

LAFAYETTE COLLEGE FACULTY HANDBOOK

ACADEMIC YEAR 2016-17

**Lafayette College
Easton, Pennsylvania**

LAFAYETTE COLLEGE FACULTY HANDBOOK

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Revised by the Office of the Provost

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Additional Revisions:

January 2017 - Appendix B: Policy on Sexual Assault

PREFACE

This Lafayette College *Faculty Handbook* is updated and revised for 2016-17. Changes and additions since the last revision are marked by an asterisk except for minor changes such as renumbering or resequencing a section, revising cross-references, or adjusting phrasing.

Information in the *Faculty Handbook* originates from a variety of sources: policies established by the Board of Trustees, Faculty legislation, decisions of the Provost.

Bracketed annotations show the source of many sections. If the source is Faculty legislation since 1967, the motion number given permits tracing the text of the motion at <http://clerk.lafayette.edu>. (For the period 1968-82, the motion numbering is that retroactively developed by former-Clerk of the Faculty Ralph Slaght.) Records have not been systematically checked before 1950, though the date of the legislation is given when it is known. Information is often given about Board approval or Board revision of Faculty legislation. If a section appears without annotation, or with incomplete annotation, there are several possible explanations: it derives from pre-1950 legislation; it derives from administrative revision; it derives from Board legislation; or evidence has been overlooked in compiling the references. Questions arising from the annotations may be directed to the Clerk of the Faculty.

A fully searchable electronic text of the *Faculty Handbook* is available on the Provost's homepage: <http://provost.lafayette.edu/>.

S. Abu Turab Rizvi
Provost

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Academic Year 2016-17

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CHAPTER 1

LAFAYETTE COLLEGE

1.0 History [Added 1987]

Lafayette College was founded in 1826 by citizens of Easton, Pennsylvania, as an all-male liberal arts institution. Throughout its history, the College has continually shaped itself in ways that best serve its educational purpose, remaining supportive of the tradition of liberal arts education while being responsive to changes and challenges of society and the times. For example, in 1838, it became one of the first colleges to implement a teacher-training program, thus recognizing the connections within education at all levels. In 1854, the College formed a mutually supportive association with the Presbyterian Church. In 1866, as industrialism was changing the Western world, the College established courses in engineering, chemistry, and mining. At a local level, it acknowledged the educational needs of the Easton area by introducing a part-time evening degree program in 1953. More recently, as the role of women in society underwent redefinition, the College began coeducation in 1970 to prepare both women and men to lead the nation into a new century. Today, Lafayette is an independent, coeducational, residential, undergraduate institution with a faculty of distinction and 2,400 full-time men and women students of high intellectual promise and diverse backgrounds. The student body is 53 percent men and 47 percent women.

The College's curriculum is distinguished by the rare combination, on an undergraduate campus, of degree programs in the liberal arts and in engineering. Lafayette students may choose among a range of discipline-based and interdisciplinary courses and pursue the Bachelor of Arts degree in 37 fields and the Bachelor of Science degree in nine fields of science and four fields of engineering. Students may also design an individualized, interdisciplinary major or participate in a five-year, two-degree program leading to a B.S. in engineering and an A.B. in international studies. Those who pursue professional career preparation do so within programs rooted in and enriched by the liberal arts.

Effective and challenging teaching is the first priority of the faculty, both in the classroom and in a variety of independent and collaborative learning experiences. Easton's proximity to New York City and Philadelphia helps students extend their learning experiences, as do Lafayette's co-curricular intellectual, cultural, athletic, and social programs. Faculty research and scholarship are encouraged and supported in the belief that such professional involvement extends the individual faculty member's intellectual resources, strengthens and complements teaching effectiveness, facilitates student/faculty research, and contributes to the scholarly and professional communities outside the College.

In addition to a campus of great beauty, Lafayette offers a well-equipped physical plant. Its programs are supported by a library with more than 545,000 volumes and an extensive array of electronic resources; modern computer facilities and laboratories accessible to students; thriving centers for the performing and visual arts; a large College center for dining and other communal activities; an athletic complex compatible with its intercollegiate Patriot League commitment and its extensive intramural and recreational program; two chapels serving a variety of religious commitments; and a variety of residential options for students.

1.1 The Mission [89-10, Board March 31, 1990, Rev. 1994]

In an environment that fosters the free exchange of ideas, Lafayette College seeks to nurture the inquiring mind and to integrate intellectual, social, and personal growth. The College strives to develop students' skills of critical thinking, verbal communication, and quantitative reasoning and

their capacity for creative endeavor; it encourages students to examine the traditions of their own culture and those of others; to develop systems of values that include an understanding of personal, social, and professional responsibility; and to regard education as an indispensable, lifelong process.

1.1.1 Integral to the mission of Lafayette College is the concept of shared governance. Shared governance recognizes the mutual interdependence and the unique expertise of different College constituencies, including faculty, staff, administrators, trustees, students, and alumni. Shared governance facilitates continual conversation among multiple voices while acknowledging that each constituency bears primary responsibility for certain decisions. Shared governance translates the voices of these different constituencies into a single voice that speaks for the College as a whole. Under shared governance, the views of each constituency are carefully considered in a manner that is transparent, democratic, and respectful. [Added 13-17]

1.2 Accreditation

Lafayette College is accredited by the Commission on Higher Education of the Middle States Association of Colleges and Schools, 3624 Market Street, Philadelphia, PA 19104; (215) 662-5606. The Commission on Higher Education is an institutional accrediting agency recognized by the United States Secretary of Education and the Council for Higher Education Accreditation. The Chemical Engineering Program, Civil Engineering Program, Electrical and Computer Engineering Program, and Mechanical Engineering Program are accredited by the Engineering Accreditation Commission of the ABET, 111 Market Place, Suite 1050, Baltimore, MD 21202-4012; (410) 347-7700. The Bachelor of Science program in Computer Science is accredited by the Computing Accreditation Commission of the ABET, 111 Market Place, Suite 1050, Baltimore, MD 21202-4012; (410) 347-7700. The Bachelor of Science program in chemistry and, under certain conditions, the Bachelor of Arts in chemistry meet the requirements of the American Chemical Society, making graduates of those programs eligible for membership in the Society immediately upon graduation. [Added 1987, Rev. 1998, 2005]

CHAPTER 2

THE BOARD OF TRUSTEES

2.0 The Board of Trustees

The Board of Trustees has ultimate responsibility for the College. The Board, which consists of up to 35 members, holds four regularly scheduled meetings every academic year and special meetings as may be necessary. Many trustees assist in fund-raising activities for the College. [Added 1982]

*Much of the work of the Board is done through committees which make recommendations to the entire Board. These committees are: Audit, Compensation, Development, Alumni, and Community Relations, Educational Policy, Financial Policy, Grounds and Buildings, Investments, Student Life, and Trustee and Governance. Trustees select and delegate executive authority to the President of the College. Policy recommendations with respect to curriculum, selection of instructional staff, and College regulations are made by the Faculty and administrative officers for Board approval. [Added 1982, Rev. 1995, 1999, 2007, 2010, 2012] ***[Revised per Provost at request of Vice President and Liaison to the Board of Trustees]***

As at many colleges and universities, effective relationships among trustees, alumni, faculty, and students have been developed. Up to five alumni trustees (one elected each year by the Board) serve on the Board at one time. They are nominated by the Alumni Association and serve a five-year term. The Clerk of the Faculty, the President of Student Government, the President and the President-elect of the Alumni Association, and the Chair and Vice Chair of the Lafayette Leadership Council are invited to attend meetings of the Board, where they may participate in discussions but may not vote. Most standing committees of the Board have one faculty member (and an alternate who attends in his/her absence), one student member, and two alumni members who vote on committee decisions. They are chosen by the Chair of the Board from among nominations submitted respectively by the Faculty, the Student Government, and the Alumni Association's Executive Committee. [Added 1982, Rev. 1997, 1998, 1999, 2007, 2009, 10-16]

The responsibilities of the Board of Trustees are further described in the *Statutes* of Lafayette College <http://about.lafayette.edu/mission-and-history>. See the Preamble and Chapter I of the *Statutes* for this description. [Added 1973, Rev. 2007]

CHAPTER 3

THE PRESIDENT AND OFFICERS OF ADMINISTRATION

3.0 The President

The duties of the President are defined in Chapter II of the *Statutes*; the appointment of other administrative officers is authorized in Chapter IV of the *Statutes*.

3.1 The Provost

The Provost, who is responsible to the President, is the Chief Academic Officer of the College and functions as a strategic partner to the President and Cabinet, with significant budgetary and other authority in addition to general oversight of the academic program. The Provost participates in all promotion, tenure, and review decisions. Consulting with the Dean of Faculty, the Provost considers sabbatical and leave requests, determines faculty salary raises, appoints department heads and major program chairs, and reviews their annual reports. The Provost prioritizes and approves staffing requests in consultation with the Staffing Advisory subcommittee of the Faculty Academic Policy Committee. The Provost also represents the College in roles mandated in the *Faculty Handbook*, and names members and chairs of various appointed committees. He/She is the Secretary of the Board of Trustees' Committees on Educational Policy, and performs other duties as assigned by the President. The Provost serves at the pleasure of the President and of the Board. [Rev. 2008, 2010, 2014]

3.1.1 The Dean of the Faculty and Chief Diversity Officer is responsible for all faculty hiring (tenure-track, visiting, and adjunct positions), faculty personnel issues including diversity and retention, orientation programs for new faculty and new department heads, faculty mentoring and development programs, and coordination and support of interdisciplinary programs. The Dean of the Faculty assists the Provost on sabbatical and leave requests, faculty salaries, and department head and major program chair appointments. [Added 2014]

3.1.1.2 The Director of the Center for the Integration of Teaching, Learning, and Scholarship is responsible for working with instructors across all divisions and ranks to develop and administer programming related to classroom teaching and the scholarship of teaching. [Added 2009, Rev. 2001]

3.1.1.3 The Director of International and Off-Campus Education is responsible for the administration of semester and year-long abroad programs, arranging information sessions, and advising students with an interest in studying abroad. [Added 2005; Rev. 2008]

*3.1.2 The Dean of Curriculum and Research is responsible for review, planning, and recommendations regarding the College's curriculum; for management and oversight of course enrollments, faculty teaching loads, and department and program course planning; for management of the assessment of student learning and preparation for accreditation reviews; and for oversight of the academic external review process. The Dean supervises the College's sponsored research effort and is responsible for the promotion, management, and coordination of student and faculty research, and faculty travel; and serves ex officio on the Academic Research Committee, the Curriculum and Educational Policy Committee, the Institutional Animal Care and Use Committee, and the Institutional Review Board. [Added 2014] **[Revised per Provost]**

3.1.2.1 The Director of Sponsored Research oversees activities designed to secure support for faculty research from government, foundation, and programmatic corporate sources. [Added 1999, Rev. 2010]

3.1.3 The Dean of Advising and Co-Curricular Programs oversees academic advising and support, as well as the integration of academic and residential experiences for students. Accordingly the Dean supervises the staff of the ATTIC, class deans, and the Associate Dean of Scholarships and Fellowships. The Dean coordinates pre-law and health professions advising and predeclared faculty advising. Among the programs in which the Dean plays a pivotal role are the Marquis Scholars, the McKelvy Scholars, Forensics, POSSE, and First-Year Orientation. [Added 2014]

*3.1.3.1 The Associate Dean of Advising/Director of the Academic Tutoring and Training Information Center serves as the Class Dean for sophomores and facilitates transfer orientation, declaration of major, and January Interim session with the Office of the Registrar. In addition, he/she supervises the academic support programs provided in the ATTIC. [Rev. 2014] ***[Revised per Provost at request of The Dean of Advising and Co-Curricular Programs]***

*3.1.3.1.1 The Senior Associate Dean serves as the Class Dean for all declared students (juniors and seniors), administers the academic procedures for academic integrity cases, and provides administrative support for students' law school application process. [Rev. 1985, 1994, 1996, 1997, 1998, 2001, 06-33, 2013] ***[Revised per Provost at request of The Dean of Advising and Co-Curricular Programs]***

3.1.3.2 The Associate Dean for Health Professions/Fellowships and Scholarships is responsible for providing administrative support for the Health Professions program and students' applications for national and international fellowships and scholarships. [Rev. 1985, 1994, 1996, 1997, 1998, 2001, 06-33, 2013]

*3.1.3.3 The Class Dean/Fellowships Advisor serves as the Class Dean for the first year class, facilitates first year registration with the Registrar's Office, and oversees the PARDner program. He/she also works with students interested in fellowship and assists the Associate Dean with disseminating information in that area. [Added 2010] ***[Revised per Provost at request of The Dean of Advising and Co-Curricular Programs]***

3.1.4 The Dean of Libraries oversees the libraries' mission to support the teaching, learning, and scholarship of faculty and students by making available and useful the record of human knowledge and creativity. [Rev. 1997, 2001, 2005, 2006, 2011]

3.1.4.1 The College Archivist systematizes the storage and the disposal of inactive records and selects and prepares for permanent housing of materials of historic value. [Added 1987]

3.1.5 The Registrar keeps records of the scholastic work and standing of the students as directed by the Faculty and prepares schedules giving times and places of classes and of final examinations. The Registrar conducts the registration of students, issues records as required, and is responsible for scheduling the use of College classroom facilities. [Rev. 1986, 2009]

Other positions reporting to the Provost include academic department heads, major program chairs, the Chair of the College Writing Center, the Director of the Center for Community Engagement, the Jeffers Director of the Engineering Division, the co-Chairs of the IDEAL Center, the Director of the Meyner Center, and the Director of the Technology Clinic.

3.1.6 The Academic Department Heads are appointed by the President, usually for three-year terms. All matters related to the course offerings, the policies, and the welfare of the department are under the direction of the Department Head. The Department Head makes recommendations to the Provost and the President concerning remuneration and terms of appointment for members of the department staff. He/She is responsible for preparing an annual budget in consultation with other members of the department. The budget is submitted to the Provost for consideration in preparation of the College budget. The Department Head is also responsible for the authorization of expenditures from budgeted departmental funds. [Rev. 2015]

3.1.6.1 Prior to the appointment or reappointment of a Department Head, the Provost asks each member of the department to name the person he/she considers best qualified to serve as Head, not excluding himself/herself, and to give reasons for the choice. The information so gathered is considered by the Promotion, Tenure, and Review Committee in making recommendations to the President. [76-13]

3.1.7 The Conveners are appointed by the Provost for each of the academic divisions and one representing interdisciplinary major programs. The Director of the Engineering Division serves as the Convener for the engineering division. The Conveners serve as the agenda committee for Department Head meetings and as a consultative group for the Provost. The Conveners may call a meeting of their division at the request of the Provost, at their discretion, or at the request of two or more Department Heads within the division. [Added 1988; Rev. 2008]

3.1.8 The Program Chairs are appointed by the Provost, usually for three-year terms, after considering recommendations from members of the relevant advisory committee. With the advice of the advisory committee, the Chair is responsible for all matters related to the course offerings, the policies, and the welfare of the program including remuneration and terms of appointment for interdisciplinary members of the program; the preparation of an annual budget; and the authorization of expenditures from budgeted funds. [Added 2010]

3.1.9 The Director of Institutional Research helps to maintain the College-wide database; coordinates the preparation and dissemination of reports; and provides technical support to all constituencies of the College interested in collecting and interpreting data to assess existing programs and activities, to develop new programs, or to inform policy decisions. [Rev. 2007, 2009, 2010]

3.2 The Vice President for Campus Life [Rev. 2015]

The Vice President for Campus Life, who is responsible to the President, is the senior student affairs officer and is responsible for supervision of non-academic aspects of student life, including living groups and other extracurricular activities, religious programs, residence life, health services, and student conduct and discipline. He/She is the Secretary of the Board of Trustees' Committee on Student Life and performs other duties as assigned by the President. The Vice President for Campus Life serves at the pleasure of the President and of the Board. [Rev. 2002, 2003, 2005, 2006, 2009, 2010, 2011, 2015]

3.2.1 The Dean of Students is responsible for the supervision and coordination of programs that contribute to students' co-curricular learning including student involvement, student leadership, residential life, student conduct (student development), recreation services, alcohol and other drug education, as well as other administrative tasks including the coordination of emergency response and the supervision of other areas as directed by the Vice President for Campus Life. [Rev. 1990, 1998, 2000, 2006, 2009, 2010, 2011, 2013]

3.2.2 The Dean of Intercultural Development is responsible for the administration of programs that promote pluralism and dialogue on matters of diversity for the Lafayette community. He/She also works to create and support an environment where crosscultural dialogue and community building can take place among students, faculty, staff, and alumni of the College. The Dean supervises the Director of Student Involvement, Director of Religious Life and College Chaplain, and the Coordinator of Gender and Sexuality Programs. [Added 2010, Rev. 2011, 2015]

3.2.3 The Director of Health Services serves as College Physician and supervises the College Health Center.

3.2.4 The Director of the Counseling Center serves as a College psychological counselor and supervises the College Counseling Center. [Rev. 1989, 2005, 2011, 2014]

3.2.5 The Director of Public Safety is responsible for the administration of campus law enforcement, security, safety, and vehicular programs. He/She supervises a program of law enforcement and security, investigating incidents and providing educational programs for crime, accident, vehicle safety, and fire prevention. He/She supervises the traffic program, including parking, and organizes and coordinates the campus safety program. [Rev. 1999, 2003, 2014]

3.2.6 The Director of Athletics supervises and coordinates the intercollegiate athletic program of the College. [Rev. 1999, 2002, 2011, 2014]

3.2.7 The Title IX and Equity Coordinator has the primary responsibility for leading the College's education initiatives and prevention programs regarding sexual assault, sexual misconduct, relationship violence, and sexual harassment. The Title IX and Equity Coordinator ensures that such programs are conducted in compliance with Title IX of the Education Amendments of the 1972 Civil Rights Act (Title IX), the Violence Against Women Act Reauthorization of 2012 (VAWA), other federal and state legislation and regulations, and reflect best practices in the higher education community. The Title IX and Equity Coordinator also has responsibility for ensuring the College's timely response to reports of sexual assault, sexual misconduct, relationship violence, and sexual harassment, monitoring investigations into such reports, and developing and implementing policies and procedures related to these matters. [Added 2015]

3.3 The Vice President for Finance and Administration and Treasurer

The Vice President for Finance and Administration and Treasurer, who is responsible to the President, is responsible for management of, within prescribed policy, assets, debt, financial accounting and reporting, control of financial operations, financial long-range planning, budgeting, fee and price establishment, purchasing, insurance, auxiliary services, campus dining, the College Post Office, Copy and Bulk Mail Services, and the physical facilities and plant operations of the College. He/She performs such other duties as are assigned by the President of the College at the direction of the Board of Trustees' Committee on Audit, Committee on Financial Policy, and Committee on Grounds and Buildings. He/She ensures compliance with terms and conditions of endowment and restricted funds and funds held by the College in a fiduciary capacity, as well as the examination of financial accounts and records by independent auditors. He/She is the Secretary of the Board of Trustees' Committees on Audit, Financial Policy, and Grounds and Buildings. The Vice President for Finance and Administration and Treasurer serves at the pleasure of the President and of the Board. [Rev. 1998, 1999, 2000, 2002, 2003, 2006, 2007, 2009, 2015]

3.3.1 The Associate Vice President for Finance and Business Affairs supervises auxiliary and business services of the College, the keeping of accounts, the issuing of bills, the

collecting of payments, and the payment of obligations for goods and services upon appropriate authorization. He/She is also responsible for maintaining payroll records, disbursing staff salaries, and in conjunction with the Budget Manager, issuing periodic budget reports to Department Heads. [Rev. 2009, 2013, 2015]

3.3.2 The Associate Vice President for Finance, Planning, and Capital is responsible for the development of the long range operating and capital budgets, capital planning and debt management, facilities finance and oversight of the financial services team including risk management, endowment operations and reporting, real estate and board affairs. [Added 2015]

3.3.3 The Director of Physical Planning is responsible for the operation of the physical facilities. He/She supervises a program of routine and preventive maintenance and is responsible for the maintenance of the grounds; the operation of the heating plant, the motor pool, the campus telephone system; and the maintenance of College rental properties. He/She is responsible for the supervision of personnel who maintain and operate the plant, including the telephone services. [Rev. 1997, 2003, 2004]

3.3.4 The Director of Facilities Planning and Construction oversees the College's facilities planning, building construction, other major projects, renovations, and capital improvements. [Added 2008]

3.4 The Vice President for Development and College Relations

*The Vice President for Development and College Relations, who is responsible to the President, coordinates relationships of the College with the general public and the community, coordinates planning programs and activities of the Alumni Association and its agencies, and is responsible for planning long-range programs and techniques to obtain financial resources for the fulfillment of the development objectives of the College. He/She also helps to devise plans for the continued development of voluntary leadership for the College. He/She is the Secretary of the Board of Trustees' Committee on Development, Alumni and Community Relations, and co-Secretary of the Committee on Trustees and Governance, and performs other duties as assigned by the President. The Vice President for Development and College Relations serves at the pleasure of the President and of the Board. [Rev. 2011, 2012, 2013, 2015] ***[Revised per Provost at request of Vice President for Development and College Relations]***

3.4.1 The Development Staff is responsible for the planning and supervision of all activities associated with fund raising on behalf of the College.

*3.4.1.1 The Assistant Vice President of Development and Donor Engagement oversees annual giving, event planning, stewardship, and development projects. [Rev. 1997, 2001, 2003, 2008, 2011, 2013, 2015] ***[Revised per Provost at request of Vice President for Development and College Relations]***

*3.4.1.2 The Assistant Vice President of Development, Principal Gifts, Gift Planning, and Athletic Fundraising oversees Major Gifts, Gift Planning, Leadership and Parent Giving, and the Maroon Club. [Added 2015] ***[Revised per Provost at request of Vice President for Development and College Relations]***

3.4.1.3 The Executive Director of Corporate, Foundation, and Government Relations oversees activities designed to secure support from foundation, corporate, and government sources for curricular, co-curricular, capital, and endowed priorities of the College. He/She is responsible for securing gift support through testamentary and trust provisions for capital and endowment purposes. [Rev. 1996, 1999, 2003, 2011, 2015]

3.4.1.4 The Senior Director of Development Research oversees the team which researches the wealth potential of constituents. [Added 2015]

*3.4.1.5 The Executive Director of Development and Campaign Operations oversees the Development operations, Campaign operations, Advancement Services, and special projects. [*Revised per Provost at request of Vice President for Development and College Relations*]

3.4.2 The Executive Director of Alumni Relations is responsible for planning and directing all programs and activities pertaining to alumni and parents. [Added 2001, Rev. 2011, 2013]

*3.4.3 The Assistant Vice President of Career Services coordinates the College's Gateway program, designed to help students identify appropriate career possibilities, and administers the on-campus interviewing program as well as alumni-sponsored externships and internships. [Added 1986, Rev. 1997, 1998, 2002, 2004, 2012]

3.5 The Vice President for Marketing and Communications

The Vice President for Marketing and Communications, who is responsible to the President, provides leadership and oversight for the division that includes public relations, communications, and marketing. He/She provides strategic, innovative, and collaborative public affairs and brand marketing initiatives and is responsible for planning and executing an integrated marketing and communications program to improve market position and national visibility of the College. He/She is the Secretary of the Board of Trustees' Committee on External Affairs and performs other duties as assigned by the President. The Vice President for Communications serves at the pleasure of the President and of the Board. [Added 2009, Rev. 2014]

3.5.1 The Director of Web and Media Communications is responsible for the delivery of news and information to all external audiences including national, regional, and local media relations. In addition, he/she oversees all electronic media used by the division. [Added 2008; Rev. 2009, 2010, 2011, 2012]

3.5.2 The Assistant Vice President and Director of College Communications oversees editorial and news services, is responsible for campus and alumni news, and oversees a network that gathers information related to Lafayette faculty, staff, students, alumni, and programs. He/She is responsible for editorial material that is produced by or moves through the Communications Division. He/She also serves as executive editor of *Lafayette Magazine*. In addition, he/she serves as the primary spokesperson for Lafayette College and coordinates all emergency and crisis communications. [Rev. 1997, 1998, 2002, 2004, 2008, 2009, 2011, 2012, 2013]

3.5.3 The Director of Athletic Communications and Promotions oversees communications and promotions on behalf of the Department of Athletics, including media relations, publications, and the Lafayette Sports Network. He/She also oversees communications, promotional activities, and select events related to the Maroon Club. [Rev. 1997, 1999, 2002, 2005, 2009]

3.5.4 The Director of Design Services is responsible for all graphic design produced by the Communications Division. He/She oversees all full-time, part-time, and freelance graphic designers who produce publication projects for the College. He/She also serves as design director for *Lafayette Magazine* and oversees photography. [Added 2010]

3.6 The Vice President for Human Resources and General Counsel

The Vice President for Human Resources and General Counsel, who is responsible to the President, is responsible for coordinating all legal issues and compliance matters at the College, for overseeing all personnel and benefits issues, and for performing other duties as assigned by the President. The Vice President for Human Resources and General Counsel serves at the pleasure of the President and of the Board.

*3.6.1. The Associate Vice President for Human Resources assists the Vice President of Human Resources in providing leadership in human resources strategic planning and implementation of all aspects of the human resources functions. *[Added per Provost at request of Vice President for Human Resources]*

3.6.1.1 The Director of Human Resources/Benefits administers the various employee benefit plans and assists the Vice President for Human Resources. [Rev. 1995, 2001, 2010]

3.6.1.2 The Director of Human Resources/Employment is responsible for employment and compensation policy development/administration and assists the Vice President for Human Resources. [Rev. 2001, 2006, 2009]

3.7 The Vice President and Chief Information Officer

The Vice President and Chief Information Officer, who is responsible to the President, oversees instructional technology, user support, web development, digital infrastructure, administrative systems, and data management. [Added 2011, Rev. 2015]

3.7.1 The Director of Planning, Analysis, and Communications oversees the IT governance and project management processes as well as IT communications. [Added 2015]

3.7.2 The Director of Digital Infrastructure leads a team responsible for designing, building, and supporting server, storage, identity, and network infrastructures. [Added 2015]

3.7.3 The Director of Enterprise Data Management and Systems is responsible for the College's administrative and data management systems. [Added 2015]

3.7.4 The Director of Instructional Technology partners with faculty to support teaching, learning, and research activities that are enabled by technology. [Added 2015]

3.7.5 The Director of User Services supports the general-purpose use of technology by the campus community. [Added 2015]

3.7.6 The Director of Web Applications Development leads a team dedicated to development, supporting, and extending web technologies used by faculty, students, and staff. [Added 2015]

3.8 The Vice President of Enrollment Management [Rev. 2014]

The Vice President of Enrollment Management oversees the enrollment services to students in the areas of admissions and financial aid. [Rev. 1997, 2010, 2014]

3.8.1 The Assistant Vice President of Enrollment Management provides leadership and strategic planning for the admissions operations unit. [Added 2011, Rev. 2014]

3.8.2 The Dean of Admissions supervises the Office of Admissions, which recruits students, keeps records of applicants for admission, and selects students in accordance with policies established by the Faculty and the Board of Trustees. [Rev. 1998, 1999, 2007, 2014]

3.8.3 The Director of Financial Aid administers the various campus-based financial aid programs, advises students of outside funding sources which might be available to them, and certifies eligibility for government grant, loan, and employment programs. [Rev. 1998]

3.9 The Chief Investment Officer [Added 2014]

The Chief Investment Officer, who is responsible to the President and the Board of Trustees' Committee on Investments, is charged with the day-to-day management of the College's endowment. [Added 2014]

3.10 Vice President and Liaison to the Board of Trustees

The Vice President and Liaison to the Board of Trustees, who is responsible to the President, coordinates the work of the Board and its committees. He/She supervises arrangements for all meetings of the Board and its committees and, with the Special Assistant to the Board, assists the President, the officers of the Board, the Chairs of Standing Committees of the Board, and the secretaries of committees in preparing the minutes of the meetings of the Board and of its committees. The Vice President and Liaison to the Board of Trustees, upon the request of the President, performs other duties as may contribute to the effectiveness of the workings of the Board and its committees. He/She completes special projects assigned by the President and serves as a College liaison to the City of Easton. The Vice President and Liaison to the Board of Trustees serves at the pleasure of the President and of the Board. [Rev. 2010, 2011, 2013]

CHAPTER 4

FACULTY MEMBERS AND OTHER OFFICERS OF INSTRUCTION

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4.0 Preamble

Lafayette College excels at educating highly promising students and promoting the intellectual and personal maturation required for global citizenship. The educational experience of Lafayette students depends fundamentally on the quality of the Faculty and on faculty members' effectiveness in maximizing each student's intellectual development. Faculty members encourage students to consider diverse experiences and perspectives throughout their lives and share a responsibility for providing a learning environment in which difference is valued and inclusiveness is practiced. The College takes justifiable pride in the accomplishments of its faculty members as master teachers, talented guides and mentors, scholars of distinction, and leaders within their fields. Indeed, no single factor is more important to the academic quality of the College than a strong and well-supported Faculty. [Added 10-33, Board, Oct. 22, 2011, Rev. 11-9]

To pursue the College's mission, the Faculty must be made up of individuals who demonstrate a commitment to the education of undergraduates. We hold that teaching and scholarship are mutually reinforcing and expect faculty members to be active and successful scholars. In addition, members of the Faculty are expected to participate in the intellectual and academic life of the College outside of class as engaged campus citizens, contributing to Faculty governance and the vitality of the academic community. [Added per Faculty Motion 10-33 Board, Oct. 22, 2011, Rev. 11-9]

Hiring outstanding faculty members is one of the most important things we do to ensure the continued fulfillment of the College's mission. Invitations to join the Lafayette Faculty are extended after a rigorous and highly selective recruitment process. Given this, the College has a strong investment in the success of these new members of our community. For Lafayette to continue to grow in quality, it must continue to build the strongest Faculty possible. Individuals and groups who play a role in the review processes have a responsibility to encourage the professional development of faculty members. [Added 1982; Rev. 07-44, 10-33, Board, Oct. 22, 2011, 11-9]

4.1 Faculty and Other Officers of Instruction

The *Statutes* (Section 70) classify Officers of Instruction according to the following titles: (1) Professors, (2) Associate Professors, (3) Assistant Professors, (4) Instructors, (5) Lecturers, (6) Associates and Assistants. [Board, May 5, 1961]

4.1.1 Responsibilities

The responsibilities and duties of Officers of Instruction are described in Sections 72, 73, 74, and 75 of the *Statutes*.

4.1.1.1 The academic year is defined as extending from the first Faculty meeting or the first scheduled class in the fall, whichever is earlier, to the end of Commencement. [Added 1975, Rev. 1998]

4.1.1.2 Faithful discharge of duties In conformity with Section 75 of the Statutes, which states that "No Officer of Instruction shall, without the express permission of the Board, engage in any pursuit or occupation, with or without compensation, which shall interfere with the faithful discharge of his or her duties as a teacher, or with his or her punctual attendance upon the meetings of the Faculty and the public exercises of the College, or with such miscellaneous duties as are involved in his or her relations to the students as an officer of instruction," College policy allows full-time Faculty to engage in outside work, at most, an average of one day per week during the academic year. [Added 1975]

4.1.1.3 Teaching elsewhere The responsibilities of teaching, scholarship, and service at Lafayette College constitute a full-time obligation. Full-time Officers of Instruction

who are invited to teach at another institution during a semester in which they are also teaching at Lafayette should discuss their plans in advance of accepting any such invitation with their Department Head and with the Provost. Officers of Instruction who are on paid leave from Lafayette, e.g., a sabbatical leave, may not teach at another institution except under very special circumstances and should discuss such a situation with the Department Head and with the Provost before making arrangements for such a commitment. [Rev. 1987]

4.1.1.4 Teaching load Any variation from a normal teaching load for any reason must be approved by the Department Head and the Provost. [Added 1975]

4.1.1.5 Office hours Each Officer of Instruction, full-time and part-time, is expected to post and keep reasonable and regular office hours during the semester. [Rev. 1987]

4.1.2 Faculty Membership

The *Statutes* (Section 90) state that “The Faculty shall consist of the President, Professors, Associate Professors, Assistant Professors, Instructors and such other Officers as the Board or the Faculty may assign seats therein.” [Board, September 18, 1970]

4.1.2.1 Faculty status Pursuant to the provision of Section 90 of the Statutes, the Board of Trustees has assigned faculty status to the following Officers: the Provost, the Dean of the Faculty, the General Counsel, the Chaplain, and Librarians with professional status. The Faculty has assigned faculty status to the Vice President for Campus Life. [June 2, 1953, 69-5, 82-11, 82-18, Rev. 1991, 92-6, Rev. 1993, 1997, 2002, 2006, 06-5, 06-33, 09-32, 2010, 2014]

4.1.2.1.1 Librarians have faculty status, but do not have faculty rank or tenure. Librarians are eligible to: [Added 2015]

- a. serve on and chair faculty committees;
- b. teach courses when requested to do so by a department or program;
- c. apply for and receive research grants recommended by the Academic Research Committee;
- d. serve as academic advisors for students who have not yet declared a major;
- e. serve as the “outside reader” for an honors thesis.

4.1.2.2 Part-time and visiting appointments Part-time and visiting appointees and appointees having titles other than those named in Section 4.1.2 shall not be members of the Faculty. For purposes of participation in meetings of the Faculty and its committees, exceptions to this rule may be made by the Faculty upon recommendation of the Promotion, Tenure, and Review Committee subject to the limitation that voting privileges may be extended only to those employed for half-time or more. [June 4, 1963, Rev. 1978]

4.1.3 Determination of faculty status The faculty status of the teaching and research Faculty is primarily a Faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. Determinations in these matters shall first be by Faculty action through

established procedures and then by the President and the Board of Trustees. The Board of Trustees and the President should, on questions of faculty status, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail. Policies relating to the appointment, promotion, and tenure of Officers of Instruction are described in Section 70 of the Statutes. [80-9, Board, May 30, 1981]

4.1.4 Policies

4.1.4.1 Appointments based on merit and programmatic considerations Appointments and promotions are made on the basis of merit and in consideration of departmental and institutional concerns. Institutional concerns are addressed by the Promotion, Tenure, and Review Committee at the time of midterm review (see Section 4.3.5.2.4.a). These concerns include such issues as curriculum flexibility, patterns of student enrollment, and the ability of the department to maintain the quality of its major and minor programs. The percentage of tenured faculty members is not in and of itself a relevant institutional concern, and nonreappointment at the time of midterm review shall not be used as a hidden guideline. Only in exceptional circumstances should institutional concerns be introduced for the first time during the tenure year review. [Added 1973, Rev. 1987]

4.1.4.2 Equal Employment Opportunity Appointments and promotions are made in conformity with the principles of Equal Employment Opportunity.

4.1.4.3 No political or ideological tests for faculty appointments No political or ideological test shall be a consideration in any matter affecting faculty status. [Added 1973, Rev. 1976, 80-14, Rev. 1984]

4.1.4.4 Term appointments A term appointment of one, two, or three years is considered to be terminal with the last year of the term defined in the appointment. Extension beyond the defined term requires the positive recommendation of the department, the Promotion, Tenure, and Review Committee (unless the Committee delegates this responsibility to the Provost; see Section 4.3.2.2), and acceptance by the President. [Added 1975, Rev. 1979, 1991]

4.1.4.4.1 As provided in Section 70, B, 6 of the *Statutes*, notification of a decision not to reappoint a faculty member will be made at the earliest opportunity and not later than March 1 if an appointment is to be terminated after one year of service; December 15 of the second year if an appointment is to be terminated after two years of service; and September 1 of the terminal year if the appointment is to be terminated after three or more years of service. [May 6, 1969, Board, February 21, 1970]

4.1.4.5 Inspection of personnel files A faculty member (or an agent designated by the faculty member) may inspect his/her own personnel files as provided under Pennsylvania Law (Pennsylvania Statutes: Title 43, Chap. 23). A faculty member wishing to do so should make arrangements with the Office of the Provost. Files assembled for review purposes are also subject to this policy of inspection. [99-10, Rev. 10-50, Board, Oct. 22, 2011, 11-9]

4.1.4.6 Employment of relatives restricted Employment of relatives of the degree of consanguinity or affinity of parent, child, spouse, and sibling within the College is not permitted if they are in a supervisory-subordinate relationship or if either is involved in an employment decision concerning the other. [Board, November 15, 1975]

4.1.4.7 Alternative service To minimize the disruption of classes, a full-time Officer of Instruction who requires a short-term medical disability leave during the fall or spring semester may apply to the Dean of the Faculty, who will have the discretion, in

consultation with the Department Head, to approve alternative non-classroom professional responsibilities for weeks in the semester not covered by the medical disability period. [93-18, approved by Board of Trustees on May 21, 1994, as interim policy; approved by Board of Trustees on May 18, 2001, as policy, Rev. 2014]

4.1.4.8 Assignment of positions to departments The number of faculty positions assigned to each department is determined by the Provost in consultation with the Department Head and the Faculty Academic Policy Committee (see Section 5.4.3.8.2.g). The number may be increased or decreased in response to such factors as curricular goals, interdisciplinary objectives, enrollment patterns, and long-range program needs. [Added 1978, Rev. 1979, 1987, 1990]

4.1.5 The Faculty Ranks

4.1.5.1 Instructors¹

4.1.5.1.1 An Instructor is appointed for a term not exceeding one year. Appointments may be renewed by mutual agreement upon recommendation by the Department Head and the Promotion, Tenure, and Review Committee (unless the Committee delegates this responsibility to the Provost; see Section 4.3.2.2). The total period of service at this rank normally will not exceed five years. Usually, it will be less. [April 2, 1957, Board May 5, 1961, Rev. 1991]

4.1.5.1.2 To qualify for consideration for appointment as Instructor, a person must hold the master's degree or equivalent, should have completed all requirements for the doctor's degree except the dissertation, and must show promise of being a good teacher. [Added 1973]

4.1.5.1.3 To merit consideration for reappointment, an Instructor must show evidence of good teaching and of progress toward completion of all requirements for the doctor's degree, or other scholarly development. [Added 1973]

4.1.5.1.4 An Instructor who hopes eventually to be considered for promotion to a tenured position should complete all requirements for the doctor's degree by the end of his/her second year of service (see Section 4.1.6.7). [Added 1973, Rev. 11-9]

4.1.5.1.5 An Instructor will be considered for promotion to the rank of Assistant Professor at such time as he/she meets the criteria stated in Section 4.1.5.2.2. [Added 1976, Rev. 11-9]

4.1.5.2 Assistant Professors

4.1.5.2.1 Assistant Professors are usually appointed for two years. Appointments may be renewed for one, two, or three years upon recommendation by the Department Head and the Promotion, Tenure, and Review Committee (unless the Committee delegates this responsibility to the Provost; see Section 4.3.2.2).

4.1.5.2.2 To qualify for consideration for appointment as Assistant Professor, a person must hold the doctor's degree or other appropriate terminal degree and

¹ These policies do not apply to Instructors in Athletics. [Added 1981]

must offer evidence of good teaching (see Section 4.1.5.5). [April 2, 1957, Rev. 1975, 11-9]

4.1.5.2.3 To merit consideration for reappointment, an Assistant Professor must have a record of good teaching, professional growth, and service. [April 2, 1957, 98-34]

4.1.5.2.4 Assistant Professors who do not have terminal appointments normally will be considered for possible award of tenure in the sixth full-time year of the probationary period. See Section 4.1.6 for circumstances that affect the probationary period. [Added 1973, Rev. 1976, 1977, 1979]

4.1.5.3 Associate Professors

4.1.5.3.1 Associate Professors promoted from the lower rank at Lafayette are appointed with tenure. [Added 1973]

4.1.5.3.2 Associate Professors shall have tenure except on an initial appointment to the Lafayette College Faculty. Such an initial appointment may be with tenure or for a probationary period not to exceed five probationary years. See Section 4.1.6 for circumstances that affect the probationary period and therefore the timing of consideration for tenure. [Board, May 5, 1961, Rev. 1992, 02-13]

4.1.5.3.3 To qualify for promotion to the rank of Associate Professor, an individual, after completion of the doctorate or other appropriate terminal degree, must have demonstrated continued development in teaching, scholarship, and service. In addition, the individual must show promise of further growth. [Added 1973, Rev. 1977, 98-34, 10-34, Board, Oct. 22, 2011]

4.1.5.4 Professors

4.1.5.4.1 Professors shall have tenure except on an initial appointment to the Lafayette College Faculty. Such an initial appointment may be with tenure or for a probationary period not to exceed three probationary years. See Section 4.1.6 for circumstances that affect the probationary period. [Board, May 5, 1961, Rev. 1992, 02-13]

4.1.5.4.2 To qualify for promotion to or appointment as Professor, a person must have a continuing record of high achievement as teacher, scholar, and leader in the academic community. Decisions regarding promotions and appointments to Professor will acknowledge that because of professional and institutional circumstances, such candidates have some flexibility in establishing a sensible and productive balance among the three criteria. Factors for consideration may include an extended career of achievement or exceptional professional accomplishments, including accomplishments not in traditional academic venues. [April 2, 1957, Rev. 00-7]

4.1.5.5 "Appropriate Terminal Degree" defined Persons whose professional accomplishments are measured by standards other than the usual criteria for scholarship, for example, artists and performers in the arts, may be appointed to the rank of assistant professor or higher without having a doctoral degree and other usual academic qualifications provided they present evidence of achievement and excellence judged by the standards appropriate to their fields. For example, a person teaching accounting may qualify for appointment to the rank of Assistant Professor or higher with a master's degree or equivalent and a Certified Public Accountant's certificate. [Added 1973, Rev. 1992]

4.1.6 The Probationary Period

The probationary period is the period during which a tenure-track member of the Faculty may teach without tenure. This period is understood as consisting of a certain number of probationary years; an academic year that includes two semesters of full-time teaching normally counts as a probationary year. [Added 11-9]

4.1.6.1 The maximum number of probationary years varies with rank: assistant professors are allowed seven, untenured associate professors are allowed five, and untenured full professors are allowed three (see charts below). Tenure review will normally occur in the penultimate probationary year. If tenure is awarded, it begins with what would have been the last probationary year; otherwise the last probationary year is terminal. [Rev. 11-9]

4.1.6.2 While the following tables represent the usual review sequence in a probationary period, circumstances outlined in Sections 4.7.3.3, 6.1.8, 6.1.9, 6.1.14.2.3, and 6.2.2 may alter the probationary period and thus the timing of the reviews. [Rev. 10-37 and 10-38, Board, Oct. 22, 2011]

Untenured Assistant Professors [Added 11-9]

<u>Years of Full-Time Teaching at Lafayette</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Research Leave, one or two semesters</u>	<u>Year 4</u>	<u>Year 5</u>	<u>Year 6</u>	<u>Year 7</u>
<u>Review Pattern for Assistant Professors</u>	<u>No formal review</u>	<u>Pre-midterm conference in spring semester</u>	<u>Midterm review in spring semester</u>	<u>Year does not count toward tenure clock</u>	<u>Post-midterm conference in the spring semester</u>	<u>No formal review</u>	<u>Tenure review in fall semester</u>	<u>Tenure effective or terminal year</u>

Untenured Associate Professors [Added 11-9]

An untenured Associate Professor does not undergo a post-midterm review.

<u>Years of Full-Time Teaching at Lafayette</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
<u>Review Pattern for Untenured Associate Professors</u>	<u>Pre-midterm conference in spring semester</u>	<u>Midterm review in spring semester</u>	<u>No formal review, no research leave</u>	<u>Tenure review in fall semester</u>	<u>Tenure effective or terminal year</u>

Untenured Full Professors [Added 11-9]

An untenured Professor does not undergo a pre-, post-, or midterm review.

<u>Years of Full-Time Teaching at Lafayette</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>
<u>Review Pattern for Untenured Professors</u>	<u>No formal review</u>	<u>Tenure review in fall semester</u>	<u>Tenure effective or terminal year</u>

4.1.6.3 Counting prior service toward the probationary period The probationary period may include a maximum of two years' full-time service as Instructor (see also Section 4.1.6.7 below), Visiting Instructor, or Visiting Assistant Professor at Lafayette or a maximum of two years' full-time service at the rank of Assistant Professor or higher at other institutions. After consultation with the Department Head and the Provost, the candidate will decide whether to include or not to include such service and will report his/her decision to the Provost in accordance with the following schedule: [Added 1973, Rev. 1976, 1978, 1991, 2007, 11-9]

- the decision to count the first year as Instructor, Visiting Instructor, or Visiting Assistant Professor at Lafayette must be made before the beginning of the third semester at Lafayette;
- the decision to count the second year as Instructor, Visiting Instructor, or Visiting Assistant Professor at Lafayette must be made before the beginning of the fifth semester at Lafayette;
- the decision to count up to two years as Assistant Professor or higher elsewhere (may elect to count one or both years) must be made before the beginning of the third semester at Lafayette.

