Tuition Program is modified and restated as follows:

1. Spouses of members of the faculty and administrative and professional staff 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 (or on an administrative and professional staff appointment of at least half-time for at least 9 months).

Procedural Comments:

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. College legal counsel has reviewed this program and has advised that it is not now considered taxable except with respect to highly-compensated employees for whom it may be considered taxable income depending on the outcome of nondiscrimination testing required by federal law. Should this interpretation, or the law itself change, the College will assume no responsibility for the taxes or tax penalties assessed and will make withholding deductions where required without reimbursement to members of the faculty. The Vice President for Finance has agreed to account for the nominal costs of this program in a manner that will increase neither compensation nor financial aid levels. This change does not affect current policy about audits.
APPENDIX J

OBERLIN COLLEGE POLICY ON SMOKING

At a meeting held October 26, 1993, the General Faculty voted to adopt the following policy regarding a campus-wide smoking ban:

Oberlin College's policy is to limit smoking by its faculty, staff, students, and visitors to outdoor areas on campus that are away 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.

*This policy was effective as of January 1, 1994.

An exception has been made to allow smoking in designated lounges in some residence halls. The Office of the Dean of Students uses the following procedures for violations of smoking policy:

1. Each person is responsible for reminding smokers of the policy and to request that they not smoke in the building.
2. If a student consistently disregards the requests, the student's name is to be reported to the building rep (academic buildings) or area coordinator (residence halls).
3. The building rep or area coordinator is to send the student's name to the Judicial Coordinator in a memo or by electronic transmission (Quickmail).
4. The student will be contacted to discuss the violation with the Dean or the Dean's representative, and a letter noting the disregard of college regulations will be placed in the student's file.
5. If the same student is reported to the Dean a second time, judicial charges citing misconduct will be filed by the Dean's Office.
APPENDIX K

COLLEGE DRUG-FREE WORKPLACE POLICY
It is College policy to maintain the campus as a drug-free workplace. The unlawful manufacture, distribution, dispensation, possession or use of controlled substance is prohibited in the workplace. Any violation will subject persons to the disciplinary processes appropriate for their employee group. Employees must, as a condition of employment, abide by this prohibition and report to their department head and the Director of Human Resources any conviction for drug related activity in the workplace within five days after the conviction.

The College has programs to assist employees to comply with its drug-free workplace policy. The College has an Employee Assistance Program which helps employees and/or supervisors to identify and correct a wide range of human problems, including those involving controlled substances.

Employee health plans 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.

Employees should make use of these services as needed. They are encouraged to handle problems with drug addiction on a voluntary basis and at early stages.
APPENDIX L

OBERLIN COLLEGE POLICY AND GUIDELINES FOR HUMAN IMMUNODEFICIENCY VIRUS (HIV) INFECTIONS

NOTE: THIS POLICY WAS ADOPTED IN 1988. PLEASE CONSULT THE OFFICE OF HUMAN RESOURCES AND/OR THE SUMMARY PLAN DOCUMENT OF THE HEALTH PLAN FOR FURTHER INFORMATION ON CURRENT LIMITATIONS OF HEALTH INSURANCE COVERAGE.

POLICY

HIV infections will be treated as any other serious disease on a case-by-case basis as determined by the medical facts involved. The College does not discriminate against individuals with HIV infections.

QUESTION AND ANSWER GUIDELINES

The following guidelines are based on recommendations issued by the U.S. Public Health Service, the Centers for Disease Control, the Ohio Department of Health, and the American College Health Association. They present a framework from which specific, well-reasoned responses can be developed in individual cases. They may be appropriately revised as recommendations change or new information is obtained.

Student Concerns:

1. If a student suspects that he or she has an HIV infection, what will the College do?

   If the student is uncertain of his or her medical condition and seeks help, the College will encourage the student to get either an anonymous or a confidential HIV antibody test, including counseling before and after, and further medical follow-up, if appropriate. The advantages and disadvantages of both anonymous and confidential testing will be explained to the student.

2. How will the College respond to either complaints of discrimination or harassment by students against students with HIV infections or against students who are perceived to be involved in high risk behaviors?

   The College will respond to any conflict or harassment first by informal means, with efforts to counsel and educate the individuals involved. However, if harassment continues, such conduct will be dealt with as a student disciplinary matter under the established procedures of the Judicial Guide.

3. How will the College respond to students who wish to change class schedules because a person in their class has an HIV infection?

   The fact that a classmate has an HIV infection will not be considered a legitimate reason for dropping a course, requesting a section reassignment or making other changes in a student’s academic program. The College’s first response to any concern of this nature will be to provide counseling to those involved. Such a concern is not supported by any medical evidence. Casual contact does not result in an HIV infection. With respect to the student who has the HIV infection, so long as class attendance is permitted by the student’s physician, he or she may attend class without any need or reason for the student or classmates to make any changes in their schedules.