4.1.6.4 The parental and catastrophe options A member of the Faculty shall be allowed the option, with the written consent of the Dean of the Faculty and subject to the qualifying conditions listed below (see Sections 4.1.6.4.1 through 4.1.6.4.5), of not counting as part of the probationary period each academic year, up to a maximum of two, during some portion of which there is a child less than one year old at home or during which a child is placed for adoption [the parental option]; or that academic year in which the maintenance of a full professional life is likely to be impossible as the result of some unexpected event, such as the death of a spouse or child, the unexpected responsibility of having to provide care for an ill parent, etc. [the catastrophe option]. See Section 6.1.10 for a description of the Parental Leave Policy. [88-12, Rev. 13-37]

4.1.6.4.1 "Full professional life" is defined as professional work involving teaching, scholarly growth, and service. [88-12, 98-34]

4.1.6.4.2 Normally, the consent of the Dean of the Faculty should be sought within six weeks of the event which triggers the request. [88-12, Rev. 2014]

4.1.6.4.3 The parental option may be exercised only once for each child. [88-12]

4.1.6.4.4 The catastrophe option may be exercised only once. [88-12]

4.1.6.4.5 The faculty member's Department Head and the Promotion, Tenure, and Review Committee shall be informed of the Dean of the Faculty's consent. [88-12, Rev. 2014]

4.1.6.5 An untenured faculty member will not be reviewed (pre- or post-midterm conference, midterm review, or tenure review) during an academic year which does not count as part of the probationary period (that is, when the faculty member has spent at least one half of the year on leave or has exercised one of the options described in Section 4.1.6.4). [Added 1975, 85-31.1, 98-26, 98-34, 06-34, 10-37, Board, Oct. 22, 2011, 11-9]

4.1.6.6 Early promotion The early promotion of a faculty member with unusually superior qualifications is not precluded by the preceding policies. (See also Section 4.3.9.) [April 2, 1957, Rev. 11-9]

4.1.6.7 Without the Ph.D. or other appropriate terminal degree A faculty member who does not have his/her final degree (the Ph.D. or other appropriate equivalent degree) at the beginning of the first year of service should have the option of electing to have the first year or (if the degree has not been received by the beginning of the second academic year) the first two years of service at Lafayette not count as part of the probationary period. The decision must be made in accordance with the schedule given in Section 4.1.6.3. [88-13, 94-29]

4.1.6.8 Committee and advising assignments for first-year appointees Faculty members will have neither committee assignments nor advisees during their first year at the College; they will, however, be eligible for both in their second year, whether or not either or both years are counted in the probationary period. [88-99-41]

4.2 Faculty Standards

Decisions respecting tenure and promotion are determined by a merit system designed to evaluate teaching, scholarship, and service. [85-31.10, Rev. 1987, 98-34, 10-33, Board, Oct. 22, 2011]

Individual faculty members are evaluated on the basis of their ability to contribute to the needs of the College and of their department and on their own merits, manifested by teaching performance, scholarly achievement, and service. Criteria for promotion and tenure, tenure guidelines, and structural factors are carefully considered, but the importance and difficulty of making judgments concerning the continued professional growth and future contributions by the faculty member as well as the future needs of the institution add an additional significant and inescapable subjectivity to the final judgment. [Added 1982; Rev. 07-44, 10-33, Board, Oct. 22, 2011]

4.2.1 Teaching

*Teaching is the most important criterion for tenure and promotion. The College is seeking distinction in teaching, not simply competence. Distinction in teaching includes the characteristics listed below, all of which are important: [Added 10-33 and 10-34, Board, Oct. 22, 2011] **[Revised per Faculty Motion 15-08]**

A. clear and organized communication; **[Revised per Faculty Motion 15-08]**

B. *the ability to engage students in learning; **[Revised per Faculty Motion 15-08]**

C. *being knowledgeable about the current developments in the field of study; **[Revised per Faculty Motion 15-08]**

D. *the ability to engage in thorough and imaginative course planning and preparation for individual classroom, laboratory, and/or studio sessions; **[Revised per Faculty Motion 15-08]**

E. *the ability to challenge students intellectually; **[Revised per Faculty Motion 15-08]**

F. *thoughtful use of effective pedagogy; **[Revised per Faculty Motion 15-08]**

G. *being available and providing effective guidance to students; particularly to those assigned as advisees or enrolled in her/his classes; **[Revised per Faculty Motion 15-08]**

H. *providing timely, careful, and fair review and evaluation of student work; **[Revised per Faculty Motion 15-08]** and

I. *mentoring students engaged in individual projects, such as honors theses and independent studies. [Added 10-33 and 10-34, Board, Oct. 22, 2011] **[Revised per Faculty Motion 15-08]**

Assessments of teaching also recognize and value candidates' development of new and existing courses and their participation in the Common Course of Study, interdisciplinary programs, and study abroad courses. Likewise such assessments recognize and value candidates' contributions to the creation, maintenance, and development of a learning environment in which difference is valued, equity is sought, and inclusiveness is practiced. [Added 10-33 and 10-34, Board, Oct. 22, 2011]

4.2.1.1 Means of Assessing Teaching

- Self-evaluation by the candidate (see Section 4.3.4.1)
- Teaching portfolio, as described in Section 4.3.4.3
- Peer evaluation of teaching by Lafayette colleagues in the candidate's department or program, based primarily on the candidate's teaching portfolio and on any classroom observation conducted as described in Section 4.2.1.1.1
- Student evaluations of teaching (see Section 4.2.1.1.2)
- Letters of support from former students and/or colleagues outside the candidate's department or program, at the option of the candidate (see Section 4.3.4.7)

4.2.1.1.1 Classroom Observation of Teaching

*Classroom visits by senior members of the Faculty are considered an essential and regular aspect of peer evaluation of teaching. It is hoped that increased awareness of different styles and methods of teaching, as will happen when visits are made, will lead to an improvement of teaching in all academic ranks. **[Revised per Faculty Motion 14-20]**

*Peer observation is typically of two kinds: formative (faculty member is observed and provided feedback which only he/she sees) and evaluative (untenured faculty member is observed and provided feedback in a formal report by observer). The procedures identified below are primarily, but not exclusively, to be used for evaluative observation. **[Added per Faculty Motion 14-20]**

*4.2.1.1.1.1 An untenured faculty member may choose to initiate and to undergo formative observation in his or her first year, and is, in fact, encouraged to do so. But normally, no evaluative observation will be conducted during the first year. Normally, at least 50 % of all tenured members of the department should observe untenured colleagues at least once before the midterm review, and ideally, all tenured members of the department will observe the untenured colleagues before the tenure review; the exact number of observations may vary depending on the size of the department. The Department Head shall make every effort to ensure that these visits are scheduled appropriately so as not to become burdensome. **[Added per Faculty Motion 14-20]**

*In the case of untenured faculty with interdisciplinary program appointments, the untenured faculty's advisory committee, as established in his/her MOU and in accordance with Appendix M.1.5.4 of the *Faculty Handbook*, will perform the responsibilities of tenured departmental colleagues. **[Added per Faculty Motion 14-20]**

*Evaluative observations should be designed to address both breadth and depth of the candidate's teaching. Breadth is achieved when a balance of course types (introductory, survey, upper level, interdisciplinary, etc.) are observed over the probationary period, both pre- and post-midterm. To achieve depth, departments should attempt to have at least some tenured faculty visit the same course both pre- and post-midterm. Members of the candidate's conference committee may be ideal candidates for visiting multiple class sessions over the course of the probationary period. **[Added per Faculty Motion 14-20]**

*Each academic department shall prepare guidelines stating how the College classroom observation procedures will be followed within the department. Such guidelines shall identify, given departmental size and relative numbers of senior vs. untenured colleagues, the preferred timing and frequency of evaluative observations. The Department Head shall provide a copy of the guidelines to each department faculty member and to the Provost and the Promotion, Tenure, and Review Committee. The Dean of the Faculty, in consultation with the Teaching and Learning Committee and Provost, shall review each department's guidelines to ensure their consistency with the College procedure, and upon approval, shall post them on the Provost's website. Whenever a new faculty member joins a department, the Department Head shall provide him/her with a copy of the Classroom Observation guidelines. **[Added per Faculty Motion 14-20]**

*These guidelines should be reviewed at least every five years. If departmental or program guidelines change, the new guidelines should be sent to the Dean of the Faculty's office for review in consultation with the Teaching and Learning Committee. **[Added per Faculty Motion 14-20]**

*4.2.1.1.1.2 To ensure consistency across departments, and to eliminate surprise visits, each evaluative observation should consist of 1) the pre-observation consultation; 2) the pre-observation discussion; 3) the peer observation itself; and 4) the post-observation procedure. **[Added per Faculty Motion 14-20]**

1. *Pre-observation consultation **[Added per Faculty Motion 14-20]**

- a. *At the beginning of each academic year (with the exception of the first year), the Department Head will meet separately with each untenured faculty member to decide which courses will be observed and by whom. Normally, each untenured faculty member shall be observed between one and two times per semester and by no more than two senior colleagues per visit. ***[Added per Faculty Motion 14-20]***
 - b. *The Department Head will contact the identified tenured faculty members to assist in scheduling their observations. ***[Added per Faculty Motion 14-20]***
 - c. *The Department Head will provide observers with any necessary information about the peer observation process (such as department criteria for the evaluation of teaching, if available). The Department Head should also stress the importance of consistency: the observer should use a similar approach in observing different individuals. ***[Added per Faculty Motion 14-20]***
 - d. *The tenured faculty members who are scheduled to observe will contact the untenured faculty member (observed) to establish a time for the pre-observation discussion and the observation itself. ***[Added per Faculty Motion 14-20]***
2. *Pre-observation Discussion ***[Added per Faculty Motion 14-20]***
- *During this meeting, the person to be observed will share the course syllabus, course learning objectives/outcomes, and goals for the particular class with the observer. The observer will use the evaluation criteria for a quality teacher as defined in section 4.2.1 above. ***[Added per Faculty Motion 14-20]***
3. *Observation ***[Added per Faculty Motion 14-20]***
- a. *The observer should arrive early to class, choose an unobtrusive seat, and be introduced at the beginning of the session. The observer should not otherwise participate in the class. ***[Added per Faculty Motion 14-20]***
 - b. *The observer should take notes during the class (and immediately afterwards, if necessary), to maximize the likelihood of an accurate recollection of the observation. ***[Added per Faculty Motion 14-20]***
4. *Post-observation Procedure ***[Added per Faculty Motion 14-20]***
- a. *A meeting between the observer and the person who was observed will normally be held within two weeks after the observation has occurred. At this meeting, the observer will share what was observed, his/ her evaluation of the class (it may be necessary to articulate or clarify criteria at this time), and any suggestions or advice. ***[Added per Faculty Motion 14-20]***
 - b. *Within a week after this discussion, the observer will prepare a written report of the observation and the post-observation meeting

and provide it to the person who was observed and to the Department Head. The final paragraph of this report should offer a summary of the evaluation. The observer will send a copy of the summary paragraph to the Provost. The untenured faculty member will provide copies of all such summaries to the conference committee conducting his/her pre- and post-midterm conferences. At the time of the midterm and tenure reviews, the Provost will make the summary reports available to the Departmental Review Committee and PTR. **[Added per Faculty Motion 14-20; Revised per Faculty Motion 15-10]**

- c. *If the untenured faculty member believes that report has misrepresented the observation or discussions, or if he/she desires to provide additional context, he/she may produce a written formal response. The untenured faculty member submits the response to the Provost, and, at his/her discretion, may also provide a copy to the observer, the Department Head, and the conference committee conducting his/her pre- and post- midterm conferences. If the untenured faculty member has released the response to the observer, the Department Head, and the conference committee, the Provost will include the response as part of the materials for the Departmental Review Committee at the time of the midterm and tenure reviews. If the untenured faculty member has not released the response to the observer, Department Head, and the conference committee, it will be made available only to PTR at the time of the midterm and tenure reviews. **[Added per Faculty Motion 14-20; Revised per Faculty Motion 15-10]**
- d. *The department annual report must include a section on observation, including information about who was observed, in which classes, and by whom. **[Added per Faculty Motion 14-20]**

4.2.1.1.2 Student Evaluation of Teaching

4.2.1.1.2.1 Student evaluations of teaching are to be considered by the Promotion, Tenure, and Review Committee as one of the important measures of a teacher's abilities in the classroom. Consequently, it is expected that all members of the Faculty will participate in the student evaluations in all courses that they teach. The only regular exceptions are independent study and honors courses, internships, and classes with enrollment under five. Individual members of the Faculty who believe that there is reason not to evaluate one or more of their courses according to the College-wide procedure should communicate that reason in a letter sent to the Provost and made available to the Promotion, Tenure, and Review Committee. [85-16, 90-36, 10-34, Board, Oct. 22, 2011]

4.2.1.1.2.2 Individual evaluation forms submitted by students as part of the College-wide evaluation of teaching will be distributed as follows: one copy to the faculty member being evaluated and a second, archival copy to the Provost's Office, to be examined or released only upon written request of the faculty member being evaluated. [90-43, 10-34, Board, Oct. 22, 2011, 12-14]

4.2.1.1.2.3 The Provost will place student evaluations (numerical summaries only) in the file for the use of the Promotion, Tenure, and Review Committee. The individual evaluation forms submitted by students as part of the College-

wide evaluation of teaching will be included in the file only upon written request of the faculty member being evaluated. See also Sections 4.3.5.1.2, 4.3.5.2.2, and 4.3.5.3.2. [Added 1982; Rev. 07-44, 1992, 10-34, Board, Oct. 22, 2011, 11-9, 12-14]

4.2.1.1.2.4 The Promotion, Tenure, and Review Committee pays particular attention to trends over the entire period of appointment at Lafayette. [89-24, 10-34, 11-9]

4.2.1.1.3 Teaching in the creative arts

Departments with members who teach the practice of, or performance in, the creative arts should achieve timely clarity about expectations for such teaching and about any perceived special circumstances and should report such expectations and circumstances to the Promotion, Tenure, and Review Committee. Where the faculty member's teaching consists of directing or conducting, the department may wish to devise a supplementary means of evaluation by students involved in the performance. It may be appropriate to have the performance evaluated by outside experts. Departments may also wish to consider recording performances or ephemeral works of art. [89-24, Rev. 10-34, 11-9]

4.2.2 Scholarship

Scholarship is the second most important criterion in the promotion and tenure review. Candidates are expected to demonstrate scholarly development, accomplishment, and promise. [Rev. 10-33 and 10-35]

A successful scholar

1. is actively engaged in the advancement of knowledge and/or artistic creation;
2. has produced high-quality, original works of scholarship in the form of publications, exhibitions, and/or performances; and
3. participates actively in scholarly discourse with professional peers, such as through involvement in conferences, presentation of invited lectures, or published reviews of other scholars' work. [Rev. 10-33 and 10-35]

4.2.2.1 Means of Assessing Scholarship

- Self-evaluation by the candidate (see Section 4.3.4.1)
- The candidate's list of scholarly activities and accomplishments (see Section 4.3.4.2)
- The candidate's published scholarship and equivalent representations of the candidate's artistic works; recordings or documentation of ephemeral works or performances by a candidate in the creative arts [Rev. 11-9]
- Grant proposals
- Peer evaluation of scholarship by Lafayette colleagues in the candidate's department or program

- Peer review of scholarship by off-campus specialists in the candidate's field
- At the option of the candidate, published reviews of the candidate's publications, exhibits, or performances [Rev. 11-9]
- Reviews solicited by the department of ephemeral works or performances by a candidate in the creative arts
- At the option of the candidate, letters of support from scholars having knowledge of any aspect of the candidate's work; see Section 4.3.4.7. [Rev. 10-33 and 10-35, 11-9]

4.2.2.1.1 Each academic department shall prepare guidelines stating how the College standards apply in its particular discipline. Such guidelines shall identify the recognized forms of scholarship in the field and shall explain the relative importance of different forms of scholarship for an assessment of a faculty member's scholarship. The Department Head shall provide a copy of the guidelines to each department faculty member and to the Provost and Promotion, Tenure, and Review Committee. The Provost shall review each department's guidelines to ensure their consistency with College standards for scholarship, and upon approval, shall post them on the Provost's website. Whenever a new faculty member joins a department, the Department Head shall provide her/him with a copy of the guidelines. [Rev. 10-35, Board, Oct. 22, 2011, 11-9]

4.2.2.1.2 Departments shall review their guidelines at least once every three years to ensure that they are up-to-date with regard to forms of scholarship and types of publication venues. Where a department contains more than one discipline, the department may submit guidelines for each discipline if it sees fit. A candidate may elect to have his/her scholarship evaluated under any set of criteria advanced by the department during his/her probationary period. [Rev. 10-35, Board, Oct. 22, 2011, 11-9]

Each interdisciplinary program that has one or more faculty positions shall likewise prepare and provide copies of guidelines stating how the College standards apply in the particular interdisciplinary field. [Rev. 10-35, Board, Oct. 22, 2011]

4.2.2.1.3 Because scholarly production is in part determined by the particular discipline, the stage of an individual candidate's professional career, and the nature of particular research projects, the Promotion, Tenure, and Review Committee believes it inappropriate to specify College-wide expectations in quantitative terms. Moreover, it does not assume that there is any single acceptable model of scholarly activity. [89-24, Rev. 10-35, Board, Oct. 22, 2011]

4.2.2.1.4 In evaluating scholarship, the Promotion, Tenure, and Review Committee seeks assessments of scholarly contributions from two primary sources: colleagues and off-campus peers. Department colleagues provide valuable judgments concerning the quality of the candidate's scholarship and the promise of continued scholarly growth. Off-campus peers who are specialists in the candidate's particular field provide valuable supplements to department colleagues' assessments. [89-24, 95-03, Board, March 30, 1996, Rev. 10-35, Board, Oct. 22, 2011]

4.2.3 Service

The third criterion for tenure and promotion is service, which is given less weight than teaching and scholarship. Candidates are expected to demonstrate active engagement with the (1) department/program, (2) College beyond the department/program, and/or (3) professional community beyond the College. Candidates for promotion to the rank of professor are also asked to demonstrate leadership; see Section 4.1.5.4.2. [Rev. 10-33 and 10-36, Board, Oct. 22, 2011, 11-9]

Examples of the types of service in each of the three categories include:

1. Department/Program
 - a. faculty searches
 - b. work on curriculum
 - c. organizing department events
 - d. advising departmental student organizations
2. College beyond the Department/Program
 - a. participation on elected and appointed committees
 - b. presentations and/or participation in various campus forums (enrichment of College life)
 - c. participation in Admissions events
 - d. actions taken on behalf of the Faculty, student groups, the administration, the Alumni Association, the Board of Trustees
3. Professional service beyond the College [Rev. 11-9]
 - a. refereeing for presses and journals
 - b. review of grant proposals
 - c. administrative roles in professional societies
 - d. service to the local community using the candidate's professional expertise [Added 10-36, Board, Oct. 22, 2011]

4.2.3.1 Means of Assessing Service

- Self-evaluation by the candidate
- The candidate's list of service activities and accomplishments (see Section 4.3.4.2)
- The candidate's Professional Activities Forms
- Letters from colleagues, former students, and/or members of the local community [Added 10-36, Board, Oct. 22, 2011]

4.3 The Review Processes

The specific goals of the review processes are to 1) evaluate the faculty member's progress and accomplishments in teaching, scholarship, and service, 2) provide advice and guidance to help faculty members achieve their full potential within the context of the department's and the College's mission and goals, and 3) ensure, through the tenure and post-tenure review procedures, that the Faculty will continue to consist of individuals who are quality teachers, successful scholars, and engaged members of the academic community. Thus, the pursuit of an excellent Faculty is the overall goal of the review procedures. [Added 10-33, Board, Oct. 22, 2011]

4.3.1 Definitions [Added 11-9]

4.3.1.2 *Conference Committee*: the group that conducts a pre-midterm or post-midterm conference; see Section 4.3.5.1. [Added 11-9]

4.3.1.3 *Departmental Review Committee*: those department members who meet to evaluate the candidate's teaching, scholarship, and service. The composition of the Review Committee depends upon the case: [Rev. 10-37 and 10-44, Board, Oct. 22, 2011, 11-9]

Midterm review: Department Head + tenured members [Rev. 10-37, Board, Oct. 22, 2011, 11-9]

Tenure review for an assistant professor: Department Head + tenured members [Rev. 10-44, Board, Oct. 22, 2011, 11-9]

Tenure review for an untenured associate professor: Department Head + tenured members [Rev. 11-9]

Tenure review for an untenured full professor: Department Head + tenured full professors [Rev. 11-9]

Promotion review for a tenured associate professor: Department Head + tenured full professors [Rev. 11-9]

4.3.1.3.1 Those who are eligible to serve on a Review Committee but who do not participate and vote (because of a sabbatical leave or leave of absence, for example) are eligible to review all documents pertaining to the case. Such a person may submit a letter of evaluation and recommendation to the Provost, noting in the letter whether he/she has read the entire file. [Rev. 11-9]

4.3.1.3.2 While serving as a full-time administrator, a tenured member of the Faculty will not participate in any Departmental Review Committee. [01-13]

4.3.1.4 *the file*: the "materials for review"; following the departmental review, the Provost adds to the file the Departmental Review Committee letter, letters from individual members of the Departmental Review Committee (in tenure or promotion cases), and the candidate's response, if any. (See Section 4.3.4.) [Added 11-9]

4.3.1.5 *letter of evaluation*: a letter written by a person who serves, or is eligible to serve, on a candidate's Departmental Review Committee; this letter is sometimes described as a "letter of evaluation and recommendation" (see Sections 4.3.1.3.1 and 4.3.6.h) ; alternatively, a letter by a person outside the candidate's department evaluating interdisciplinary teaching (see Sections 4.3.5.2.1 and 4.3.5.3.1). [Added 11-9]

4.3.1.6 *letter of support*: a letter invited by the candidate (see Section 4.3.4.7). [Added 11-9]

4.3.1.7 *external review letter*: see Section 4.3.4.6. [Added 11-9]

4.3.2 General Review Policies

4.3.2.1 The Provost refers recommendations for change in status to the Promotion, Tenure, and Review Committee for its consideration. The Committee reports to the President. [Added 1976, Rev. 1979]

4.3.2.2 The Promotion, Tenure, and Review Committee has been authorized by the Faculty to delegate certain responsibilities to the Provost [14-04]:

consideration of reappointment recommendations, and
four- and seven-year reviews of tenured faculty members.

Further, the Committee has been authorized to delegate review of part-time faculty members to the Dean of the Faculty. [14-04]:

In all cases, if these responsibilities are delegated, this will be done with the understanding that the Provost or the Dean of the Faculty will seek the advice of the Promotion, Tenure, and Review Committee in cases when either the Provost, the Dean of the Faculty, or the faculty member involved wishes. [90-52, 95-1, 11-9, 14-04]

4.3.2.3 The President receives the advice of the Promotion, Tenure, and Review Committee and submits recommendations for award of tenure or for promotion to the Board's Committee on Educational Policy. Tenure is awarded by vote of the Board of Trustees. [Added 1976, Rev. 1977]

4.3.2.4 Only the President or the Provost, acting upon authority of the Board, can issue authoritative statements concerning appointment, reappointment, promotion, or award of tenure. [Added 1976]

4.3.2.5 In any review, a faculty member is evaluated with respect to his/her performance in teaching, scholarship, and service. [Rev. 10-37, Board, Oct. 22, 2011, 11-9]

4.3.2.6 In any review, the faculty member receives a copy of the Departmental Review Committee's letter and has the right to respond. [Rev. 10-37, Board, Oct. 22, 2011, 11-9]

4.3.2.7 The Provost may obtain additional information from outside the department and from other sources, such as alumni/ae, and will ordinarily accept for inclusion in the file relevant material submitted by colleagues or others familiar with the performance and potential of the candidate. [Added 1982; Rev. 07-44, 1992, Rev. 10-34, Board, Oct. 22, 2011, 11-9]

4.3.2.8 All materials available to the Promotion, Tenure, and Review Committee also are made available to the faculty member being reviewed and the Departmental Review Committee; both the faculty member and the Departmental Review Committee are given an opportunity to respond. [Added 1982; Rev. 07-44, 90-9, 92-37, 1993, 94-30, 99-10, 10-50, Board, Oct. 22, 2011, 11-9]

4.3.2.9 Those who provide external reviews, letters of evaluation, or letters of support for any faculty review process are informed that their materials will be made available to the faculty member being reviewed, the Departmental Review Committee, and the Promotion, Tenure, and Review Committee. [Added 1982; Rev. 07-44, 90-9, 92-37, 1993, 94-30, 99-10, 10-50, Board, Oct. 22, 2011, 11-9]

4.3.3 The Timeline

The following table represents the approximate dates for receipt and distribution of review materials. The Provost will announce the specific dates each year. The dates are intended to enable candidates to learn of the decisions as soon as possible. They are not deadlines in the strict sense that failure to meet them would constitute procedural impropriety. [Rev. 11-9, Board, Feb. 14, 2012, 11-9]

DH = Department Head [Rev. 11-9]

DRC = Departmental Review Committee [Rev. 11-9]

Materials listed are to be provided by the candidate except as otherwise noted. [Rev. 11-9, 14-36]

	<u>Midterm</u>	<u>Tenure</u>	<u>Tenure w/o Promotion and Promotion to Professor</u>
To Provost: List of External Reviewers	-	April 3	April 3
To DH: List of Individuals Invited to Write Letters of Support	-	April 3	May 1
To Provost: Materials for External Evaluators	-	April 14	May 15
To Provost: Letters from External Reviewers	-	July 7	August 7
To Provost: Letters from those invited to write Letters of Support	-	July 7	August 7
To Provost: Letters evaluating candidate's interdisciplinary teaching	January 9	July 7	August 7
To DH from Provost for DRC: Candidate's Materials for Review	End of January	August 15	September 15
To DH from candidate: Materials for review	End of January	August 15	September 15
To Provost from DH: DRC Evaluation and Recommendation; Candidate's Materials for Review	February 17	September 8	October 9
To Provost from DRC Members: Individual Letters of Evaluation	-	One week after submission of DRC letter	One week after submission of DRC letter

4.3.4 Materials for Review

Many of these materials are contributed by the faculty member; others, including letters by persons nominated by the faculty member, are assembled by the Provost's Office. Some of the most important of these materials are described here. (Student evaluations are treated in Section 4.2.1.1.2.) [Added 11-9]

4.3.4.1 The Self-Evaluation The self-evaluation should describe and explain the candidate's teaching, scholarship, and service, noting their significance to the College and the profession and to the candidate's developing career. The self-evaluation should address how the teaching, scholarship, and service meet the College and department standards. The candidate may include explanatory or amplifactory material that he/she considers relevant. In discussing scholarship, the candidate should note what part of his/her scholarly work was done while at

Lafayette. The target length for the self-evaluation should be approximately 10 pages, single-spaced for a midterm review and approximately 20 pages, single-spaced for a tenure and/or promotion review. [Added 1982; Rev. 07-44, 1997, 2004, 10-38, 10-40, and 10-43, Board, Oct. 22, 2011, 11-9]

4.3.4.2 The Curriculum Vitae This document should include (among other things) the dissertation title, date, and adviser; a list of courses taught, honors projects, independent study projects, internships, and other teaching activities; a list of all publications and artistic works, conference presentations, and other scholarly activities; and a chronological list of service to the department, the College, and the profession. [Rev. 10-43, Board, Oct. 22, 2011, 11-9]

4.3.4.3 Teaching Portfolio An integral part of the peer review process, the teaching portfolio is designed to help provide as full a picture as possible of the individual faculty member's teaching responsibilities, goals, strategies, achievements, and plans. [95-03, Board, March 30, 1996, Rev. 10-43, Board, Oct. 22, 2011]

To that end, the faculty member should include in the teaching portfolio:

- a. a record of sections of courses taught, with enrollments
- b. representative syllabi for all courses taught
- c. a sampling of course materials (e.g., assignments, exams, student work)
- d. a statement, including numbers, of academic advising responsibilities
- e. a list of consulting projects, when it can be demonstrated that such consulting enhanced teaching effectiveness. [Rev. 11-9]

4.3.4.4 Scholarship Portfolio The scholarship portfolio should contain copies of published work and other scholarly materials. The candidate may also provide supplementary information that he/she believes will enable the department and the Promotion Tenure and Review Committee to get a fuller picture of her/his scholarly/artistic achievements. Such information may include, for example, reviews of books or articles, listing of citations of her/his work, and references to awards. [Added 10-43, Board, Oct. 22, 2011, Rev. 11-9]

4.3.4.5 Service Portfolio The service portfolio may contain any materials that illustrate or amplify the listing of the service activities in the curriculum vitae. [Added 10-43, Board, Oct. 22, 2011, Rev. 11-9]

4.3.4.6 External Reviews The review of professional contributions by off-campus experts is mandatory for all candidates for tenure and/or promotion. [85-31.6, 92-24, 00-7], 10-40, Board, Oct. 22, 2011]

4.3.4.6.1 External reviews supplement and do not replace internal review of written material, creative work, and professional activities which are outgrowths of the faculty member's academic discipline. Off-campus review is done in the context of Lafayette's mission and goals and not those of a research-oriented university. [85-31.6, 92-34, 10-40, Board, Oct. 22, 2011]

4.3.4.6.2 List of reviewers It is the expectation of the Promotion, Tenure, and Review Committee that normally external reviewers will be senior faculty members from four-year colleges (or from universities) with research expectations at least comparable to those at Lafayette. In some fields, reviews

from industrial labs, government agencies, or other sources may be appropriate. In cases where these guidelines pose difficulties for the individual, he/she should discuss the matter with the Department Head and the Provost. After consultation with the Department Head and the Provost, the candidate for tenure and/or promotion provides the Provost with a list of ten potential external reviewers who can offer expert and disinterested reviews of the candidate's work. All candidates also forward a brief statement of the suitability of the potential external reviewers and their relationship, if any, to the candidate. Co-authors, co-grantees, or dissertation supervisors may not be part of the list. (Persons excluded from being listed as potential external reviewers could be invited to write letters of support; see Section 4.3.4.7.) In general, however, a professional relationship with a potential external reviewer need not in and of itself disqualify a person from being on the list. To provide members of the Promotion, Tenure, and Review Committee with guidance in reviewing the list, the candidate should also provide a brief curriculum vitae, a concise statement of area(s) of scholarly expertise, and a list of materials that will be submitted to the reviewers. [Rev. 1991, 92-36, 99-11, 10-40 and 10-43, Board, Oct. 22, 2011, 11-9]

4.3.4.6.2.1 The Provost, after consultation with the Promotion, Tenure, and Review Committee, selects four reviewers from the list. The candidate should not discuss with any actual or potential external reviewer his/her willingness to serve as a reviewer or the nature of these external reviews. It will be the responsibility of the Provost to establish contact with potential reviewers, to ascertain their willingness to serve in that capacity, and to respond to any reviewer's questions about the process. [92-36, Rev. 1998, 10-40, Board, Oct. 22, 2011]

4.3.4.6.3 Materials for reviewers The candidate, with the advice of the Department Head, selects the material to be submitted for external review. Such material may include published results of research, applied or theoretical, creative work in the arts, books and reviews, consultation and technical assistance activities, clinical work, grant proposals, and other evidence of professional activity and development. Activities of the faculty member who serves as an expert witness, judges an art show, evaluates proposals, produces a painting, arbitrates a labor dispute, works as a therapist, or performs a concerto fall into this category. [85-31.6, 92-35, 10-40, Board, Oct. 22, 2011]

4.3.4.6.3.1 The candidate sends four complete sets of scholarly materials to the Provost, including a complete curriculum vitae and a cover sheet listing the titles of materials being submitted for review. [85-31.6, 92-36, 94-18, 10-40 and 10-43, Board, Oct. 22, 2011, 11-9]

4.3.4.6.4 Letters to reviewers The Provost writes the four selected persons, requesting review of the materials. Normally, a standard letter, available to the candidate, will be used (see Section 4.3.4.6.4.1). (If for any reason a standard letter is not used, the Provost's Office will arrange for the candidate to review the letter before it is sent to the external reviewer.) The letter includes a statement of the College's policies respecting the external review process. The external reviewer is informed that he/she is requested to offer an estimate of the professional achievement and promise of the candidate based on the materials submitted and is not requested to offer a recommendation of whether or not the candidate is deserving of tenure or promotion at Lafayette College. The external reviewer is asked to send his/her review on a page (or pages) separate from any cover letter that may accompany it. [85-31.6, Rev. 1991, 92-37, 10-40, Board, Oct. 22, 2011]

4.3.4.6.4.1 Standard Letter from Provost to External Reviewers of Assistant Professors [Added 10-40, Board, Oct. 22, 2011, Rev. 11-9]

Dear Professor X:

Thank you for agreeing to serve as an external reviewer of Assistant Professor X in the review of his/her candidacy for promotion to Associate Professor in the Department of X at Lafayette College.

I enclose materials that have been assembled by Professor X as evidence of his/her scholarly accomplishments and promise. As you review these materials, we ask you to keep in mind the context within which Professor X conducts his/her work. Lafayette College is an undergraduate institution with programs in liberal arts, sciences, and engineering. Scholarly activity and development are expected and highly valued but occur in an environment in which teaching is primary. It may also be useful to know that in some departments, particularly in the sciences and engineering, faculty members are expected to develop some part of their research program in such a way that undergraduates may participate in it.

This request is a standard element in our review process. Your report will form part of the record to be examined by the Faculty Committee on Promotion, Tenure, and Review, which includes faculty members from the humanities, social sciences, natural sciences, and engineering divisions. Because of the diversity of backgrounds of those on the Committee, external review by scholars from the candidate's discipline is particularly valuable.

To ensure consistency with other letters which have been solicited, it would be helpful if you would address the following points:

1. How important is the individual's scholarship?
2. Is it of high quality? Does it make a contribution to the field?
3. How does it compare to the work of others? Specifically, considering the nature of Lafayette College described above, how would you compare Professor X's achievements to those of other scholars in the discipline who are at a similar stage in their careers?
4. Does it show promise for continuing development?

You are not being asked to make a specific recommendation with respect to the tenure of Professor X.

In accordance with Lafayette policy, candidates are provided access to external review reports. However, it is normally expected that candidates will not see any identifying information, such as external reviewers' names, titles, or institutional affiliations. Therefore, we request that you send your review on a page (or pages) separate from any cover letter that may accompany it. Only the review itself will be made available to the candidate. Your full review, including identifying information, will be made available to tenured members of the candidate's department and to the Promotion, Tenure, and Review Committee to assist them in their evaluation.

Please submit your report to me as soon as possible but no later than X, so that the Committee will have time to consider it. The materials which are enclosed need not be returned to me and are yours to dispose of as you wish.

Thank you for your willingness to assist us.

(With necessary changes, this letter is also sent to reviewers of associate and full professors. In cases involving promotion to full professor, the letter mentions the date of tenure.) [Rev. 11-9]

4.3.4.6.5 Receipt of external reviews The external reviews are returned to the Provost and become part of the candidate's file. A reviewer's identity, title, or institutional affiliation will not be disclosed to the candidate. The candidate may respond in writing to the external reviews and is urged to do so

promptly, so that any response will be considered by the Departmental Review Committee. [85-31.6, Rev. 1991, 92-38, 10-40, Board, Oct. 22, 2011, 11-9]

4.3.4.6.5.1 Each external review and any response(s) by the candidate are available in the Office of the Provost for review by members of the Departmental Review Committee, who should arrange to review the documents before the Committee meets to consider the candidate and before writing their letters of evaluation. It is a violation of the candidate's right of confidentiality, and therefore inappropriate, for any of the participants in these discussions to divulge the contents of the external reviews to anyone who is not authorized to participate in the review process. It is expected that all will maintain the confidentiality of that information. [92-38, 94-30, 10-40, Board, Oct. 22, 2011, 11-9]

4.3.4.6.5.2 Each external review letter and each response by the candidate, if any, will be made available to members of the Promotion, Tenure, and Review Committee and to the President, and, in the event of an appeal from a negative recommendation, will be part of "the file" as defined in Section 4.3.1.4. [Rev. 10-40, Board, Oct. 22, 2011, 11-9]

4.3.4.7 Letters of Support In addition to the list of ten potential external reviewers described in 4.3.4.6.2, the candidate may prepare a list of persons having pertinent knowledge of any aspect of the candidate's work to be invited to write letters of support. [Rev. 10-40 and 10-43, Board, Oct. 22, 2011, 11-9]

4.3.4.7.1 Normally, this list is presented to the Department Head, who invites the persons listed to submit letters directly to the Provost and the Promotion, Tenure, and Review Committee. The Department Head may provide to any of the invitees a current copy of the candidate's curriculum vitae. These letters do not serve the same function as external reviews; however, such individuals may have access to any portion of the candidate's work that the invitee and the candidate deem appropriate. The candidate and members of the Departmental Review Committee may review the letters of support in the Office of the Provost. [99-11, Rev. 10-40 and 10-43, Board, Oct. 22, 2011, 11-9]

4.3.4.7.2 Who may not write a letter of support Letters of support will not be accepted from a candidate's departmental colleagues of lesser rank, from persons listed as potential external reviewers, from persons eligible to write letters of evaluation, or from members of the Promotion, Tenure, and Review Committee who will be considering the candidate. On the distinction between letters of support and letters of evaluation, see Sections 4.3.4.7 and 4.3.1.5. [Added 10-40 and 10-43, Board, Oct. 22, 2011, 11-9]

4.3.5 Pre-Tenure Materials and Reviews; Tenure/Promotion Materials

4.3.5.1 Pre- and Post-Midterm Conferences

Untenured assistant and associate professors are evaluated by way of a departmental conference prior to the midterm review. An untenured assistant professor also normally participates in a post-midterm conference during the year following his/her research leave. (See Section 4.1.6 for a delineation of the probationary period.) [Added 10-37, Board, Oct. 22, 2011, 11-9]

4.3.5.1.1 The departmental conference will entail a meeting between the untenured faculty member and a committee (the conference committee) made up

of the Department Head and one or two tenured members of the department selected, in consultation with the Department Head, by the untenured faculty member. [Added 1975, 85-31.2, Rev. 1990, 1991, 93-30, 98-27, 10-37, Board, Oct. 22, 2011, 12-20]

*4.3.5.1.2 Materials for review Prior to the pre-midterm or post-midterm departmental conference, the untenured faculty member submits to the conference committee a brief self-evaluation, his/her teaching and scholarship portfolios, student evaluations, annual Professional Activities Forms, an updated curriculum vitae, and classroom observation summaries. For the post-midterm conference, the conference committee will also consider the Departmental Review Committee's midterm letter, the midterm report from the Promotion, Tenure, and Review Committee, the research leave report, and, at the faculty member's discretion, any response to the midterm report that he/she may have offered. [Rev. 10-37, Board, Oct. 22, 2011, 11-9, 12-30] **[Added per Faculty Motion 14-20]**

For a description of the self-evaluation, curriculum vitae, and portfolios, see the Sections 4.3.4.1 through 4.3.4.5. [Rev. 11-9]

4.3.5.1.3 The purpose of the meeting with the conference committee is to review the untenured faculty member's teaching, scholarship, and service record to date, identify accomplishments and areas for further development and growth, chart a tentative path for the coming year(s), and address any questions or concerns the faculty member may have. [Added 10-37, Board, Oct. 22, 2011, Rev. 11-9, 12-30]

Conference report The conference committee prepares a written conference report within approximately three weeks summarizing the discussion during the meeting, evaluating the professional development of the faculty member, and offering direction and guidance for continued professional growth and development. The conference report is shared with the untenured faculty member. If the untenured faculty member requires any clarification regarding the report, he/she may request it within two weeks from the members of the conference committee. Having received the report, and any requested clarifications, the faculty member signs the report to acknowledge that he/she has read it and the conference report along with a copy of the self-evaluation and curriculum vitae are sent by the Department Head to the Provost by May 1. A copy of the signed conference report is provided to the untenured faculty member. [Added 10-37, Board, Oct. 22, 2011, Rev. 11-9, 12-30]

4.3.5.1.4 If the faculty member disagrees with the conference report, he/she may send a written response to the Department Head, with a copy to the Provost. [Added 1987, Rev. 1995, 10-37, Board, Oct. 22, 2011, 11-9]

Following the conference meeting, the Department Head shares the signed conference report and any response to it by the untenured faculty member with the tenured members of the department. [Added 1987, Rev. 1995, 10-37, Board, Oct. 22, 2011, 11-9]

4.3.5.2 Midterm Review

4.3.5.2.1 In the midterm review process, the Department Head and the faculty member under review provide the Departmental Review Committee with materials relevant to the faculty member's teaching performance, scholarly contributions (including plans for continued professional growth), and service. In the self-evaluation, the candidate should address plans and goals for a research

leave. The Department Head may request a letter or letters of evaluation from a member or members of the Lafayette Faculty, outside the candidate's department, who are well suited to review the candidate's interdisciplinary teaching. These letters should be sent to the Provost. [85-31.2, Rev. 1987, 94-45, 98-34, 07-7, 10-35 and 10-38, Board, Oct. 22, 2011, 11-9]

4.3.5.2.2 The candidate will make available the following materials to the Department Head: [Added 10-38, Board, Oct. 22, 2011]

- Self-evaluation: The target length for the self-evaluation should be approximately 10 pages, single-spaced (see Section 4.3.4.1 for a description of the self-evaluation)
- Curriculum vitae (see Section 4.3.4.2)
- Portfolios of teaching, scholarship and service (see Sections 4.3.4.3-5)
- The summaries of the numerical portion of the student evaluations. Individual evaluation forms will be made available only upon written permission of the candidate. [Rev. 11-9, 12-14]

4.3.5.2.3 In order to facilitate the review of materials by the Departmental Review Committee, and in order to ensure that the Departmental Review Committee and the Promotion, Tenure, and Review Committee have access to similar files assembled for review purposes, the Provost will make available to the Department Head the following review materials at the time of the midterm review: [Added 10-38, Board, Oct. 22, 2011, Rev. 11-9]

- Letters of evaluation (if any) from other members of the Lafayette Faculty assessing the candidate's interdisciplinary teaching [Rev. 11-9]
- Reappointment letters
- Professional Activities Forms
- Pre-midterm conference report[†]
- Response (if any) to pre-midterm conference report [†]
- *Classroom observation summaries **[Added per Faculty Motion 14-20]**

[†] And/or annual reviews and self-evaluations if hired before 2012

The candidate has the right to respond to any or all of the materials by memorandum to the file, and at the discretion of the candidate, some or all of such response(s) will be made available to members of the Departmental Review Committee. Once the candidate has had an opportunity to respond, the Provost provides all these materials to the Department Head. [Added 10-38, Board, Oct. 22, 2011, Rev. 11-9]

The Department Head in turn makes available to the members of the Departmental Review Committee the review materials provided by the candidate and by the Provost. [Added 10-38, Board, Oct. 22, 2011, Rev. 11-9]

4.3.5.2.4 Departmental Review Committee Procedures The Department Head holds a meeting or meetings of the Departmental Review Committee. At the beginning of the discussion, the Department Head confirms that each participant has read the entire file. [Rev. 10-38, Board, Oct. 22, 2011, 11-9]

- a. The Review Committee evaluates the record of the faculty member under review, using the College and departmental standards for teaching, scholarship, and service. The Committee also discusses the programmatic needs (present and future) of the department and the College and offers comments on the proposed leave's potential for advancing the candidate's scholarly development. [Rev. 11-9]
- b. If the Review Committee requests additional information, the request should be in writing. The candidate will be allowed to respond to any such additional information before the Committee concludes its deliberations. All additional information and responses (if any) from the candidate will be made part of the file. [Rev. 11-9]
- c. Following the Review Committee's deliberations, the Department Head prepares a letter detailing the Review Committee's evaluation of the candidate and the proposed leave as well as the programmatic needs of the department. A recommendation regarding reappointment should also be included. This letter should include the signatures of those who participated in the meeting(s). The Department Head submits the letter to the Provost, with copies to the candidate and to the members of the Departmental Review Committee. At this time, the Department Head also delivers the candidate's review materials to the Provost for use by the Promotion, Tenure, and Review Committee. [85-31.2, Rev. 1987, 04-17, Board Jan. 29, 2005, 07-7, 10-38, Board, Oct. 22, 2011, 11-9]

4.3.5.2.5 A copy of the Departmental Review Committee's letter is given to the faculty member under review. His/her response, if any, is submitted to the Provost and is available to the Promotion, Tenure, and Review Committee when it conducts its midterm review of the faculty member. The response of the faculty member under review is made available to the members of the Departmental Review Committee at his/her discretion. [85-31.2, Rev. 1987, 04-17, Board Jan. 29, 2005, 10-38, Board, Oct. 22, 2011, 11-9]

4.3.5.2.6 Promotion, Tenure, and Review Committee Procedures Following receipt of the Department Review Committee's letter and any response by the faculty member, the Provost makes the file available to the Promotion, Tenure, and Review Committee. The Committee follows the procedures set forth in Section 4.3.7. [Added 11-9]

4.3.5.2.7 Disposition of midterm report After the Promotion, Tenure, and Review Committee conducts its midterm review of the untenured faculty member, it provides the faculty member with a report of that evaluation, indicating strengths and weaknesses compared to College and departmental standards for teaching, scholarship and service, and areas in need of improvement. The report includes a recommendation concerning reappointment. It is to be understood that a favorable evaluation at the time of the midterm review does not offer any guarantee of subsequent tenure and promotion. A negative decision concerning reappointment will result in a terminal contract and denial of the research leave.