4. What are the provisions of the College's student health insurance program that relate to HIV infections?

   Outpatient illness under the care of an Oberlin Clinic physician or Student Health is covered within the limits established for any illness under the Mandatory Health Program. Inpatient care and medical charges generated by subspecialists and physicians who are not members of

* The Human Immunodeficiency Virus (HIV) infections referred to in this report include a spectrum of conditions ranging from a positive HIV test with no symptoms to that of Acquired Immune Deficiency Syndrome (AIDS) and cover intermediate conditions previously designated as ARC (Aids Related Complex).

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the Oberlin Clinic are covered within the stated limits by the optional Supplementary Sickness and Accident Insurance. There is no exclusion for any preexisting condition. Payment of medical expenses under the insurance programs applies to all medical conditions; no separate provisions apply to HIV infections.

5. How will the College respond if a student living in a residence hall is diagnosed as having an HIV infection?

Decisions in all situations involving a student who has a health problem are made on a case-by-case determination, based on the medical facts of each case and with concern for confidentiality and the best interests of all parties involved.

If a residence hall student has an HIV infection, the College will counsel the student in dealing with the non-medical aspects of the condition and will assist in referral to appropriate counseling and/or medical services. Referrals to physicians and counseling agencies will be made on a confidential basis. As appropriate, on a case-by-case basis, the College will consider room transfers requested by a residence hall student with an HIV infection.

6. What if a student in a residence hall suspects that a roommate or other resident has an HIV infection?

The College will respond with appropriate counseling in the same manner as with other issues or concerns that may arise among residence hall students. If and only if, desired by the student who may have the HIV infection, the College will help that individual obtain appropriate medical referrals and/or counseling.

If after counseling, other conflicts still exist which cannot be resolved, the College will facilitate a room reassignment for whichever of the parties so desires. However, such a situation will not be a legitimate reason for releasing a student from the residential housing obligation. Again, it should be stressed that casual contact, such as normally occurs with a roommate, does not transmit the HIV virus or cause AIDS, and the College's interest is to address these concerns through greater education and counseling as appropriate on a case-by-case basis.

7. What is the College's response to a student with an HIV infection who applies to or is attending Oberlin?

A student's HIV status is irrelevant to admission and enrollment at Oberlin College.

Faculty and A&PS Concerns:

1. What will the College do if a professor or members of the A&PS has or is suspected of having an HIV infection?

The concern that a professor or member of the A&PS has an HIV infection will not be considered a legitimate reason for another member of the College to request a change in his or her work environment or schedule (e.g. change of office, change in job hours, or change in duties). The College's response to concerns of this nature will be to offer education about HIV infections, including appropriate counseling and medical information, through the Employer Assistance Program to those involved.

Casual contact does not transmit AIDS or HIV infections. Therefore, as long as the faculty or A&PS member can function in the job setting there is no reason for changes in the work assignment or changes in the schedule for others in the community.

The concern that a professor or member of the A&PS has an HIV infection will not be considered a legitimate reason for a student dropping a course, requesting a section reassignment, or making other changes in the student's program.

2. How will the College respond to concerns by a faculty member or member of A&PS that her or his co-worker or supervisor has an HIV infection?
It must be stressed that casual contact such as occurs in the office setting does not transmit AIDS and HIV infections. The College would hope that those concerns would be resolved by counseling and education about HIV infections.

Employees who feel they may have a grievance about such a situation may have a basis for filing a claim or charge under certain provisions of State or Federal law regarding discrimination against qualified handicapped individuals. This definition may include persons with AIDS and persons with other HIV conditions.

3. **What will be the response if a faculty member or member of the A&PS tells her or his dean or department head that she or he has, or suspects having an HIV infection?**

The College will encourage the individual to get expert medical evaluation and counseling. Again as stated in the Policy, the College will treat HIV infections as any other chronic illness or medical condition. All information regarding the medical condition of an individual will, as always, be kept strictly confidential, unless the individual deems that the dean or department head may discuss it with another party.

**Employee Concerns:**

1. **What if an employee in a food service has or is suspected of having an HIV infection?**

   The College will follow the Center for Disease Control recommendations of exercising care in the handling of food. These recommendations state that all epidemiological and laboratory evidence indicates that blood borne and sexually transmitted infections are not transmitted during the preparation or serving of food or beverages. No instances of HIV or Hepatitis B Virus (a similarly transmitted but for more infectious virus) transmission have been documented in this setting. All employees in food service work will receive training with periodic reminders in following existing standards and practices of good personal hygiene and food sanitation. Employees known to be infected with HIV need not be restricted from work unless they have evidence of other infections or illnesses for which any employee handling food should be restricted. Again, the College will offer education about AIDS and appropriate individual counseling to those involved.

   The presence of an employee with an HIV infection will not be considered a legitimate reason for releasing a student from a residence hall meals contract.