The Department Head is provided with a copy of the report, which he/she will make available to members of the Departmental Review Committee. The candidate may reply to the report, through a memorandum to the Provost, or request that the Departmental Review Committee reply on his/her behalf. The candidate will have an opportunity to review and reply to any replies from the Review Committee. Any such replies will be attached to the midterm report and will become part of the tenure file. [Rev. 1987, 1995, 04-17, Board Jan. 29, 2005, 10-39, Board, Oct. 22, 2011, 11-9]

4.3.5.3 Tenure and/or Promotion Review Materials

In the tenure and/or promotion review process, the Department Head and the faculty member under review provide the Departmental Review Committee with materials relevant to the faculty member's teaching performance, scholarly contributions (including plans for continued professional growth), and service. [Rev. 10-43 and 10-44, Board, Oct. 22, 2011, 11-9]

4.3.5.3.1 The Department Head may request letters of evaluation from a member or members of the Lafayette faculty, outside the candidate's department, who are well-suited to review the candidate's interdisciplinary teaching. These letters should be sent to the Provost. [85-31.2, Rev. 1987, 94-45, 98-34, 07-7, 11-9]

4.3.5.3.2 The candidate will make available the following materials to the Department Head: [Rev. 11-9]

- Self-evaluation: The target length for the self-evaluation should be approximately 20 pages, single-spaced (see Section 4.3.4.1 for a description of the self-evaluation) [Rev. 11-9]
- Updated curriculum vitae (see Section 4.3.4.2)
- Portfolios of teaching, scholarship and service (see Sections 4.3.4.3-5)
- The summaries of the numerical portion of the student evaluations. Individual evaluation forms will be made available only upon written permission of the candidate. [Added 10-43, Board, Oct. 22, 2011, 12-14]

4.3.5.3.3 In order to facilitate the review of materials by the Review Committee, and in order to ensure that the Departmental Review Committee and the Promotion, Tenure, and Review Committee have access to similar files assembled for review purposes, the Provost makes available the following materials to the candidate: [Rev. 11-9]

- List of potential external reviewers (see Section 4.3.4.6.2)
- List of materials sent to external reviewers
- Letters from external reviewers [Rev. 11-9]
- Responses to letters from external reviewers (if any) [Rev. 11-9]
- Letters of support (see Section 4.3.4.7) [Rev. 11-9]
- Letters of evaluation (if any) from other members of the Lafayette faculty, assessing the candidate's interdisciplinary teaching [Rev. 11-9]
- Reappointment letters
- Professional Activities Forms
- *Classroom observation summaries [Added per Faculty Motion 14-20]
- Pre-midterm conference report[†]
- Response to pre-midterm conference report (if any) [†]

- Post-midterm conference report[†]
- Response to post-midterm conference report (if any) [†]
- Midterm review self-evaluation
- Midterm review Departmental Review Committee letter
- Promotion, Tenure, and Review Committee midterm review report
- Candidate or Departmental Review Committee's response to Promotion, Tenure, and Review Committee midterm report (if any)
- Research leave report

[†] And/or annual reviews and self-evaluations if hired before 2012. [Added 10-38, 10-43, and 10-44, Board, Oct. 22, 2011, 11-9]

4.3.5.3.4 The candidate has the right to respond to any or all of the materials by memorandum to the file, and at the discretion of the candidate, some or all of such response(s) will be made available to members of the Departmental Review Committee. Once the candidate has had an opportunity to respond, the Provost provides all these materials to the Department Head. [Added 2011, 11-9]

4.3.5.3.5 The Department Head in turn makes available to the members of the Departmental Review Committee the review materials provided by the candidate and by the Provost.

4.3.6 Departmental Review Committee Tenure and/or Promotion Procedures

The Department Head holds a meeting (or meetings) of the Departmental Review Committee. [Rev. 10-43 and 10-44, Board, Oct. 22, 2011, 11-9]

- a. Each member who is eligible to participate in the Review Committee is normally expected to participate fully. At the start of the discussion, the Department Head confirms that each participant has read the entire file. [Added 10-44, Board, Oct. 22, 2011, Rev. 11-9]
- b. The Review Committee will review and evaluate the candidate's record of teaching, scholarship, and service with respect to departmental and College standards. [Rev. 10-44, Board, Oct. 22, 2011, 11-9]
- c. When the candidate is seeking tenure, the Review Committee will also discuss the programmatic needs (present and future) of the department and the College. Only in exceptional circumstances should concerns regarding the programmatic fit of the candidate be introduced for the first time during the tenure review. [Rev. 10-44, Board, Oct. 22, 2011, 11-9]
- d. If the Review Committee requests additional information, the request should be in writing. The candidate will be allowed to respond to any such additional information before the Committee concludes its deliberations. All additional information and responses (if any) from the candidate will be made part of the file. [Added 11-9]
- e. Finally, the Review Committee will vote on a recommendation for tenure and/or promotion. [Added 10-44, Board, Oct. 22, 2011, Rev. 11-9]
- f. Following the Review Committee's deliberations, the Department Head prepares a letter detailing the Review Committee's evaluation of the candidate, including divergent views, and summarizing the vote. This letter should include the signatures of those who participated in the meeting(s). The Department Head submits the letter to the Provost, with copies to the candidate and to the

members of the Departmental Review Committee. [Rev. 10-44, Board, Oct. 22, 2011, 11-9]

- g. The Department Head delivers to the Provost's Office all materials that were reviewed by the Review Committee (except for the student evaluations and the materials provided by the Provost). [Added 10-44, Board, Oct. 22, 2011, Rev. 11-9]
- h. The Provost requests individual letters of evaluation and recommendation from each member of the Review Committee. Such letters are due to the Provost a week after the Review Committee's letter has been submitted. [Rev. 10-44, 10-48, and 10-49, Board, Oct. 22, 2011, 11-9]
- i. The Provost adds to the file the letter from the Departmental Review Committee, the individual letters from the members of the Review Committee, and any letters of evaluation submitted pursuant to Section 4.3.1.3.1. [Added 10-44, Board, Oct. 22, 2011, Rev. 11-9]
- j. The candidate shall again inspect the file before it is made available to the Promotion, Tenure, and Review Committee. By memorandum to the file, the candidate has the right to respond to any or all of the materials in the file, and at the candidate's discretion, such response(s), or a subset of them, will be made available to the Departmental Review Committee. [85-31.1, Rev. 1987, 98-27, 98-34, 99-10, 99-12, 99-20, 10-44, Board, Oct. 22, 2011, 11-9]
- k. Once the candidate has had an opportunity to comment on the file, the file is released to the Promotion, Tenure, and Review Committee. At that point, the Provost makes the individual letters from members of the department available to members of the Departmental Review Committee for their information. [Added 10-44 and 10-51, Board, Oct. 22, 2011, Rev. 11-9]

4.3.7 Promotion, Tenure, and Review Committee Procedures

4.3.7.1 Prior to the meeting(s) at which the candidate's case is scheduled to be considered, Committee members review the entire file. When the candidate's case is first considered, the Committee chair confirms that all members have read the file. In midterm and tenure cases, the Provost begins the Committee's consideration of the case with a statement regarding the candidate's relationship to the programmatic needs of the department/program and the College. In midterm, tenure, and promotion cases, the Committee then discusses the candidate's record in teaching, scholarship, and service, assessing his/her performance with respect to the standards in each area. [Added 10-51]

4.3.7.2 The Committee's right to obtain additional information The Promotion, Tenure, and Review Committee has the right to obtain additional information respecting a candidate at any time by a written request. If it exercises this right, the candidate is notified, along with members of the Departmental Review Committee, and they all are given access to the additional information. Both the candidate and the Departmental Review Committee enjoy the right to respond, and the candidate may respond to the Review Committee's response. The request, the new information, and any responses become a part of the file. [Added 1982; Rev. 07-44, 90-9, 92-37, Rev. 1993, 94-30, 99-10, 10-50, Board, Oct. 22, 2011, 11-9]

4.3.7.3 No report of a conversation with a candidate is accepted by the Committee unless a summary of that conversation has been shown to the candidate and the candidate has been given an opportunity to respond in writing to that summary. [83-16, 85-31.3, 86-10, 10-51, Board, Oct. 22, 2011]

4.3.7.4 No Promotion, Tenure, and Review Committee member in the same department as the candidate will participate in any Committee discussion or decision respecting the candidate. [Added 1982; Rev. 07-44, 83-8, 99-31, 10-51, Board, Oct. 22, 2011]

4.3.7.5 Neither the candidate nor any representative of the candidate appears before the Committee. [Added 1982; Rev. 07-44, 83-8, 99-31, 10-51, Board, Oct. 22, 2011]

4.3.8 Disposition of the Promotion, Tenure, and Review Committee's tenure and/or promotion recommendations The Committee must make clear by a vote what the final judgment of the Committee is in each case. The vote, with the confidential minutes of its consideration of the case, shall be conveyed to the President in the form of a written recommendation with full explanatory justification and a summary of dissenting opinion. Normally, candidates for tenure will be notified of the Committee's recommendation by the end of the fall semester, and candidates for promotion will be notified by the end of the spring semester. [Added 1982; Rev. 07-44, 83-17, 85-31.3, 86-10, 90-37, 1991, 93-31, 95-4, 99-31, 10-51, Board, Oct. 22, 2011]

4.3.8.1 Positive recommendations of the Promotion, Tenure and Review Committee shall be sent to the President for concurrence. The President may write endorsing the Promotion, Tenure, and Review statement or write a separate letter. The Provost informs the candidate and the Department Head of the recommendation and reminds them that, in accordance with College policy, only the Board of Trustees has the authority to grant tenure. Following Board approval, the President shall promptly convey the Board's decision to the candidate, with a copy to the Department Head. The Provost shall provide them both with copies of the Promotion, Tenure, and Review Committee's recommendation and that of the President, if any; the Department Head will make a copy of the recommendation(s) available to members of the Department Review Committee. [99-31, Rev. 10-44, Board, Oct. 22, 2011]

4.3.8.2 If the President does not concur with a positive recommendation of the Promotion, Tenure, and Review Committee, the case will be referred to the Board of Trustees for a full review. The Board of Trustees will have access to all materials that were available to the Promotion, Tenure, and Review Committee in its deliberations on the candidate's case; the confidential minutes of the Promotion, Tenure, and Review Committee's consideration of the candidate's case; the recommendation of the Promotion, Tenure, and Review Committee to the President; and the President's written statement of compelling reasons for not concurring. The Promotion, Tenure, and Review Committee and the candidate will receive the President's statement of compelling reasons and will have an opportunity to respond in writing. If the Board of Trustees affirms either the President's or the Promotion, Tenure, and Review Committee's recommendation, the Board's decision will be final. Alternatively, the Board may return the case to either the Promotion, Tenure, and Review Committee or the President for reconsideration in whole or in part and a further recommendation, which shall go directly to the Board of Trustees for its final decision. [85-31, 93-7, 96-8, 99-31]

4.3.8.3 Negative recommendations of the Promotion, Tenure, and Review Committee shall be sent to the President for information only (except as provided in 4.3.8.6 and 4.3.9.4). In such cases, the Provost shall inform the candidate and the Department Head of the recommendation and shall provide the candidate with a copy of the Promotion, Tenure, and Review Committee's complete recommendation. The Provost shall make an appointment with the candidate and the Department Head to explain the procedure for appeal. [99-31, 00-22]

4.3.8.4 Should the candidate elect not to appeal to the Appeal and Grievance Committee, then upon receipt of a written statement from the candidate or upon the

expiration of the sixty-day period referred to in Section 4.4.4.8.1.2, whichever is earlier, the President shall inform the candidate that he/she has been denied tenure. At this point, copies of the President's letter, along with the recommendation of the Promotion, Tenure, and Review Committee, shall be sent to the Department Head, who will make these documents available to members of the Department Review Committee. [99-31, Rev. 10-44, Board, Oct. 22, 2011]

4.3.8.5 Should the candidate elect to appeal to the Appeal and Grievance Committee, he/she shall follow the procedure described in Section 4.4. A copy of the recommendation of the Promotion, Tenure, and Review Committee shall be sent to the Department Head only after the appeal process has been completed. [99-14, 99-31]

4.3.8.6 Early consideration In the case of a tenure candidate who was considered before his/her mandatory year, the Promotion, Tenure, and Review Committee and/or President may decide to defer him/her under 4.3.9. (see Section 4.1.6.6) [99-31]

4.3.9 Deferred Tenure Candidates

Procedure with respect to tenure candidates who are considered before their mandatory year and for whom a decision is postponed or deferred: [Added 1987]

4.3.9.1 A deferred candidate is informed of both the Promotion, Tenure, and Review Committee's recommendation and the President's response. [Added 1987]

4.3.9.2 A candidate deferred by both the Committee and the President, in cooperation with the Provost and Department Head, updates his/her file the following year; the current Promotion, Tenure, and Review Committee considers all materials received and makes its recommendation to the President. [Added 1987]

4.3.9.3 If a candidate receives a positive recommendation from the Promotion, Tenure, and Review Committee but is deferred by the President, a second evaluation by the Promotion, Tenure, and Review Committee in the following year is not necessary. The recommendation of the previous year's committee stands. The deferred candidate, however, may, at his/her discretion, request a second evaluation, in which case he/she submits updated materials to the current Promotion, Tenure, and Review Committee. If the deferred candidate does not elect a second evaluation, he/she submits updated materials to the President and may send copies to the Promotion, Tenure, and Review Committee for its information. [Added 1987]

4.3.9.4 If a candidate receives a negative recommendation from the Promotion, Tenure, and Review Committee but is deferred by the President, the deferred candidate, in cooperation with the Provost and Department Head, submits updated materials to the subsequent year's Promotion, Tenure, and Review Committee. If in the judgment of that Committee these materials are sufficient to warrant reconsideration, it reevaluates the deferred candidate and makes its recommendation to the President. [Added 1987]

4.3.10 Four- and Seven-Year Review of Tenured Faculty Members

All tenured members of the Lafayette Faculty receive the benefit of periodic, systematic evaluation. For tenured Associate Professors, this review occurs no less frequently than every four years and for tenured Professors no less frequently than every seven years. These reviews include evaluation of achievements and plans for future activities in the areas of teaching, scholarship, service, and academic leadership. [85-31.4, 86-11, 93-29]

4.3.10.1 Four-Year Reviews of Associate Professors In the case of the four-year review, each Associate Professor prepares a written self-evaluation which is given to the Department Head. The Department Head then prepares a written evaluation which is given to the Associate Professor. These evaluations are submitted to the Provost. The Provost then holds a conference of review with the Associate Professor and submits a report of the conference to the Associate Professor and the Department Head. All three reports are reviewed by the Promotion, Tenure, and Review Committee unless the Committee delegates this responsibility to the Provost (see Section 4.3.2.2). [85-31.4, 86-11, Rev. 1991, 93-29]

Although no set period of time for advancement to the rank of Professor is specified, the question of readiness for promotion is seriously considered in each four-year evaluation, with particular focus during the second four-year evaluation. However, an Associate Professor may request full consideration for promotion at any time. If an Associate Professor does request full consideration, then the Promotion, Tenure, and Review Committee will act on this request. [85-31.4, 86-11, Rev. 1991, 98-29, 00-10,]
[Revised per Faculty Motion 14-35]

4.3.10.2 Seven-Year Reviews of Professors In the case of the seven-year review, each Professor prepares a written self-evaluation which is given to the Department Head. The Department Head then prepares a written evaluation which is given to the Professor. These evaluations are submitted to the Provost. The Provost then holds a conference of review with the Professor and submits a report of the conference to the Professor and the Department Head. All three reports are reviewed by the Promotion, Tenure, and Review Committee unless the Committee delegates this responsibility to the Provost (see Section 4.3.2.2). [85-31.4, 86-10, Rev. 1991, 93-29]

4.4 Procedure with respect to negative recommendations.² [99-31, Board, May 19, 2000]

4.4.1 A tenure-track Faculty member who is a candidate for reappointment may appeal a negative recommendation from his/her department or the Promotion, Tenure, and Review Committee through a letter of appeal to the Appeal and Grievance Committee, asserting the particulars that presumptively warrant the Appeal and Grievance Committee's review. In the case of an appeal of a negative reappointment recommendation from only the department, the phrase "the Promotion, Tenure, and Review Committee" shall be read as "the department" or "the Promotion, Tenure, and Review Committee" or "the department and the Promotion, Tenure, and Review Committee," as appropriate, in the remaining clauses of 4.4. [04-14, Board Jan. 29, 2005]

A Faculty member who is a candidate for tenure and/or promotion may appeal a negative recommendation from the Promotion, Tenure, and Review Committee through a letter of appeal to the Appeal and Grievance Committee, asserting the particulars that presumptively warrant the Appeal and Grievance Committee's review. [99-31, Board, May 19, 2000, Rev. 04-14, Board Jan. 29, 2005]

4.4.1.1 It is recommended that in the preparation of a letter of appeal, the candidate seek advice from a senior member of the Faculty. [99-31, Board May 19, 2000]

4.4.1.2 The candidate must deliver his/her letter of appeal to the chair of the Appeal and Grievance Committee, with a copy to the Provost, within sixty calendar days of

²Underscored words are defined in the section on definitions, 4.4.8

receiving the letter containing the final recommendation of the Promotion, Tenure, and Review Committee. The Provost will provide the Appeal and Grievance Committee, through the chair, with a copy of the Promotion, Tenure, and Review Committee's letter of recommendation. [99-31, Board, May 19, 2000, Rev. 05-13, Board, May 19, 2006]

4.4.2 Grounds. The only permitted grounds for appeal are

- a. that the Promotion, Tenure, and Review Committee unreasonably evaluated (whether by overvaluing or undervaluing) any or all evidence in the file, or relied upon an earlier unreasonable evaluation of any portion or aspect of the candidate's work; or [99-31, Board, May 19, 2000]
- b. that the Promotion, Tenure, and Review Committee relied upon non-germane evidence, or evidence not properly before the Promotion, Tenure, and Review Committee; or [99-31, Board, May 19, 2000]
- c. that the Promotion, Tenure, and Review Committee committed a procedural error, or did not take into account a procedural error that occurred in an earlier evaluation of the candidate's work; or [85-31.8, 99-31, Board, May 19, 2000]
- d. that the Promotion, Tenure, and Review Committee violated the candidate's professional, academic, or EEO rights, or did not take into account an earlier violation of those rights (provided, however, that items a - c in this list shall not in themselves be considered violations of the candidate's professional, academic, or EEO rights); or [93-7, 96-8, 99-31, Board, May 19, 2000]
- e. that pertinent new evidence exists. [85-31.8, 96.8, 99-31, Board, May 19, 2000]

4.4.3 Preliminary Judgment. If in the Appeal and Grievance Committee's preliminary judgment any of the asserted particulars fall within the permitted grounds for appeal and would be material if true, the Committee shall investigate those claims to the extent it deems warranted, using the record. [99-31, Board, May 19, 2000, Rev. 05-14, Board, May 19, 2006]

4.4.4 Investigation. If in the Appeal and Grievance Committee's judgment any asserted particular falling within the permitted grounds for appeal is, from clear and convincing evidence in the record, both true and material, the Committee will reconsider the case. [85.31.8, 93-7, 96-8, 97-7, 99-31, Board, May 19, 2000, Rev. 05-14, Board, May 19, 2006]

4.4.5 Meeting with the President. [Rev. 07-26]

4.4.5.1 After the Appeal and Grievance Committee has completed the preliminary judgment and investigation stages, or after it has completed the preliminary judgment stage if there is no investigation, the Committee shall meet with the President to present its findings and engage in dialogue about the case. Prior to this meeting, the President shall have access to all of the materials considered by the Appeal and Grievance Committee concerning the case, including the minutes of the Committee. [Rev. 07-26]

4.4.5.2 If after this meeting, the Appeal and Grievance Committee determines that further deliberations under Sections 4.4.3 or 4.4.4 are needed, the Committee shall engage in such deliberations. [Rev. 07-26]

4.4.5.3 If the Appeal and Grievance Committee decides that there will be no reconsideration, the Committee shall send its final report to the President. [Rev. 07-26]

4.4.5.4 If the Appeal and Grievance Committee decides that there will be a reconsideration, the Committee shall proceed to reconsider the case pursuant to section 4.4.6. [Rev. 07-26]

4.4.6 Reconsideration. [Rev. 05-14, Board, May 19, 2006]

4.4.6.1 After the Appeal and Grievance Committee reconsiders the case, it shall report its judgment to the President. [99-31, Board, May 19, 2000, 07-26]

4.4.6.2 If the President is not prepared to accept the judgment of the Appeal and Grievance Committee, he/she and the Committee shall engage in dialogue and shall make every effort to resolve their differences. [99-31, Board, May 19, 2000, 07-26]

4.4.6.3 Following dialogue, if any, with the President, the Committee shall send him/her its report. [99-31, Board, May 19, 2000, 07-26]

4.4.6.4 A positive recommendation in the report reverses any previous negative recommendation by the Promotion, Tenure, and Review Committee. [99-31, Board, May 19, 2000, 07-26]

4.4.6.5 A negative recommendation in the report sustains the previous negative recommendation of the Promotion, Tenure, and Review Committee. [99-31, Board, May 19, 2000, 07-26]

4.4.7 Disposition of the recommendation.

4.4.7.1 If the Appeal and Grievance Committee reports a positive recommendation and the President concurs, then the President submits a recommendation for award of tenure or promotion to the Educational Policy Committee of the Board of Trustees. [93-7, 96-8, 99-31, Board, May 19, 2000]

4.4.7.2 If the Appeal and Grievance Committee reports a negative recommendation and the President concurs, then the candidate may appeal to the Board of Trustees. If he/she elects to do so, he/she must do so in writing, through the Board's Secretary, not more than fourteen calendar days after receiving a copy of the report and the decision of the President. The appeal to the Board of Trustees must be limited to the particulars asserted in the candidate's original letter of appeal, any additional particulars taken into account by the Appeal and Grievance Committee (see 4.4.8.2.2), and any alleged violations that occurred or were discovered during the appeal process. At the invitation of the candidate, the candidate's Department Head may join in the appeal. The Board of Trustees shall consider the appeal and report its decision to the candidate, the President, and the Provost as soon as possible. The Provost, in turn, shall report the decision to the Appeal and Grievance Committee and to the Promotion, Tenure, and Review Committee that considered the case. An appeal to the Board of Trustees is appellate in character; normally, the Board of Trustees does not undertake a *de novo* review but determines whether the procedures of the College were properly followed. [93-7, 96-8, 99-31, Board, May 19, 2000]

4.4.7.3 If the Appeal and Grievance Committee issues a recommendation with which the President does not concur, the recommendation shall be referred to the Board of Trustees for a full review. The Board of Trustees will have access to the record, the report, and the President's written statement of compelling reasons for not concurring. The Appeal and Grievance Committee and the candidate will receive the President's statement of compelling reasons and will have an opportunity to respond in writing. If the Board of Trustees affirms either the President's or the Appeal and Grievance Committee's recommendation, the Board's decision will be final.

Alternatively, the Board may return the case to either the Appeal and Grievance Committee or the President for reconsideration in whole or in part and a further recommendation, which shall go directly to the Board of Trustees for its final decision. [85-31, 93-7, 96-8, 99-31, Board, May 19, 2000]

4.4.8 Definitions.

4.4.8.1 the file: all materials that were available to the Promotion, Tenure, and Review Committee in its deliberations on the candidate's case. [99-31, Board, May 19, 2000]

4.4.8.2 the record:

4.4.8.2.1 the record shall include all of the following:

- a. the candidate's letter of appeal, and any new evidence provided by the candidate; [99-31, Board, May 19, 2000]
- b. the file; [99-31, Board, May 19, 2000]
- c. the confidential minutes of the Promotion, Tenure, and Review Committee's consideration of the candidate's case; [99-31, Board, May 19, 2000]
- d. the recommendation of the Promotion, Tenure, and Review Committee to the President; [99-31, Board, May 19, 2000]
- e. any correspondence between the candidate and the President, the Provost, or the Promotion, Tenure, and Review Committee concerning the recommendation of the Promotion, Tenure and Review Committee; and [99-31, Board, May 19, 2000]
- f. any further written information that the Appeal and Grievance Committee may request from any party. If in the judgment of the Appeal and Grievance Committee the recommendation of the Promotion, Tenure, and Review Committee lacks the requisite full explanatory justification, the Appeal and Grievance Committee shall request the Promotion, Tenure, and Review Committee to provide written clarification or amplification of the recommendation. Although the Appeal and Grievance Committee will ordinarily confine itself to written evidence, at its discretion it may take oral testimony when assessing claims that the candidate's rights have been violated, provided that a transcript of such testimony is entered into the record and made available to the candidate and to the person giving the testimony. The candidate shall have access to all additional information or testimony and shall have the right to respond. [99-31, Board, May 19, 2000]

4.4.8.2.2 When the Appeal and Grievance Committee, as a result of its greater access to confidential information, finds clear and convincing evidence of material particulars that lie within the permitted grounds of appeal but that the candidate could not have known, the Committee shall make a summary of such evidence available to the candidate. After the candidate has had an opportunity to respond, the Committee shall take such particulars into account in its review and in its decision on whether to reconsider. [99-31, Board, May 19, 2000]

4.4.8.2.3 All items in the record except the minutes of the Promotion, Tenure, and Review Committee shall be made available to the candidate. He/she shall have the right to designate an agent for purposes of confidential review of that part of the record that is open to the candidate; see 4.1.4.5. [89-10, 99-31, Board, May 19, 2000]

4.4.8.2.4 The record shall exclude the file of any other member of the Faculty as well as those portions of the minutes of the Promotion, Tenure, and Review Committee that pertain to another member of the Faculty. [Board, October 22, 1994, 99-31, Board, May 19, 2000]

4.4.8.3 new evidence:

4.4.8.3.1 The new evidence must have existed at the time the Promotion, Tenure, and Review Committee voted its recommendation or else must specifically pertain to evidence that was in the file or otherwise in existence when the Promotion, Tenure, and Review Committee voted. [99-31, Board, May 19, 2000]

4.4.8.3.2 Student evaluations for the semester during which the Promotion, Tenure, and Review Committee's review took place shall not alone constitute new evidence, nor may a candidate who has elected not to release the individual evaluation forms release them on appeal. [96-8, 99-31, Board, May 19, 2000, 12-14]

4.4.8.3.3 In scholarship, new evidence shall be restricted to demonstrable acceptance for publication, funding, presentation, exhibition, or performance of significant work that was identified in the file as submitted for review. [98-40, 99-31, Board, May 19, 2000]

4.4.8.4 material: so substantial and important that it could affect the outcome of the case on reconsideration. In reaching a judgment that a finding is material, the Appeal and Grievance Committee is not required to analyze the specific decision-making process of the Promotion, Tenure, and Review Committee but rather to ask how such a decision should reasonably be made. [99-31, Board, May 19, 2000]

4.4.8.5 reconsider: determine anew whether the record merits a positive recommendation. In its reconsideration, the Appeal and Grievance Committee may, at its discretion, accept without further review any Promotion, Tenure, and Review Committee findings that have not been called into question during the appeal. The Appeal and Grievance Committee shall apply the same standards as are applicable to the consideration of any case by the Promotion, Tenure, and Review Committee. [99-31, Board, May 19, 2000]

4.4.8.6 the report: a confidential letter from the Appeal and Grievance Committee to the President, stating the Committee's findings, including the reasons for its determination of the truth and materiality of the particulars asserted or otherwise discovered. If the Committee reconsiders the candidate's case, the report shall make either a positive or a negative recommendation; and the report shall provide full explanatory justification for the conclusion it reached on reconsideration, along with a summary of dissenting opinion. Following the President's decision, a copy of the report shall be sent to the candidate, the candidate's Department Head, the Provost, and the Promotion, Tenure, and Review Committee. Appended to the report shall be a listing of any procedural rulings made by the Appeal and Grievance Committee during the appeal (omitting reference to the candidate and other identifying particulars), and this appendix shall be preserved and made available to members of future Appeal and Grievance Committees. [99-31, Board, May 19, 2000]

4.4.9 Additional provisions.

4.4.9.1 All parties shall have the responsibility to cooperate with a request from the Committee for information or written or oral testimony. [93-7, 99-31, Board, May 19, 2000]

4.4.9.2 A candidate may initiate an appeal of a negative recommendation only once. [85-31.8, 99-31, Board, May 19, 2000]

4.4.9.3 In no case may the process of appeal be a cause for the extension of the term of appointment beyond the established expiration date. [74-6, 85-31.8, 99-31, Board, May 19, 2000]

4.4.9.4 The Board of Trustees will hear only one appeal of a case and only after the Faculty appeal process has been otherwise complete. [Board interim policy, October 22, 1994, 99-31, Board, May 19, 2000]

4.5 Recruitment Principles and Procedures [82-33, 07-41]

4.5.1 Principles: Faculty recruitment is undertaken to meet established institutional and department programmatic needs (see Section 4.1.4.1) and should occur only when administrative, departmental, and faculty consensus has been reached on the terms and conditions by which that need will be met. A proper search and selection process should be directed toward achieving the goals of the institution and except as specified in Section 4.5.3 should at the same time assure each potential candidate the opportunity for a full, fair, and equitable consideration. The objectives are normally met by: (1) proper professional representation in the search and selection process; (2) an explicit description of the position to be filled; (3) appropriate publicity concerning the vacancy including meaningful communication directed toward female and minority candidates; (4) adequate evidence of candidate qualifications; (5) fair, comprehensive, and prompt evaluation of all candidates. [Added 1983; 07-41]

4.5.2 Search Committee: For positions which are to be filled by appointment at the rank of Instructor, Assistant Professor, Associate Professor, or Professor, a search committee shall be appointed by the Dean of the Faculty in consultation with the Department Head. This committee shall include the Department Head, a senior member of the department, a senior member of a related department, and other faculty members as deemed appropriate. Where possible, a junior faculty member will be included on the search committee, as will women and minority faculty members. Departures from this pattern shall occur only with the approval of the Provost or Dean of the Faculty. [Added 1983, 92-25, 07-41, 2014, 2015]

4.5.2.1 The Search Committee will:

4.5.2.1.1 Recruit candidates by notifying professional societies and graduate placement offices of the vacancy using the job description referred to in Section 4.3.7.1; the Department Head and the Committee are responsible for making sure that minority and female candidates are sought actively through advertising and other recruiting; the Vice President for Human Resources should be consulted as to appropriate advertising and other means by which the requirements of the Equal Employment Opportunity program may be met. [Added 1983]

4.5.2.1.2 Review applications and select the best qualified candidates for interviews on campus, interview candidates, and, where possible, arrange for

presentations by them in a teaching situation to which students and faculty are invited. [Added 1983]

4.5.3 Target of Opportunity searches. In exceptional cases, a "target of opportunity" recruitment program will facilitate the recruitment of candidates whose potential interest in the College is identified outside a normal search process. [Rev. 07-41, 11-19]

4.5.3.1 A department or program may, at any time, propose an individual's candidacy. After considering the candidate's merits, particularly his/her potential for contributions to teaching, scholarship, and service, and after determining that there is strong support for the candidate, the department/program will forward a written proposal to the Dean of the Faculty. The proposal shall include evidence of the strength of the department/program's support of the candidate and, if applicable, commentary offered by department/program members who do not support the decision to recruit the candidate. The proposal must include the signatures of all members of the department/program that is submitting it. Any member of the department/program may write an individual letter for inclusion in the proposal; all such letters will be made available to all members of the department/program prior to submission of the proposal to the Dean of the Faculty. [Rev. 07-41, 21-21, 2014]

4.5.3.2 The proposal must demonstrate that the candidate is exceptional in his/her field and/or that he/she is likely to have an exceptional impact on the strategic goals of the College; these goals may include, but are not limited to, diversifying the Faculty. The proposal must justify the need to hire the candidate outside of a normal search process and must provide all reasons underlying the department/program's decision to utilize the Target of Opportunity recruitment program. [Rev. 07-41, 12-21]

4.5.3.3 The proposal must include the candidate's curriculum vitae and an assessment of his/her professional accomplishments. The proposal must also include an explanation of the teaching and scholarly contributions that the candidate can offer to the College, and an explanation of how hiring the candidate will advance the College's strategic initiatives. [Rev. 07-41, 12-21]

4.5.3.4 The Dean of the Faculty and the Provost will solicit the Faculty Academic Policy Committee's advice on a proposal. [Rev. 07-41, 2014]

4.5.3.5 The Dean of the Faculty and the Provost, if they authorize recruiting the candidate, will constitute a recruitment committee, which will include the head of the department with which the candidate will affiliate, at least two additional members of the department, and a senior member of another department. If the candidate is expected to offer courses in a program, the Dean of the Faculty will appoint a member of that program to the recruitment committee. [Rev. 07-41, 2014]

4.5.3.6. The Recruitment Committee will gather additional evidence of the candidate's qualifications, will interview the candidate and, where possible, will arrange for a presentation by him/her in a teaching situation to which students and faculty are invited. [Rev. 07-41]

4.5.4 Procedures. The Search (or Recruitment) Committee will [Rev. 07-41]

4.5.4.1 Schedule private interviews for candidates with other members of the department, the Dean of the Faculty, and/or the Provost; for those candidates being considered for the ranks of Associate Professor and Professor without immediate tenure, an interview with the President also shall be arranged; and in the case of a

Professor, the Committee should provide interviews with senior members of related departments/programs. [Added 1983, Rev. 1991, 07-41, 2014, 2015]

In addition, a candidate for the rank of full professor with immediate tenure will be interviewed by the full professors of the department; a candidate for the rank of associate professor with immediate tenure will be interviewed by the tenured members of the department. As appropriate, all candidates will be interviewed by the senior members of related departments/programs. Following the interview, the participating members of the department will convene to discuss the candidate's suitability for the awarding of tenure. Subsequently, the Department Head will submit a letter to the Dean of the Faculty summarizing the departmental discussion; department members also provide the Dean of the Faculty and the Provost with individual letters of evaluation and recommendation. Likewise, the members of programs to which the candidate would contribute will convene to discuss the candidate's suitability for the awarding of tenure. A summary of their discussion as well as individual letters of evaluation and recommendation will be submitted to the Dean of the Faculty and the Provost. [Rev. 07-41, 2014]

4.5.4.2 Report in writing to the Dean of the Faculty and the Provost; this report will include: (a) the Committee's evaluation of the primary candidates; (b) the Committee's recommendation. In recommending candidates who have not completed the terminal degree, search committees normally should recommend only candidates who have an excellent chance of completing all final degree requirements by the end of their second year of employment at Lafayette College. [Added 1983, 88-14, 2014]

4.5.4.3 Through the Provost's Office, provide the Vice President for Human Resources, as the Equal Employment Opportunity Officer, with the necessary documentation concerning the recruitment and selection of the candidate. [Added 1983, Rev. 1991]

4.5.4.4 Make provision for the permanent retention of records of the process. [Added 1983]

4.5.4.5 If the candidate is being considered for the rank of Associate Professor or Professor and if tenure is to be considered within three years, the Provost shall bring the Committee's recommendation to the Promotion, Tenure, and Review Committee for review and recommendation to the President. If tenure is to be awarded immediately upon appointment, the Provost shall bring the recommendations of the department and related departments/programs to the Promotion, Tenure, and review Committee for review and recommendation to the President. [Added 1983, Rev. 1991, 07-41]

4.5.5 The appointments of short-term and part-time personnel are made by the Dean of the Faculty upon recommendation of the Department Head. [Added 1983, Rev. 2014]

4.6 Interdisciplinary Appointments

See Appendix M for a description of procedures for appointment and review of faculty members holding interdisciplinary appointments. [08-32]

4.6.1 Faculty who occasionally teach courses outside their home department may receive a courtesy appointment in the program or department where they occasionally teach. The terms of such an appointment shall be based on a Memorandum of Understanding between the home department and the courtesy program or department to specify the

time period of the appointment, faculty privileges and support, responsibilities, and evaluation, as addressed in Appendix M. [08-32]

4.6.2 Faculty who regularly teach one course per year outside their home department may receive an affiliated appointment in the program or department where they contribute. The terms of such an appointment shall be based on a Memorandum of Understanding between the home department and the program or department to which the faculty member contributes, in order to specify the time period of the appointment, faculty privileges and support, responsibilities, and evaluation, as addressed in Appendix M. [08-32]

4.6.3 Faculty who teach 30-70 percent of their courses in one department or program (X) and the remainder in another department or program (Y) may receive a joint appointment. A joint appointment refers to a faculty member whose teaching responsibilities are divided between two entities (departments and/or programs) for either the term of appointment or for a time-limited period. The terms of such an appointment shall be based on a Memorandum of Understanding between the two entities, in order to specify the time period of the appointment, faculty privileges and support, responsibilities, and evaluation, as addressed in Appendix M. There are two models for joint appointments: Integrated, in which X and Y act as one; and Collaborative, in which X and Y sometimes act separately and sometimes act as one. These models are described in Appendix M. [08-32]

4.6.4 If an Interdisciplinary Program has been allocated a position to hire a faculty member whose teaching and research are fundamentally interdisciplinary in nature, or in exceptional circumstances when a candidate's teaching and research are interdisciplinary in nature, such that a courtesy, affiliated, or joint appointment is not appropriate, an Interdisciplinary Program may put a candidate forward for appointment and tenure through that Program. In such cases, the procedures for review and promotion will follow, as closely as possible, the existing procedures outlined in the *Faculty Handbook*, with senior members of the Interdisciplinary Program serving as the Departmental Review Committee as specified in Section 4.3.1.3 and the Program Chair fulfilling the role of Department Head. The terms of such an appointment shall be based on a Memorandum of Understanding that specifies the time period of the appointment, faculty privileges and support, responsibilities, and evaluation, as addressed in Appendix M. [08-32]

4.7 Short-Term and Part-Time Appointments

Officers of Instruction are appointed with the expectation that they will provide high-quality instruction in the classroom, scholarly competence, mature, competent counseling, and some measure of the diversity found in the Lafayette undergraduate population. The College believes these purposes are usually accomplished best by the full-time employment of faculty members. It is recognized, however, that there are advantages to the educational program offered by some persons who do not provide full-time or long-term service. [81-2]

4.7.1 Short-Term, Full-Time Appointments

On occasion it is necessary or advantageous to make a short-term, full-time appointment. Examples may be the necessity to replace a faculty member on leave or a need to fill a vacancy on short notice. Additionally, such an appointment may be made to enable the College to utilize the ability of a person with expertise in a special area who is available for a brief period only, or to take advantage of a funded visitors program. [81-2]

4.7.1.1 Appointees in this category may have titles ranging from Lecturer to Professor depending on the qualifications of the individual. The title includes the word "visiting" to indicate the short-term nature of the appointment. [81-2]

4.7.1.2 The length of the appointment or series of appointments is normally limited to two years. Appointment to regular faculty status as defined by the *Statutes* (Chapter III, Articles I, II), as opposed to "visiting," can occur only as a result of a regular search procedure. [81-2]

4.7.1.3 Appointees in this category are not members of the Faculty and are ineligible for tenure. [81-2, Rev. 1984]

4.7.2 Short-Term, Part-Time Appointments

On occasion the College may appoint an individual as a short-term, part-time Officer of Instruction in the case of unexpectedly high enrollments, to fill a temporary vacancy, or to provide expertise in a specialty. [81-2]

4.7.2.1 Appointments in this category include the term "visiting" and the part-time nature of the appointment is specified in the letter of appointment. [81-2, Rev. 1988]

4.7.2.2 The length of the appointment is normally one semester. Periodic renewals may occur upon evaluation, review of performance, and recommendation by the Department Head or, for those not supervised by a Department Head, by the Program Chair or the Dean of the Faculty. Part-time faculty members are evaluated by the Promotion, Tenure, and Review Committee or the Dean of the Faculty, if the Committee delegates this responsibility to the Dean of the Faculty (see Section 4.3.2.2). For review schedule and procedures, see section 4.7.5. [81-2, Rev. 1994, 1996, 10-14, 14-04]

4.7.2.3 Appointment to regular faculty status as defined by the *Statutes*, as opposed to "visiting," can occur only as a result of a regular search procedure. [81-2]

4.7.2.4 Appointees in this category are not members of the Faculty and are ineligible for tenure. [81-2]

4.7.3 Regular Faculty on a Part-Time Basis for a Short-Term

A full-time Officer of Instruction on regular appointment may apply for part-time status for a temporary period. This may occur if the individual has research or other projects which demand extra time, for health, because of family obligations, or for other reasons. The College will normally grant this application if the appointment of the person to a part-time basis contributes to the accomplishments of the mission of the College through development or completion of scholarly projects, or other academic reasons, for institutional purposes or personal needs. [81-2]

4.7.3.1 Any Officer of Instruction with at least two years of full-time service is eligible for consideration for such an appointment, subject to the needs of the department and to the individual's provisional status. [81-2]

4.7.3.2 The length of time for regularly appointed faculty members to continue on part-time status is normally limited to two years. [81-2]

4.7.3.3 Normally, only those years of full-time service at the rank of Instructor or higher at Lafayette are counted toward the probationary period. However, other

arrangements mutually agreeable to the Provost and the faculty member may be made. [81-2]

4.7.3.4 Return to full-time faculty status occurs in accord with the terms of appointment and is automatic if the individual is tenured. [81-2]

4.7.3.5 During the period of part-time employment, faculty members will retain their academic rank and membership in the Faculty. [81-2]

4.7.4 Long-Term, Part-Time Appointments

The appointment of a nontenured Officer of Instruction to a position on a part-time basis may continue in support of specialized ongoing programs such as laboratories or internships. These persons are invited to attend Faculty meetings without voting privileges (see Section 4.1.2.2). [81-2]

4.7.4.1 Normally the title of such appointees is Assistant, Associate, or Lecturer. [81-2]

4.7.4.2 Appointments are usually made for one year with reappointment depending upon the needs of the College. Normally, the individual will be on no more than half-time assignment as determined by the Dean of the Faculty and the Department Head or, for those not supervised by a Department Head, by the Program Chair or the Dean of the Faculty, taking into account the nature of the duties. During each year, the position and the performance of the individual are reviewed. Part-time Officers of Instruction are evaluated by the Promotion, Tenure, and Review Committee or the Dean of the Faculty, if the Committee delegates this responsibility to the Dean of the Faculty (see Section 4.3.2.2). For review schedule and procedures, see section 4.7.5. [81-2, Rev. 1990, 09-21, 10-14, 14-04]

4.7.4.3 Appointment of the individual on a regular basis occurs only as the result of a regular search procedure and only if the related position becomes full-time. [81-2]

4.7.5 Procedures for Review of Part-Time Instructors [Rev. 09-22]

Part-time instructors who are employed repeatedly must be reviewed and evaluated, normally before a contract is issued for a fourth semester following the initial semester or the prior review. The Department Head or, for those not in departments, the Program Chair or the Dean of the Faculty, will ask the instructor to submit written materials, normally to include teaching materials (such as syllabi) and student evaluations. He/she will then meet with the instructor and will prepare a written report to the Dean of the Faculty, with a copy to the instructor. [Rev. 09-22, 10-14, 14-04]

Like their full-time counterparts, part-time classroom and laboratory instructors should participate in the College's student evaluations process as set forth in section 4.2.1.1.2. Prior to the review, the Department Head, Program Chair, or the Dean of the Faculty is encouraged to arrange for peer observation of part-time instructors' teaching. [Rev. 09-22, 10-14, 2014]

If possible, written reviews of part-time instructors should be completed before or with the annual report of the Department or program. Annual reports should list part-time and short-term instructors and expected schedules for review. [Rev. 09-22, 2014]

4.8 Termination of Appointment

4.8.1 Procedures for terminating the appointment of persons on tenure are described in Appendix T. [Rev. 11-9]

4.8.2 The status of a tenured faculty member with a medically certified disability will be considered one year after the onset of this disability, and tenure status will normally be terminated unless prognosis indicates ability to resume duties with full effectiveness within the next year. [Added 1976]

CHAPTER 5

FACULTY ORGANIZATION

5.0 The Rules for the Organization of the Faculty

The rules for the organization of the Faculty are made in accordance with Article II of Chapter III of the *Statutes*.

5.1 Meetings

Regular meetings of the Faculty are held on the first Tuesday of classes in the fall semester, and on the first Tuesday of October, November, December, February, March, April, and May; if a meeting, thus scheduled, would fall on a day when regular fall or spring semester classes are not scheduled, the Clerk will instead schedule that meeting on the previous or following Tuesday. The Clerk will find an alternate date for the November meeting in a year when a Presidential election occurs. An additional regular meeting is held at an appointed time before Commencement. At the first regular meeting of the academic year, business is not ordinarily conducted. Special meetings may be held at the call of the President, at the request of five Professors, or when the Faculty deems it necessary. [November 18, 1915, Statute 62, Rev. 04-26, 11-11]

5.1.1 The President presides at meetings of the Faculty; in the absence of the President, the Provost presides; if the President and the Provost are absent, a Professor appointed by the President presides. [Statutes 62, 92]

*5.1.2 Faculty meetings are restricted. Attendance is limited to members of the Faculty and other persons who are invited by the Faculty to attend. The following are invited to attend Faculty meetings without voting privileges unless they otherwise have Faculty status: the Deans; the Registrar; the Vice Presidents; the Title IX and Equity Coordinator; persons from the administrative staff who are nominated by the President on a need-to-know basis and are invited annually by the Faculty, or more frequently if need arises; members of the teaching staff, including part-time and visiting appointees, who are not members of the Faculty; and student members of Faculty committees. [May 2, 1967, 72-2, 80-12, 92-10, 94-15, 06-5] **[Revised per Faculty Motion 15-07]**

5.1.2.1 A faculty member on leave or assigned to teach abroad has full speaking and voting privileges in Faculty meetings, provided that such a member notifies the Clerk when he/she arrives at the meeting. [February 4, 1975, 98-3]

5.1.2.2 Emeriti faculty may attend meetings of the Faculty and participate in discussions, but shall have no vote. [Reported to Faculty March 6, 1979]

5.1.2.3 The President and the Vice President of Student Government and students who are members of Faculty committees are invited to attend stated meetings of the Faculty. They may speak to matters that are before the meeting. They do not have other rights that are normally associated with Faculty membership. [70-4]

5.1.2.4 The Faculty reserves the right to call a closed meeting or to enter into executive session. [70-4, Rev. 1998]

5.1.3 All official public reports of Faculty proceedings are made by the Clerk of the Faculty. [79-5]

5.2 The Clerk of the Faculty

The Clerk of the Faculty is appointed, with the concurrence of the President, and performs duties in accordance with Section 94 of the *Statutes*.

5.2.1 The term of office is three years and begins with the opening of the academic year. [November 6, 1945, March 7, 1967]

5.2.2 The Clerk of the Faculty shall be elected according to the following procedure: [76-1]

- a. The Clerk shall be a tenured member of the Faculty. [Statute 94, 76-1]
- b. In February of the third year of the Clerk's term, the Governance Committee shall announce the impending vacancy and call for nominations. A letter nominating a Faculty member for Clerk and bearing the endorsement of five voting members of the Faculty may be submitted to the Governance Committee through its chair at least a week before the election. [76-1, 04-27]
- c. The Committee shall prepare a list of all eligible persons who receive five or more such endorsements, ascertain that nominees are willing to serve, prepare a ballot listing all eligible and willing candidates, and distribute ballots for collection at the March meeting of the Faculty. Results of the election shall be reported to the Clerk for recording in the Faculty minutes. [76-1, 04-27]
- d. When an acting Clerk is required for less than one semester, he/she may be appointed by the President. When the Clerk is to be absent from the College for at least one semester, he/she will be replaced by election for the entire year using the procedure noted above. [04-27, Rev. 13-3]

5.2.3 The Clerk issues notices of and prepares agenda for Faculty meetings. He/She prepares a tentative docket for the academic year at the beginning of each year and urges committees to submit reports according to that schedule. The Clerk revises this docket whenever necessary. He/She prepares an annual schedule of committee meetings before the start of the academic year. [April 3, 1928, April 2, 1968, 69-2, 69-3]

5.2.4 The Clerk keeps the permanent copy of Faculty minutes. These minutes contain, in addition to items dealing with place, time, attendance, etc., (1) reports of "what was done" by the Faculty; (2) reports of "what was said" only when what was said offers a clarifying interpretation of successful Faculty legislation, i.e., legislation which passes the Faculty; and (3) no other items, except that reports of the various Faculty committees (both majority and minority reports when available), correspondence, and reports of the various administrative persons shall be appended to the minutes. [Statute 94, 79-3]

5.2.5 The Clerk distributes copies of the minutes to designated administrative officers, Department Heads, committee chairs, the College Archivist, and faculty who have requested them. The President of Student Government receives minutes only of regular sessions, not of executive sessions. The minutes of the meeting are summarized by the Clerk at the beginning of each meeting. Complete copies of the minutes, including the text of committee reports, statistical data, etc., are on file in the Offices of the Clerk, the President, the Provost, the Registrar, and the College Archivist. Minutes before 1967-68 are in the custody of the College Archivist. [March 3, 1953, April 2, 1968, 75-4, 85-9, Rev. 1987, Dec. 1996, 1998]

5.2.6 The Clerk attends meetings of the Board of Trustees and may participate in discussion but not vote. [Board, September 18, 1970, Added 2006]

5.3 Rules for the Conduct of Business

Faculty meetings are conducted according to *Robert's Rules of Order* except as special rules have been enacted by the Faculty. It is the intent of the Faculty that its regular meetings adjourn before 6:00 p.m. If a meeting remains in session at 5:30 p.m., the Chair shall estimate whether the remaining business can be completed before 6:00 p.m. If he/she concludes that it can, he/she shall allow the meeting to continue; if he/she concludes that it cannot, he/she shall so inform the Faculty and call for adjournment until the next day at 4:10 p.m. or until such time as the Faculty may determine. [75-8, Rev. 1998]

5.3.1 Vote by Ballot

In meetings of the Faculty, a vote by ballot can be ordered on the request of any voting Faculty member and the concurrence by show of hands of twenty additional Faculty members. [92-29]

5.3.2 Action on Change of Policy

The Chair postpones action involving change in the established policy of the Faculty until the meeting following that at which the action was proposed, unless notice of intent to propose the change has been made in writing to each member of the Faculty at least two weeks before the meeting. Proposals involving change of policy may be referred by the Faculty to appropriate committees at the time of introduction. If the proposal of change is not referred to committee, the Chair reintroduces the postponed proposal under "Unfinished Business" for consideration by the Faculty at the subsequent meeting. This rule may be suspended by a two-thirds vote of those attending. [April 3, 1928, 69-1, Rev. 1998]

5.3.3 Suspension of the Rules

When a motion "to suspend the rules" is made without prior notice (i.e., by the time of the distribution of the agenda to the Faculty meeting), that motion will be debatable. If prior notice has been given, the motion will not be debatable. [85-15]

5.3.4 Committee Reports

All committee reports of great detail, and those requiring Faculty action, are reproduced and copies are distributed to members of the Faculty in advance of the Faculty meeting at which the report is made. Insofar as possible, the report includes the evidence which the committee considered, both that supporting and that opposing its recommendations. Any member of the reporting committee has the right to include his/her personal views as an appendix to the report. [May 1, 1951, April 2, 1960, April 12, 1966, April 2, 1968]

5.3.5 Faculty Elections

All Faculty elections are conducted by the Governance Committee, which prepares, distributes, collects, and counts ballots and reports results of elections to the Clerk of the Faculty. [71-6]

5.3.5.1 All Faculty elections are by preferential ballot. [71-6]

5.3.5.1.1 Preferential ballots are counted according to the following procedure:
[80-15]

- a. Determine the Copeland winner, if there is one, as the candidate for whom the difference between the number of pairwise contests

won and the number of pairwise contests lost is greatest. [80-15, Rev. 2000]

- b. Determine the Borda winner, if there is one, as that candidate with the highest average preference ranking. [80-15]
- c. If the Copeland winner loses the pairwise contest with the Borda winner, declare the Borda winner to be the winner of the election. Otherwise, declare the Copeland winner to be the winner of the election. [80-15]
- d. If there are Copeland ties and a Borda winner, declare the Borda winner to be the winner of the election. [80-15]
- e. If there are a Copeland winner and Borda ties, then, if the Copeland winner does not lose any pairwise contest with the Borda ties, declare the Copeland winner to be the winner of the election. If the Copeland winner does lose one or more pairwise contests with the Borda ties, declare the winner, or winners, of those contests to be the winner, or winners, of the election. [80-15]
- f. If all of the above fails to produce a winner of the election, refer the matter to the President. [80-15]

5.3.5.2 Balloting

5.3.5.2.1 Except as provided under "Emergency balloting" below, ballots will be distributed prior to a regular or a special Faculty meeting, either by paper or electronically, with voting to conclude during the aforementioned meeting. [71-6, Rev. 04-28, 11-15]

5.3.5.2.2 Counting of ballots is completed and results of elections are reported to the Clerk of the Faculty and the President within forty-eight hours of the end of the meeting. [71-6]

5.3.5.2.3 The Clerk records the results of an election in the minutes of the meeting at which it occurs and reports the results to the Faculty at the earliest opportunity. [71-6]

5.3.5.2.4 Emergency balloting: If the Faculty directs an election be held outside the context of a Faculty meeting, the Clerk will record the results of emergency balloting in the minutes of the next Faculty meeting. [04-28, Rev. 13-18]

5.3.5.3 The Governance Committee makes nominations for positions on elective Faculty committees, except for positions on the Promotion, Tenure, and Review Committee and the divisional positions on the Appeal and Grievance Committee. A slate listing at least two nominees for each vacancy is submitted to the Faculty at least two weeks before the election. Additional nominations may be made by the Faculty as follows: A letter nominating a Faculty member for a particular position and bearing the endorsement of five voting members of the Faculty may be submitted to the Governance Committee through its Chair for a period of five business days after the proposed ballot is distributed. No nominations shall be made by other means. The Governance Committee then prepares ballots listing the names of all nominees for distribution at the time of the election. [71-6, 99-31, 04-11, 12-11]

5.3.6 Faculty Members of Standing Committees of the Board of Trustees.

In accordance with the following procedures, the Chair of the Board of Trustees appoints a Faculty member to membership on each of the following standing committees of the Board: the Committee on Student Life, the Committee on Audit, the Committee on Development and Alumni Relations, the Committee on Educational Policy, the Committee on External Affairs, the Committee on Financial Policy, the Committee on Grounds and Buildings, and the Committee on Informational Technology. [Board, September 18, 1970; November 19, 1971; January 28, 1995; Statutes 45-52, Added 2006; Rev. 2009, 10-16, 2014]

5.3.6.1 Nominations of Faculty members for appointment to Standing Committees of the Board of Trustees are made by ballot at a May meeting of the Faculty in even numbered years. [April 6, 1971, Rev. 1998]

5.3.6.2 Four candidates for each vacancy are chosen from the eligible persons by the Governance Committee. Candidates may be added to the ballot in accord with the Faculty's rules on ballot construction (5.3.5.3). [April 6, 1971, Rev. 1988, 06-24, Board, October 20, 2007]

5.3.6.3 The Faculty, by preferential ballot, selects two nominees for each vacancy. The Governance Committee supervises the balloting. The names of the appointee and the alternate are published annually by the Clerk of the Faculty. [April 6, 1971, Rev. 1996, 06-24, Board, October 20, 2007]

5.3.6.4 The names of the two nominees for each vacancy are reported to the Clerk of the Faculty, who transmits them to the President for transmittal to the Chair of the Board of Trustees, who appoints one as a regular member and the other as an alternate, the alternate to attend meetings only if the appointed faculty member is unable to attend. [April 6, 1971, 94-7, Rev. 1995]

5.3.6.5 The term of service on Standing Committees of the Board of Trustees has been established by the Board at two years with provision for one additional two-year term, but generally not for a third. [April 6, 1971]

5.3.7 Presentation of Business

Faculty members who wish to present business to the meeting should notify the Clerk of the Faculty before 11:00 a.m. on the Wednesday preceding the Faculty meeting so that it may be included in the agenda which is distributed before the meeting. When that Wednesday falls during a holiday period, or when the meeting does not fall on a Tuesday, the Clerk will announce the agenda deadline. [April 2, 1968, 69-3, 04-25, 08-17]

5.3.8 Communications

Any individual or group may address a communication to the Faculty through the Clerk. The Clerk reports to the Faculty if a communication has been received. The Clerk and the Chair together decide whether it is appropriate to present the communication to the Faculty. If there is any question about the propriety, the Clerk ascertains whether or not the Faculty wishes to receive the communication before presenting it.

5.3.9 Miscellaneous Special Rules of Order

5.3.9.1 The Right to Speak

Members of the Faculty are not restricted in the number of times they may speak about a matter before the Faculty. [96-4]

5.3.9.2 Parliamentarian

Any parliamentarian who may be appointed by the President will as parliamentarian retain all speaking and voting privileges to which he/she is otherwise entitled. [97-6]

5.3.9.3 Absence of a Quorum

When the absence of a quorum has been established, it is in order to proceed with the presentation and discussion of reports; no action may be taken on a report so presented, however, and any such report will be listed again on the next meeting's agenda if any member so requests or if the report calls for action. The Governance Committee shall collect election ballots but shall extend additional time to absent members to cast their ballots, following the procedure for emergency balloting in 5.3.5.2. The following motions, and related procedural motions, will be in order and may be voted upon in the absence of a quorum:

- a. To request information;
- b. To advise the President or other persons or bodies that the members present recommend;
- c. To reconsider whether a quorum is present;
- d. To take action to obtain a quorum later in the meeting or at a later meeting; and
- e. To reschedule the meeting. [04-28]

5.4 Elected and Appointed Faculty Committees that are Responsible Primarily to the Faculty [Rev. 14-16]

5.4.1 Faculty committees that are primarily responsible to the Faculty are comprised of faculty members who are elected by the Faculty in accordance with Section 5.3.5, except the Retirement Committee, whose members are appointed by the President on recommendation of the Governance Committee. Student members of these committees are appointed by the Student Government. [94-1 (App. 2), 14-16]

5.4.1.1 The President is an *ex officio* member of all Faculty committees except the Promotion, Tenure, and Review Committee; the Provost is an *ex officio* member of all Faculty committees except the Appeal and Grievance Committee.³ Other administrative officers serve as *ex officio* members of the committees concerned with

³ The Committees in which the President and the Provost normally participate are identified in the sections which follow.

their special duties and interests. *Ex officio* members who have faculty status have the right to vote in committee. (In cases where an *ex officio* member sends a representative who does not have faculty status, the representatives will be treated as if they do for voting purposes within the committee.) However, no more than one *ex officio* member may exercise the right at any one time. [Statute 62, May 1, 1951, 79-7, 94-1 (App. 2), Rev. 1998, 99-31; Board, May 19, 2000, 13-20]

5.4.1.2 The term of membership for regularly chosen members of committees, unless prescribed otherwise, is three years beginning at the start of the academic year following election or appointment. When a vacancy occurs before expiration of a regular term, a faculty member is chosen by election or appointment to complete the unexpired portion of the term. In those unusual instances when it is necessary for a committee to conduct business during the summer and where procedures for summer replacements are not specified elsewhere in the *Faculty Handbook*, the committee will consist of members from the previous academic year. For elected committees, faculty members are expected to serve three total years, even if that term of service is interrupted. At the conclusion of the term, the faculty member will normally be considered ineligible to serve on an elected faculty committee for the following academic year. If a faculty member is elected to a sequence of three one-year terms (even if on different committees), that faculty member shall also normally be ineligible to serve on an elected faculty committee for the following academic year. [78-15, 85-10, 05-10, 13-28]

5.4.1.3 The functions of these committees are to: [Rev. 14-16]

- a. study questions referred to them by the Faculty; [79-9]
- b. recommend to the Faculty changes in policies affecting their areas of responsibility; [79-9]
- c. supervise administration of Faculty policies applicable to their areas of responsibility; [79-9]
- d. advise the President and other administrative officers or Faculty committees when instructed or called upon to do so. In any case in which the advice provided has policy implications, budgetary implications, or is otherwise deemed of sufficient importance, this shall constitute "significant advice"; [79-9, 04-37, 13-21]
- e. whenever they have furnished significant advice, report that advice to the Faculty within 5 business days; [79-9, 04-37, 13-21]
- f. report to the Faculty at least once each academic year. Reports from committees should include a description of the business conducted by the committee since its last report as well as its future agenda; [79-9, Rev. 13-21]
- g. act for the Faculty on matters for which power to act is specifically granted by the Faculty; and [79-9]
- h. exercise such other responsibilities as may be specifically assigned to them. [79-9; Rev. 1987]

5.4.1.4 The quorum for all Faculty committees shall be a majority of the elected or appointed Faculty members of the committee, except as otherwise provided in the rules of the Faculty. Decisions will be made by a majority vote of the members present. [77-4]

5.4.1.5 Scheduled meetings for each committee are shown on a calendar prepared by the Clerk of the Faculty prior to the beginning of the academic year. Some committees meet more frequently or less frequently than once a month, but each committee meets at least once each semester. Notices of meetings are issued at least one week in advance of the meeting. [May 1, 1951]

5.4.1.6 The chairs of Faculty committees are elected by committee members. [74-5, 74-7, 76-2]

5.4.1.6.1 Each chair of a committee shall report to the Secretary of Student Government the names of student members who are absent from stated meetings of the committee. [77-10]

5.4.1.6.2 Before July 1 of each academic year, the chair of each Faculty committee furnishes the Provost with a report of the activities of that committee.

5.4.1.6.3 For those committees whose meetings are scheduled by the Clerk of the Faculty, elections for chairs normally are held at the last regularly scheduled meeting of the year. For other committees, elections for chairs should be held prior to the last meeting of the Faculty. Each faculty member of the committee with prior experience on the committee is a nominee; however, no person may serve more than two consecutive terms as chair. Ordinarily, no faculty member should serve as chair of more than one committee, and ordinarily untenured, tenure-track faculty may not chair committees. A person who has been elected chair of more than one committee may withdraw from all but one chair in consultation with the Chair of the Governance Committee; in each case, the runner-up will be the duly elected chair of the committee. It is the responsibility of the current chair to construct the ballot and to distribute it to eligible voters (new and continuing members; one of the *ex officio* members with faculty status has a vote), to be returned not later than the meeting at which the election is scheduled. The preferential ballot is used. Ballots are sent to the chair of the Governance Committee for counting. So that the Faculty may be fully informed about the composition of its committees for the next academic year, where possible the names of the chairs are reported to the Faculty at its final meeting for the academic year. [May 1, 1951, 70-5, 79-7, 89-49, 94-5, Rev. 1998, 12-22]

*5.4.1.6.4 When there is an indicated need, the Clerk of the Faculty shall convene the chairs of the pertinent elected committees to enable communication and coordination among them to address that need. **[Added per Faculty Motion 15-27]**

5.4.1.7 It shall be understood that any faculty member is eligible to attend any Faculty committee meeting as an observer, with the exception that non-members may not attend meetings of the Faculty Academic Policy Committee, the Promotion, Tenure, and Review Committee, the Appeal and Grievance Committee, or any other committee meeting during a discussion of an individual or personnel-related issue. [94-10, 02-16]

5.4.2 Nominations for positions on Faculty committees are made by the Governance Committee. All members of the Faculty are expected to be available for service on Faculty committees. This responsibility is in addition to duties relating to teaching, research, departmental service, and other types of college service, and other professional responsibilities. At least once per semester, the Provost's Office shall provide to the Governance Committee a membership list of all appointed committees, hiring committees, and College-wide committees. [Rev. 05-7, 13-22]

5.4.2.1 In making nominations for positions on Faculty committees, the Governance Committee should give each faculty member an opportunity to express his/her preference for committee assignments, and the following principles should be followed to the extent possible: [71-6, Rev. 1998]

- a. The four academic divisions (engineering, humanities, natural sciences, social sciences) should be represented. [71-6]
- b. Each of the academic ranks should be represented. Rank is established as that in effect on the first day of the academic year in which term of service on a committee begins. [71-6, 78-26]
- c. Usually, no faculty member should serve on more than one elected Faculty committee. In instances where a faculty member is elected to more than one Faculty committee, the faculty member shall have the right to withdraw from all but one of the committees in consultation with the Governance Committee. [71-6, 94-4, 12-22, 13-29]
- d. While serving as a full-time administrator, a member of the Faculty will be ineligible for membership on standing Faculty committees except in an *ex officio* capacity. [01-14]
- e. The Governance Committee will attempt to distribute the opportunities for committee service equitably among members of the Faculty. [Added 05-8]

5.4.2.2 Election of the members of the Promotion, Tenure, and Review Committee is conducted in two steps. At the December meeting of the Faculty, ballots listing all eligible candidates for each vacancy are collected. As a result of this preliminary selection, the most preferred one-third of the candidates (but no fewer than four people) are considered nominated; and final balloting among them takes place at the February Faculty meeting. If there are no more than six faculty members eligible to fill a vacancy, no preliminary selection is held. All eligible faculty members are candidates in the preliminary selection. [71-6, 78-8, 94-1, Rev. 1998, 2000, 03-5]

5.4.2.3 When a committee member is to be absent from the College for at least one semester or excused from committee service for one semester as a non-primary caregiver, he/she will be replaced by election, if the committee is an elected one, or by appointment, if the committee is an appointed one, for the entire year. [92-18, 14-15]

5.4.2.4 Elections to Faculty committees, except the Promotion, Tenure, and Review Committee, are conducted at the March meeting of the Faculty. Nominations are made in accordance with Section 5.3.5.3. Elections to the Promotion, Tenure, and Review Committee are conducted in accordance with Sections 5.4.2.2 and 5.4.2.3. Elections to the Appeal and Grievance Committee are conducted in accordance with Section 5.4.3.3. [71-6, Rev. 1987, 94-1 (App. 2), 2000, 03-5]

5.4.2.5 Faculty members are placed on Faculty appointed committees by the President on recommendation of the Governance Committee. The principles set forth in Section 5.4.2.1 should be observed. Appointments are reported at a May meeting of the Faculty. [71-6, 94-1 (App. 2), Rev. 1998]

5.4.2.6 Student members of the Faculty committees are selected before May 1 in a manner prescribed by the Student Government. The names of student members are reported to the Faculty at a May meeting. [71-6, Rev. 1998]

5.4.3 Committees whose Faculty members are elected by the Faculty are described in the following sections. [94-1 (App. 2)]

5.4.3.1 The Academic Progress Committee consists of four tenured members of the Faculty, one from each of the four academic divisions; two untenured members of the Faculty, one from each paired division (Engineering/Natural Sciences and Humanities/Social Sciences); two students; and, as *ex officio* members, the Dean of Advising and Co-Curricular Programs, and the Registrar (or their representatives). In addition, one faculty member will be elected to serve as an alternate for the faculty members of the Committee. The Registrar serves as Secretary. (See also 5.4.1.2.) [76-8, 85-14, Rev. 1987, 94-1, 97-4, 98-2, 06-33, 12-23, 13-25]

5.4.3.1.1 The responsibilities of this Committee are to:

- a. consider all matters of policy concerning scholastic standing of students and make appropriate recommendations to the Faculty;
- b. oversee regulations for departmental honors and academic awards;
- c. receive reports from the administration on the results of petitions from students for exceptions to the rules; [Rev. 06-33, 13-25]
- d. consider appeals or requests for reconsideration of action taken by Dean(s) or the Registrar; [Rev. 13-25]
- e. adjudicate cases of alleged academic dishonesty in accordance with the Statement on the Rights and Responsibilities of Students of Lafayette College and Student Code of Conduct (*Student Handbook*). [94-1, Rev. 13-25]

5.4.3.1.2 The student members may vote on policy and other issues, both generally and those involving individual students, if the result of the decision does not alter the relationship of an individual student to the College. They may neither vote on nor be present during the discussion of petitions or questions which involve the relationship of an individual student to the College, for example, questions of probationary status, required withdrawal, readmission, etc. [76-8, Board, June 4, 1977, 77-1, Board, June 3, 1978]

5.4.3.2 The Academic Research Committee consists of six elected faculty, at least one from each division, and, as an *ex officio* member, the Dean of Curriculum and Research (or his/her representative). [Rev. 1987, 1989, 1990, 94-1, 01-2, 08-43, 13-23]

5.4.3.2.1 The responsibilities of this Committee are to [Rev. 01-35]:

- a. recommend to the Provost allocation of available funds for research and advanced study; [Rev. 1990, 94-1]
- b. advise the Provost on research policy; [Rev. 1990, 94-1]
- c. consider allegations of scholarly misconduct outside the scope of the Policy and Procedures for Dealing with Fraud or Misconduct in Scholarship; [Rev. 1990, 94-1, 04-20]
- d. consider appeals from decisions of the Director of Sponsored Research under the Conflict of Interest Policy for Lafayette College

Faculty or Staff Members Undertaking Federally Funded Research (Appendix V). [Added 07-16]

- e. consider allegations, pursuant to Appendix V, that the Conflict of Interest Policy for Lafayette college Faculty or Staff Members Undertaking Federally Funded Research has been violated. [Added 07-16]

5.4.3.3 The Appeal and Grievance Committee consists of five elected tenured faculty, four of whom shall represent the four academic divisions of the College and shall have served a full term on the Promotion, Tenure, and Review Committee (or its predecessor committees). The fifth member, elected from the Faculty at large, may or may not have served on the Promotion, Tenure, and Review Committee. The President shall be a non-voting ex officio member but shall sit with the Committee only during the reconsideration stage of appeals from negative recommendations of the Promotion, Tenure, and Review Committees. The President shall also meet with the Committee as described in Section 4.4.5.1. If the candidate's appeal claims a violation of EEO rights, the EEO Officer for the Faculty shall join the Appeal and Grievance Committee in an advisory capacity when the Committee considers and reports on that claim. [99-31, 07-26, 13-30]

5.4.3.3.1 The responsibilities of this Committee are (1) to consider appeals of Promotion, Tenure, and Review Committee recommendations concerning reappointment, promotion, or tenure and appeals of department recommendations concerning tenure-track reappointment and, when the Committee judges it necessary to reconsider a candidate's case, to make a recommendation to the President; (2) to consider EEO grievances initiated by a faculty member; (3) to consider allegations of violations of professional and academic rights; (4) to form a Hearing Committee to adjudicate allegations of research fraud or misconduct, sexual harassment, or other misconduct that might warrant a Faculty member's suspension or dismissal; (5) to staff a Review Committee to carry out the responsibilities outlined in the Conflict of Interest Policy for Lafayette College Faculty or Staff Members Undertaking Federally Funded Research (Appendix V). [94-1, 99-31, 03-24, 04-2, 04-14, 04-20, Board, May 20, 2005, 07-16]

5.4.3.3.2 Elected members must familiarize themselves with the College's policies on tenure and promotion. Members of the Committee are required to attend yearly training concerning EEO guidelines, sexual misconduct, academic freedom, etc. [96-6, 99-31, 13-26]

5.4.3.3.3 Procedures

5.4.3.3.3.1 In all cases, members of the Appeal and Grievance Committee should consider themselves to be, and serve as, disinterested parties. [93-07, 99-31]

5.4.3.3.3.2 All determinations of the Committee shall be by majority vote. [99-31]

5.4.3.3.3.3 The Appeal and Grievance Committee shall conduct its business with dispatch. [99-31]

5.4.3.3.3.4 The Appeal and Grievance Committee will resolve all procedural questions, including conflict-of-interest questions, as it sees fit. Any conflict-of-interest questions should normally be raised and decided when the

Committee first takes up an appeal or grievance. While the Committee is deciding whether a conflict of interest exists for a member of the Committee, the member in question will abstain. [99-31]

5.4.3.3.3.5 The Appeal and Grievance Committee shall keep confidential minutes of its actions. [99-31]

5.4.3.3.3.6 If circumstances require the election of alternates, the Committee shall request that the Governance Committee expedite such an election. [94-01 (see also December 6, 1994), 99-31]

5.4.3.3.3.7 Notwithstanding an Appeal and Grievance Committee member's stated term, once the member has begun consideration of an appeal or grievance, his/her term of office will extend until the issuance of the report on the appeal or grievance in question. [97-7, 99-31]

5.4.3.3.3.8 The Committee's deliberations, as well as evidence before the Committee, shall be treated as confidential by all participants. [99-31]

5.4.3.3.3.9 Administrative support for the Appeal and Grievance Committee will be provided by the Office of the Provost. [99-31]

5.4.3.3.4 Eligibility.

5.4.3.3.4.1 Any faculty member who has served a full term on the Appeal and Grievance Committee shall not be eligible for a full or replacement term on the Appeal and Grievance Committee until the third year after the completion of his/her service. A current member or member-elect of the Promotion, Tenure, and Review Committee shall be ineligible for election to the Appeal and Grievance Committee. A current member of the Appeal and Grievance Committee shall be ineligible for election to the Promotion, Tenure, and Review Committee. [99-31, 13-30]

5.4.3.3.4.2 An elected or ad hoc member of the Appeal and Grievance Committee shall not participate in any aspect of an appeal and shall be replaced if he/she (1) is a member of the candidate's department, (2) is a co-author or co-grantee with the candidate, (3) has taken a position on the matter which the Promotion, Tenure, and Review Committee has decided and which is now being appealed, or (4) believes (or if the Committee concludes), for good reason, that a conflict of interest would exist if he/she participated in considering the appeal. [99-31]

5.4.3.3.4.3 Should a member of the Appeal and Grievance Committee serve as an alternate on a Promotion, Tenure, and Review Committee whose negative recommendation is subsequently appealed, that member of the Appeal and Grievance Committee shall abstain from the consideration of the appeal and will be replaced. [99-31]

5.4.3.3.5 Replacements. Elected members of the Committee will be replaced by ad hoc alternates when necessary. [99-31]

5.4.3.3.5.1 Except as specified below, a member elected as a divisional representative will be replaced by that Faculty member who has served most recently as an elected member of the Committee from the same division. If no such person is available, the alternate will be that Faculty member who has served most recently as an elected member of the Committee from the

same pair of divisions as the abstaining member (divisional pairs being defined, for purposes of this section, as 1. Engineering and the Natural Sciences, and 2. the Humanities and the Social Sciences). [99-31]

5.4.3.3.5.2 A member elected from the Faculty at large will be replaced by that Faculty member who has served most recently as an at-large member of the Committee. If no such person is available, the runner-up from the election in which the member to be replaced was elected shall replace him/her. [99-31]

5.4.3.3.5.3 In appeals involving promotion or tenure at or to the rank of full Professor, an Associate Professor elected as a divisional representative will be replaced by that full Professor who has served most recently as a member of the Appeal and Grievance Committee elected from the same division. If no such full Professor is available, the runner-up (if a full Professor) from the election in which the member to be replaced was elected shall replace him/her; or, failing that, whatever full Professor was the runner-up in the previous election of a member from the same division. If no such person is available, the alternate will be that full Professor who has served most recently as a member of the Committee elected from the same pair of divisions. If still no such person is available, the alternate will be the full Professor who served most recently in any of the Committee's divisional positions and is not currently serving as an alternate. [99-31, 04-14, 04-15]

5.4.3.3.5.4 In appeals involving promotion or tenure at or to the rank of full Professor, an Associate Professor elected from the Faculty at large will be replaced by that full Professor who has served most recently as an at-large member of the Committee. If no such person is available, the alternate will be that full Professor who was the runner-up when the member to be replaced was elected to the Committee; or, failing that, whatever full Professor was the runner-up in the previous election of a member from the Faculty at large. If still no such person is available, the alternate will be the full Professor who served most recently in any of the Committee's divisional positions and is not currently serving as an alternate. [99-31]

5.4.3.3.5.5 To establish the replacement sequence, the Chair of the Governance Committee in consultation with the Secretary of the Promotion, Tenure, and Review Committee will annually draw up a succession list. The list will show each elected member of the Committee in alphabetical order, and their alternates in order of eligibility. In each replacement, the Chair of the Governance Committee will appoint the most eligible alternate available. [99-31]

5.4.3.3.5.6 When two or more eligible alternates otherwise share equal eligibility (the same rank, the same division or appropriate pair of divisions, and equally recent service), relative eligibility will be determined by alphabetical order. [99-31]

5.4.3.3.5.7 When in a given case two or more members of the Committee must be replaced, the Chair of the Governance Committee will replace those members in alphabetical order. [99-31]

5.4.3.3.6 Elections.

5.4.3.3.6.1 For the four divisional representatives, the ballots will consist of the names of all eligible persons. If for a given division there are not at least

two eligible persons, the Governance Committee shall invite the Faculty to nominate additional tenured members of that division without regard to prior service on the Promotion, Tenure, and Review Committee, following the Faculty's usual process for making additional nominations. [99-31]

5.4.3.3.6.2 For the at-large representative, the Governance Committee shall prepare a ballot of two names, and the Faculty shall have the usual opportunity to make additional nominations, provided only that the nominees must be tenured. [99-31]

5.4.3.3.6.3 Elections will ordinarily be conducted in three-year cycles as follows: representatives of the Humanities and the Natural Sciences will be elected the first year; representatives of Engineering and the Social Sciences will be elected the second year; and the at-large member will be elected the third year. The cycle begins again the following year. [99-31]

5.4.3.3.6.4 If an elected member has a leave for either semester of the year immediately following his/her election to the Committee, that person's place shall be filled for the first year by the runner-up from the election. [99-31]

5.4.3.3.7 Annual report. The Appeal and Grievance Committee shall include in its annual report to the Faculty the number of candidates it recommended or did not recommend for tenure and promotion and the number of instances, if any, in which the President did not concur with the Committee recommendation. The President shall report to the Faculty the number of cases, if any, in which the Board of Trustees did not concur with his/her

5.4.3.4 The Curriculum and Educational Policy Committee consists of eight elected faculty, including at least one from each division, two students, and, as *ex officio* members, the Dean of Curriculum and Research, and the Registrar (or their representatives). Each division will be represented by one tenured faculty member and each paired division (Engineering/Natural Sciences and Humanities/Social Sciences) will be represented by no more than four elected members. [74-4, 90-2, Rev. 1991, 94-1, 06-31, 06-33, 2008, 09-16, 13-27, 14-14]

5.4.3.4.1 The responsibilities of this Committee are to:

- a. evaluate the curriculum and make recommendations to the Faculty concerning curricular policy and curricular changes,
- b. evaluate academic advising and make recommendations to the Faculty concerning academic advising policy and practices, [Rev. 13-27]
- c. recommend and monitor graduation requirements.
- d. The Committee will report its actions at the next regular meeting of the Faculty. In such reports, Committee proposals to add, delete, or modify courses or modify the requirements of existing degree programs, majors, or minors shall be considered approved unless specific contrary action is taken at the Faculty meeting at which the report is presented. [94-1, 98-14, 04-16]

5.4.3.4.2 Each year, the Committee will form a subcommittee to review proposals to alter the existing curriculum. This subcommittee will normally include the Registrar; the Dean of Curriculum and Research or his/her representative; and

others appointed by the Chair as needed. The Chair of the Curriculum and Educational Policy Committee shall invite the Director of the Engineering Division to the subcommittee meetings to discuss all curricular issues that may have an impact on the ABET accreditation of engineering programs. The duties of the subcommittee will be to: [Rev. 09-16, 13-27]

- a. review all new course proposals (including summer, interim, and evening programs) and proposals for program changes and submit its findings to the full Committee;
- b. review and recommend to the full Committee changes in course offerings proposed by the departments, including withdrawals, additions, and changes in content and credit; and
- c. review and recommend to the full Committee proposed changes in departmental and program requirements for the major and requirements for bachelor's degrees. [Rev. 1991, 94-1, 94-49]

5.4.3.5 The Diversity Committee consists of six elected faculty, including at least four with tenure and at least one member from each of the four academic divisions; two students; and as *ex officio* members, the Dean of the Faculty and the Vice President for Campus Life. [Rev. 1989, 1991, 94-2, Rev. 1995, 1998, 00-15, 01-11, 08-30, 10-03, 10-71, 11-3, 2014]

5.4.3.5.1 The responsibilities of this Committee are to:

- a. identify and collect information on issues concerning minority and women faculty and students;
- b. identify institutional policies and practices and aspects of the general campus climate that may impede or enhance Lafayette's efforts to recruit and retain women and minority faculty and students;
- c. address issues concerning the general campus climate with respect to diversity and promote a greater understanding of the importance of diversity by recommending and/or sponsoring educational programs such as symposia, lectures, brown bags, panel discussions, and workshops; and
- d. bring diversity issues to the agendas of relevant Faculty committees. [00-15]

"Diversity" includes, without being exclusive, definitions relating to race, religion, sex, sexual orientation, national origin, age, socioeconomic status, gender identity and expression, or disability. [94-2, Rev. 1995, 1996, 00-15, 11-20]

5.4.3.6 The Enrollment Planning Committee consists of four elected faculty, one from each division; two students; and, as *ex officio* members, the Vice President for Enrollment Management, the Dean of Admissions, and the Director of Financial Aid (or their representatives). [Board, June 4, 1977, 91-12, 94-1, 94-50, 95-20, 97-3, 99-17, 00-15, 08-29, 09-02, 09-32, 10-03, 11-3, 2014, 13-32]

5.4.3.6.1 The responsibilities of this Committee are to:

- a. make policy recommendations to the Faculty on the admission of students to the College;
- b. advise the Director of Financial Aid on the administration of the financial aid program;
- c. make policy recommendations to the Faculty for recommendation to the Board on the awarding of financial aid to students;
- d. monitor the implementation of policy;
- e. ensure that no applicant with an Admissions academic rating in the range of 7-9 is admitted without explicit approval from the Enrollment Planning Committee. [94-1, 06-25, 08-44, 13-32]

5.4.3.6.2 Student members do not participate in discussion or vote on individual cases. [94-1 (App. 2)]

*5.4.3.7 The Faculty Academic Policy Committee consists of thirteen faculty: three from the humanities (two with tenure), three from the social sciences (two with tenure), three from the natural sciences (two with tenure), three from engineering (two with tenure), and one at-large member. *Ex officio* members include the President, the Provost, the Dean of the Faculty, and the Clerk of the Faculty. [73-6, 74-4, 94-1, 94-19, 94-53, 2008, 09-31] **[Revised per Faculty Motion 15-02]**

5.4.3.7.1 The responsibilities of this Committee are to: (1) work with, and render its advice to, the President and the Provost on all significant matters of concern to the Faculty that affect the academic life of the College. Such significant matters include, but are not limited to, long-term and strategic academic planning, resource allocations, including annual budget review and College staffing, and buildings and grounds considerations, i.e., physical plant, space, and expansion considerations; (2) accept other responsibilities as needed, e.g., special task force assignments from the President and/or Provost. [Feb. 14, 1967, 94-1]

5.4.3.7.2 Other policies and procedures governing this Committee are:

- a. In accordance with overlapping terms of representation, a new member is elected annually from each division. A member who has served a full term is not eligible to succeed himself/herself for three years. [94-1, 2008, 09-31]
- b. This Committee reports to the Faculty once a semester on all items of major significance under consideration and on any notable outcome of its discussions. [94-1]
- c. Faculty members who are elected to serve for at least one semester may request of the Governance Committee to be relieved of duty on other Faculty committees. If a faculty member on this Committee is elected to the Promotion, Tenure, and Review Committee, the Governance Committee will arrange for him/her to be replaced on the Faculty Academic Policy Committee. [94-1]
- d. Ordinarily, this Committee will meet twice a month. [94-1]

- e. The Committee reports annually to the Faculty the proportion of the Educational and General expenditures devoted to athletics. [94-1]
- f. The Committee will hold an open meeting on resource allocation at least one week before the annual report on the budget is submitted to the Faculty. [94-1]
- g. The Committee receives, through the Provost, Department Heads' annual reports on anticipated staffing changes and makes recommendations to the Provost concerning staffing needs, particularly those with long-term implications. The Dean of the Faculty and the Chair of the Promotion, Tenure, and Review Committee participate *ex officio* in such considerations of staffing matters. [94-1, Rev. 2014]
- h. The Committee recommends to the Provost standards and guidelines with respect to faculty course load, contact hours, and class size. [85-31.9, 94-1, Rev. 1995, 98-18]
- i. *The Committee receives from the Student Life Committee an annual evaluation of the academic impact of the athletic scholarships program. [Revised 06-5]
- j. The Committee receives notice of matters of grave social or moral concern from faculty members and may bring such issues to the Faculty, pursuant to the Process for Considering the College's Response to Matters of Grave Social or Moral Concern Raised by Members of the Lafayette College Community (Appendix U; and in the event that a College-wide committee is convened, as provided for in section 3 of the Process, the faculty members on the College-wide committee are appointed from the Faculty Academic Policy Committee by the chair of the Faculty Academic Policy Committee. [Added 07-6]
- k. The Committee advises the Provost on Target of Opportunity recruitment proposals and annually reviews the Target of Opportunity recruitment program. [Added 07-42]

5.4.3.8 The Faculty Compensation Committee consists of six elected faculty: four tenured and two untenured. The Provost is a member *ex officio*. Two new members are elected each year. [74-3, 75-2, 91-27, 94-1, 01-12, 12-23, 2014]

5.4.3.8.1 The responsibilities of the Committee are to: (1) make recommendations on salary and benefits, including employment conditions, compensation, and working conditions, to the Faculty Academic Policy Committee and report its recommendations to the Faculty; in meeting their responsibility, the Committee shall have access to all annual academic and administrative budget information presented to the Faculty Academic Policy Committee; (2) conduct a systematic review of the economic status of the Lafayette Faculty in comparison to that of similar institutions and present an annual compensation report to the Faculty; included in the report are salary scales, annual increments, and fringe benefits. This report will include data regarding the economic status of librarians with faculty status; (3) advise the Provost on faculty travel policy. [76-7, 94-1, 96-13, 99-18, 01-35]

5.4.3.8.2 At an annual open meeting, the Committee solicits from its constituency suggestions of items for consideration and inclusion in its agenda. [76-7]

5.4.3.8.3 The Committee will form, each year, a subcommittee of two faculty members of the Committee, normally to include the Chair of the Faculty Compensation Committee; two members of the Faculty Academic Policy Committee; and two members of the Retirement Committee. The Vice President of Human Resources will serve as an *ex officio* member. The duties of the subcommittee will be to: [Added 13-16]

- a. annually review health insurance costs and plan enrollments for active employees and retirees. [Added 13-16]
- b. report the findings of the annual review to FCC, FAP, and subsequently to the faculty. The report should contain total health insurance costs as a percentage of the E&G budget, percentage of health insurance costs borne by employees/retirees by enrollment category, monthly premiums paid by employees/retirees by enrollment category, and plan enrollment numbers for employees and retirees. These data should be reported as changes on a year to year basis. [Added 13-16]
- c. review, evaluate, and offer advice concerning proposed changes to health insurance plans, cost distributions, and level of coverage proposed by Human Resources and report to the full Committee, FAP, and the Retirement Committee. [Added 13-16, Rev. 14-34]

5.4.3.9 The Governance Committee consists of six elected faculty, at least one from each division, and the Clerk of the Faculty. The Dean of the Faculty serves *ex officio*. [70-3, Rev. 1986, 94-1, 2014]

5.4.3.9.1 The responsibilities of this Committee are to:

- a. nominate persons for positions on all elected Faculty committees and conduct elections as described in Section 5.4.2; [94-1]
- b. apportion service obligations equitably across Committees and among individual faculty members, with the goal of ensuring that faculty can maintain a reasonable balance of responsibilities among teaching, scholarship, and service over time; [Rev. 13-22]
- c. engage as many faculty as possible in shared governance while recognizing departmental, divisional, and College-wide obligations; [Rev. 13-22]
- d. document the rules for organization, procedure, and responsibilities of the Faculty; standardize the form and phrasing of such rules; and review the *Faculty Handbook* prior to its annual issuance; propose the addition or elimination of elected Faculty committees; [94-1, Rev. 13-22]
- e. review critically the governance structure every three to five years to identify possible areas of concern and recommend changes. [94-1]

5.4.3.9.2 This Committee determines, on the basis of its interpretation of the *Faculty Handbook*, which issues fall within the purview of each committee. If there is a question with respect to a committee's jurisdiction over a particular issue, the Governance Committee shall determine which committee will consider that issue. [94-1]

5.4.3.9.3 This Committee will have a sub-committee whose responsibility is to identify the need for or to facilitate the formation of advisory or ad hoc committees. [94-1]

5.4.3.9.4 Faculty actions involving changes in Faculty rules are referred to the Governance Committee for standardization as to form and phrasing. The final form is reported to the Faculty at the next Faculty meeting.