2. **What about concerns by employees engaged in cleaning activities?**

   If an employee is working in an area where exposure to blood or body fluids (urine, stool, vomitus, semen) is likely, the College will provide the appropriate equipment and training in its proper use, so that the employee may take normal health and safety precautions for cleaning up potentially infected material.

   If others are concerned about an employee having an HIV infection, counseling will be available. However, such concern is not legitimate grounds for changes in work assignments.

   How will the College respond to concerns by an office employee that his or her co-worker or supervisor has AIDS or other HIV infection?

   Again, it must be stressed that casual contact, such as occurs in the office setting does not cause HIV infections. The College would hope that these concerns would be resolved by counseling and greater education about HIV infection. As long as the employee can function in the job setting, the College will not require transfers or changes in working conditions because the person has AIDS or an HIV infection. Concern about a co-worker having an HIV infection is, likewise, not cause for a transfer or change in working conditions for either employee.

4. **What will happen if a supervisor knows or thinks an employee has an HIV infection and needs medical attention and/or counseling?**
Under any circumstances, an employee who is ill would be encouraged to seek medical attention and/or counseling. In the case of a person with an HIV infection, the College can offer referrals, if desired by the employee. Suspicion that an employee might have an HIV infection does not justify intervention by the College to make that employee clarify his or her HIV antibody status. Counseling will be available to the supervisor (and co-workers, if appropriate) about AIDS and HIV infection through the Employee Assistance Program.

Personnel Concerns:

1. Are employment and medical insurance records confidential?

Personnel who handle employee records are instructed on the confidentiality of such materials. Medical information provided by an employee or the insurance company may be placed in the employee’s personnel records, e.g., for purposes of determining disability payments. It is a violation of College policy for employees to improperly release information from personnel files. The College will not give out confidential information about students or employees except where required by law.

2. What are the provisions of employee health and life insurance policies, including disability and survivorship provisions?

There is no provision in any of the College’s current employee insurance policy. The traditional plan has no exclusion for pre-existing conditions for persons added to the plan during open enrollment. For new employees or persons added to the plan at times other than open enrollment, there is an exclusion for any pre-existing condition that was diagnosed or treated within 90 days prior to the start of coverage. This exclusion applies for the first 3 months of coverage under the plan as long as no treatment is needed for the condition during this time. If treatment is needed during the first 3 months, then the exclusion applies for 1 year from the beginning of coverage. If there was no diagnosis or treatment for that condition within the 90 day period preceding the start of coverage, the insurance would cover subsequent diagnosis and medical care. It should be noted, however, that most of these plans exclude from coverage treatment by experimental procedures or drugs. The cost of such experimental treatment may be covered by the research agreement under which it is provided. MetLife may provide some such coverage on a case-by-case basis. Life insurance benefits would be paid to the named beneficiary; disability insurance also has no exclusions and would be paid. It should be noted that life insurance program provides that an employee may name any individual as beneficiary.

3. What recourse does a College employee have if he or she experiences harassment or discrimination because of sexual orientation or because of actual or suspected HIV infection?

Any College employee may appeal to the Council on Campus Relations and Sexual Harassment for informal resolution of complaints of sexual harassment based upon gender or sexual orientation. Employees may file formal charges of discrimination in employment based upon sex, sexual orientation, or handicap with the Affirmative Action Officer. Any complaint dealing with tenure, terminal reappointment, nonreappointment, salary or promotion of faculty members must be filed under the Faculty Grievance Procedures, regardless of the grounds for the complaint. Administrative Assistants and Service Employees may choose to file a grievance based upon any complaint or dispute pertaining to the employee-employer relationship through their respective collective bargaining grievance procedures.

Employees who feel they may have a grievance about such a situation may have a basis for a claim or charge under certain provisions of State or Federal law regarding discrimination against qualified handicapped individuals. This definition may include AIDS and other conditions caused by HIV infection.

4. Will employees be required to be routinely tested for the HIV antibody?
No. Oberlin does not require HIV antibody testing for the purposes of employment or continued employment.

Adapted from the Ohio State University "Question and Answer Guide Concerning AIDS". Presented to the General Faculty on May 16, 1988 by the Health Plan Board.
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APPENDIX M

POLICY FOR RESPONDING TO ALLEGATIONS OF SCIENTIFIC MISCONDUCT

Adopted by the General Faculty on February 18, 1997

I. Introduction

A. General Policy

Oberlin College’s missions in teaching, learning and scholarship require honesty. Incumbent on its faculty, staff, and students is 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.

II. 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.
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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.

III. 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.

IV. 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
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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.

V. 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.

VI. 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.
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.

VII. 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.

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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.

VIII. Requirements for Reporting to 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 reported 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.

IX. 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.

X. 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 Appendix M-7
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.

XI. 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.
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