5.4.3.9.5 The Committee is empowered to consider requests to resign from elected Faculty committees. [84-5, 94-1 (App. 2), Rev. 1995]

5.4.3.10 The Information Technology and Library Committee consists of five elected faculty, one from each academic division and a fifth from any division, two students, and, as *ex officio* members, the Dean of Libraries and the Vice President and Chief Information Officer (or their representatives). [87-16, Rev. 1990, 1991, 91-12, 94-2, 96-22, Rev. 1998, 04-36, 06-5, 11-4], 13-23]

5.4.3.10.1 The responsibilities of this Committee are to:

- a. make recommendations to the Faculty, the administration, and the Vice President and Chief Information Officer about information technology resources, services, policy, and planning. [87-17, 04-36, 06-5, 11-4]
- b. *receive reports from the Vice President and Chief Information Officer about the effectiveness of the policy on Information Technology Confidentiality, Privacy, and Security (Appendix R). [00-21, 05-11, 06-5, 2011] **[Revised per Faculty Motions 15-29 and 15-30]**
- c. make recommendations to the Faculty, the administration, and the Dean of Libraries about library resources, services, policy, and planning. [87-17, 04-36, 06-5, 11-4]

5.4.3.11 The Promotion, Tenure, and Review Committee consists of four elected members of the Faculty of the rank of Professor and two Associate Professors elected in accordance with Sections 5.4.2.2 and 5.4.2.3. The Provost serves as Secretary and is the *ex officio* voting member of the Committee. The proportion of faculty membership is as follows: one Professor from Engineering; one from the Humanities (art, English, foreign languages and literatures, music, philosophy, religious studies); one from the Natural Sciences (biology, chemistry, computer science, geology and environmental geosciences, mathematics, physics, psychology); one from the Social Sciences (anthropology and sociology, economics and business, government and law, history); one Associate Professor from Engineering or the Natural Sciences; and one Associate Professor from the Humanities or Social Sciences. Any member of the Faculty who is serving as Director of the Engineering Division or is on half-time assignment or more as an officer of the Administration is ineligible to serve on the Committee. Only tenured members of the Faculty are eligible for nomination to this Committee. Elected members of the Committee may inform the Governance Committee that they wish to be relieved of duty on other Faculty committees. The Governance Committee will

arrange for replacements. [Rev. 1958, 72-6, 74-4, 76-10, 81-11, 84-23, 85-31.12, 90-38, 94-1, 95-30, 99-31, 02-17, 2008]

5.4.3.11.1 The responsibilities of this Committee are to: (1) advise the President on (a) all promotions, (b) the granting of continuous tenure, (c) all appointments of individuals to the rank of Professor or Associate Professor where tenure is granted or where the customary probationary period is shortened by more than two years, (d) all dismissals, and (e) Department Head appointments; (2) advise the Provost on (a) all mid-term reviews, (b) four- and seven-year reviews (when requested by the Provost or the faculty member), and (c) leave requests; (3) form a Hearing Review committee to review adjudication of alleged research fraud or misconduct, sexual harassment, or other misconduct that might warrant a Faculty member's suspension or dismissal. [80-11, 94-1, 01-38, 03-24, 04-02, 04-20; Board, May 20, 2005]

5.4.3.11.2 Replacements. Under certain circumstances, elected members of the Committee will be replaced by ad hoc alternates. An elected member will not be present for or participate in the Committee's review and vote if that member belongs to the same department as the person under review or if the member is a spouse, domestic partner, child, parent, or sibling of a person who has participated as a department head or department member in the evaluation of the person under consideration. In addition, members of the Committee are expected to recuse themselves when they believe there is a conflict of interest. [97-18, 02-22]

5.4.3.11.2.1 In midterm reviews, tenure reviews, promotion reviews, and termination of appointment recommendations, members of the Committee who do not participate will be replaced by ad hoc alternates. In other instances of non-participation, replacements will not normally be made. [Rev. 02-22]

5.4.3.11.2.2 Except as specified in 5.4.3.11.2.3, an abstaining Professor will be replaced by that Professor or, if no Professor is available, Associate Professor who has served most recently as an elected member of the Committee from the same division as the abstaining member. If no such Professor or Associate Professor is available, the alternate will be that faculty member of either rank who has served most recently as an elected member of the Committee from the same pair of divisions as the abstaining member. [84-27, 94-1]

An abstaining Associate Professor will be replaced by that Associate Professor who has served most recently as an elected member of the Committee from the same pair of divisions as the abstaining member. If no Associate Professor is available, the alternate will be that Professor who has served most recently as an elected member of the Committee from the same pair of divisions as the abstaining member. [84-27, 85-31.13, Rev. 1987, 94-1, 95-10]

5.4.3.11.2.3 In cases involving appointment, promotion, or tenure at or to the rank of Professor or consideration for a chair or named professorship, each Associate Professor on the Committee shall be replaced by the Professor who has served most recently as an elected member of the Committee from the pair of divisions represented by the replaced member. If no Professor from the pair of divisions is available, the alternate shall come from either of the two remaining divisions, in order of most recent service on the Committee. [85-31.13, Rev. 1987, 95-10]

5.4.3.11.3 To establish the replacement sequence, the secretary of the Committee will annually draw up a succession list. The list will show each elected member of the Committee in alphabetical order, and their alternates in order of eligibility. In each replacement, the secretary will appoint the most eligible alternate available.

5.4.3.11.3.1 When two or more eligible alternates otherwise share equal eligibility (the same rank, the same division or appropriate pair of divisions, and equally recent service), relative eligibility will be determined by alphabetical order.

5.4.3.11.3.2 When in a given case two or more members of the Committee must be replaced, the secretary will replace those members in alphabetical order.

5.4.3.11.4 A faculty member who has served a full term on the Promotion, Tenure, and Review Committee shall not be eligible for election for a full or replacement term on the Promotion, Tenure, and Review Committee until the fifth year after the completion of his/her service. Any person currently serving on the Appeal and Grievance Committee shall not be eligible for a full or replacement term on the Promotion, Tenure, and Review Committee. A faculty member who has completed a total of at least eight years of service at the completion of a term on the Promotion, Tenure, and Review Committee may request exemption from any further service on this Committee. [86-23, 94-52, 99-31, 13-30]

5.4.3.11.5 If an elected member has a leave for either semester of the year immediately following his/her election to the Committee, that person's place shall be filled for the first year by the runner-up from the election. [79-4, 94-1 (App. 2), 94-37]

5.4.3.11.6 If an Associate Professor elected to the Promotion, Tenure, and Review Committee is promoted to full Professor prior to the beginning of his/her service on the Committee, he/she shall be replaced by the runner-up in the election. [94-38, 96-11, 96, 19, 04-29]

5.4.3.11.7 The Promotion, Tenure, and Review Committee shall include in its annual report to the Faculty the number of candidates it recommended or did not recommend for tenure and promotion and the number of instances, if any, in which the President did not concur with the Committee recommendation or in which the President has deferred making a decision. The President shall report to the Faculty the number of cases, if any, in which the Board of Trustees did not concur with his/her recommendation. [84-3, 85-18, Rev. 1995]

5.4.3.11.8 The *ex officio* membership of the Promotion, Tenure, and Review Committee is limited to the Provost. [Rev. 1985, 99-31]

*5.4.3.12 The Student Conduct Committee consists of eight elected faculty, six students, one administrator designated by the Provost, and one administrator designated by the Vice President for Campus Life. At least five members of the committee (generally, at least two faculty, two students, and one administrator) must be present for a hearing to take place. For hearings on alleged sexual misconduct (violations of the sexual and gender-based harassment policy or the sexual assault, domestic violence, dating violence, and stalking policy), no student members should be involved. [Revised per Faculty motion 15-31]

*5.4.3.12.1 The responsibilities of this Committee are: *[Revised per Faculty Motion 15-31]*

- a. *student discipline, which includes relating disciplinary action to the educational process and providing procedural fairness to accused students, individually or collectively; *[Revised per Faculty Motion 15-31]*
- b. *reviewing and recommending to the Faculty and the Vice President for Campus Life policies and procedures regarding student discipline and conduct at Lafayette College; *[Revised per Faculty Motion 15-31]*
- c. *hearing cases of violation of College regulations by students, including, but not limited to, behavioral conduct violations, sexual misconduct violations, and violations by student organizations; and *[Revised per Faculty Motion 15-31]*
- d. *hearing appeals of decisions by the Office of the Dean of Advising and Co-Curricular Programs, the Office of Student Conduct, the Committee on Student Conduct, or the Academic Progress Committee. A hearing committee composed of members of this Committee (no member of which was involved in the previous hearing or decision) has the power to uphold, reverse, increase the sanction, or modify the decision of a case administrator or committee, or to refer the matter back to the original case administrator or committee for a rehearing. The procedures followed by the Committee are described in the Student Code of Conduct (*Student Handbook*). Members of this Committee shall not also be members of the Academic Progress Committee. *[Revised per Faculty Motion 15-31]*

*5.4.3.12.2 Hearings shall be conducted by members of the Committee as follows: *[Revised per Faculty Motion 15-31]*

- a. *Hearings on matters not involving allegations of sexual misconduct shall be conducted by members of the Committee as follows: at least two faculty, at least two students, and a representative designated by either the Provost or the Vice President for Campus Life. A faculty member designated by the Chair of the Committee, after consultation with the Dean of Students (or his designee), shall serve as chair of the hearing. Selection of the chair for each hearing will depend on a variety of considerations, including but not limited to prior experience with the conduct process, the nature of the case, schedule conflicts, recusal due to conflict of interest, and distribution of workload among the committee members. When classes are in session, if fewer than two faculty members are eligible for service on a particular hearing or able to hear the case in a timely fashion, the Chair of the Committee will ask the eligible faculty member (or members) who served most recently as an elected member of the Committee to hear that particular case. When classes are in session, if fewer than two student members are eligible for service on a particular hearing or able to hear the case in a timely fashion, the Chair of the Committee will ask the student member (or members) who served most recently on the Committee to hear that particular case. If former student members

are not available, the Chair of the Committee will ask Student Government to appoint to the Committee an additional student member (or members) for the case. If a hearing on a matter not involving allegations of sexual misconduct must be conducted during the summer, the above procedures for impaneling faculty will be followed. The procedure for impaneling students for summer hearings will be as follows: the Chair of the Committee will first impanel those students who served on that year's spring Committee and who have not yet graduated. If such students are unavailable, the Chair of the Committee will impanel a student member or members of the Committee who have been appointed by Student Government to serve on the Committee in the coming academic year. If an insufficient number of students for a particular summer hearing are available after the above procedures have been followed, the Chair of the Committee will ask Student Government to appoint a student (or students) to the Committee for the purpose of serving on that particular hearing. **[Revised per Faculty Motion 15-31]**

- b. *Hearings on matters involving allegations of sexual misconduct shall be conducted by members of the Committee as follows: at least two faculty, and a representative designated by the Vice President for Campus Life. A faculty member designated by the Chair of the Committee, after consultation with the Dean of Students, shall serve as chair of the hearing. Selection of the chair for each hearing will depend on a variety of considerations, including but not limited to prior experience with the conduct process, the nature of the case, schedule conflicts, recusal due to conflict of interest, and distribution of workload among the committee members. When classes are in session, if fewer than two faculty members are eligible for service on a particular hearing or able to hear the case in a timely fashion, the Chair of the Committee will ask the eligible faculty member (or members) who served most recently as an elected member of the Committee to hear that particular case. **[Revised per Faculty Motion 15-31]**
- c. *Hearings on appeals of previous decisions must not include any member who was involved in the previous decision or hearing process. Composition of appeals committees should be as described in either section 5.4.3.12.2a or 5.4.3.12.2b as appropriate. The appeals procedures are described in the Student Code of Conduct (*Student Handbook*). **[Revised per Faculty Motion 15-31]**

*5.4.3.12.3 Faculty and staff members of the Committee are required to attend yearly training concerning sexual misconduct, Title IX, The Violence Against Women Reauthorization Act §304, academic freedom, etc. Student members are required to attend yearly training concerning the Code of Student Conduct, academic freedom, etc. **[Revised per Faculty Motion 15-31]**

*5.4.3.12.4 This Committee makes an annual report to the Faculty and to Student Government on the number of cases heard and any recommendations for changes to the Code of Conduct. **[Revised per Faculty Motion 15-31]**

5.4.3.13 The Student Life Committee consists of five elected faculty with at least one from each division, two students, and, as *ex officio* members, the Vice President for

Campus Life, the Director of Athletics (or their representatives), and the Faculty Athletic Representative. One of the elected faculty members is elected to serve as Chair. [Rev. 1990, 1991, 94-1, 96-12, 00-15, 06-5, 11-3, 13-31]

5.4.3.13.1 The responsibilities of this Committee are to: [81-17, 85-7, 94-1, 06-5, 08-23, 11-3]

- a. monitor and evaluate policies related to campus life, including, but not limited to, residence life, dining facilities, social living groups, and athletics and recreation activities;
- b. identify areas of concern regarding campus life and make recommendations to the Faculty on those concerns;
- c. monitor and evaluate intercollegiate athletics such that an intercollegiate athletics program consistent with the educational mission of the College is fostered and recommend to the Faculty changes in policy related to the intercollegiate athletics program; [Added 13-31]
- d. annually provide to the Faculty an evaluation of the academic impact of the athletic scholarships program. [Added 13-31]

5.4.3.14 The Teaching and Learning Committee consists of four elected faculty, one from each division, and the Dean of the Faculty, the Director for Research and Instructional Services, and the Director of Instructional Technology (or their representatives), and the Director of the Center for the Integration of Teaching, Learning, and Scholarship (CITLS) as *ex officio* members. [85-39, Rev. 1989, 91-13, 94-1, 97-2, 00-16, Rev. 2002, 03-19, 06-5, 10-71, 2014, 13-33]

5.4.3.14.1 The responsibilities of this Committee are to:

- a. assist CITLS in providing faculty with programming and resources that faculty can use to improve and develop their classroom teaching. [Rev. 10-71]
- b. assist CITLS in providing faculty with programming and resources that faculty can use to support scholarship on teaching and learning. [Added 13-33]
- c. facilitate efforts to incorporate issues of diversity and inclusiveness into pedagogical activities. [Added 13-33]
- d. facilitate the debate and discussion of issues concerning the evaluation of teaching and investigate ways to improve the process. [Rev. 10-71]
- e. review, every three years, faculty perceptions of the procedures and tools used to evaluate instruction, including written evaluations and peer visitation, and report to the Faculty. [Rev. 10-71]
- f. in consultation with the Dean of Advising and Co-Curricular Programs, evaluate academic advising and make recommendation to the Faculty concerning academic advising policy and practice. **[Added per Faculty Motion 13-33]**

5.4.4 Faculty committees whose members are appointed by the President are described in the following sections. [94-1 (App.2)]

5.4.4.1 The Retirement Committee consists of four faculty members, three of whom shall be emeritae/i, and an administrative officer. [94-2, Rev. 14-17]

5.4.4.1.1 The responsibilities of this Committee are to: (1) advise the Faculty and the administration on matters related to the retirement of Faculty members; (2) offer guidance, as needed, to faculty members as they near retirement age; (3) serve as a communication link between emeritae/i Faculty members and the College. [82-7, 94-2, 14-77]

5.5 Administrative Committees Appointed by the Provost The following administrative committees have members appointed by the Provost. [Rev. 1995]

5.5.1 The Africana Studies Advisory Committee consists of five faculty and the Chair of the Africana Studies Program who serves as Chair of the Committee. [Added 1999, Rev. 2010]

5.5.1.1 The responsibilities of this Committee are to advise the Chair of the Africana Studies Program on courses that make up the program, on requirements for majors, and on other issues relating to the administration of the program.

5.5.2 The Aging Studies Advisory Committee consists of three faculty, a member of the Center for Community Engagement, and the Chair of the Aging Studies Program who serves as Chair of the Committee. [Added 2014]

5.5.2.1 The responsibilities of this Committee are to advise the Chair of the Aging Studies Program on matters related to curriculum and pedagogy, co-curricular programming, and policies of the minor. [Added 2014]

5.5.3 The Architectural Studies Advisory Committee consists of four faculty and the Chair of the Architectural Studies Program who serves as Chair of the Committee. [Added 2005, Rev. 2010]

5.5.3.1 The responsibilities of this Committee are to advise the Chair of the Architectural Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2005]

5.5.4 The Archives Advisory Committee consists of the Provost, who serves as chair of the Committee; the College Archivist, who serves as Secretary; the Secretary of the Board of Trustees; the Treasurer of the College; the Dean of Libraries; a member of the History Department; and the President, *ex officio*. [94-2, Rev. 1995, 06-5, 2010]

5.5.4.1 The responsibilities of this Committee are to advise the President and the Board of Trustees on College records disposal and retention policy, approve schedules of transfer of records from operating offices and departments to the Archives, and establish policy guiding the protection of the confidentiality of records, particularly personnel records. [94-2, Rev. 1995]

5.5.5 The Arts Advisory Committee consists of at least seven appointed members, including one person each from Art, English, Theater), Film and Media Studies, and Music. Additional membership will be made up of persons outside of these departments and programs. The Director of the Arts will serve as Chair of the Committee. [Added 2014]

5.5.5.1 This Committee will provide leadership and guidance for achieving the goals of integrating the arts across the curriculum. [Added 2014]

5.5.6 The Asian Studies Advisory Committee consists of five faculty and the Chair of the Asian Studies Program who serves as Chair of the Committee. [Added 2005, Rev. 2010]

5.5.6.1 The responsibilities of this Committee are to advise the Chair of the Asian Studies Program on courses that make up the program, on requirements for majors and minors, and on other issues relating to the administration of the program. [Added 2005, Rev. 2010]

5.5.7 The Biotechnology/Bioengineering Advisory Committee consists of four faculty, including two from natural science and two from engineering, and the Chair of the Biotechnology/Bioengineering Program who serves as Chair of the Committee. [Added 2005: Rev. 2008, 2010]

5.5.7.1 The responsibilities of this Committee are to advise the Chair of the Biotechnology/Bioengineering Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2005; Rev. 2008]

5.5.8 The Classical Civilization Studies Advisory Committee consists of three faculty and the Chair of the Classical Civilization Studies Program who serves as Chair of the Committee. [Added 2012]

5.5.8.1 The responsibilities of this Committee are to advise the Chair of the Classical Civilization Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2012]

5.5.9 The College Writing Advisory Committee consists of four faculty who have taught in courses affiliated with the Program and the Director of the College Writing Program who serves as Chair of the Committee. The Chair may invite other faculty in the College Writing Program to participate in meetings of the Committee. [Added 2005, Rev. 2010]

5.5.9.1 The responsibility of this Committee is to assist and advise the Director of the College Writing Program, particularly in matters concerning the affiliation of the Program with First-Year Seminars and courses with a "W" designation. [Added 2005, 2013]

5.5.10 The Center for Community Engagement Advisory Committee consists of four faculty, one from each division; the Director of the Landis Community Outreach Center; the Director of the Meyner Center; a community partner representative; and a representative of the Provost, *ex officio*. [Added 2007, Rev. 2014]

5.5.10.1 The responsibility of this Committee is to advise the Provost on matters concerning community-based learning and research activities. [Added 2007]

5.5.11 The Engineering/International Studies Joint Degree Advisory Committee consists of four faculty, including two from engineering and two from other disciplines; the Director of the Engineering Division, *ex officio*; and the Chair of the B.S. in Engineering/A.B. in International Studies Program who serves as Chair of the Committee. [Rev. 1995, 2008, 2010]

5.5.11.1 The responsibilities of this Committee are to advise the Chair of the B.S. in Engineering/A.B. in International Studies Program on courses that make up the

program, on requirements for majors, and on other issues relating to the administration of the program. [Rev. 1995]

5.5.12 The Engineering Studies Advisory Committee consists of four faculty, including two from the Humanities/Social Sciences divisions and two from the Engineering/Natural Sciences divisions; the Director of the Engineering Division, *ex officio*; and the Chair of the Engineering Studies Program who serves as Chair of the Committee. [94-2, Rev. 1995, 07-11, 2010]

5.5.12.1 The responsibilities of this Committee are to advise the Chair of the Engineering Studies Program on courses that make up the program and on the distribution of time and the concentration of study in various areas. [94-2, Rev. 1995], 07-11

5.5.13 The Programs in Environmental Science and Environmental Studies Advisory Committee consists of four faculty and the Chair of the Programs in Environmental Science and Environmental Studies who serves as Chair of the Committee. [Added 2005, Rev. 2010, 11-23, 11-24]

5.5.13.1 The responsibilities of this Committee are to advise the Chair of the Programs in Environmental Science and Environmental Studies on courses that make up the program, on requirements for majors and minors, and on other issues relating to the administration of the program. [Added 2005, Rev. 11-23, 11-24]

5.5.14 Film and Media Studies Advisory Committee consists of five faculty and the Chair of the Film and Media Studies Program who serves as Chair of the Committee. [Added 2008, Rev. 2010]

5.5.14.1 The responsibilities of this Committee are to provide advice on courses that make up the program, on requirements for majors and minors, and on other issues relating to the administration of the program. [Added 2008, Rev. 2010]

5.5.15 The Health Professions Advisory Committee consists of six faculty, including three from the Natural Sciences division and one from each of the other divisions, and the Dean of Advising and Co-Curricular Programs and/or an Associate Dean, *ex officio*. [94-2, Rev. 1995, 1997, 2004, 2005, 2006, 06-33, 2014]

5.5.15.1 The responsibilities of this Committee are to: (1) provide guidance for students who are considering a career in the health services; (2) evaluate such students and, upon request, send an evaluation statement and transcript to the professional schools to which the student has applied for admission; and (3) advise and assist the Chair of the Health Professions Advisory Committee. [94-2, Rev. 1995, 2004]

5.5.16 The Institutional Animal Care and Use Committee (see Appendix O) consists of at least five members: a Doctor of Veterinary Medicine; two faculty who are scientists experienced in research involving animals; one faculty member who is not a scientist; one member who is not affiliated with the institution and does not work with laboratory animals; and the Dean of Curriculum and Research, *ex officio*. [Added 1990, 94-2, Rev. 1995, 2001, 08-43, 2014]

5.5.16.1 The responsibilities of this Committee are to: (1) review proposed research and instructional projects using animals; (2) make recommendations regarding the College's animal program, facilities, or personnel training to the Dean of Curriculum and Research; (3) inspect the College's animal facilities at least once every six months; (4) review the institution's program for animal care and use, using the *Guide*

for Care and Use of Laboratory Animals as a basis for evaluation. [94-2, Rev. 1995, 08-43, 2014]

5.5.16.2 Reports of evaluations of this Committee are submitted to the Dean of Curriculum and Research and to the Academic Research Committee. [94-2, Rev. 1995, 2001, 08-43, 2014]

5.5.17 The Institutional Review Board consists of five appointed members, including both men and women, a non-scientist, and someone not connected with the institution, and the Dean of Curriculum and Research, *ex officio*. [Added 1990, 94-2, 93-32, 01-3, 08-43, 2014]

5.5.17.1 The responsibilities of this Committee are to: (1) review proposed research projects involving human subjects as defined in Title 45, Part 46 of the Code of Federal Regulations, revised as of March 8, 1983; (2) approve, require modifications to, or disapprove research on human subjects, and convey its decision, in writing, to the Dean of Curriculum and Research; (3) conduct a continuing review of research at intervals appropriate to the degree of risk, but not less than once per year. [94-2, 93-32, Rev. 2002, 08-43, 2014]

5.5.17.2 The Committee makes recommendations to the Dean of Curriculum and Research regarding any aspect of the College's policies with respect to protection of human subjects. [94-2, 93-32, Rev. 2002, 08-43, 2014]

5.5.18 The International Affairs Program Advisory Committee consists of faculty members with interdisciplinary program appointments or joint appointments in International Affairs, at least five faculty representing the departmental and divisional partners of the program, and the Chair of the International Affairs Program who serves as Chair of the Committee. [94-2, Rev. 1995, 2010, 2015]

5.5.18.1 The responsibilities of this Committee are to advise the International Affairs Program on courses that make up the program and on the distribution of time and the concentration of work in the various areas. [94-2, Rev. 1995, 2015]

5.5.19 The Italian Studies Advisory Committee consists of three faculty and the Chair of the Italian Studies Program who serves as Chair of the Committee. [Added 2012]

5.5.19.1 The responsibilities of this Committee are to advise the Chair of the Italian Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2012]

5.5.20 The Jewish Studies Advisory Committee consists of four faculty and the Chair of the Jewish Studies Program who serves as Chair of the Committee. [Added 2005, Rev. 2010]

5.5.20.1 The responsibilities of this Committee are to advise the Chair of the Jewish Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2005]

5.5.21 The Landis Lecture Joint Advisory Committee consists of the Director of the Engineering Division and the chairs of the International Affairs Program, the Policy Studies Program, and the Engineering/International Studies Program. [Added 2014]

5.5.21.1 This Committee will solicit recommendations from the College community, including Engineering Council and the advisory committees represented in the committee membership, for the Landis lecturer in accord with the Deed of Gift. [Added 2014]

5.5.22 The Latin American and Caribbean Studies Advisory Committee consists of four faculty and the Chair of the Latin American and Caribbean Studies Program who serves as Chair of the Committee. [Added 2005, Rev. 2010]

5.5.22.1 The responsibilities of this Committee are to advise the Chair of the Latin American and Caribbean Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2005]

5.5.23 The Life Sciences Advisory Committee consists of four faculty, preferably one from each division, and the Chair of the Life Sciences Program who serves as Chair of the Committee. [Added 2010]

5.5.23.1 The responsibilities of this Committee are to advise the Chair of the Life Sciences Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2010]

5.5.24 The Medieval, Renaissance, and Early Modern Studies Advisory Committee consists of four faculty, with no more than two members from a single department, and the Chair of the Medieval, Renaissance, and Early Modern Studies Program who serves as Chair of the Committee. [Rev. 2010]

5.5.24.1 The responsibilities of this Committee are to advise the Chair of the Medieval, Renaissance, and Early Modern Studies Program on courses that make up the program, on requirements for minors, and on other issues relating to the administration of the program. [Added 2010]

5.5.25 The Neuroscience Advisory Committee consists of six faculty: one from biology, one from psychology, one other at large, the Head of the Biology Department, the Head of the Psychology Department, and the Chair of the Neuroscience Program who serves as Chair of the Committee. [Added 1999, Rev. 2006, 2007, 2010]

5.5.25.1 The responsibilities of this Committee are to advise the Chair of the Neuroscience Program on courses that make up the program, on requirements for majors, and on other issues relating to the administration of the program. [Revised 2007]

5.5.26 The Off-Campus Study Committee consists of four faculty, one from each division; one student; one member of the Curriculum and Educational Policy Committee, *ex officio* (to be designated by the Curriculum and Educational Policy Committee); the Chair of the International Affairs Program, *ex officio*; the Director of International and Off-Campus Education, *ex officio*; and the Dean of the Faculty, *ex officio*. [94-2, Rev. 1995, 1998, 1999, 06-33, 2014]

5.5.26.1 The responsibilities of this Committee are to advise the Provost and the Dean of the Faculty on matters concerning off-campus study, including all study abroad programs, Lafayette affiliations with domestic and foreign institutions, and the development of Lafayette's own study abroad program. [94-2, Rev. 1995, 06-33, 2014]

5.5.27 The Policy Studies Advisory Committee consists of five faculty and the Chair of the Policy Studies Program who serves as Chair of the Committee. [Added 2006, Rev. 2010]

5.5.27.1 The responsibilities of this Committee are to advise the Chair of the Program on courses that make up the program, on requirements for majors, and on other issues relating to the administration of the program. [Added 2006]

5.5.28 The Russian and East European Studies Advisory Committee consists of five faculty and the Chair of the Russian and East European Studies Program who serves as Chair of the Committee. [Added 2008, Rev. 2010]

5.5.28.1 The responsibilities of this Committee are to advise the Chair of the Russian and East European Studies Program on courses that make up the program, on requirements for majors, and on other issues relating to the administration of the program. [Added 2008]

5.5.29 The Scholarships/Fellowships Advisory Committee consists of at least five faculty and the Associate Dean of Advising and Co-Curricular Programs, *ex officio*. [Added 2014]

5.5.29.1 The responsibilities of this Committee are to advise the Associate Dean of Advising and Co-Curricular Programs on recruitment of qualified students for national fellowships and preparation of students for their application. [Added 2014]

5.5.30 The Student Learning Assessment Advisory Committee consists of five faculty members including one from each division and one representing interdisciplinary programs, and the Dean of Curriculum and Research, *ex officio*. [Added 2010, Rev. 2014]

5.5.30.1 The responsibilities of this Committee are to: (1) provide guidance to department heads and program chairs on the development and implementation of assessment plans for student learning in academic programs; (2) assist and advise the Dean of Curriculum and Research in matters related to assessment of student learning outcomes in academic programs; and (3) advise the Dean of Curriculum and Research on matters related to the Assessment Plan for the Academic Division. [Added 2010, Rev. 2014]

5.5.31 The Women's and Gender Studies Advisory Committee consists of five faculty, the majority of whom have taught (core or elective) courses in the Women's and Gender Studies Program, and the Chair of the Women's and Gender Studies Program who serves as Chair of the Committee. [Added 2005; Rev. 07-10, 2009, 2010, 2015]

5.5.31.1 The responsibilities of this Committee are to advise the Chair of the Women's and Gender Studies Program on courses that make up the program, on requirements for majors and minors, and on other issues relating to the administration of the program. [Added 2005; Rev. 07-10, 2009, 2015]

5.6 Other Administrative Committees

5.6.1 The Presidential Advisory Committee on Commencement consists of three faculty members elected by the Faculty for three-year terms, the President, two other administrators, and representatives of the graduating class. The Committee is chaired by the President. [87-1, 90-51, 94-2, Rev. 1997, 1998, 2003, 06-32]

5.6.1.1 The responsibilities of this Committee are to: (1) solicit recommendations for possible honorary degree recipients and commencement participants, (2) recommend commencement speakers and honorary degree candidates to the President, and (3) select the annual Thomas Roy and Lura Forrest Jones Visiting Lecturer from nominations submitted by the faculty to the Committee. [94-2, Rev. 2003, 2007, 06-32, 2009]

5.6.2 The Health Services Advisory Committee consists of one faculty member appointed by the Vice President for Campus Life; three students appointed by the President of Student Government; the Director of Health Services and the Director of the Counseling

Center, *ex officio*. The Committee serves as a liaison between students and the Student Health Center and its programs. [94-2, Rev. 2006, 06-5, 2011]

5.6.3 The Communications Advisory Committee consists of four faculty members, one from each division, appointed by the Provost; the Dean of the Faculty, the Dean of Intercultural Development; the Vice President of Enrollment Management; the Executive Director of Alumni and Parent Relations; and a representative of Student Government. The Committee advises the Vice President for Marketing and Communications on matters relating to the external promotion of the College and to internal communications policies and practices. [Added 2012, Rev. 2014]

CHAPTER 6

FACULTY SALARIES AND OTHER COMPENSATION

6.0 Policies and Procedures for Individual Salary Considerations

6.0.1 The normal payroll year is from July 1 through the following June 30. (See Chapter IV, Section 4.1.1.1, for a definition of the academic year and duty requirements.) [Statute 71, Rev. 1999, Board, May 20, 2005]

6.0.2 The College seeks to make Faculty compensation competitive with institutions of Lafayette's size and quality, within the limitations of the budget. [Added 1970]

*6.0.3 Each year the President and the Board of Trustees estimate the anticipated income of the College, which must set the limit on what can be spent, and establish salary ranges for the Faculty ranks. [Added 1970] **[Revised per Provost]**

6.0.4 The College budget for the following academic year is developed in the fall and winter for review by the Board of Trustees' Executive Committee at its winter meeting and for approval by the Board of Trustees at its spring meeting. [Added 1970, Rev. 1976]

6.0.5 The Provost provides Department Heads with guidelines with respect to salary increases to consider in developing their staff recommendations. [Added 1970, Rev. 1987, 2008, 2010]

6.0.6 Each tenure-track and tenured faculty member will complete a Professional Activities Form and send one copy to his/her Department Head or Program Chair and one copy to the Provost. Faculty who do not complete a Professional Activities Form by the deadline risk receiving only the minimum salary increase for the next academic year. [Added 09-07]

6.0.7 After receiving the Professional Activities Forms, Department Heads and Program Chairs will write a brief narrative assessing the performance in the areas of teaching, scholarship, and service for each faculty member using the criteria described in Section 4.2 of the *Faculty Handbook*. Department Heads and Program Chairs are encouraged to hold conferences with their department or program members to review the quality of their work. It is expected that all faculty contribute to all three areas every year, except in defined circumstances (e.g. during research and sabbatical leaves no teaching or College service are expected). Though the nature of faculty contributions will vary from individual to individual and from year to year, Department Heads and Program Chairs should evaluate higher the performance of those who demonstrate meritorious performance in multiple areas than those who do not. [Added 09-07]

6.0.8 The Department Head or Program Chair will provide a copy of the brief narrative to the faculty member and to the Provost. The faculty member has the right to respond to this narrative in writing to both the Department Head /Program Chair and the Provost if he or she chooses. [Added 09-07]

6.0.9 The Provost will review the Professional Activities Forms and the narratives before making annual salary decisions. [Added 09-07]

6.0.10 The Provost will consult with Department Heads and Program Chairs prior to final determination of individual salaries. [Added 09-07]

6.0.11 The Provost will allocate the salary pool taking into consideration merit, compression and equity issues, and the AAUP standing of the three professorial ranks. [Added 09-07]

6.0.12 Salary letters for the following year will be sent to faculty members by the Provost. These letters will provide explanatory information for the salary decisions. A faculty member who has questions with respect to salary matters should first discuss them with his/her Department Head or Program Chair. [Added 09-07]

6.0.13 Payment for service in excess of the normal work load is based on rank. [Rev. 1987, 1989, 1991, 1996, 1998]

6.0.13.1 Academic year and Interim Session overload rates for members of the Faculty on full-time teaching appointment are \$4,500 per course for Professors, \$4,250 per course for Associate Professors, and \$4,000 per course for Assistant Professors/Instructors. [Rev. 2005, 2007, 2008, 2012]

6.0.13.2 Summer Session overload rates for members of the Faculty on full-time teaching appointment are \$4,500 per course for Professors, \$4,250 per course for Associate Professors, and \$4,000 per course for Assistant Professors/Instructors. [Rev. 2005, 2008, 2012]

6.0.14 Pay rates for visiting and adjunct faculty are available from the Office of the Provost. [Rev. 1996]

6.0.15 The pay date for monthly Faculty/Administrator paychecks is the 25th of the month. If the 25th falls on a Saturday, Sunday, or holiday, the pay date is the preceding workday.

6.0.16 A federal immigration law requires that all employees verify their employment eligibility. New Officers of Instruction must complete an I-9 Employment Eligibility Verification Form and present documents that establish both identity and employment authorization to the Office of the Provost before the College can issue a paycheck. [Rev. 1989, 2014]

6.1 Benefits

The following statements are brief descriptions of benefits that together with salary constitute the total compensation paid to faculty and officers of administration. These statements are not intended to serve as a substitute for the "Summary Plan Descriptions" which are available for the various benefit plans at the Office of Human Resources. If there should be a difference between statements in this Handbook and those in a "Summary Plan Description" because of a policy change or possibly through error, the "Summary Plan Description" is binding. [Rev. 2005]

The same benefits provided to the spouses of married employees are made available to same-sex domestic partners of eligible employees, provided that the employee and the partner meet the criteria for such relationships as established by the College. [97-9, Board, April 4, 1998, Rev. 2010]

Definitions used in this section. The term "members of the Faculty" designates those who have Faculty membership as defined in Section 4.1.2. The term "full-time faculty" designates all members of the Faculty as well as persons on full-time visiting faculty appointments. [Added 2005]

6.1.1 Social Security

All College employees are covered by Social Security and are eligible when qualified for Retirement, Disability, Survivors, and Medicare benefits. Individuals and the College are both required to pay taxes equally for Social Security and Medicare. [Rev. 1991]

6.1.2 Retirement Plan

*Faculty members can become eligible for certain retirement benefits at age 55 with ten consecutive years of full-time service. Faculty members hired by the College prior to July 1, 1996, who meet the retirement criteria may enroll in the appropriate health plan(s) offered and subsidized by the College for retirees. Eligible participants include the retiree and his/her eligible spouse, domestic partner, and dependents at the time of retirement. Additional information regarding retiree health insurance coverage for eligible spouse, domestic partner, and dependents may be found in the "Lafayette College Health and Welfare Plan and Summary Plan Description." [Rev. 1987, 1988, 1991, 1992, 2000, 2001, 2002, 2015] **[Revised per Provost at Request of Director of Human Resources/Benefits]**

*Lafayette provides eligible full-time faculty with a 403(b) retirement plan (Lafayette College Retirement Plan) based on individually owned retirement annuities issued by the Teachers Insurance and Annuity Association-College Retirement Equities Fund (TIAA-CREF) or by mutual fund shares with Fidelity Investment Company. [Rev. 1993, 1994, 2005, 2008, 2010, 2015] **[Revised per Provost at Request of Director of Human Resources/Benefits]**

6.1.2.1 Eligibility for full-time faculty on academic year appointments begins on the preceding July 1; for full-time faculty not on academic year appointments, eligibility begins on the first day of the month coinciding with or next following the first day of employment. The College contributes a sum equal to 9.5% of the annual base salary to the participant's retirement account. The participant is required to contribute 5% by the salary reduction method on annual earnings in excess of \$15,000. The participant may choose to contribute an additional portion of his/her salary up to the IRS limit at any time during the year through elective deferrals under the Lafayette College Retirement Plan. [Oct. 1, 1957, 78-20, Rev. 1989, 1990, 1997, 1999, 2005, 2006, 2008, 2010]

6.1.2.1.1 Ownership rights to the retirement accounts are fully and immediately vested in the participant at all times. Those who leave Lafayette may make cash withdrawals of CREF and Fidelity accumulations. Accumulations in TIAA are cashable only when distributing the cash value over a ten-year disbursement schedule. [Rev. 1999, 2006, 2008, 2010]

6.1.2.2 In addition to the Plan contributions described in Sections 6.1.2.1 and 6.1.2.1.1, all faculty may participate in the voluntary aspect of the Lafayette College Retirement Plan by making elective deferral contributions to the Plan. College contributions are not provided for under the voluntary aspect of the Plan. The participant makes tax-deferred contributions to this Plan through a salary reduction agreement. Accumulations held in the elective deferral aspect of the Plan are less restrictive than the Lafayette College Retirement Plan accumulations of mandatory and employer contributions. Certain distributions and loans may be allowed. [Rev. 2000, 2006, 2008, 2010, 2015]

6.1.2.3 Faculty who choose to retire are required to provide written notice of intent to retire by September 1 of the proposed final year of employment by the College. [Added 1989, Rev. 1990, 1991, 2005]

6.1.3 Group Life Insurance [Rev. 2008]

*Certain members of the Faculty are eligible for coverage under the College's Basic Life Insurance Plan. Eligibility for members of the Faculty on academic year appointments begins on the preceding July 1; for members of the Faculty not on academic year appointments, eligibility begins on the first day of the month coinciding with or next following the first day of employment. The policy is underwritten by Standard Insurance. The policy provides life insurance equal to 1.5 times the base annual salary plus \$15,000, not to exceed \$500,000. The College pays the full premium for this coverage. This group-term life insurance decreases beginning at age 65 and every five years thereafter. The plan provides an accidental death benefit equal to the amount of the basic life insurance payable (1.5 times salary to \$500,000) in addition to the basic life insurance benefit. Each employee has the option to purchase additional Supplemental Life Insurance up to five times his/her annual salary not to exceed \$500,000. Each participant will be issued a Group Life Certificate. Within thirty-one days following termination of employment, an insured employee may convert all or part of his/her life insurance under the group plan to an individual policy or exercise the portability option (if eligible) without the need for medical approval. [Rev. 2003, 2005, 2006, 2008, 2010, 2012] ***[Revised per Provost at Request of Director of Human Resources/Benefits]***

6.1.4 Health Insurance [Rev. 1995, 1996, 2003]

Full-time faculty and their eligible dependents have the option of enrolling in one of three preferred provider organization (PPO) plans. Eligibility begins on the preceding July 1 of an academic year appointment or, for full-time faculty not on an academic year appointment, on the first day of the month coinciding with or next following the first day of employment. [Rev. 2005, 2009, 2010, 2011, 2015]

6.1.4.1 Standard PPO Plan [Added 2015]

The Standard PPO Plan is a typical PPO plan which provides in- and out-of-network benefits by using the local Highmark Blue Shield medical provider network and the national BlueCross/Blue Shield PPO networks. This plan can be considered the "mid-tier plan" in regards to cost and richness of benefits. It is also the plan on which the College's premium contributions are based for all three medical plans.

6.1.4.2 Low Deductible PPO Plan [Added 2015]

The Low Deductible PPO Plan offers richer benefits (lower out-of-pocket expenses), in exchange for increased monthly premiums. This plan could be attractive to an employee willing to pay more in premiums (offered on a pre-tax basis), but who wants to reduce/limit the employee's own out-of-pocket costs. [Added per Provost at Request of Director of Human Resources/Benefits]

6.1.4.3 Qualified High Deductible Plan w/HSA [Added 2015]

*The Qualified High Deductible Plan w/HSA requires greater member out-of-pocket expense in exchange for lower monthly premiums. This plan also includes a Health Savings Account (HSA) which the College will fund at 50% of the associated deductible for either the individual or family coverage tiers. A Health Savings Account, or HSA, is an interest bearing savings vehicle partially funded by the College (50%) and the employee (if desired), which can be used to pay for qualified health care expenses not covered in-full by the medical plan, on a pre-tax basis. If elected, the employee's contribution is deposited into this account during the year and used to pay for qualified expenses incurred by the member. The College will make its contribution to this account (50% of the deductible) at the beginning of the

coverage period. Money in this account, and any interest, is tax-free if used to pay for qualified medical expenses. It works very much like a flexible spending account (FSA) with some advantages. In addition to higher annual contribution limits, the money in the account is fully owned by the employee, and the balance can be carried forward into future years without fear of forfeiture. Note: IRS guidelines prohibit an employee from participating in a medical FSA account if they are enrolling in the QHDHP/HSA option. *[Revised per Provost at Request of Director of Human Resources/Benefits]*

Detailed medical plan summaries are available from the [Office of Human Resources and from the Human Resources website](#). [Rev. 2015]

6.1.5 Dental Insurance

The College offers a voluntary dental plan to full-time faculty and their eligible dependents. The Blue Cross Dental Plus plan is administered by Capital Blue Cross. The plan allows participants to obtain dental care within an established network of dental providers (Blue Cross Dental) or outside of the network. The reimbursement percentage for each procedure varies by the type of treatment received. An in-network dentist cannot charge more than the allowance established by Blue Cross for the service. Payment is, therefore, limited to the coinsurance percentages listed in the plan booklet. Participants pay the full premium for this plan. [Rev. 2000, 2005, 2011, 2012]

6.1.6 Vision Plan

The College offers a voluntary vision discount plan to full-time faculty and their eligible dependents. The "Opti-Vision" plan is administered by National Vision Administrators (NVA). This plan offers substantial discounts on eye care products and services when an NVA provider is used. Participants pay the full premium for this voluntary plan. [Rev. 2000, 2005, 2012]

6.1.7 Travel Accident Insurance

Employees who travel on College business are covered by Travel Accident Insurance. The policy provides a maximum of \$250,000 coverage for accidental death and a maximum \$250,000 for permanent total disability from an accident while traveling on College business. [Rev. 1989, 1990, 2003, 2005]

6.1.8 Disability Benefits

6.1.8.1 Temporary Disability

If a member of the Faculty requires a short-term leave because of medical reasons, he/she must report this to the Department Head promptly and should have his/her healthcare provider file a written medical report with the Provost. (See also Section 4.1.4.7) [Rev. 2005, 2013]

6.1.8.2 Long-Term Disability Insurance

*The College provides Long-Term Disability Insurance through Standard Insurance. Temporary or visiting faculty are not eligible to participate in this benefit plan. Eligibility for members of the Faculty on academic year appointments begins on the preceding July 1; for members of the Faculty not on academic year appointments, eligibility begins on the first day of the month coinciding with or next following the first day of employment. The College pays the cost of the insurance. Income replacement benefits and retirement plan contributions begin after six months of total

disability and continue during disability until full social security retirement age. The income benefits from this plan, including any other disability income benefits payable, are equal to 60% of the monthly base salary at the commencement of the period of continuous long-term disability but are no more than \$17,000 monthly. If continuous total disability commences after an individual's sixtieth birthday, the duration of the benefits may be limited depending on one's age at the time of disability. [78-21, Rev. 1986, 1989, 1993, 1999, 2004, 2005, 2007, 2008, 2010, 2011, 2012, 2013, 2014, 2015] ***[Revised per Provost at Request of Director of Human Resources/Benefits]***

6.1.8.3 Salary Continuation

The College will pay the salary (if applicable) of a totally disabled member of the Faculty for the initial six-month interval before Long-Term Disability Insurance benefits become payable, less any disability income benefits received from Social Security (see Section 6.1.1), Workers' Compensation Insurance (see Section 6.1.11), etc. [Rev. 1990, 2000, 2005, 2008, 2011, 2012]

6.1.8.4 Regarding long-term medical disability, see also Section 4.8.2. [Rev. 11-9]

6.1.9 FMLA Leave

The Federal Family and Medical Leave Act (FMLA) requires employers with fifty or more employees to provide unpaid leave to both women and men for 1) care of newborn or newly adopted infants, 2) for the care of children, spouses, or parents with serious health conditions, or 3) for a serious health condition that makes the employee unable to perform his/her job. Employees can take up to twelve weeks of FMLA leave within a twelve-month period. [Rev. 2005, 2006]

6.1.10 Parental Leave Policy [Added 13-37]

6.1.10.1 Primary Caregiver [Added 13-37]

Upon timely notification of the Department Head and the Dean of the Faculty, a full-time non-visiting Officer of Instruction, or a part-time or visiting Officer of Instruction with a continuing contract of two or more years, who is serving as the primary caregiver for newborn child(ren) or of child(ren) placed for adoption is entitled to receive a two-course teaching reduction during the first year in which a child is born or placed for adoption. The two-course reduction will be at full pay. Additionally, the Officer of Instruction is entitled to be relieved of non-classroom professional duties during the portion of the semester of the two-course reduction subsequent to the birth or placement of a child for adoption.

The two-course reduction provided by this policy shall normally be taken:

- During the semester of the birth or placement for adoption when such an event is expected to occur during the first eleven weeks of a teaching semester;
- During the semester following the birth or placement for adoption when such an event is expected to occur during the last four weeks of a teaching semester or during a semester break. In such a case the Officer of Instruction is entitled to a relief from teaching and non-classroom professional duties during the final weeks of the teaching semester subsequent to the birth or the placement of the child for adoption, but is expected to develop plans for alternate instruction and final exam

administration during those weeks in order to minimize the disruption of classes.

For the purposes of this Policy, each "semester" shall run from the first day of classes through the last day of classes.

When both parents are employees of the College only one parent is entitled to primary-caregiver Paid Parental Leave.

The definition of "primary caregiver" will vary across family situations, but normally the primary caregiver will have primary care responsibility for the child(ren) for a significant portion of the day during the regular work week during the period of the Paid Parental Leave.

An employee taking a Paid Parental Leave will be required to sign an affidavit indicating that he or she is the primary caregiver.

Non-classroom professional duties include but are not limited to the following: faculty searches, curriculum work, organizing events, academic advising, honors thesis supervision, and participation on elected and appointed college committees.

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

The academic year in which a full-time, non-visiting Officer of Instruction receives a Parental Leave will not count as part of his/her probationary period, unless the Instructor requests otherwise. Section 4.1.6.4 specifies that a maximum of two academic years will not be counted.

No more than three Paid Parental Leaves may be taken during a person's employment at the College.

The College recognizes that, depending on the circumstances or timing of a particular birth, or placement for adoption, alternative leave arrangements may be appropriate (e.g. in circumstances in which an adoption requires substantial time for travel in advance of the arrival of the child into the family or in cases in which the child is expected to arrive during a leave). In these circumstances, faculty members are encouraged to consult with the Dean of the Faculty to determine an appropriate leave arrangement for the mutual convenience of the faculty member and the College. Although an alternative arrangement is subject to the approval by the Dean of the Faculty, it is understood and expected that the Dean of the Faculty and the faculty member will work cooperatively and in good faith to reach a comparable, mutually convenient alternative.

6.1.10.2 Non-Primary Caregiver [Added 13-38]

A full-time non-visiting Officer of Instruction who is not the primary caregiver is entitled to exemption from non-classroom professional duties for the semester in which her or his child is born or placed for adoption or the following semester, upon timely notification of the Department Head and the Dean of the Faculty of an anticipated birth or placement of a child. Departments and the College will be responsible for providing whatever coverage of these duties might be necessary.

Non-classroom professional duties include but are not limited to the following: faculty searches, curriculum work, organizing events, academic advising, honors thesis supervision, and participation on elected and appointed College committees.

6.1.11 Workers' Compensation

Each employee is covered by Workers' Compensation insurance, which is paid for by the College. When an injury occurs while an employee is engaged in work for the College, the Workers' Compensation insurance carrier determines whether or not a claim for compensation is justified. If the claim is judged compensable, the program pays for medical expenses incurred because of the injury and a portion of the employee's normal wages if the injury prevents the employee from working. It should be noted that faculty members are covered for interim disability (up to six months) at full pay (see Section 6.1.8.1). A faculty member who suffers a job-related injury must file for Workers' Compensation benefits and reimburse the College for the portion of salary paid by Workers' Compensation during the six-month interval before Long-Term Disability Insurance benefits became payable. Any accident which occurs and which may be job-related should be reported immediately to the Office of Human Resources. [Rev. 1990, 2010, 2011]

6.1.12 Unemployment Compensation

An employee whose employment is terminated through no fault of his/her own may be eligible to receive Unemployment Compensation. The College makes payments, which provide the benefits, to the State Unemployment Compensation Fund. The State Office of Employment Security processes employees' claims and decides whether or not they should be approved. If a claim is approved, the amount of compensation is based on the employee's normal weekly wages and may be collected under conditions that are prescribed by law. Any questions concerning Unemployment Compensation should be directed to the Office of Human Resources.

6.1.13 Tuition Support

(In addition to the benefits outlined below, a Tuition Exchange scholarship program is available to the Lafayette community. Information is available from the Office of the Dean of Admissions and Financial Aid, ext. 5101 [questions related to admissions] and the Office of Human Resources, ext. 5060 [questions related to eligibility].) [Added 2001, Rev. 09-32]

6.1.13.1 College Tuition Support for Children of Faculty

In accordance with actions taken by the Board of Trustees on April 12, 1975, January 31, 1976, and May 26, 1989, the following tuition benefit plan for children of faculty (Sections 6.1.13.1.1 through 6.1.13.1.6) became effective July 1, 1989. The Board of Trustees reserves the right to modify or eliminate the program if budgetary or operating conditions make such action desirable or necessary.

6.1.13.1.1 Tuition remission is available to dependent children of all categories of full-time employees subject to eligibility requirements stated in Section 6.1.13.1.4.

6.1.13.1.2 Tuition remission is available to the dependent children of deceased full-time faculty (after a period of three years of service if appointed before July 1, 1989, and after ten years of service if appointed after June 30, 1989) who die during their period of employment by the College. [78-1]

6.1.13.1.3 Subject to eligibility requirements stated in Section 6.1.13.1.4, tuition grants are available to dependent children of full-time faculty members with maximum grants restricted as described below: [75-3]

- a. If the parent (faculty member) was appointed prior to September 1, 1975, up to 100% of the Lafayette College tuition in the year the grant is made or the tuition of the host institution, whichever is smaller. [75-3]
- b. If the parent was appointed between September 1, 1975, and August 31, 1976, up to 90% of the Lafayette College tuition in the year the grant is made or the tuition of the host institution, whichever is smaller. [75-3]
- c. If the parent was appointed between September 1, 1976, and August 31, 1977, up to 80% of the Lafayette College tuition in the year the grant is made or the tuition of the host institution, whichever is smaller. [75-3]
- d. If the parent was appointed between September 1, 1977, and August 31, 1978, up to 70% of the Lafayette College tuition in the year the grant is made or the tuition of the host institution, whichever is smaller. [75-3]
- e. If the parent was appointed between September 1, 1978, and August 31, 1979, up to 60% of the Lafayette College tuition in the year the grant is made or the tuition of the host institution, whichever is smaller. [75-3]
- f. If the parent was appointed on or after September 1, 1979, up to 50% of the Lafayette College tuition in the year the grant is made or the tuition of the host institution, whichever is smaller. [75-3]

6.1.13.1.4 Eligibility requirements for dependent children requesting cash grants or tuition remission are as follows:

- a. Tuition remission and grants are limited to the cost of four normal academic years. In addition, dependent children of Lafayette College faculty may receive tuition remission for a maximum of three courses chosen from Lafayette College Interim and Summer Session courses. [Rev. 1985]
- b. No more than three children per employee are eligible for grants, but there is no limit on the number of children per employee eligible for tuition remission.
- c. The parent must be a full-time and continuing employee on the payroll of the College. Temporary or visiting faculty are not eligible to participate in this benefit plan. Children of full-time appointees not on the payroll of the College may be considered for tuition remission on an individual basis.
- d. Faculty whose employment period began before July 1, 1989, are eligible for tuition remission at Lafayette College after three years of full-time continuous employment, except in the case of

personnel at the Professor or Associate Professor level, where there shall normally have been at least one year of service. For faculty of all ranks whose employment period began after June 30, 1989, five years of full-time continuous employment is required.

- e. Faculty are eligible for tuition grants after ten years of full-time continuous employment at Lafayette College if appointed after June 30, 1989.
- f. The parent must be the main source of financial support for the child and shall have provided such support for at least the seven years prior to college attendance.
- g. Children of employees adopted after age ten and children of the employee's spouse by a former marriage shall not normally be eligible and may be made eligible only through special action by the Administration.
- h. The student must be enrolled in an accredited college or university.

6.1.13.1.5 Limits of awards, additional procedural and eligibility details, and application blanks are available from the Office of Human Resources.

6.1.13.1.6 Application for tuition remission or a tuition grant must be made to the Vice President for Human Resources through the Department Head by June 15 of the year of college enrollment. [Rev. 2005]

6.1.13.2 Tuition Remission Policy for Faculty Members in LVAIC Institutions [Rev. 1994]

The Board of Directors of LVAIC has approved the following statement on tuition remission:

A full-time Officer of Instruction (or his/her spouse) of a member institution of the Lehigh Valley Association of Independent Colleges, Inc. may enroll in two undergraduate courses each semester at any Association member institution without paying tuition for those courses. The following considerations govern this arrangement: [Rev. 1988]

6.1.13.2.1 This privilege will not be extended to anyone enrolled as a full-time student at a member institution.

6.1.13.2.2 It will not be applicable to courses offered in a January term or summer session.

6.1.13.2.3 Any special fees normally charged by the host institution to its faculty (or their spouses) also will be charged to faculty (or their spouses) of the other member institutions.

6.1.13.2.4 Each host institution will determine whether or not the person making application qualifies under that institution's admissions standards applicable for such purposes.

6.1.13.2.5 Faculty (or their spouses) from other institutions will be admitted only if space in the course desired is available after all regular students and employees (and their spouses) from the home institution have had an opportunity to register.

6.1.13.3 Tuition Remission Policy for Spouses of Faculty Members

The spouse of a full-time faculty member may take credit-bearing courses at Lafayette without tuition payment subject to the following conditions:

6.1.13.3.1 The spouse must qualify for admission either as a special student or a candidate for a degree.

6.1.13.3.2 The spouse may not qualify for tuition remission as a full-time degree candidate during the first year of employment of the faculty member.

6.1.13.3.3 The spouse may not enroll in more courses per semester than the normal program of a candidate for a degree.

6.1.13.3.4 The spouse may not register for a course if this prevents the enrollment of a regular tuition-paying student.

6.1.13.3.5 Application should be made through the Office of Human Resources.

6.1.14 Flexible Spending Accounts

The College offers Flexible Spending Accounts (FSA), which provide a tax-effective way to pay for certain medical care and dependent/child care expenses with pre-tax dollars. Further information is available in the Office of Human Resources. [Rev. 1989, 2006]

6.1.15 Sabbatical and Research Leave Program

The Promotion, Tenure, and Review Committee has been authorized by the Faculty to delegate to the Provost review of sabbatical leave requests. This will be done with the understanding that the Provost will seek the advice of the Promotion, Tenure, and Review Committee in cases when either the Provost or the faculty member involved wishes. [90-52]

6.1.15.1 Sabbatical Leave

The College encourages the use of sabbatical leaves in order to promote the professional growth of the Faculty. Normally, the sabbatical clock begins in the second year of tenured service; thus the Faculty member may take his/her first sabbatical in that year. Tenured faculty may apply for a half year at full pay or a full year at half pay. The period between sabbaticals shall be twelve complete academic semesters of full-time teaching at Lafayette. Such semesters need not be consecutive. Tenured faculty are permitted to delay a sabbatical by up to one year and still return to their original sabbatical clock. Further, when it meets individual and institutional needs, tenured faculty are permitted to take a second and/or subsequent sabbatical up to one year early, again with the expectation that they will return to their original sabbatical clock. [Board, August 1956; Board, April 2, 1957; Board, January 3, 1958; Board, February 13, 1971, 84-26; Board, October 12, 1985, Rev. 2000, 01-17]

The College also offers an enhanced sabbatical policy under which tenured faculty may apply for a one-year sabbatical at 80 percent pay after twelve semesters of teaching or a one-semester sabbatical at 80 percent pay after six semesters of

teaching. In addition to meeting the criteria specified in Section 6.1.15.1.3 of the *Faculty Handbook*, an application for an enhanced sabbatical must make a clear and convincing case that the proposed work has high scholarly merit and has the potential for stimulating ongoing scholarly interest. An applicant must also have a record of continuous scholarship which has had a significant impact in his/her field. Evidence of earnest attempts to secure external funding will be viewed positively. [Cf. Sec. 6.1.15] [99-40, Rev. 01-33, Board, October 19, 2002, 06-11, 11-25]

Should a candidate for an enhanced sabbatical be successful in securing external funding, to the extent that the College-funded salary and the salary portion of the grant together exceed 120 percent of the faculty member's base salary, the College's 80 percent commitment will be proportionately adjusted. If a faculty member receives external funding from an organization that does not allow its funds to be used to exceed the faculty member's base salary, the College's portion of the salary will be adjusted, with the difference (up to the 120 percent cap) placed in an account that the faculty member may use for equipment, software, book purchases, travel, conference attendance, etc. related to his/her sabbatical project. [99-40]

Tenured faculty are permitted to delay a year-long enhanced sabbatical by up to one year and still return to their original sabbatical clock. Further, when it meets individual and institutional needs, tenured faculty are permitted to take a second and/or subsequent year-long enhanced sabbatical up to one year early, again with the expectation that they will return to their original sabbatical clock. Semester-long enhanced sabbaticals will normally be taken at the end of six semesters of teaching. [11-25]

One person per semester may be on leave from a department of seven or fewer members, and two persons per semester may be on leave from a department of eight or more members. Numbers of sabbatical leaves exceeding the above limitations require exceptional circumstances. Normally, no more than one-seventh of the tenured Faculty of the College may be on sabbatical leave during any academic year. [Board, April 2, 1958; Board February 13, 1971]

6.1.15.1.1 It is the responsibility of the Department Head, in consultation with the Provost, to insure that proper planning is undertaken to coordinate sabbatical leaves within the department. In the event that the number of sabbatical leaves requested within a department exceeds the restrictions stated above, the Department Head shall indicate the order of priority. [84-26]

6.1.15.1.2 Applications for sabbatical leaves for the following academic year should be submitted to the Provost no later than October 1. The application must be written and be accompanied by a supporting statement from the Department Head. Sabbatical leave applications are reviewed by the Promotion, Tenure, and Review Committee and are usually acted upon by the Board of Trustees at its January meeting. Usually, applicants are notified of the decision by the first of February. [84-26]

6.1.15.1.3 The granting of a sabbatical leave is to be based upon the merit of the proposed activity. The faculty member applying for a sabbatical leave shall prepare a proposal for review by the Department Head and the Promotion, Tenure, and Review Committee. The principal emphasis for a sabbatical leave must be placed upon scholarly activity and professional development. The proposal is expected to be quite detailed and shall be specific in regard to what the faculty member intends to do on sabbatical leave, how and where it shall be done, what results are anticipated or hoped for, what benefits the individual believes will accrue to himself/herself and to the College, and how these benefits

might be demonstrated. Routine work similar to the occupation at Lafayette is not regarded as particularly beneficial to the College or to the individual on leave. In the application for a sabbatical, the faculty member should discuss briefly prior leaves supported by the College, if any, and the extent to which the goals of those leaves were achieved. The application must also include the original proposal for the previous sabbatical leave (except for newly tenured faculty who have not had a previous sabbatical), the report submitted at the conclusion of the previous sabbatical (sabbatical reports will be sent to the Provost with a copy to the department head), the three most recent Professional Activities Forms, and a current curriculum vitae. [84-26, Board, October 12, 1985, Rev. 01-33, Board, October 19, 2002, 11-26]

6.1.15.1.4 A faculty member who has been granted sabbatical leave is ordinarily expected to return to duty at the College for at least a full academic year following the leave. Upon return, the faculty member shall report in writing to the Provost how the goals stated in the proposal have been realized, what have been the benefits to the individual and to the institution, and how these benefits have been or shall be demonstrated. The Provost will share this report with the President and the Board of Trustees. [Board, January 3, 1958, and October 12, 1985, 84-26]

6.1.15.1.5 Employee benefits normally continue during a leave with pay. [Board, January 3, 1958, and October 12, 1985, 84-26]

6.1.15.2 Research Leave Program

To each Assistant Professor the College makes available a one-semester research leave. Normally, the research leave is taken during the academic year immediately following the faculty member's mid-term review. However, an Assistant Professor who receives a terminal contract by September 1 of the academic year immediately following his/her mid-term review shall not be eligible for such a leave. [97-8]

6.1.15.2.1 A faculty member preparing materials for his/her mid-term review should address in his/her self-evaluation his/her plans and goals for a research leave. [97-8]

6.1.15.2.2 The College expects that a faculty member who receives a research leave will return to the College for at least one semester of service after the leave. Upon return, the faculty member shall report in writing to the Provost how the goals stated in the proposal have been realized, what have been the benefits to the individual and to the institution, and how these benefits have been or shall be demonstrated. The Provost will share this report with the President and the Board of Trustees. [97-8]

6.1.15.2.3 An academic year, one-half of which is spent on leave, does not count as one of the seven provisional years of employment. [97-8]

6.1.16 Sponsored Research Support

Applications for sponsored research support should be discussed in advance with the Director of Sponsored Research and proposals for such grants must be approved by the Director of Sponsored Research or by the Provost. When applying for an independent grant application, e.g., for a National Endowment for the Humanities Fellowship or for an American Council of Learned Societies Fellowship, a faculty member should consult with the Director of Sponsored Research and should inform him/her of each such application. Consulting activities with institutions or companies other than Lafayette College should

be reported to the Department Head and the Provost and should be included, with specific reference to the institution or company for whom one is doing the consulting, on the professional activities form to the Provost. [Cf. Sec. 6.1.14.1] [Rev. 1987, 1998, 11-9]

6.2 Leave of Absence Without Pay

A faculty member may apply to the Provost for a leave of absence without pay. Normally, these requests are made so that the applicant may accept a fellowship or a research grant, or for compelling personal reasons. The Promotion, Tenure, and Review Committee has been authorized by the Faculty to delegate to the Provost review of leave of absence requests. This will be done with the understanding that the Provost will seek the advice of the Promotion, Tenure, and Review Committee in cases when either the Provost or the faculty member involved wishes. [Rev. 1987, 90-52]

6.2.1 An untenured member of the Faculty is not normally eligible for leave, paid or unpaid, prior to the completion of three years of full-time service at Lafayette. Application may be made during the third year.

6.2.2 Leave of any kind for an untenured faculty member is normally limited to a single year. This does not preclude application for additional leave after the individual resumes his/her teaching responsibilities. An academic year, one-half of which is spent on leave, does not count as one of the seven probationary years of employment. [Rev. 11-9]

6.2.3 Continuation of employee benefits during a leave of absence without pay will be considered and may be allowed for purposes of professional development, e.g., research, advanced study, or a grant. [Added 1986]

6.2.4 Upon return, the faculty member shall report in writing to the Provost how the goals stated in the proposal have been realized and, if appropriate, what have been the benefits to the individual and to the institution, and how these benefits have been or shall be demonstrated. The Provost will share this report with the President and the Board of Trustees. [Rev. 1996]

6.3 Travel to Professional Meetings ["Enunciated" by Dean, January 6, 1959, Rev. 1992, 1993, 97-24, Rev. 1998]

The College encourages faculty members to attend and to participate in meetings of professional societies, including meetings that may strengthen interdisciplinary connections in teaching or research. To the extent that resources permit, the College will provide funding for faculty members to travel to professional meetings. Requests for travel funding must be submitted in advance to the Dean of Curriculum and Research with the Department Head's endorsement. [Rev. 2001, 2008, 2010, 2014]

6.3.1 Because adequate funding may not always be available to finance all desirable faculty travel, faculty members must indicate the priority they assign to each planned trip. A first-priority trip will be funded for all faculty who apply, before any second-priority trips are considered. The following guidelines will be used in determining faculty travel support:

- a. First-priority trips will be funded for full registration (up to a maximum of \$600) plus a maximum of \$900 for other travel expenses for domestic trips or \$1,300 for trips involving travel outside the United States and Canada. [Rev. 2000, 2007, 2014]

- b. Faculty members will be supported up to \$1,000 per year to fund trips other than first-priority trips. This sum may be divided among several trips in which the faculty member participates by reading papers, chairing sessions, serving as a discussant, or making some other significant contribution. Beyond this \$1,000 limit for non-first-priority trips, junior faculty members may apply for one additional conference trip in which they plan to participate in a significant way. These will be approved when funds are available. Up to \$500 of a faculty member's annual travel support may be applied to a meeting for professional development purposes without direct participation by the faculty member. The College will support at most one professional development trip per year per faculty member. [Rev. 2006, 2007, 2009]
- c. Travel expenses eligible for support include: conference registration fees, round trip transportation, hotel, meals, and local travel. Expenses up to the limits described above will be reimbursed in accordance with the College's Travel Reimbursement Policy. [Rev. 1999, 2001, 2002, 2004, 2006, 2007, 2013]
- d. Limited, additional support to defray extraordinary travel expenses may be available. Requests for such support need to be submitted to the Dean along with the travel planning form. [Added 2014]

6.3.2 Exceptions may be made to these guidelines, provided they are discussed with and approved by the Dean of Curriculum and Research prior to the trip taking place. [Rev. 2001, 2008, 2010, 2014]

6.3.3 The faculty travel program is administered by the Dean of Curriculum and Research with the advice of the Faculty Compensation Committee, which reviews policies and guidelines on an annual basis. Expenses for faculty recruitment and curriculum development are paid from other funds. Expenses for trips for the purpose of conducting research are eligible for support from the Academic Research Committee. [Rev. 2001, 2008, 2010, 2014]

6.4 Research and Advanced Study Grants

All tenured and tenure-track faculty are eligible to participate in programs funded by the College which provide for the payment of modest expenses involved in professional development and in faculty research programs. Application must be made to the Academic Research Committee according to procedures outlined in a *Research Manual* distributed by the Committee. [Rev. 2002]

6.4.1 Professional Development Grants

Each year the College grants a small number of Professional Development Grants. Eligibility requirements and other details are available in the *Research Manual*, which is available online. Part-time or Visiting Officers of Instruction are not eligible for these awards. [Rev. 1990, 2004, 2007]

6.5 Identification Cards

All faculty members receive identification cards which are used in the Library, at athletic contests, and for the Cultural Events Program.

6.6 Athletic and Recreation Facilities

6.6.1 Faculty members, their spouses and children are admitted to all home athletic events, except the Lehigh football game, upon presentation of a current validated College ID card, athletic facility use photo ID card, or the Department of Athletics pass. Passes for spouses and children may be obtained from the Department of Athletics for a nominal service charge. [92-45]

6.6.2 Athletic and recreation facilities are available for use by faculty members, their spouses and children throughout the year, in accordance with arrangements made by the Departments of Athletics and Recreation Services. Passes to athletic and recreation facilities for spouses and children may be obtained from the Office of Recreation Services for a nominal charge. [92-45, Rev. 2001, 2002, 2005]

- a. Facilities are available only when their use does not interfere with regularly scheduled student activities and events. Students and College employees have priority in the use of sports facilities. [92-45]
- b. When accompanied and actively supervised by a parent, children under sixteen years of age are permitted use of all recreation facilities except the Fitness Center. [92-45, Rev. 1999, 2002]
- c. Faculty members, their spouses and children utilizing the recreation facilities must present at the time of usage a current validated College ID card or picture ID card. [92-45, Rev. 1999, 2002]
- d. Guest passes for campus visitors may be obtained for a nominal fee. [92-45, Rev. 1999]
- e. Athletic and recreation facility usage is a privilege. Individuals found to be destructive of equipment or who engage in abusive behavior or act in disregard of the regulations set forth shall have their privileges revoked by the Office of Recreation Services. [92-45, Rev. 1999, 2002]
- f. Hours of operation will vary due to special events and vacation breaks. All arrangements and policies are under the supervision of the Office of Recreation Services. [92-45, Rev. 1999]

6.6.3 Ruef Natatorium is available for use in the summer by faculty members, their spouses and children who pay the recreational swimming membership fee. This membership fee and the rules of usage are under the supervision of the Office of Recreation Services. [92-45, Rev. 1999]

6.7 Cultural Events Program

Each year the College arranges a series of concerts, lectures, films, dance, and theatrical programs. For events presented in the Williams Center for the Arts, tickets are generally available to Faculty either free of charge or at a reduced price. College identification cards are used to request tickets. Because seating capacity is limited, there may be occasional restrictions on availability of tickets. [Rev. 1987, 2007]

6.8 Library Privileges [Rev. 1996, 1998]

6.8.1 The resources and services of Skillman and Kirby Libraries are available to faculty members and their families. The Libraries also extend borrowing privileges to spouses and to children aged sixteen and over; library cards can be obtained at the Skillman Circulation Desk. Interlibrary Loan services are not available to spouses and children. [Rev. 2001]

6.8.2 Faculty members, their spouses and children must show identification cards in order to borrow books. They are responsible for all items charged out on their cards.

6.8.3 Faculty members may borrow materials from the general collections of Skillman and Kirby Libraries for one academic year; all items must be returned or renewed at the end of each academic year. Some materials (e.g., videos, Browsing Collection) have shorter loan periods. Spouses and children of faculty receive four-week loans. Materials borrowed from other institutions are subject to the lending policies of the owning library. [Rev. 2001, 2005]

6.8.4 Books and other items borrowed by faculty members, their spouses and children are subject to recall by other library users. All borrowers are guaranteed at least seven days' use of material, unless it is needed immediately for course reserves. [Rev. 2001]

6.8.5 Bound periodicals circulate outside the library to faculty members for a period of one week. Unbound and current issues circulate for two days.

6.8.6 Faculty members who employ research assistants should contact the Skillman Circulation Desk if they would like their research assistants to charge material to a faculty record. Faculty members are responsible for items checked out to them by research assistants. If faculty do not notify the Circulation Desk, then research assistants will only be permitted to check out materials under their own names.

CHAPTER 7

THE FACULTY MEMBER AND THE STUDENT

7.0 General

7.0.1 Each Officer of Instruction is expected to support the institutional purpose of the College in relations with students in the classroom and elsewhere. [Statute 74]

7.0.2 In the classroom, the Officer of Instruction will practice and will require of all students the highest standards of courtesy, tolerance, industry, dignity, and intellectual honesty. The Officer of Instruction should maintain the standards of academic achievement adopted by the Faculty and seek to inculcate respect for the heritage of learning.

7.0.3 Outside the classroom, Officers of Instruction are drawn into association with students in many ways--intellectual, professional, social, and religious. Each Officer of Instruction, in accord with conscience and as opportunities occur, accepts responsibility for taking part in the activities of the campus community, such as extracurricular interest groups, professional societies, social events in the fraternities, sororities, and residence halls, or in conversations with individual students on matters of concern. Contact with students outside the classroom is encouraged. Participation by Officers of Instruction in religious, social, cultural, and athletic events of a public nature on the campus, although properly voluntary, is encouraged. [Rev. 1997]

7.0.4 Smoking is prohibited in all Lafayette College buildings without exceptions for private offices or restrooms. [1993]

7.1 Statement of Admissions Guidelines [Added 05-9]

7.1.1 Statement of Purpose

Lafayette College seeks to recruit, admit and encourage the enrollment of students of proven academic achievement who are most likely to benefit from the Lafayette experience and contribute actively to the quality of learning and living in the college community. The College's goal as an academic institution is to offer an environment in which every student can thrive intellectually and personally. In shaping such an environment, the College embraces a multiplicity of people, cultures, experiences, and ideas. At Lafayette, we believe that diversity contributes to the effectiveness of education and the richness of life. Diversity can help create an equitable, hospitable, and appreciative environment that welcomes the contributions of all members and prepares students for participation in increasingly diverse and interdependent local and global communities.

In addition to the following aspects of a student's application that are systematically considered in Lafayette's holistic admissions process, other factors may be considered when assessing how a student may, through his/her background and experience, contribute to the overall composition of the College community. Examples of factors that may be considered, when disclosed, include an applicant's race, ethnicity, sexual orientation, gender identity and expression, geographic background, first generation college attendance, home environment, and overcoming adverse physical and personal challenges. [Rev. 2015]

Lafayette complies with all applicable federal and state laws and does not in any way discriminate in educational programs or in employment on the basis of race, color, religion, sex, sexual orientation, gender identity and expression, national origin, age, or disability. [Rev. 13-14]

7.1.2 Factors Normally Considered in Admissions Decisions

With direction from the Faculty Enrollment Planning Committee, the admissions staff considers all available information on an individual basis. The factors normally considered, although not necessarily in this order, are as follows:

- a. **Secondary School Performance:** As a predictor for academic success in college, an accurate interpretation of the secondary school record is usually the most reliable single factor. Class rank, grades, the selection of courses the student has taken, and the pattern of the grades achieved from year to year are considered in relationship to the school attended, its reputation, the success of its students who have attended Lafayette College, and the level of its academic competition as revealed by any available data on its student body.
- b. **Subjective Evaluations:** Written comments and evaluations merit serious consideration, especially when they reveal traits of intellect and character, which are not readily apparent from the application or transcript. Evaluations by the secondary school counselor and a teacher are required. It is not uncommon to also receive comments from alumni, employers, and others interested in lending support to an applicant. When appropriate, the admissions staff takes the initiative to contact the secondary school directly to discuss a candidate in greater depth.
- c. **Standardized Test Scores:** When submitted, scores on the following standardized tests may support or augment the secondary school record:
 1. ***SAT or ACT:** Applicants to Lafayette must submit the results of their SAT and/or ACT. These tests of reasoning ability are related to academic performance in college. The critical reading and mathematical scores they yield are evaluated in the light of nationally substantiated interpretive data published by the College Entrance Examination Board and ACT as well as local experience at Lafayette. [Rev. 05-9] ***[Revised per Provost at Request of Assistant Vice President of Enrollment Management]***
 2. **SAT Subject Tests:** Applicants for the Bachelor of Arts degree are advised to take the subject tests in three electives of their own choosing. Bachelor of Science degree candidates are advised to take the subject tests in mathematics (Level 1 or Level 2) and physical science (chemistry or physics) and one other elective test of their choosing. The results of these tests are useful in evaluating the quality of secondary school preparation, and in pinpointing particular strengths. Scores may be used for course placement purposes as well as for admission.
 3. **Other Standardized Tests:** Applicants for whom English is not the first language, unless the language of instruction during their four years of high school has been English, are strongly advised to take the Test Of English as a Foreign Language (TOEFL). We will also accept the results of the International English Language Testing System (IELTS) exam in lieu of the TOEFL.

- d. **Activities:** Involvement in extracurricular and community activities indicates a student's potential for significant contributions to both the College and society; therefore, the breadth and the depth of outside interests are considered. A premium is placed upon meaningful participation, not simply token affiliation or "figurehead" office-holding.
- e. **Personal Interviews:** Personal interviews are strongly encouraged. Reports of interviews conducted by the admissions staff, senior interviewers, or official volunteer alumni representatives are considered to the extent that they broaden the understanding of the applicant as a student and as a person. [Rev. 2014, 2015]

7.1.3 **Special Considerations.** In order to provide a diverse and interesting community, Lafayette seeks to enroll students from differing backgrounds as well as those who possess significant talents. Such students are given special consideration in the admissions process. However, no candidate shall be offered admission who has not demonstrated credentials commensurate with success at Lafayette.

- a. **Underrepresented Groups:** In recognition of the educational value of enrolling students from diverse backgrounds, members of underrepresented groups are given special consideration. Allowance is made for academic differences that can be traced to cultural, socioeconomic, or educational background. [Revised 2012]
- b. **International Students:** Because the credentials and secondary school backgrounds of most international applicants differ markedly from those of American applicants, a detailed individual study of each international applicant is made by members of the admissions staff trained to review credentials of differing educational systems. Within the limitations imposed by the desire for wide geographical distribution, those judged best qualified, academically and personally, are offered admission. [Revised 2012]
- c. **Students with Special Talents:** Applicants who demonstrate exceptional ability in activities which contribute to campus life at Lafayette may also be given special consideration. These include athletes recommended by the varsity coaches, and students who have exercised leadership or demonstrated unusual quality in student government, the fine and performing arts, community service, or other constructive activities.
- d. **Children of Lafayette College Faculty and Staff:** Lafayette College places high value on its relationships with its employees. Therefore, children of faculty and staff are given special consideration apart from the general competition for admission.
- e. **Children of Lafayette College Alumni:** Lafayette College places high value on its relationships with alumni. Therefore, children of alumni may receive special consideration apart from the general competition for admission. The Lafayette parent's(s') relationship with the College since graduation will be considered.
- f. **Home-Schooled Students:** Lafayette College accepts applications from home-schooled and unschooled students. As much as possible, home-schooled/unschooled students are required to submit the same materials for admission consideration as traditionally schooled students. These materials should include a statement describing the home school structure and mission, a document describing the academic courses that were successfully completed in the past four years (with grades, if awarded), letters of recommendation from individuals who have worked with the student in an educational context (if

available), and the results of the SAT or ACT standardized tests. Home-schooled/unschooled students are strongly encouraged to have an on-campus interview as a means to articulate further their specific educational and co-curricular experiences.

- g. Transfer Students: Students from other 4-year colleges or 2-year accredited institutions wishing to complete degree requirements at Lafayette College will be considered. Such candidates must be in good academic standing and have a satisfactory record of personal conduct.

7.1.4 Procedures

- a. *Application Procedures: Application instructions, deadlines, and notification dates, and required admissions tests for both the Early Decision and Regular Admissions Program are published in the viewbook and on the College's website. ***[Revised per Provost at Request of Assistant Vice President of Enrollment Management]***
- b. *Early Decision: Under the Early Decision Program, admissions decisions are made according to an accelerated schedule for candidates who designate Lafayette as their first choice. Such candidates are obligated to enroll if accepted (and aided, if financial need has been demonstrated) under the Early Decision Program. Students not accepted as early decision candidates may be considered again after receipt of seventh semester grades and any additional information while others may be denied outright. The Early Decision Program is fully described on the College's website. ***[Revised per Provost at Request of Assistant Vice President of Enrollment Management]***
- c. Guaranteed Deferred Admission: Students who plan a period of employment, social service, foreign travel or some other pursuit after graduating from high school may secure a Guaranteed Deferred Admission to Lafayette. The standard application procedure is followed, and the student decides that Lafayette is the college of choice. At this time the student must request, in writing, deferred status, and he/she is required to submit a statement outlining plans for the period between secondary school graduation and college. Students admitted to the incoming freshman class may request deferral of their obligation to enroll provided
 1. *The request is approved by the Dean of Admissions ***[Revised per Provost at Request of Assistant Vice President of Enrollment Management]***,
 2. The non-refundable tuition deposit is paid, and
 3. The student agrees to abide by the obligations incurred by committing to enroll.

When granted deferred status, the student should be aware that an enrollment commitment has been made by Lafayette and by the student. The student will be expected to enroll the year following that year in which the tuition deposit is paid. A withdrawal to attend another institution while committed to Lafayette will be treated as a double deposit. The admissions office will correspond with students who have deferred enrollment in the spring before their enrollment. Students should be prepared to supplement their original application with a description of their activities in the intervening months.

- d. Early Admission: Exceptionally well-qualified and mature candidates may be considered for admission upon completion of the junior year in secondary school.

In addition to meeting the normal application requirements, such candidates must secure written recommendations from secondary school principals and written permission from parents (or guardians), and are required to have personal interviews with a member of the admissions staff.

- e. **Wait List:** In order to assure that the First-Year class will not be under-subscribed, the admissions staff each year designates certain students for the wait list. Such students must exhibit qualifications consistent with success at Lafayette. They may later be accepted, at the discretion of the Dean of Admissions, to fill vacancies that may exist before, on, or after the Candidates' Reply Date (May 1). As soon as the desired freshman class enrollment is assured, students remaining on the wait list are advised that they cannot be accommodated. [Rev. 2015]
- f. **Right of Appeal:** Students who have been denied admission may request that the Dean of Admissions reconsider their applications. They are asked to provide any new academic or personal information that may have become available since the initial decision. If there is no new significant information, no reconsideration will take place. If significant new information is presented, the Dean of Admissions, in consultation with appropriate staff members, may either uphold or reverse the previous decision, and this decision is final. [Rev. 2015]
- g. **Withdrawal of Admission:** The acceptance letter includes a statement reminding each candidate that admission is dependent upon maintaining, during the time prior to new student orientation, a record of academic achievement and personal conduct consistent with the record on which an acceptance is based. In especially drastic cases of poor senior performance and/or personal misconduct, the Dean of Admissions may withdraw an offer of admission. In less severe cases, the Dean of Admissions may write a letter of warning, or call the student to the campus for an interview to discuss and analyze the poor performance prior to matriculation. [Rev. 2015]

7.2 Faculty Advisers

Faculty advisers for first-year students and sophomores are appointed by the Dean of the Advising and Co-Curricular Programs with the advice of the Department Heads. Once a student has petitioned to enter the junior class and officially declared a major, an adviser is assigned to that student by the Head of the major department. Prior to the start of the senior year, students and their advisers receive a degree evaluation from the Registrar; any errors or discrepancies should be reported and corrected immediately. Although the chief function of an academic adviser is to advise students on their academic programs, the adviser should have in mind the total welfare of the student. The adviser should stay informed of the advisee's academic progress through regular meetings with the advisee throughout the term. Unless departments have made special arrangements, the student's selection of courses must be approved by his/her adviser, and student petitions to the Academic Progress Committee must be signed by the adviser, who will normally include a recommendation for action. [Rev. 1992, 1997, 2004, 06-33, 2014]

Faculty members may apply to the Dean of Advising and Co-Curricular Programs the College for reimbursement of reasonable expenses incurred in entertaining advisees (up to a limit of \$75) or to the Vice President for Campus Life for the entertainment of students who are not advisees (up to a limit of \$75). [Rev. 1989, 1992, 2002, 2006, 06-5, 06-33, 2011, 2014]

7.3 Student Discipline

7.3.1 The Office of the Vice President for Campus Life and the Student Conduct Committee have been empowered by the Faculty to act in matters of student conduct other than violations of College regulations on academic dishonesty. Procedural standards followed in disciplinary proceedings are described in the *Student Handbook*. [Oct. 6, 1959, Rev. 1986, 1988, 1989, 03-37, Board, October 2, 2004, Rev. 06-5, 2011]

7.3.2 The Office of the Dean of Advising and Co-Curricular Programs and the Academic Progress Committee have been empowered by the Faculty to act in matters of academic dishonesty on the part of students. Instances of violations should be reported promptly to the Dean of Advising and Co-Curricular Programs. Procedural standards followed in disciplinary proceedings are described in the *Student Handbook*. [Oct. 6, 1959, Rev. 1989, 03-37, Board, October 2, 2004, 06-33, 2014]

7.4 Academic Calendar, Scheduling, and Class Attendance

The Faculty has delegated to the Dean of Curriculum and Research, assisted by the Registrar, responsibility for recommending policies on the scheduling of classes and final examinations and on the academic calendar. [88-3, Rev. 1999, 06-33, 2014, 2015]

The Dean of Curriculum and Research, assisted by the Registrar, will report the academic calendar to the Faculty for approval two years in advance (normally at the February meeting). [88-3, Rev. 06-33, 2014, 2015]

All scheduling will be handled by the Registrar. [April 2, 1968]

All departments will be willing to share in the obligation of offering and meeting classes at unpopular hours and on unpopular days. [April 2, 1968]

In preparing the academic year calendar, the Dean of Curriculum and Research and the Registrar observe the following guidelines: [Added 1999, Rev. 06-33, 2014, 2015]

1. There shall be 28 full weeks of instruction during the academic year. [72-1]
2. The academic year shall be divided into terms of equal length. [76-9]
3. To the extent possible, the College calendar shall be designed to facilitate cross-registration at the member colleges of LVAIC. [72-1]
4. There shall be an interval of at least one day between the last day of classes and the first day of examinations in each semester. [72-1, 76-9]

7.4.1 Scheduling

All classes will be held at the times and places specified by the Registrar. Any desired change from the officially scheduled pattern should be cleared with the Department Head, Registrar, and the Provost before it is implemented. It is particularly desirable that no deviation from the authorized schedule be made immediately before or after recesses. When absences from class are necessary, they should be reported ahead of time to the Department Head and, when possible, arrangements should be made to provide substitute instruction. When absences are anticipated, students should also be notified in advance. [77-6, Rev. 2015]

7.4.1.1 A department may request that certain courses be scheduled on an "hours to be arranged" basis. When courses are scheduled in this fashion, the specific arrangements should be reported to the Registrar as soon as they have been made.

7.4.1.2 The Registrar may schedule classes between the hours of 8:00 a.m. and 4:00 p.m., and 7 p.m. and 10 p.m. on Monday, Tuesday, Wednesday, and Thursday, and the hours of 8:00 a.m. and 4:00 p.m. on Friday. No classes for the day session will be held after 4:00 p.m. except with the approval of the Registrar; provided, however, that the Registrar may schedule classes in multiple-section courses between 4:00 p.m. and 10:00 p.m. on Monday through Thursday. All teaching at these specially permitted times should be on a voluntary basis. [75-12, 90-26, 93-28, Rev. 1998, 2002, 06-21, 06-33, 2009, 2014]

7.4.2 Class Attendance [Rev. 2002]

Because the formal bases of a college learning experience are the lecture, the laboratory, and the discussion group, class attendance is expected of all students. Each faculty member establishes and maintains attendance requirements in his/her own courses and must inform his/her students and the Dean of Advising and Co-Curricular Programs of these requirements in writing. These requirements are normally found in the course syllabus and a copy should be on file with the Department Head and the Dean of Advising and Co-Curricular Programs. Absences necessitated by participation in recognized College and intercollegiate activities are excusable by the Office of the Dean of Advising and Co-Curricular Programs. Faculty members have the authority of excusing a student for absences necessitated by sickness or emergencies if they so choose. An excuse from the Dean's Office is not required. The staff of Bailey Health Center can confirm that a student was seen and treated. The Office of the Dean of Advising and Co-Curricular Programs will issue excuses for health-related issues only as requested by the Bailey Health Center. [April 7, 1964, May 7, 1968, Rev. 1988, 1989, 1993, 2006, 06-33, 2014]

7.4.2.1 Academic Probation

Students on academic probation may not take more than two unexcused cuts in any course. A student on academic probation may be required to withdraw unless that student shows during the next semester improvement sufficient to demonstrate clear promise of eventual graduation. First-year students on academic probation may not hold office in student or social organizations or represent Lafayette College in any official capacity. [78-14]

7.4.2.2 Practice Time

The normal academic day at Lafayette begins at 8:00 a.m. and goes to 4:00 p.m. The evening academic program will normally not begin before 7:00 p.m. Exceptions can be made for multi-section labs or courses or for special circumstances where an instructor's schedule makes it impossible or exceedingly difficult to have a 7:00 p.m. start. The scheduling of courses and laboratories during this time has priority over athletic considerations. The athletic day, in terms of team practices, may begin early in the morning (not to extend into the academic day which starts at 8:00 a.m.) and no earlier than 4:30 p.m. in the afternoon. [87-5, 06-20]

Excused absences from class are for scheduled athletic events and related travel time. Academic considerations (scheduled classes, labs, common exams, and special academic opportunities such as: special guest speakers, field trips, etc.) have priority over practice time and travel to the practice fields; however, examinations scheduled in the evening outside of normal class hours should begin

no earlier than 7:00 p.m. While students may individually practice a sport, i.e., running, swimming, etc., coaches may not formally schedule practice during the day, nor should coaches encourage students to arrive at practice sites before 4:15 p.m. Exceptions can be made for sports that must conduct more than one practice session per day due to facility limitations. For these sports (such as swimming), the first practice session may begin at 4:00 p.m. [87-5, 06-20, 2014]

7.4.2.3 Post-Season Play

Lafayette College encourages excellence in all areas of student activity and recognizes post-season athletic tournaments to be encouragement to excellence in sport and reward for a high level of accomplishment. The College attempts to make reasonable provisions to allow students and teams to accept invitations to such events. When post-season play conflicts with regularly scheduled classes, the Dean of Advising and Co-Curricular Programs may grant excused absences to participating students. In the event that post-season play conflicts with final examinations, students electing to compete will consult with instructors of those courses whose examinations are to be missed. Instructors may elect to allow the examination to be administered at another site, to be proctored by a member of the faculty, or elect to administer an examination at a later date. If alternative solutions are necessary to meet special examination circumstances, the problem may be referred to the Dean of Advising and Co-Curricular Programs. [81-10, Rev. 06-33, 2014]

7.4.2.4 Excessive Unexcused Absences [Added 10-08]

At the will and judgment of the class instructor, if a student accumulates an excessive number of unexcused absences, as defined in the course syllabus, the instructor can request a formal review of this behavior by the appropriate Class Dean in the Office of the Dean of Advising and Co-Curricular Programs. During the review the Dean will meet with the student to assess the student's commitment to the course and to formulate a plan, if necessary, for addressing any underlying issues beyond the classroom. Based upon the outcome of this review, the Dean will normally include a formal warning to the student of possible mandatory withdrawal from the course if the unexcused absences continue. (In consultation with the instructor, this warning will normally specify the maximum number of additional unexcused absences before mandatory withdrawal.) The outcome of this review will be reported in writing to the instructor and student. The student also must meet with the instructor in order to reaffirm his/her commitment to the course. If the student continues to miss class in excess of the formal warning and without excuse, the instructor may notify the Dean of Advising and Co-Curricular Programs, prompting the student's mandatory withdrawal from the course. [Added 10-08, Rev. 2014]

The student will be awarded a WD for a course withdrawal that occurs through the 11th week of the semester. After the course withdrawal deadline, the student will have earned and be awarded the appropriate grade, as determined by the faculty member. [Added 10-08]

7.5 Conduct of Examinations

7.5.1 Tests and other means of assessing a student's efforts and progress should be assigned periodically through a semester; any test or exercise that is to count, for grading purposes, more than the value of a regular class exercise should be announced at least two weeks in advance. It is Faculty policy that the weight of final examinations or other exercises in lieu thereof should be determined by the teaching departments rather than

by the individual faculty members. There are no minimum or maximum limitations in the matter of weighting. [Nov. 2, 1954, March 1, 1955, June 2, 1964, 72-11]

7.5.2 All examinations, whether class exercises, hour examinations, or final examinations, should be planned and carried out so as to contribute to both the student's understanding of the course material and the faculty member's evaluation of the student's academic progress. Whenever possible, examinations and major graded class exercises should be scheduled well in advance and listed in a course syllabus which is distributed to all students. [Rev. 1989]

7.5.3 In examinations that require the student to set forth his/her thoughts in statements of his/her own composing, the use of clear and correct English is expected. See Appendix J for the statement of Faculty policy on English Competency.

7.5.4 Every member of the Faculty is responsible for proctoring examinations in his/her own department. Responsibility for securing sufficient proctors rests with the Department Head. [May 2, 1967]

7.5.5 Rooms for hour examinations in multiple section courses and for all final examinations are assigned by the Registrar in consultation with the departments. The times for final examinations are arranged by the Registrar and are not to be changed without the Registrar's consent. Final examinations shall be given as scheduled during the examination period and not during the last week of classes. [72-10]

7.5.6 When scheduling examinations and other course activities of a similar magnitude, faculty members are asked not to schedule such exercises on the day of or the day following well-known and recognized religious holidays which may not fall within the regular holiday schedule of the College. Faculty members are urged also to consider avoiding the day before a religious holiday (especially Jewish holidays) because of the time needed for travel to get home. These religious holidays are noted in the College calendar and a list is distributed to all faculty by the Dean of Advising and Co-Curricular Programs prior to the start of the academic year. [81-1, Rev. 1990, 1992, 06-33, 2014]

7.5.7 No fifty-minute or longer examinations are to be administered during the fourteenth week of each semester. [72-10, 95-6]

7.6 Grading

7.6.1 Letter grades are used to evaluate student achievement. These grades generally have the following meaning:

- A = Excellent
- B = Good
- C = Satisfactory
- D = Passing
- F = Failure

Pluses and minuses, as indicated in Section 7.5.2, are used for dealing with variability within these broad categories. [March 2, 1965, 84-19]

*During the 2015-16 academic year, approximately 30.5% of the grades given at Lafayette were A's, 18.6% were A-'s, 14.3% were B+'s, 12.9% were B's, 6.7% were B-'s, 4.1% were C+'s, 3.6% were C's, 1.7% were C-'s, 0.7% were D+'s, 0.9% were D's, 0.4% were D-'s, 0.6% were F's, and 5.0% were "Other." [84-20] **[Revised per Provost at request of Registrar]**

7.6.2 For purposes of calculating averages, a 4.0 scale is used with the letters representing the following values: A=4.0, A-=3.7, B+=3.3, B=3.0, B-=2.7, C+=2.3, C=2.0, C-=1.7, D+=1.3, D=1.0, D-=0.7, F=0.0. Grades of C-, D+, D, and D-, though passing, fall below the minimum grade point average required for graduation. The minimum average required for graduation is 2.00 for all work taken by the student and for courses in his/her major department. Students achieving a 3.60 term average or higher in at least three graded courses and with no pending incompletes are eligible for the Dean's List for the following semester. Those who graduate with high cumulative averages based upon four years' work are awarded their degrees summa cum laude (a cumulative average of 3.85 or higher), magna cum laude (3.75), or cum laude (3.65). Course grades are reported to the Registrar on line or on forms provided by the Registrar's Office. [March 2, 1965, May 1, 1968, 77-9, Rev. 1994, 96-17, Rev. 1998, 1999, 2002, 06-13, 2009]

7.6.3 The grade recorded for all departmental internship courses will be "Credit" or "No Credit." A formal evaluation, including the evaluation submitted by the field supervisor, will be placed in the student's file as an explanatory accompaniment to the "Credit" or "No Credit" grade. A department that desires to use the regular letter grade system for a course involving substantial "internship type" activity can do so under a "regular" course number (with, of course, the Curriculum and Educational Policy Committee approval). [85-27]

7.6.4 According to Faculty policy, the grade of INCOMPLETE may be used to indicate that the course work is passing but incomplete for reasons excusable by the instructor and the Dean of Advising and Co-Curricular Programs. Normally, an INCOMPLETE must be made up no later than the end of the second week of the following semester. The instructor may specify a longer period of time after consultation with the Dean of Advising and Co-Curricular Programs, but all work must be completed and a grade assigned no later than the first day of classes of the second semester of attendance subsequent to the INCOMPLETE. If the instructor specifies a period longer than two weeks, the reason for the longer period and the date established for the completion of the outstanding course work must be stated in writing to the student with copies to the student's adviser, to the Dean of Advising and Co-Curricular Programs, and to the Registrar. Unless the course work is completed and a grade assigned by the faculty member by the end of the specified period, the Registrar will replace the INCOMPLETE with an F. A student with more than two INCOMPLETES pending will not be permitted to begin a new academic year. [Oct. 2, 1951, April 5, 1955, 86-9, Rev. 1989, 1995, 1998, 2005, 06-33, 2014]

7.6.5 A junior or senior in good standing whose cumulative average is 2.0 or higher may in each semester take one course on a pass/fail basis, but in no case may a student take more than four pass/fail courses toward degree requirements. A pass/fail course must be outside the major or minor field of concentration and outside related courses as defined by the major department, and the pass/fail option may not be used for courses which are to be used toward satisfaction of the requirements for the Common Course of Study. Courses which are considered introductory in any field or which are designed specifically as exploratory courses for non-majors may not be taken for pass/fail credit. [May 31, 1966, 72-13, Rev. 1987, 90-31, 1995, 1997, 1999, 11-14]

7.6.5.1 A student who wishes to take a course on a pass/fail basis must present to the Academic Progress Committee a petition, endorsed by the student's adviser and the major Department Head, containing a statement explaining why it is appropriate for him/her to schedule that particular course pass/fail. [May 31, 1966, 73-2, Rev. 1987]

7.6.5.2 Students must obtain the permission of the Academic Progress Committee before enrolling in a course on a pass/fail basis. They must meet all the regularly stated prerequisites for admission to the course and must satisfy all course

requirements, such as attendance, assigned work, and examinations. Pass grades received under the plan do not affect a student's cumulative average. Failing grades received under this plan are included in the student's cumulative average. [May 31, 1966, Rev. 1987]

7.6.5.3 Students taking a course on a pass/fail basis may petition to convert to a grade basis at any time before mid-term. A student may change from conventional grading to pass/fail within, but not after, the first two weeks of classes. If a student drops a course with the pass/fail option after the term has begun, he/she may not transfer the option to another course during the term. [May 31, 1966, 75-2]

7.6.6 To speed the process of academic evaluation at the close of each semester, faculty members must report course grades to the Registrar within two days after the end of the examination period.

7.6.7 Grades D+ through F, signifying unsatisfactory progress, are reported at mid-term for purposes of evaluation; they are not part of the permanent record.

7.7 Departmental Honors and Honors in Interdisciplinary Major Program

Departmental honors and honors in interdisciplinary major programs (both referred to hereafter as "departmental honors") are awarded for outstanding performance in writing a senior thesis or in conducting senior research. Departments and interdisciplinary majors that have honors programs offer a sequence of two courses titled "Senior Thesis" or "Senior Research." [84-18, 99-26]

7.7.1 Students who hope to become candidates for departmental honors must register for the two courses in thesis or research beginning the first semester of their senior year or, with the permission of the Academic Progress Committee, the second semester of their junior year. Their work in these courses will be supervised by a faculty member and will be graded in the usual way. [84-18, 92-17, 99-26]

7.7.2 Candidates for honors must have and maintain cumulative (grade point) averages of 3.00 and averages of 3.20 in the honors department and must fulfill such other requirements as may be established by the department with the approval of the Academic Progress Committee. A student whose grade point average falls below either of these guidelines will not receive the honors designation on his/her diploma. [84-18, 99-26]

7.7.3 Students whose first semester work in the thesis or research course is of high quality and awarded a grade of A may be nominated by their supervisors as candidates for honors. Nominations must be submitted to the Academic Progress Committee before the end of the second full week of classes in the second semester of thesis or research work. Students who wish to do honors in departments other than the major department must separately petition the Committee for permission to do so; this petition must be submitted to the Committee by the end of the final week of classes in the first semester of thesis or research. Such students must have taken at least five courses, exclusive of thesis or research in the honors department, three of which must be at or above the 200 level. [84-18, 99-26]

7.7.4 A student who is interested in working on an interdisciplinary topic may do so through a joint honors thesis in two departments. Such a student must: [93-11, 99-26]

- a. maintain a cumulative average of at least 3.20 in each of these departments; [93-11, 99-26]

- b. be jointly advised and supervised by two faculty members (members of the departments in which the joint honors is pursued); [93-11, 2000]
- c. receive the endorsement of the two respective department heads. [93-11, 2000]
- d. A student will receive a total of two course credits for the joint thesis. [93-11, 99-26]

7.7.5 Honors candidates must submit completed thesis or research reports to their supervisor two weeks before the end of classes in the second semester. Each thesis or research report shall be judged by a committee composed of the supervisor, at least one other member of the honors department, and one person from outside the honors department or from outside the College if that is feasible. Unanimous approval is required for honors to be awarded. [84-18, 99-26]

7.7.6 Only persons whose thesis or reports show outstanding performance shall be awarded honors. The work which justifies the award of honors must receive the grade of "A." Other work will result in the course being converted to Independent Study and shall receive the grade that it merits in the judgment of the supervisor. [84-18, 99-26]

7.7.7 The transcripts of students who receive honors shall bear the legend "Honors in (department name) with Thesis." [84-18, 99-26, 2005]

7.8 Statute of Limitations on Student Academic Work

All graduation requirements shall normally be met in a time period not to exceed six years following admission to junior status. In the case of hardship, a petition for one additional year may be submitted to the Academic Progress Committee after consultation with the Dean of Advising and Co-Curricular Programs (full and part-time students), and the Department Head of the major department or the major adviser. Ordinarily, no extensions will be granted beyond the seventh year. [90-42, Rev. 1999, 06-33, 2014]

7.8.1 In order to meet expectations of appropriate and current preparation for upper level work within the major program, a time period not to exceed five years shall be permitted between the completion of a prerequisite course (including transfer credit) and the initiation of the required course for which it is specified. Students who wish to appeal this rule may petition to the Academic Progress Committee after having consulted with their major departments. [90-42]

7.8.2 If a part-time student fails to maintain minimum progress, defined as two courses in the curriculum successfully completed in a twelve-month period, the student's progress will be reviewed by the Academic Progress Committee, which may then recommend to the Dean of Advising and Co-Curricular Programs that the student be required to withdraw. Re-admission to the program is not automatic and will depend on evidence that a student will be able to make reasonable progress in subsequent work. If a part-time student withdraws from the program for any reason (academic or personal), he/she must meet with the Registrar or Associate Director of Admissions and his/her departmental academic adviser or Department Head prior to re-admission. They will make a recommendation to the Dean of Advising and Co-Curricular Programs concerning re-admission. [90-42, Rev. 1999, 06-33, 2014]

7.8.3 In cases where a student must repeat a passing course which was taken previously beyond the five-year statutory limit, both courses would appear on the permanent record but only the credit and grade for the second course would be included in the cumulative grade point average. For the second course, there would be a footnote: "Repeat course as required by major department due to statute of limitations on original course." Only

the second course would apply toward the prescribed course under the student's major degree program. [90-42]

7.9 Commencement

Only those seniors who have fully satisfied degree requirements and are approved for graduation may participate in Commencement Exercises. [November 4, 1958]

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APPENDIX A

ACADEMIC FREEDOM

Adopted by the Board of Trustees on January 8, 1960;
Approved by the Faculty on April 4, 1967

A.1 The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

A.2 The teacher is entitled to freedom in the classroom in discussing his/her subject, but he/she should be careful not to introduce into his/her teaching controversial matter which has no relation to his/her subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing.

A.3 The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he/she speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a man or woman of learning and an educational officer, he/she should remember that the public may judge his/her profession and institution by his/her utterances. Hence he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that he/she is not an institutional spokesperson.

APPENDIX B

LAFAYETTE COLLEGE POLICIES ON SEXUAL ASSAULT AND SEXUAL HARASSMENT

Adopted by the Faculty on December 3, 1996 [96-5]
Approved by the Board of Trustees on February 1, 1997
[Rev. 03-24], Adopted by the Faculty on April 6, May, 4, and May 20, 2004
Approved by the Board of Trustees on October 2, 2004
[Rev. 06-5]
[Rev. 14-11], Adopted by the Faculty on November, 2014
Approved by the Board of Trustees on January 31, 2015
[Rev. 16-15], Adopted by the Faculty on December 6, 2016
Approved by the Board of Trustees in January 2017

***B.1 Lafayette College Policy on Sexual Assault, Domestic Violence, Dating Violence, and Stalking [Revised per Faculty Motion 16-15]**

B.1.1 Statement of Purpose

*Lafayette College is committed to providing a learning and working environment that emphasizes the dignity and worth of every member of its community. Sexual assault, sexual exploitation, domestic violence, dating violence, and stalking in any form or context are contrary to this principle. Sexual assault, sexual exploitation, domestic violence, dating violence, and stalking can threaten the safety, well-being, educational experience, and career of students, faculty, and staff and will not be tolerated in any form. **[Revised per Faculty Motion 16-15]**

This Policy will be widely distributed on campus so that all students, faculty, and staff at the beginning of each academic year. The most current version of this Policy can be found online at sash.lafayette.edu.

An individual found to have violated this Policy will be subject to disciplinary action consistent with the procedures set forth below.

*This Policy also prohibits retaliation against individuals for bringing complaints of sexual assault, sexual exploitation, domestic violence, dating violence, or stalking or participating in the processes outlined in this Policy. The College will take disciplinary action against persons who attempt such retaliation. **[Revised per Faculty Motion 16-15]**

*Through procedures that address both prevention and remedy, this Policy aims to maintain a campus environment that is free of sexual assault, sexual exploitation, domestic violence, dating violence, and stalking. **[Revised per Faculty Motion 16-15]**

*The College intends to maintain, consistent with this Policy: (1) education and prevention programs that inform the College community about sexual assault, sexual exploitation, domestic violence, dating violence, and stalking; (2) procedures sensitive to complainants in responding to reports of sexual assault, sexual exploitation, domestic violence, dating violence, and stalking, including informing victims of medical, counseling, and support services and available alternative remedies; (3) procedures for determining violations of this Policy which assure fairness to the complainant and the respondent; (4) College disciplinary sanctions for those who commit sexual assault, sexual exploitation, domestic violence, dating violence, or stalking; and (5) an ongoing Presidential Oversight Committee to review the effectiveness of the College's Policy, and relevant programs and procedures. **[Revised per Faculty Motion 16-15]**

B.1.2 Policy

*Sexual assault, sexual exploitation, domestic violence, dating violence, and stalking violate the standards of conduct expected of every member and visitor within the College community. This policy outlines the formal definitions and administrative remedies that Lafayette College holds with respect to sexual assault, sexual exploitation, domestic violence, dating violence, and stalking. Therefore, this document contains some language that, by necessity, may be abstract or legalistic. If an individual has questions about the policy, please do not hesitate to contact the Title IX and Equity Coordinator for clarity and guidance. *[Revised per Faculty Motion 16-15]*

Amy O'Neill
Title IX and Equity Coordinator
101 Hogg Hall
oneilla@lafayette.edu
(610) 330-5082

B.1.3 Definitions

*When used in this Policy, "Complainant" refers to the individual who is identified as the recipient of the Prohibited Conduct. "Respondent" refers to the individual alleged to have engaged in Prohibited Conduct. *[Revised per Faculty Motion 16-15]*

B.1.3.1 Sexual Assault

Sexual assault includes any of the following:

A. Any intentional, unconsented touching, or threat or attempt thereof, of:

- (i) An intimate bodily part of another person, such as a sexual organ, buttocks, or breast;
- (ii) Any bodily part of another person with a sexual organ; or
- (iii) Any part of another person's body with the intent of accomplishing a sexual act; or

B. Unconsented, inappropriate disrobing of another person, or intentional exposure of one's genitals to another without the other's consent; or

C. Forcing, or attempting to force, any other person to engage in sexual activity of any kind without her or his consent; or

D. Rape or involuntary deviate sexual intercourse as defined by the laws of the Commonwealth of Pennsylvania.

*B.1.3.2 Sexual Exploitation *[Revised per Faculty Motion 16-15]*

*Sexual exploitation occurs when a person takes non-consensual or abusive sexual advantage of another for one's own advantage or benefit, or to benefit or advantage anyone other than the one being exploited. This includes but is not limited to observing, photographing, videotaping, or making other visual or auditory records of sexual activity or stages of undress/nudity, where there is a reasonable expectation of privacy, without the consent of all parties; or the sharing of visual or auditory records of sexual activity or nudity without the knowledge and consent of all recorded parties. *[Revised per Faculty Motion 16-15]*

B.1.3.3 Consent

*It is the responsibility of the initiator of sexual contact to receive consent and to make sure they understand fully what the person with whom they are involved wants and does not want sexually. Consent for purposes of this policy means permission. Consent shall have been deemed to have been given if the other person assents, through an affirmative and voluntary statement or action, to the sexual gesture or activity. Assent obtained through physical force, threats, intimidation, or coercion is not considered consent. **[Revised per Faculty Motion 16-15]**

*If the person initiating sexual activity knew or reasonably should have known that the other was incapacitated, assent will not constitute consent. Incapacitation means that a person lacks the ability to make informed judgments about whether or not to engage in the sexual activity. A person may be incapacitated as a result of the consumption of alcohol and/or other drugs, or due to a temporary or permanent physical or mental health condition. One is not expected to be a medical expert in assessing incapacitation, but is expected to look for the common and obvious warning signs that show that a person may be incapacitated or approaching incapacitation. Although every individual may manifest signs of incapacitation differently, typical signs include slurred or incomprehensible speech, unsteady gait, combativeness, emotional volatility, vomiting, or incontinence. **[Revised per Faculty Motion 16-15]**

*Silence, in and of itself, cannot be interpreted as consent. Previous relationship and prior consent do not imply consent to future sexual acts and consent to one type of sexual activity does not imply consent to other forms of sexual activity. Consent can be withdrawn at any time. **[Revised per Faculty Motion 16-15]**

B.1.3.4 Domestic Violence

*Domestic violence means crimes of violence, including causing or attempting to cause physical or sexual assault or abuse, placing another in reasonable fear of serious bodily injury, restraining another's liberty or freedom of movement, or stalking, where such conduct is committed by: (1) a current or former spouse or intimate partner of the complainant; (2) a person with whom the complainant shares a child; (3) a person who is cohabitating or has cohabitated with the complainant as a spouse or intimate partner; (4) a person similarly situated to a spouse of the complainant; or (5) any other person against an adult or youth complainant who is protected from that person's acts under Pennsylvania's domestic or family violence laws. **[Revised per Faculty Motion 16-15]**

B.1.3.5 Dating Violence

*Dating violence means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the complainant. The existence of such a relationship shall be determined based on a consideration of: (1) the length of the relationship; (2) the type of relationship; and (3) the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. **[Revised per Faculty Motion 16-15]**

B.1.3.6 Stalking

Stalking is a course of conduct directed at a specific person that would cause a reasonable person to fear for his/her safety or the safety of others, or to suffer emotional distress. Stalking may include repeatedly following, monitoring, surveilling, harassing, threatening, or intimidating or communicating to or about another by telephone, mail, electronic communication, social media, or any other action, device, or method.

B.1.4 Education and Prevention Programs

*The Title IX Coordinator, Deputy Title IX Coordinator or a designee shall have oversight for a College-wide education and prevention program on sexual assault, sexual exploitation, domestic violence, dating violence, and stalking, which includes both new student, faculty, and employee orientation programming, and ongoing prevention and awareness programs for students, faculty, and staff. The Title IX Coordinator or a designee shall also coordinate training of counselors, student life staff, campus disciplinary board members, the Department of Public Safety, group leaders, and members of living groups to respond effectively to sexual assault, sexual exploitation, domestic violence, dating violence, and stalking; providing of crisis intervention counseling and referrals; disseminating literature on sexual assault, sexual exploitation, domestic violence, dating violence, and stalking; providing information on positive and safe options for bystander intervention; providing information on risk reduction to recognize warning signs of abusive behavior and how to avoid potential attacks and violence; and providing students and employees with a written explanation of existing counseling, health, mental health, victim advocacy, legal assistance, and other support services available both on campus and in the community. *[Revised per Faculty Motion 16-15]*

*Notices and statistics of reported incidents of sexual assault, sexual exploitation, domestic violence, dating violence, or stalking will be reported to the College community as required by law or as otherwise appropriate. *[Revised per Faculty Motion 16-15]*

In addition, a Presidential Oversight Committee, appointed by the President and consisting of faculty, students, and staff members, shall conduct periodic reviews of the Policy, as well as related procedures, and programs, and recommend to the President and the faculty revisions necessary to comply with federal or state law and to support institutional goals. The President shall appoint the Chair of the committee. When federal, state, or local law necessitates that changes be made to this Policy in a more timely fashion than the typical procedures will allow, the Committee may, in consultation with the President, implement changes on an interim basis pending final approval by the Faculty. This Oversight Committee is also charged by the President to oversee the College's sexual harassment Policy and procedures.

B.1.5 Reporting, Resources and Confidentiality

*B.1.5.1 General Information Regarding Confidentiality *[Revised per Faculty Motion 16-15]*

*An individual who has experienced sexual or gender-based harassment (which includes sexual assault, sexual exploitation, domestic violence, dating violence, and stalking) has a variety of available options and resources for support. Individuals are encouraged to familiarize themselves with their options and responsibilities before disclosing a potential violation of this policy to a College employee. When the College has notice of a potential violation of this policy, every effort will be made to protect the privacy interests of all individuals involved in a manner consistent with the need for a thorough review of the allegation(s). If you have any questions or concerns regarding the reporting requirements of individuals, please do not hesitate to ask them. An inquiry into an individual's reporting obligations will not, by itself, trigger an investigation. *[Revised per Faculty Motion 16-15]*

*B.1.5.2 Reporting Options *[Revised per Faculty Motion 16-15]*

*B.1.5.2.1 Reporting to Title IX Coordinators *[Revised per Faculty Motion 16-15]*

*The Title IX and Equity Coordinator is responsible for overseeing the College's response to reports of sexual and gender-based harassment (which includes sexual assault, sexual exploitation, domestic violence, dating violence, and stalking). Therefore, the College strongly encourages all individuals to report a potential

violation of this policy directly to the Title IX and Equity Coordinator or one of the Deputy Title IX Coordinators: *[Revised per Faculty Motion 16-15]*

Amy O'Neill
Title IX and Equity Coordinator
101 Hogg Hall
(610) 330-5082
oneilla@lafayette.edu

Lisa Rex
Deputy Coordinator
Director of Human Resources-Employment
12 Markle Hall
(610) 330-5060
rexl@lafayette.edu

Jennifer Dize
Deputy Coordinator
Director of Student Conduct
Kirby House
(610) 330-5082
dizej@lafayette.edu

Terrence Haynes
Deputy Coordinator
Assistant Director of Residence Life
South College 125
(610) 330-3290
haynest@lafayette.edu

*Reports can be made in person during regular business hours. Appointments are encouraged. Individuals may also report to the Title IX Coordinators through the reporting tool located at <http://sash.lafayette.edu>. The reporting tool is only monitored during regular business hours and should not be used in emergencies or situations where an immediate response is required. In such situations, call a SASH advisor (610) 330-5964 or Public Safety at (610) 330-4444 (emergency), or (610) 330-5330 (non-emergency) *[Revised per Faculty Motion 16-15]*

*a. Notice Received by the Title IX and Equity Coordinator *[Revised per Faculty Motion 16-15]*

*When the Title IX and Equity Coordinator receives information about a potential violation of this policy, the Title IX and Equity Coordinator will conduct a Title IX assessment. The first step of this assessment will usually be a meeting with the Title IX and Equity Coordinator and the complainant. The Title IX and Equity Coordinator will invite appropriate administrators to participate throughout the assessment. *[Revised per Faculty Motion 16-15]*

*b. Title IX Assessment *[Revised per Faculty Motion 16-15]*

*As part of the Title IX assessment, the College will assess the nature of the allegation, address immediate needs of the complainant and the campus community, discuss available procedural options, determine the complainant's preference for resolution, provide the complainant with information about resources both on and off campus, and assess for pattern evidence or other similar conduct by the respondent. This assessment will continue until the

College has sufficient information to determine an appropriate course of action.
[Revised per Faculty Motion 16-15]

*If the complainant requests confidentiality or asks that a complaint not be pursued, the Title IX and Equity Coordinator will consider this request in the context of the College's responsibility to provide a safe and non-discriminatory environment for all members of the College community. The College, through the Title IX and Equity Coordinator, will take reasonable steps to respond in a manner consistent with the complainant's request; however, the response may be limited. Additionally, there may be situations in which the College must override a request in order to meet its Title IX obligations. *[Revised per Faculty Motion 16-15]*

B.1.5.2.2 Confidential Reporting and Resources *[Revised per Faculty Motion 16-15]

*Several campus professionals are designated confidential resources where members of the community can seek counseling and guidance. Professional, licensed mental health professionals and pastoral counselors whose official responsibilities include providing mental-health counseling or pastoral care to members of the College community are not required to report any information about an incident to the Title IX and Equity Coordinator without an individual's permission. In rare circumstances, these individuals may have other reporting obligations under the law (for example, abuse of a minor). The following is the contact information for these individuals: *[Revised per Faculty Motion 16-15]*

The Counseling Center
Bailey Health Center, 2nd Floor
(610) 330-5005
Call for information about walk-in hours and appointments

College Chaplain, Alex Hendrickson
115C Farinon
(610) 330-5959

Available during regular business hours

B.1.5.2.3 Private Reporting (Mostly Confidential) *[Revised per Faculty Motion 16-15]

*Some College employees, designated under Private Reporting, can talk to a complainant without being required to disclose the name of the complainant or other personally identifiable information to the Title IX and Equity Coordinator. These employees are only required to share a limited report to inform the Title IX and Equity Coordinator of the date, time, general location, and nature of the allegations. This general information is necessary in order for the College to track patterns appropriately, evaluate the scope of the problem, and formulate appropriate campus-wide responses. The following is contact information for those who serve in this private reporting role: *[Revised per Faculty Motion 16-15]*

Bailey Health Center (Medical)
607 High St.
(S.W. Corner of High & McCartney Sts.)
(610) 330-5001

*SASH Advisors are members of the College faculty and staff who are trained to provide general informal and resource referral regarding sexual and gender-based harassment (which includes sexual assault, sexual exploitation, domestic violence,

dating violence, and stalking). Individuals do not have to provide any identifiable information when speaking to a SASH Advisor. While SASH Advisors may generally keep any personally identifiable information private, this cannot be guaranteed. There may be times when this information must be shared with the Title IX and Equity Coordinator to ensure an appropriate institutional response. *[Revised per Faculty Motion 16-15]*

SASH Advisor on call 24/7: (610) 330-5964

B.1.5.2.4 Reporting to Responsible Employees *[Revised per Faculty Motion 16-15]

A Responsible Employee is a College employee who has the authority to redress sexual or gender-based misconduct or who has the duty to report sexual or gender-based misconduct, or whom a student could reasonably identify as having this authority or duty.

*Lafayette College has designated all faculty (including visiting faculty) and all administrators as Responsible Employees. Examples of administrators include: Public Safety Officers or other Campus Security Personnel, Residence Life Staff, and Campus Life Staff including Athletic Coaches and Trainers. Resident Advisors are also Responsible Employees. For a complete list of Responsible Employees, visit <http://sash.lafayette.edu>. *[Revised per Faculty Motion 16-15]*

*According to this Policy, whenever a Responsible Employee is told or becomes aware of any information related to alleged sexual or gender-based misconduct, the Responsible Employee must share all relevant information about the alleged incident with the Title IX and Equity Coordinator or a Deputy Title IX Coordinator. The Responsible Employee is only responsible for sharing what was disclosed and should not attempt to investigate the allegations. To the extent possible, information reported to a Responsible Employee will be shared only with people responsible for handling the College's response to the report. *[Revised per Faculty Motion 16-15]*

*Before a complainant reveals any information to the Responsible Employee, the Responsible Employee will do her or his best to ensure that the complainant understands the limitations on confidentiality and the obligation of the Responsible Employee to disclose personally identifiable information to the Title IX and Equity Coordinator. If, as a result, the complainant prefers to consult with a confidential resource the Responsible Employee should assist with an appropriate referral prior to the complainant's disclosure of details pertinent to the sexual misconduct. *[Revised per Faculty Motion 16-15]*

*If the complainant decides to report an incident to a Responsible Employee, but requests that the Responsible Employee maintain confidentiality or requests that no investigation into the incident be conducted or disciplinary action be taken, the Responsible Employee should inform the complainant that the Title IX and Equity Coordinator will review the information and consider the request for such confidentiality/non-action, but should explain that confidentiality/non-action cannot be guaranteed. *[Revised per Faculty Motion 16-15]*

B.1.5.2.5 Reporting to Public Safety *[Revised per Faculty Motion 16-15]

*The Department of Public Safety is available 24 hours a day to receive complaints regarding sexual or gender-based harassment (which includes sexual assault, sexual exploitation, domestic violence, dating violence, and stalking) and may be reached at (610) 330-4444 (emergency), or (610) 330-5330 (non-emergency). A complainant

who wishes to file a criminal complaint regarding sexual misconduct may also contact the Department of Public Safety. *[Revised per Faculty Motion 16-15]*

*The College's website for Sexual Violence Prevention, Education and Response (sash.lafayette.edu) provides the most comprehensive and current list of available on- and off-campus resources and support services for complainants and respondents. *[Revised per Faculty Motion 16-15]*

B.1.5.3 Amnesty Statement

*Sometimes, individuals are hesitant to report to College officials an incident of sexual assault, sexual exploitation, domestic violence, dating violence or stalking because they fear that they themselves may face disciplinary sanctions as a result of their own violation of College Policy. To encourage reporting, and the free exchange of information, the College will generally not proceed with disciplinary proceedings against an individual involved in an investigation related to sexual assault, sexual exploitation, domestic violence, dating violence, or stalking for misconduct that occurred in relation to the reported incident provided the misconduct did not jeopardize the health or safety of others. *[Revised per Faculty Motion 16-15]*

B.1.5.4 External Remedies

*Sexual assault, exploitation, domestic violence, dating violence, and stalking are criminal acts which may also subject the respondent to criminal and civil penalties under federal and state law. Lafayette College expects all members of the College community to uphold the laws of the Commonwealth of Pennsylvania and the United States regarding sexual assault, domestic violence, dating violence, and stalking. In addition to any sanction that may be imposed by the College for violations of this Policy, a member of the College community who commits sexual assault, domestic violence, dating violence, or stalking may be subject to criminal sanctions and personal civil liabilities independent of those imposed by the College. Nothing in this Policy shall prevent the complainant or the accused from filing a complaint with the appropriate local, state, or federal agency or in a court with jurisdiction. *[Revised per Faculty Motion 16-15]*

B.1.5.5 Formal Complaint Procedure

*Persons wishing to file formal complaints internally to Lafayette College of sexual assault, sexual exploitation, domestic violence, dating violence, or stalking will be directed to the Title IX and Equity Coordinator or designee who will review the allegations and conduct an initial Title IX assessment (See Section V.B.1.a. above). Once the assessment is complete, the Title IX and Equity Coordinator or designee will appoint an investigator or team of investigators to conduct an investigation. *[Revised per Faculty Motion 16-15]*

B.1.6 Disciplinary Proceedings

*When appropriate, disciplinary proceedings will be initiated. If the complainant requests disciplinary proceedings not be instituted, the Title IX and Equity Coordinator or designee will consider this request in the context of the College's responsibility to provide a safe and non-discriminatory environment for all members of the College community. There may be situations in which the College must override a request in order to meet its Title IX obligations. *[Revised per Faculty Motion 16-15]*

*The investigator(s) and Title IX and Equity Coordinator or designee will provide the results of investigations to the appropriate responsible College Officer. This includes complaints against: (i) students to the Vice President for Campus Life or a designee; (ii) faculty to the Provost; and (iii) staff members to the Associate Vice President of Human Resources. If the respondent is a student, discipline will be handled in accordance with the procedures noted in the Student Code of Conduct which can be found in the Student Handbook. If the respondent is a faculty or staff member, the responsible College Officer will commence disciplinary action according to the disciplinary procedures applicable to the accused individual(s). The responsible College Officer will inform the complainant and the respondent of the applicable policies and procedures to be followed. *[Revised per Faculty Motion 16-15]*

*In situations involving sexual assault, sexual exploitation, domestic violence, dating violence, or stalking, the applicable disciplinary procedures as referenced in this document will be adapted as necessary to ensure the following: *[Revised per Faculty Motion 16-15]*

1. The disciplinary process will be prompt, fair, and equitable, and will be conducted by annually trained and impartial officials who do not have a conflict of interest or a bias for or against the complainant or the respondent.
2. Both the complainant and respondent will have the same opportunities to be accompanied to any related meeting or proceeding by others including an adviser of their choice. Applicable disciplinary procedures should be reviewed for information regarding the way in which an adviser may participate in these meetings and proceedings, but any restrictions placed on an adviser's participation will be applied equally to both parties.
3. *The decision of finding an individual responsible for a violation of sexual assault, sexual exploitation, domestic violence, dating violence or stalking will be made using the "more likely than not" standard. *[Revised per Faculty Motion 16-15]*
4. Both the complainant and the respondent will be simultaneously notified, in writing, of:
 - a. the outcome of any disciplinary proceedings
 - b. the procedures to appeal the outcome, if applicable
 - c. any changes to the outcome prior to the outcome becoming final
 - d. the final determination and sanction, if any, following any appeal or when the appeal period lapses.

Sanctions

As appropriate, a complaint will lead to disciplinary sanctions as follows:

For staff and faculty, College sanctions, up to and including separation from the College, will be imposed upon those determined to have violated this Policy.

For students, sanctions, up to and including expulsion from the College, will be imposed upon those determined to have violated this Policy. A complete list of sanctions that may be imposed is set forth in the College's Student Code of Conduct.

For members of a College affiliated group or organization determined to have violated this Policy, the group or organization is subject to sanctions up to and including revocation of the College's recognition of or affiliation with the group or organization. A complete list of sanctions that may be imposed is set forth in the College's Student Code of Conduct.

B.1.7 Retaliation Prohibited

*Retaliation against any individual who makes, or assists with, a report or complaint of sexual assault, sexual exploitation, domestic violence, dating violence, or stalking is strictly prohibited. Any person who engages in such retaliation shall be subject to disciplinary action. **[Revised per Faculty Motion 16-15]**

B.1.8 Title IX-Related Complaints

*If the complainant or the accused feels that this policy or relevant procedures are not compliant with Title IX, or that the College has not carried out its duties appropriately as outlined in this policy, he/she may raise these concerns with the Title IX Coordinator or a Deputy Coordinator, the Vice President for Campus Life (for students), the director of Human Resources (for employees) or the President of the College. For information about Title IX, visit the DOE website (<http://www2.ed.gov/policy/rights/guid/ocr/sex.html>). **[Revised per Faculty Motion 16-15]**

Individuals may also direct complaints to the Department of Education's Office for Civil Rights:

Philadelphia Office

The Wanamaker Building
100 Penn Square East, Suite 515
Philadelphia, PA 19107-3323
Telephone: (215) 656-8541
Fax: (215) 656-8605
Email: OCR.Philadelphia@ed.gov

B.2 Lafayette College Policy on Sexual Harassment

B.2.1 Statement of Purpose

Lafayette College is committed to providing a learning and working environment that emphasizes the dignity and worth of every member of its community. In order to create and maintain such an environment, the College recognizes that all members of the College community are responsible for ensuring that Lafayette College is free from harassment based on sex or gender. Sexual and gender-based harassment in any form or context subverts the mission and the work of the College and can threaten the career, educational experience, and well-being of students, faculty, and staff.

Lafayette College is, further, committed to freedom of thought, discourse, and speech and the attainment of the highest quality of academic and educational pursuits. Consistent with the College's policy on academic freedom (*Faculty Handbook*, Appendix A), Lafayette's harassment policy is not meant to prohibit or inhibit educational content or discussions that include controversial or sensitive subject matters. In articulating this policy, the College affirms its adherence to the principle of academic freedom as well as its commitment to providing a learning and working environment free of sexual and gender-based harassment.

Title IX of the Education Amendments of 1972 prohibits discrimination on the basis of sex or gender in the College's programs and activities. The College will provide a prompt and equitable response to complaints or notice it receives about prohibited conduct with measures designed to stop the behavior, prevent its recurrence, and address any adverse effects of such conduct in College-related programs or activities.

B.2.2 Policy on Sexual and Gender-Based Harassment and Other Prohibited Conduct

B.2.2.1 General Rule Prohibiting Sexual and Gender-Based Harassment

Sexual and gender-based harassment are forms of discrimination which violate the standards of conduct expected of every member of the College community and are strictly prohibited. This policy prohibiting sexual and gender-based harassment applies to the conduct of all community members including students, employees, volunteers, and other third-parties. Sexual and/or gender-based harassment will not be tolerated in any context or position whether it be between faculty and students, faculty and other faculty, coaches and athletes, supervisors and employees, staff and students, students and other students, workers and coworkers, or others. This general rule prohibiting sexual and gender-based harassment applies equally regardless of the relative status or position of the individuals involved.

All community members have a responsibility to adhere to College policies, as well as local, state, and federal laws. This policy applies to conduct occurring on Lafayette College property as well as at College-sanctioned events that take place off campus. This policy also applies to off-campus conduct.

The prohibited conduct defined in this policy can be committed by individuals of any gender and can occur between individuals of the same gender or different genders.

B.2.2.2 Forms of Sexual and Gender-Based Harassment

1. Sexual Harassment:

There are two types of sexual harassment: quid pro quo and hostile environment.

a. Quid Pro Quo:

Quid pro quo sexual harassment includes unwelcome conduct of a sexual nature such as unwelcome sexual advances, unwelcome requests for sexual favors, or other unwelcome expressive, visual, or physical conduct of a sexual nature when:

- submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment, academic standing, or status in a course, program, or activity; or
- submission to or rejection of such conduct is used as a basis for an employment-related, educational, or other decision(s) affecting evaluation, grades, or advancement.

b. Hostile Environment:

A "hostile environment" exists when unwelcome conduct of a sexual nature (such as unwelcome sexual advances, unwelcome requests for sexual favors, or other unwelcome expressive, visual, or physical conduct of a sexual nature) has the purpose or effect of unreasonably interfering with an individual's work, educational participation or performance, or status, i.e., it is sufficiently severe, persistent, or pervasive as to create an intimidating, offensive, demeaning, or humiliating educational, residential, or working environment. Sexual conduct is unwelcome if it is not solicited or invited and the recipient considers it undesirable or offensive.

In order to constitute a violation, the hostile environment must be subjectively perceived by the complainant, and that perception must be reasonable for a person in the complainant's position. Whether the conduct creates a hostile environment depends on a variety of factors, including but not limited to: the degree to which the conduct affected one or more person's education or employment; the type, frequency, and duration of the conduct; the relationship between the parties; the number of people involved; and the context in which the conduct occurred. Sexual and gender-based harassment may be at issue even in relationships that begin as welcome.

Examples of behavior that might be considered conduct of a sexual nature include, but are not limited to:

- unwelcome sexual attention, propositions, touching, or other verbal or physical conduct of a sexual nature;
- unwelcome sexual or gender-specific innuendo or jokes; humor about sex-specific or gender-specific traits; sexual slurs or derogatory language directed at another person's sexuality or gender;
- unwelcome oral, written, or electronic communications of a sexual nature;
- written graffiti or the display or distribution of sexually explicit drawings, pictures, or written materials; sexual rumors or ratings of sexual activity or performance; and
- implied or overt threats of punitive action, as a result of rejection of sexual advance.

As described in the Statement of Purpose (section B.2.1), the normal activities of teaching, learning, or producing or consuming artistic or scholarly work will not be construed as "conduct of a sexual nature" merely by virtue of the representation or consideration of sexual matters in the course of these activities.

Other forms of sexual harassment, such as sexual assault, are addressed in Section B.1 above, the College's Policy on Sexual Assault, Domestic Violence, Dating Violence, and Stalking Policy.

2. Gender-Based Harassment:

A gender-based hostile environment exists when verbal, nonverbal, graphic, visual, or physical conduct based on sex, sex stereotyping, or gender identity, but not involving conduct of a sexual nature, is sufficiently severe, persistent, or pervasive as to create intimidating, offensive, demeaning, or humiliating educational, residential, or working environment.

In assessing all related circumstances to determine whether a hostile environment exists, incidents of gender-based harassment combined with incidents of sexual harassment could create a hostile environment, even if neither the gender-based harassment alone nor the sexual harassment alone would be sufficient to do so.

If any gender-based or unwelcome sexual conduct occurs, even if that conduct does not rise to the level of constituting a hostile environment, it is unacceptable and should be reported so that the College can take prompt measures to address the concern before it rises to the level of creating a hostile environment.

3. Retaliation:

Retaliation or retaliatory harassment is intentional action taken by an individual or allied third party that harms an individual as reprisal for reporting in good faith a potential policy violation or for participating in the College's investigation or disciplinary process.

Retaliation against anyone involved in filing a complaint under this policy, filing an external complaint, or participating in the College's investigation or disciplinary process is prohibited.

B.2.2.3. Other Prohibited Conduct

There are risks inherent in any romantic or sexual relationship between individuals in unequal positions. Although such relationships may not constitute harassment, they may compromise the integrity of the educational or employment process. The special relationship between students and teachers, coaches, advisors, or other staff members who counsel them, and employees and their supervisors, requires that special additional rules apply as addressed below.

B.2.2.3.1 Prohibited Relationships between Instructor/Staff Member and Student

- a. While a student is a student of a particular instructor/staff member, the instructor/staff member shall not ask the student for a sexual favor or in other ways make a sexual advance to the student. While a student is a student of a particular instructor/staff member, any romantic advance or sexual relationship between the student and the particular instructor/staff member is prohibited. This rule applies even if the romantic advance or sexual relationship is welcome.

A student is a "student of a particular instructor/staff member":

- (i) when a student is in a course taught by the instructor and/or has not yet received a final grade; or
 - (ii) when a student is assigned to be advised by a particular instructor/staff member;
 - (iii) when a student is an athlete coached by a particular intercollegiate athletic coach or trainer;
 - (iv) when a student is advised by a professional advisory committee member, honors committee member, or member of a comparable committee;
 - (v) at other times when an instructor/staff member has a relationship with a student such that a student's activities at the College are being supervised or evaluated by the instructor/staff member.
- b. Unless prohibited by section B.2.2.3.1.a above, if a welcome sexual and/or romantic relationship develops between a student and an instructor/staff member, the instructor/staff member must not thereafter take part in any activity that involves evaluation of the student's work or performance. If a student later becomes a "student of a particular instructor/staff member," the instructor/staff member shall disclose the existence of such relationship to

the Provost or Vice President of Human Resources, as appropriate, who shall make alternative arrangements for the evaluative process.

B.2.2.3.2. Prohibited Relationships Between Supervisors and Subordinates

Any person (a) who has power, either individually or collectively with others, to dispense or influence rewards or punishments regarding another person, (b) who evaluates the work performance of another person, or (c) to whom another person reports regarding work assignments may not subject such other person to any unwelcome sexual conduct such as an unwelcome sexual advance or request for sexual favors, regardless of whether submission to such conduct is explicitly or implicitly made a basis for a decision affecting such person or whether such conduct creates a hostile environment.

If a welcome sexual and/or romantic relationship develops between a supervisor and a subordinate, or between faculty in the same department or program, the more senior employee must not thereafter take part in any activity that involves evaluation of the other's work. Under such circumstances, the more senior employee shall disclose the existence of such a relationship to the Provost or the Vice President of Human Resources as appropriate, who shall make alternative arrangements for the evaluative process.

B.2.3 Title IX Coordinators

The Title IX and Equity Coordinator coordinates the College's compliance with Title IX. This includes coordinating campus-wide education programming; reviewing policies, procedures, and protocols related to Title IX; and monitoring investigations. The Title IX and Equity Coordinator can be contacted by telephone, by email, or in person during regular office hours. Appointments are encouraged.

Amy O'Neill
Title IX and Equity Coordinator
101 Hogg Hall
610-330-5082
oneilla@lafayette.edu

The College has also appointed Deputy Coordinators to assist with coordinating compliance under Title IX. The Deputy Coordinators can be contacted by telephone, by email, or in person during regular business hours. Appointments are encouraged.

Jennifer Dize
Director of Student Conduct
Kirby House 114
610-330-5082
dizej@lafayette.edu

Lisa Rex
Director of Human Resources—Employment
12 Markle Hall
610-330-5060
rexl@lafayette.edu

The President has the authority to designate more Deputy Coordinators as needed. For a complete list of Coordinators, visit <https://sash.lafayette.edu/>.

B.2.4 Reporting, Resources, and Confidentiality

B.2.4.1 General Information Regarding Confidentiality:

An individual who has experienced sexual or gender-based harassment has a variety of available options and resources. Individuals are encouraged to familiarize themselves with their options and responsibilities before disclosing a potential violation of this policy to a College employee. When the College has notice of a potential violation of this policy, every effort will be made to protect the privacy interests of all individuals involved in a manner consistent with the need for a thorough review of the allegation(s). If you have any questions or concerns regarding the reporting requirements of individuals, please do not hesitate to ask them. An inquiry into an individual's reporting obligations will not, by itself, trigger an investigation.

B.2.4.2 Reporting Options:

B.2.4.2.1 Reporting to Title IX Coordinators:

The Title IX and Equity Coordinator is responsible for overseeing the College's response to reports of sexual and gender-based harassment. Therefore, the College strongly encourages all individuals to report a potential violation of this policy directly to the Title IX and Equity Coordinator or one of the Deputy Title IX Coordinators.

When the Title IX and Equity Coordinator becomes aware of a complaint or allegations of sexual or gender-based harassment, the Title IX and Equity Coordinator, in conjunction with other relevant administrators, will conduct a Title IX assessment to determine appropriate action. The Title IX Coordinator will maintain as confidential the identity of the complainant, to the extent possible. (See section B.2.5.1 "Notice Received by the Title IX and Equity Coordinator" below.)

Reports can be made in person during regular business hours. Individuals may also report to the Title IX Coordinators through the reporting tool located at <https://sash.lafayette.edu/>. The reporting tool is only checked during regular business hours and should not be used in emergencies or situations where an immediate response is required.

B.2.4.2.2 Confidential Reporting and Resources:

Several campus professionals are designated confidential resources where members of the community can seek counseling and guidance. Professional, licensed mental health professionals and pastoral counselors whose official responsibilities include providing mental-health counseling or pastoral care to members of the College community are not required to report any information about an incident to the Title IX and Equity Coordinator without an individual's permission. In rare circumstances, these individuals may have other reporting obligations under the law (for example, abuse of a minor). The following is the contact information for these individuals:

The Counseling Center
Bailey Health Center, 2nd Floor
610-330-5005
Call for information about walk-in hours and appointments

College Chaplain, Alex Hendrickson
115C Farinon

610-330-5959
Available during regular business hours

B.2.4.2.3 Private Reporting (Mostly Confidential):

Some College employees, designated under Private Reporting, can talk to a complainant without being required to disclose the name of the complainant or other personally identifiable information to the Title IX and Equity Coordinator. These employees are only required to share a limited report to inform the Title IX and Equity Coordinator of the date, time, general location, and nature of the sexual or gender-based harassment. This general information is necessary in order for the College to track patterns appropriately, evaluate the scope of the problem, and formulate appropriate campus-wide responses. Individuals can seek assistance and support from the employees listed below without triggering an investigation that would reveal the identity of the complainant. Before sharing the general report with the Title IX and Equity Coordinator, these employees will work with the complainant to ensure that no personally identifiable details about the complainant are shared. The following is contact information for those who serve in this private reporting role:

SASH Advocates
<https://sash.lafayette.edu/>
SASH Advocate on-call 24/7: 610-330-5964
Bailey Health Center (Medical)
607 High St.
(S.W. Corner of High & McCartney Sts.)
(610) 330-5001

B.2.4.2.4 Reporting to Responsible Employees:

A Responsible Employee is a College employee who has the authority to redress sexual or gender-based harassment or who has the duty to report sexual or gender-based harassment, or whom a student could reasonably identify as having this authority or duty.

Lafayette College has designated all faculty (including visiting faculty) and all administrators as Responsible Employees. Examples of administrators include: Public Safety Officers or other Campus Security Personnel, Residence Life Staff, and Student Life Staff including Athletic Coaches and Trainers. Resident Assistants are also Responsible Employees. For a complete list of Responsible Employees, visit <https://sash.lafayette.edu/>.

According to this Policy, whenever a Responsible Employee is told or becomes aware of any information related to alleged sexual or gender-based harassment, the Responsible Employee must share all relevant information about the alleged incident with the Title IX and Equity Coordinator or a Deputy Title IX Coordinator. The Responsible Employee is only responsible for sharing what was disclosed and should not attempt to investigate the allegations. To the extent possible, information reported to a Responsible Employee will be shared only with people responsible for handling the College's response to the report.

Before a complainant reveals any information to the Responsible Employee, the Responsible Employee will do her or his best to ensure that the complainant understands the limitations on confidentiality and the obligation of the Responsible Employee to disclose personally identifiable information to the Title IX and Equity Coordinator. If, as a result, the complainant prefers to consult with a confidential

resource (as described in section B.2.4.2.2 above), the Responsible Employee should assist with an appropriate referral prior to the complainant's disclosure of details pertinent to the sexual or gender-based harassment.

If the complainant decides to report an incident to a Responsible Employee, but requests that the Responsible Employee maintain confidentiality or requests that no investigation into the incident be conducted or disciplinary action be taken, the Responsible Employee should inform the complainant that the Title IX and Equity Coordinator will review the information and consider the request for such confidentiality/non-action, but should explain that confidentiality/non-action cannot be guaranteed.

B.2.4.2.5 Reporting to Public Safety:

The Office of Public Safety is available 24 hours a day to receive complaints regarding sexual or gender-based harassment and may be reached at (610) 330-4444 (emergency), or (610) 330-5330 (non-emergency). A complainant who wishes to file a criminal complaint regarding sexual misconduct may also contact the Office of Public Safety.

B.2.5 Institutional Response and Available Complaint Procedures

B.2.5.1 Notice Received by the Title IX and Equity Coordinator

When the Title IX and Equity Coordinator receives information about a potential violation of this policy, the Title IX and Equity Coordinator will conduct a Title IX assessment. The first step of this assessment will usually be a meeting with the Title IX and Equity Coordinator and the complainant. The Title IX and Equity Coordinator will invite appropriate administrators to participate throughout the assessment.

As part of the Title IX assessment, the College will assess the nature of the allegation, address immediate needs of the complainant and the campus community, discuss available procedural options and determine the complainant's preference for resolution (whether to pursue an informal resolution, a formal resolution, or not to pursue a resolution of any kind), provide the complainant with information about resources both on and off campus, and assess for pattern evidence or other similar conduct by the respondent. This assessment will continue until the College has sufficient information to determine an appropriate course of action.

If the complainant requests confidentiality, asks that the complaint not be pursued, or does not respond to requests for a meeting, the Title IX and Equity Coordinator will consider this request in the context of the College's responsibility to provide a safe and non-discriminatory environment for all members of the College community. The College, through the Title IX and Equity Coordinator, will take reasonable steps to respond in a manner consistent with the complainant's request; however, the response may be limited. Additionally, there may be situations in which the College must override a request in order to meet its Title IX obligations.

B.2.5.2 Available Complaint Procedures

B.2.5.2.1 Overview

The following informal and formal procedures are intended to afford a prompt and equitable response to complaints of sexual and gender-based harassment and other conduct prohibited under this policy. They are designed to ensure fairness, maintain

privacy, and enable the imposition of appropriate sanctions on members of the College community who violate this policy. Resources are available for both students and employees, whether as complainants or respondents, to provide guidance throughout the investigation and resolution of the complaint.

The informal and formal complaint procedures set forth below are internal administrative procedures of the College. As to those forms of sexual or gender-based harassment that also violate state or federal law, an aggrieved person may also file a complaint simultaneously or thereafter with the appropriate local, state, or federal agency (such as the Office for Civil Rights) or in a court with jurisdiction. (See section B.2.6 “External Remedies” below.)

B.2.5.2.2 Informal Resolution Procedures

In cases involving allegations of sexual and gender-based harassment, the Title IX and Equity Coordinator will determine whether there is an appropriate facilitated informal resolution mechanism that may be considered. This determination will be made when the College has completed a Title IX assessment. (See section B.2.5.1 “Notice Received by the Title IX and Equity Coordinator.”) Upon determining that a facilitated informal resolution is appropriate, the Title IX and Equity Coordinator will work with relevant administrators to coordinate an informal resolution. This may include shuttle diplomacy, facilitated conversation, training and education for individuals or groups, and/or any other remedy that can be tailored to the involved individuals to achieve the goals of this policy.

If it is determined that a facilitated informal resolution may be appropriate, the Title IX and Equity Coordinator will speak with the complainant about this option. If the complainant agrees, the Title IX and Equity Coordinator (or other administrator in consultation with the Title IX and Equity Coordinator) will speak with the respondent. Informal resolution will be pursued only with the consent of both parties, and a complainant or respondent has the right to end the informal resolution process at any time and begin the formal resolution process. If the facilitated informal process results in a resolution, both parties will receive outcome notification that the process has concluded and the case will be closed.

If the parties are unable to reach a resolution in a timely manner (normally within 45 days), or if either party requests to terminate the informal resolution process, the formal complaint process will proceed.

The use of the informal resolution process is not a prerequisite to initiating formal resolution procedures. The College will never require the complainant to work out the problem directly with the respondent. Informal resolution (such as mediation) is never permitted in cases involving sexual violence.

Informal resolution eliminates a potential hostile environment by identifying and implementing remedies to eliminate the harassment, address its effects, and prevent its recurrence. Because it does not involve a formal adjudication process, it does not result in disciplinary action against the respondent.

Anyone who has an inquiry or who is requesting an informal resolution may bring a support person to meetings with the Title IX and Equity Coordinator and/or designee as long as that person agrees to be bound by the confidentiality provisions of this policy.

B.2.5.2.3 Formal Complaint Procedures

In circumstances where the Title IX Coordinator determines that the matter is not appropriate for informal resolution, or where the complainant does not wish to pursue or withdraws from the informal resolution process, or the informal resolution process is unsuccessful, and the Title IX Coordinator, after completing the Title IX assessment (see section B.2.5.1 “Notice Received by the Title IX and Equity Coordinator”), concludes that there is sufficient information to warrant an investigation, then the Title IX and Equity Coordinator will refer the case to the responsible officer who shall proceed as provided below. Because the relationship between the College and students, staff, and faculty differs in nature, the procedures that apply when seeking action against such individuals differ as well. However, each of the procedures is guided by the principles of fundamental fairness and respect for all parties and include the following: notice, an equitable opportunity to be heard, and an equitable opportunity to respond.

The responsible officer shall refer the complaint to an internal or external investigator (or, if needed, an investigation team) who shall conduct an investigation to determine whether there is a reasonable basis to believe that the policy has been violated. All investigators must have specific training and/or experience investigating allegations of sexual and gender-based harassment.

The investigator shall inform the responsible officer and the Title IX and Equity Coordinator in writing of the results of their investigation and their conclusion, normally within 10 calendar days. Both parties shall be notified in writing if the Title IX and Equity Coordinator deems it warranted to extend this time period.

If the investigator or investigation team concludes that there is a reasonable basis to believe that the policy has been violated, the responsible officer shall then cause a hearing to occur pursuant to the relevant procedures below:

- a. for alleged violations of this policy by students, the dean of students (or designee) will initiate procedures applicable to charges of sexual misconduct that can be found in the [student handbook](#);
- b. for alleged violations of this policy by staff members not in the bargaining unit, the College officer responsible for the division employing the respondent will initiate procedures that can be found at <https://hr.lafayette.edu/wp-content/uploads/sites/24/2011/01/Equal-Employment-Opportunity-120613.pdf>;
- c. for alleged violations of this policy by union staff members, the Vice President for Human Resources will initiate procedures in accordance with the collective bargaining agreement found at <https://hr.lafayette.edu/wp-content/uploads/sites/24/2011/01/Equal-Employment-Opportunity-120613.pdf>;
- d. for alleged violations of this policy by members of the faculty (including, in any teaching role, administrators with faculty status), the Provost (or designee) will initiate procedures in accordance with section B.3;
- e. for alleged violations of this policy arising out of the teaching role of any other instructor of a course, the Provost (or designee) will initiate disciplinary procedures in accordance with the attached procedure; and
- f. for any other alleged violation of this policy, the President (or designee) will initiate appropriate disciplinary procedures.

The individuals identified in a-f above may consult with the Title IX Coordinator as needed.

If the complainant or the respondent feels that a complaint brought under this policy was not promptly resolved with due regard for the rights of the parties involved, s/he should bring these concerns to the Title IX and Equity Coordinator. If the concern involves the Title IX and Equity Coordinator, it should be brought to the President.

Even if the respondent is a third party and not a student or employee, the College will promptly and equitably respond to all reports of sexual and/or gender-based harassment against students or employees in a manner that is reasonable to eliminate the harassment, prevent its recurrence, and address its effects on any individual or the community.

B.2.6 External Remedies

Lafayette College expects all members of the College community to uphold the laws of the Commonwealth of Pennsylvania and the United States regarding sexual and/or gender-based harassment. Sexual and gender-based harassment also constitutes sex discrimination which is illegal under Title VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, and the laws of the Commonwealth of Pennsylvania. In addition to any sanctions that may be imposed by the College for violations of this policy, a member of the College community who sexually harasses (including gender-based harassment) another member may be held personally liable to the victim and be subject to sanctions independent of those imposed by the College. Nothing in this policy shall prevent the complainant or the respondent from filing a complaint with the appropriate local, state, or federal agency or in a court with jurisdiction. If the complainant or the respondent feels that a sexual harassment complaint was not promptly resolved by the College with due regard for the rights of the parties involved as afforded to them by Title IX of the Education Amendments of 1972, either party may file a formal complaint with the Title IX and Equity Coordinator or the Office for Civil Rights:

Office for Civil Rights, Philadelphia Office
U.S. Department of Education
100 Penn Square East, Suite 515
Philadelphia, PA 19107-3323
Telephone: 215-656-8541
Fax: 215-656-8605
E-mail: OCR.Philadelphia@ed.gov

B.2.7 Education and Prevention Programs

The Title IX and Equity Coordinator works with all campus divisions to provide education about sexual and gender-based harassment to meet campus and compliance needs. In an effort to prevent and eliminate sexual misconduct, Lafayette College maintains an informative website about the sexual and gender-based harassment policy, procedures, prevention, and response. Education efforts will be reviewed periodically by the Title IX and Equity Coordinator and the Presidential Oversight Committee on Sexual Assault and Sexual Harassment (POCSASH).

Questions regarding Title IX may be referred to the College's Title IX and Equity Coordinator or the Office for Civil Rights.

B.2.8 Policy Distribution and Review

This policy will be widely distributed on campus and available on sash.lafayette.edu and hr.lafayette.edu so that all students, faculty, and staff will be made aware of it upon their arrival and at the beginning of each academic year.

The Title IX and Equity Coordinator and the Presidential Oversight Committee on Sexual Assault and Sexual Harassment will review the Policy on Sexual and Gender-Based Harassment and Other Prohibited Conduct and related procedures on a periodic basis in order to capture evolving legal requirements and improve the delivery of services.

B.3 Formal Complaint Procedure for Alleged Violations of the Sexual and Gender-Based Harassment Policy by Members of the Faculty or by Instructors of a Course

B.3.1 Members of the College community who believe that they have been subjected to sexual or gender-based harassment or other violations of the policy by a member of the faculty or by an instructor of a course should speak with the College's Title IX and Equity Coordinator or a Deputy Coordinator as listed in the College's Sexual and Gender-Based Harassment Policy. Complaints made to Responsible Employees will be forwarded to the Title IX and Equity Coordinator.

B.3.2 If a formal complaint is filed against a faculty member, the Title IX and Equity Coordinator will refer the case to the Provost who will inform the respondent of the filing of the complaint and of the applicable policies and procedures. The Provost shall provide the respondent with a copy of the complaint or summary of the allegations if the complaint was made verbally. The respondent shall have seven days to respond. The Provost will then refer the case to an external investigator to conduct an investigation. In cases where the Provost is the complainant or the respondent, the EEO officer of the College shall act in place of the Provost. The purpose of the investigation is to determine whether there is a reasonable basis for concluding that a violation of the College's sexual and gender-based harassment policy has occurred. The external investigator shall proceed with the investigation, which may entail interviews of the complainant, the respondent, and other persons believed to have pertinent factual knowledge. During the investigation, every reasonable effort shall be made to protect the privacy rights of all parties, but confidentiality cannot be guaranteed.

B.3.3 The College will aim to resolve all cases, not including the appeal period, normally within 60 calendar days after the Provost refers the case to an external investigator. Extensions may be approved by the Provost if circumstances warrant, such as the complexity of the investigation, school breaks, or witness availability. The Title IX and Equity Coordinator or the Provost will update both parties, in writing, when it is determined that the designated time frame cannot be met.

B.3.4 Following the investigation, the external investigator shall determine whether there is a reasonable basis to conclude that a violation of the College's sexual and gender-based harassment policy has occurred. The external investigator shall provide her/his findings and conclusion, in writing, in a report to the Provost normally within 10 calendar days. Based on the investigator's findings and conclusion, the Provost shall attempt to negotiate a resolution of the complaint, agreeable to all parties. If a negotiated resolution cannot be reached, the respondent and complainant will be provided copies of the investigator's report, and the case will proceed as described below.

B.3.5 The Provost shall inform the Chair of the Appeal and Grievance Committee about the general nature of the case in order that a Hearing Committee can be formed. The Hearing Committee shall be comprised of five tenured faculty. The Chair shall appoint any three of the five members of the Appeal and Grievance Committee to serve on the Hearing Committee, and those three members shall then select the other two members of the Hearing Committee from outside the Appeal and Grievance Committee. Prior to the actual appointment of members of the Hearing

Committee at each of the two stages, the Provost shall be consulted to ensure that no proposed member is involved in the particular case or a member of the same academic department as the respondent or the complainant. In forming the Hearing Committee, an effort should be made to achieve diversity with respect to gender and disciplinary perspective. In all cases, members of the Hearing Committee should consider themselves to be disinterested parties. The Hearing Committee thus constituted shall elect a Chair and be assigned a secretary, normally from the President's office, who shall provide the Hearing Committee with all requisite clerical assistance throughout the formal hearing process. In circumstances that warrant the Hearing Committee having access to an independent counsel, the Hearing Committee shall have access to such counsel arranged through the College's Office of General Counsel. This independent counsel shall not be allowed to attend the hearing but is provided to assist the Hearing Committee when such assistance is requested. Additionally, counsel will ensure that the panel is properly trained to conduct investigations and adjudications on sexual and gender-based harassment, and provide additional training as needed. [Rev. 01-8]

B.3.6 Promptly after the Hearing Committee is formed, the Provost shall provide the Hearing Committee, through the Hearing Committee Chair, with a copy of the original complaint or summary of allegations, the responses to the complaint or summary of allegations, and the investigative report. The Hearing Committee shall normally hold a hearing within 10 calendar days of its formation. The Chair of the Hearing Committee shall notify the respondent, the complainant, the Title IX and Equity Coordinator, the Provost, and the President of the time, place, and date so scheduled by certified mail, return receipt requested.

B.3.7 The entire proceedings of the hearing shall be recorded by a professional stenographer, and an accurate transcript shall be promptly produced from that stenographic record and made available to the Hearing Committee. The Chair of the Hearing Committee shall preside over the proceedings and shall act to ensure a fair presentation of all evidence and an equitable treatment of both parties, and to maintain decorum. Both the complainant and the respondent have the right to be present during the proceedings. Each party and the complainant in the case may be accompanied only by counsel chosen by her/him from the Faculty or Administration of the College. Procedures shall not follow formal rules of evidence, but special care shall be taken in evaluating evidence to ensure fairness and relevance.

B.3.8 At the hearing, the Provost or her/his designee presents the case for the College, and the respondent presents her/his case. The respondent shall be presumed not to have violated the College's sexual and gender-based harassment policy. The Hearing Committee shall determine by a preponderance of the evidence whether the policy has been violated. During the hearing, the parties (the Provost or her/his designee and the respondent) shall have the following rights: to present and examine witnesses; to introduce evidence that has been previously made available to the Hearing Committee and, through the Hearing Committee, to the opposite party; to conduct reasonable cross-examination of any witness on any matter relevant to the issue of the hearing (subject to the provisions regarding cross-examination of the complainant as set forth below); and to offer relevant evidence in rebuttal. Each party shall give the Hearing Committee a list of the names of all witnesses and copies of all documentary and other evidence at least 72 hours before the hearing begins, or, in the event that a party would like to offer rebuttal evidence, at least 24 hours prior to the use of that rebuttal evidence. The Hearing Committee shall provide copies of any such witness lists or evidence to the opposing party as promptly as possible, and a list of all witnesses to be summoned by the Hearing Committee shall be made available to both parties within 48 hours before the hearing begins. Copies of all evidence received or gathered by the Hearing Committee at any stage shall be made available promptly to both parties, and no new witness(es) may be summoned by either party or by the Hearing Committee without the Hearing Committee giving both parties 24-hour notice in advance. At its discretion, the Hearing Committee has the authority to gather such additional evidence as it deems relevant, including calling and questioning the complainant if the Provost or her/his designee has not called the complainant as a witness and the complainant agrees to testify. The Hearing Committee may also call and question the respondent if the respondent agrees to testify. However, if the complainant or

respondent testifies, the Hearing Committee may elect to require the parties to submit any questions they would like the Hearing Committee to ask on their behalf, and the Hearing Committee shall ask those questions if deems relevant and appropriate to the case. If the complainant or respondent testifies at the hearing, s/he may be accompanied by a counsel chosen by her/him from the Faculty or Administration of the College.

B.3.9 Following the presentation of all evidence, the hearing shall be closed at the time the Hearing Committee deems appropriate. Thereupon, the Hearing Committee shall deliberate in executive session, at a time convenient to itself. The Hearing Committee shall determine by a majority vote whether the preponderance of evidence indicates that the College's sexual harassment policy has been violated. If the Hearing Committee determines that the policy has been violated, then it shall recommend appropriate sanctions. If the Hearing Committee determines that the policy has not been violated, then it shall recommend that the case be dismissed. The Hearing Committee shall record its findings and its recommendations in a written record normally within 5 calendar days of the close of the hearing.

B.3.10 Promptly upon completion of the report, regardless of the Hearing Committee's findings and recommendations, the Chair of the Hearing Committee shall inform the Chair of the Promotion, Tenure, and Review Committee about the general nature of the case in order that a three member Hearing Review Committee can be formed from the Promotion, Tenure, and Review Committee. The Chair of the Promotion, Tenure, and Review Committee shall promptly appoint any three of the six elected members of that Committee to serve on the Hearing Review Committee. Prior to the actual appointment of members of the Hearing Review Committee, the Chair of the Hearing Committee shall be consulted to ensure that no proposed member is involved in the particular case or a member of the same academic department as the respondent. If the hearing was prompted by the filing of a complaint by a faculty member, then the Chair of the Hearing Committee shall also be consulted to ensure that no proposed member of the Hearing Review Committee is a member of the same academic department as the complainant. In all cases, members of the Hearing Review Committee should consider themselves to be disinterested parties. The Hearing Review Committee thus constituted shall elect a chair. Promptly upon being elected, the Chair of the Hearing Review Committee shall notify the Chair of the Hearing Committee of the formation of the Hearing Review Committee. In response, the Chair of the Hearing Committee shall give the Chair of the Hearing Review Committee the written report of the findings and recommendations of the Hearing Committee with full explanatory justification and a summary of dissenting opinion, along with the full record of the Hearing, including the transcript, all documentary evidence, and all written communications between the Hearing Committee and the parties. The three members of the Hearing Review Committee are the only persons who shall receive the Hearing Committee's report and the record of the hearing at this time. A copy of the written report of the findings and recommendations of the Hearing Committee with full explanatory justification and a summary of dissenting opinion, along with the full record of the hearing, including the transcript, all documentary evidence, and all written communications between the Hearing Committee and the parties, will be available in the President's suite for the respondent, the complainant, and the Provost, with or without counsel chosen from the College. In circumstances that warrant the Hearing Review Committee having access to independent counsel, the Hearing Review Committee shall have access to such counsel arranged through the College's Office of General Counsel. This independent counsel shall not attend deliberations of the Hearing Review Committee but is provided to assist the Hearing Review Committee when such assistance is requested. Additionally, counsel will ensure that the Hearing Review Committee is properly trained to review cases of sexual and gender-based harassment and conduct additional training as needed.

B.3.11 The charge of the Hearing Review Committee is to evaluate the integrity of the entire Hearing process and to ensure fairness to all parties. The role of the Hearing Review Committee is not to question or reevaluate the Hearing Committee's factual findings or substitute its judgment for that of the Hearing Committee. In addition, it is not the role of the Hearing Review Committee to question or reevaluate the Hearing Committee's recommendations, except as

provided in "e" below. The Hearing Review Committee shall review the report of the Hearing Committee and the full record of the hearing, and any written statement(s) about the hearing based on "a," "b," "c," "d," or "e" below that might be submitted by the respondent, complainant, or the Provost, and shall determine whether the Hearing was properly conducted. The Hearing Review Committee shall determine that the Hearing was not properly conducted if:

- a. the Hearing Committee committed a procedural error that had a material (i.e., so substantial and important as to have been decisive) effect on its findings and recommendations, or did not take into account a procedural error that occurred in an earlier stage of the process and that had a material effect on its findings and recommendations; or
- b. the Hearing Committee violated the professional, academic, or EEO rights of the respondent or of the complainant, or did not take into account an earlier violation of those rights, in such a way as to have a material effect on its findings and recommendations; or
- c. the hearing was conducted in an unfair or inequitable manner, in such a way as to have a material effect on the Hearing Committee's findings and recommendations; or
- d. the Hearing Committee demonstrably considered non-germane evidence as material; or
- e. the sanction(s) (if any) recommended by the Hearing Committee was (were) not consistent with its factual findings.

The Hearing Review Committee shall reach its determination within 10 days of its receipt of the Hearing Committee's report and the Hearing record. If the Hearing Review Committee determines by a majority vote that the Hearing was properly conducted, the Hearing Review Committee's determination shall, by the end of that 10 day period, be communicated in a written report to the members of the Hearing Committee and the President, who shall also at this time receive the full record of the Hearing and the Hearing Committee's report. (At this stage, the President is the only additional person who shall receive the full record of the hearing and the Hearing Committee's report.) If the Hearing Review Committee determines by a majority vote that the hearing was not properly conducted, the Hearing Review Committee shall ensure that the flaws are corrected as it deems appropriate. Depending on the nature of the flaws, the Hearing Review Committee may require that the Hearing Committee reopen the hearing to (but not beyond) whatever extent might be necessary to correct the flaws, or, in the case of an irreparable procedural impropriety, the Hearing Review Committee may require that the Chair of the Appeal and Grievance Committee form a new Hearing Committee to initiate a *de novo* Hearing. (If a *de novo* hearing is called for, the Chair of the Hearing Review Committee shall inform the Provost, complainant, the respondent, and the original Hearing Committee. The full record of the *de novo* Hearing, and the report of the *de novo* Hearing Committee, will be subjected to the same scrutiny by the Hearing Review Committee as were the original Hearing Committee's report and hearing record.) When the Hearing Review Committee has determined by a majority vote that all material flaws have been corrected, and that the hearing was properly conducted, and that any potentially material new evidence that might have been brought to the attention of the Hearing Review Committee by either party has been referred to and fairly and adequately responded to by the Hearing Committee, the Hearing Review Committee shall communicate its determination in a written report to the members of the Hearing Committee and the President, who shall also at this time receive the full record of the hearing and the Hearing Committee's report.

B.3.12 The President shall review the report of the Hearing Committee, the full record of the Hearing (including the transcript), and the report of the Hearing Review Committee; may interview witnesses at her/his discretion; and shall make a decision in the case. The President may request

that the Hearing Committee reconsider the case on a specific ground or grounds. The President's request for reconsideration must be made within 10 calendar days, and the Hearing Committee has another 10 calendar days in which to make a second report. The President shall make a decision on the complaint within 10 calendar days of the Hearing Committee's initial report or its second report. The President may affirm, reject, or modify the recommendations of the Hearing Committee. The President's final decision, in writing, together with copies of the reports of the Hearing Committee and the Hearing Review Committee, must be sent to the complainant, the respondent, the Hearing Committee, the Hearing Review Committee, the Provost, the Title IX and Equity Coordinator, and the Board of Trustees, through its Secretary. Grounds for rejection or modification of the Hearing Committee's recommendations must be stated in writing. In cases where the President is the complainant or the respondent as a result of her/his teaching role, disposition of the complaint is the responsibility of a Review Panel, as described in Appendix D of the Faculty Handbook.

B.3.13 Subsequent to the process described above, if either complainant or respondent does not accept the President's decision, s/he may make a written appeal to the Board of Trustees, through its Secretary, not more than 5 calendar days after receiving the President's written decision. An appeal is permissible only on the ground that the procedures of the College were not properly followed. Normally, the Board does not undertake a *de novo* review. The Chair of the Board may appoint a Board Committee to act on its behalf in considering the appeal. The Board may at its discretion interview such persons as it deems appropriate. The Board may either affirm or overturn the President's decision, or, alternatively, it may request that the case be re-evaluated by either the President or the Hearing Committee. The Board shall report its decision to the respondent, the complainant, the President, the Provost, the Title IX and Equity Coordinator, the Hearing Committee, and the Hearing Review Committee as soon as possible.

B.3.14 If the final determination is that the College's sexual and gender-based harassment policy has been violated, the report of the Hearing Committee and the President's decision shall be placed in the respondent's personnel file. Should the President's recommended sanction be dismissal or suspension, such a sanction is effectuated only by a vote of the Board of Trustees. If the Board has decided in favor of dismissal or suspension of the faculty member from the College, the President shall inform the faculty member of her/his dismissal or suspension. If the President has decided in favor of any other sanction against the faculty member, and the Board has not overturned the President's decision on appeal, the President shall direct the Provost to notify the respondent and impose the sanction. The Provost will notify the complainant of any sanction imposed that is directly related to the complainant.

APPENDIX C

DIVERSITY AND INCLUSIVENESS STATEMENT

Adopted by the Faculty on April 7, 2009 [08-21]
Approved by the Board of Trustees on May 22, 2009

Lafayette College is committed to creating a diverse community: one that is inclusive and responsive, and is supportive of each and all of its faculty, students, and staff. The College seeks to promote diversity in its many manifestations. These include but are not limited to race, ethnicity, socioeconomic status, gender identity and expression, sexual orientation, religion, disability, and place of origin. [Revised per 12-03, Board, Oct. 20, 2012]

The College recognizes that we live in an increasingly interconnected, globalized world, and that students benefit from learning in educational and social contexts, in which there are participants from all manner of backgrounds. The goal is to encourage students to consider diverse experiences and perspectives throughout their lives. All members of the College community share a responsibility for creating, maintaining, and developing a learning environment in which difference is valued, equity is sought, and inclusiveness is practiced.

It is a mission of the College to advance diversity as defined above. The College will continue to assess its progress in a timely manner in order to ensure that its diversity initiatives are effective.

APPENDIX D

POLICY ON EQUAL EMPLOYMENT OPPORTUNITY

Approved by the Board of Trustees on April 16, 1983
Revision Approved by the Faculty on December 2, 1997 [97-10]
Revision Approved by the Board of Trustees on April 4, 1998, Revised 1999, 2012
Revised by the Faculty on October 2, 2012 [12-03] and by the Board of Trustees on October 20, 2012

FACULTY POLICY ON PROFESSIONAL AND ACADEMIC RIGHTS

Adopted by the Faculty on March 3, 1992 [91-25]
Approved by the Board of Trustees on October 22, 1994, Revised 1999

FACULTY GRIEVANCE AND EQUAL EMPLOYMENT OPPORTUNITY GRIEVANCE PROCEDURES

Revised 1997 by the Governance Committee to Conform to Changes in Chapter IV
Revisions approved by the Faculty on December 2, 1997 [97-7] and by the Board of Trustees on January 31, 1998
Revised 1994, Revisions approved by the Board of Trustees on May 21, 1999
Revisions approved by the Faculty on May 2, 2000 [99-31] and by the Board of Trustees on May 19, 2000

D.1 Policy on Equal Employment Opportunity

Lafayette College assures equal employment opportunity in all its personnel policies, which will be administered without regard to race, color, religion, sex, sexual orientation, gender identity and expression, national origin, age, or disability; and further that no employee shall be subjected to harassment by any other employee because of these factors. [Revised 12-03, Board, Oct. 20, 2012]

The College affirms that fair employment practices must be adhered to in order to prevent discrimination and that where any adverse situation exists special efforts are required to eliminate it. The College is pledged to a determined effort in support of these beliefs and the policies outlined in this program.

All employees are responsible for giving this nondiscrimination policy full support through leadership and example. The duty of every employee is to create a work environment which is conducive to our policies on fair employment practices. The oversight of the Equal Opportunity Program has been assigned to the Vice President for Human Resources, who will serve as the Equal Employment Opportunity Officer.

The College affirms that diversity in the teaching staff and in the Administration is valuable. The College will work with and seek assistance from appropriate minority group agencies, educational institutions, and other appropriate entities to achieve this goal.

Although the College assures equal employment opportunity without regard to race, color, religion, sex, sexual orientation, gender identity and expression, national origin, age, or disability, it reserves the right to extend benefits only to employees, spouses of employees, legal dependents of employees, and same-sex domestic partners of employees. [Revised 12-03, Board, Oct. 20, 2012]

An allegation that the College's EEO policy was violated in a reappointment, tenure, or promotion matter is governed by Section 4.4 of the *Faculty Handbook*. The policies and procedures in Appendix D may not be used in connection with any claim involving a tenure, promotion, or reappointment decision under appeal. [Rev. 1999, 11-9]

D.2 Faculty Policy on Professional and Academic Rights [Rev. 1999]

The Lafayette College Faculty Policy on Professional and Academic Rights governs allegations brought by any full-time, part-time, or visiting Officer of Instruction who believes that his/her rights as a professional academic, including but not limited to those rights normally associated with academic freedom, have been endangered, unjustifiably infringed, or violated.

An allegation that professional and academic rights were violated in a reappointment, tenure, or promotion matter is governed by Section 4.4 of the *Faculty Handbook*. [Rev. 1994, 11-9]

D.3 Faculty Grievance and Equal Employment Opportunity (EEO) Grievance Procedures

[Rev. 1994, 1999, 99-31]

Except with respect to allegations in a reappointment, tenure, or promotion matter, which are governed by Section 4.4 of the *Faculty Handbook*, the Faculty Grievance and EEO Grievance Procedures govern allegations brought by any full-time, part-time, or visiting faculty member who believes that (1) his/her rights as a professional academic, including but not limited to those rights normally associated with academic freedom, have been endangered, unjustifiably infringed, or violated; (2) he/she has been the subject of mistreatment or discrimination based on race, color, religion, sex, sexual orientation, gender identity and expression, national origin, age, or disability. [97-7, Rev. 11-9, 12-03, Board, Oct. 20, 2012]

The purposes of the Faculty Grievance and EEO Grievance Procedures are to provide adequate means for resolving, in a prompt, fair, and collegial manner, misunderstandings or conflicts and, in so far as possible, to rectify any injustices that may have occurred. Pursuing the remedies described in this document shall not constitute a waiver of rights to pursue outside legal remedies.

Conceived to sustain collegiality and to maintain a high level of informality and flexibility, the Faculty Grievance and EEO Grievance Procedures are designed to provide intramural remedies at the lowest appropriate level of institutional complexity. Hence the policy provides both informal and formal procedures for considering complaints and settling disputes. An aggrieved faculty member (the person filing the grievance, henceforth the "Grievant") who chooses to initiate a grievance is encouraged to opt first for the Informal Procedure. However, at any time during the course of the Informal Procedure, the Grievant may choose instead the Formal Procedure. A faculty member who wishes to initiate a grievance without recourse to the Informal Procedure has the right to do so. All communications occurring in these procedures and any resolution of a grievance will be held in confidence by all interested parties, including the Grievant.

The Faculty Grievance and EEO Grievance procedures may not be used to appeal a reappointment, tenure, or promotion decision. If a candidate has both an appeal (seeking reappointment, tenure, or promotion) and a grievance (seeking some other relief) pending before the Appeal and Grievance Committee, the grievance will be held in abeyance until the appeal has been decided. Such a grievance may not be used to reopen the appeal. [99-31]

D.3.1 The Informal Procedure

A faculty member following the Informal Procedure begins by selecting from the Appeal and Grievance Committee a member who will serve as his/her Ombudsperson. This Ombudsperson is empowered to hear a faculty member's grievance informally and confidentially. Should the person selected to serve as Ombudsperson be a party to or possess evidence regarding the alleged discrimination or mistreatment, the Grievant will be instructed to select an alternative Ombudsperson from among the Appeal and Grievance Committee's membership. The

Ombudsperson will not serve as a member on any Formal Hearing Board constituted to hear the same grievance during the Formal Procedure.

A faculty member wishing to pursue a grievance informally will request, orally or in writing, a meeting with the Ombudsperson. After conferring (in person) with the Grievant, the Ombudsperson may advise the Grievant of the merits of the grievance and of any further action that might be taken. The Ombudsperson will not take any action or report further on the case without the written consent of the Grievant. With the written consent of the Grievant, the Ombudsperson may: (1) seek the advice or assistance of the Vice President for Human Resources, who serves as EEO Officer; and/or (2) communicate, in a manner to which the Grievant agrees, with the interested parties in an attempt to provide an informal resolution which is acceptable to the Grievant and the Respondent (the person or persons against whom the alleged grievance was filed). The Ombudsperson will provide a written summary of his/her activities to both the Grievant and the Respondent. [99-31]

D.3.2 The Formal Procedure

The faculty member following the Formal Procedure begins by choosing either Step One, Two, or Three. The Respondent (the person or persons against whom the grievance was filed) will receive promptly a copy of the grievance from the recipient of the grievance, who will be either the Grievant's Department Head, the Provost, or the Chair of the Appeal and Grievance Committee. [99-31]

If the grievance is directed toward a policy of the College, the Grievant may proceed to either Step Two or Three.

D.3.2.1 Step One: Department

The Grievant will deliver a written statement of the grievance to the Head of his/her department. With the consent of the Grievant, the Head may seek the assistance of the Vice President for Human Resources. The Head should make every reasonable effort to resolve grievances at this point. At the discretion of the Grievant or the Respondent, a written description of the disposition of the grievance will be prepared by the Head and provided to the Grievant and Respondent. In instances in which the Head is either the Grievant or Respondent, or in which the aid of the Head is deemed inappropriate by either the Grievant, the Respondent, or the Head, the Grievant may proceed directly to Step Two or Three. If the Grievant is not satisfied with the disposition of the grievance at Step One, or if no decision has been rendered within two weeks after the delivery of the grievance at Step One, the Grievant may proceed to either Step Two or Three. Proceeding to another step must occur within two weeks of receipt of notice of a decision.

D.3.2.2 Step Two: Provost

The Grievant will deliver a written statement of the grievance, together with the disposition of the Head, if any, to the Provost, with a copy to the President. If Step One has been followed, the Head also will receive a copy of the grievance. The Provost shall investigate the grievance. This investigation may include a meeting among the individuals involved in the issue of grievance and the Head. At the discretion of the Provost, the Vice President for Human Resources will conduct an investigation and report his/her findings to the Provost. On the basis of the investigation, the Provost will attempt to resolve the grievance. At the discretion of the Grievant or the Respondent, a written description of the disposition of the grievance will be provided to all parties by the Provost. In instances in which the President, Provost, or Vice President for Human Resources is either the Grievant or the Respondent, the Grievant may elect to proceed directly to Step Three. If the Grievant is not satisfied with the disposition of the grievance

at Step Two, or if no decision has been rendered within two weeks of receipt by the Provost of the statement submitted at Step Two (or any extension of that period to which the Grievant agrees), the Grievant may proceed to Step Three. Proceeding to Step Three must occur within two weeks of the disposition of the grievance or lack thereof. [99-31]

D.3.2.3 Step Three: Formal Hearing

A Grievant wishing to proceed to a Formal Hearing (the "Hearing") must submit to the Chair of the Appeal and Grievance Committee a request for the Hearing, with a copy to the Provost, describing the issue of grievance and the grounds for grievance and naming those persons deemed by the Grievant to be parties to the issue of grievance either as Respondent, witnesses, or participants. A grievance that has previously been under agency or court review and has been finally resolved may not be submitted to the Hearing.

D.3.2.4 Step Four: Composition of Formal Hearing Board

The Chair of the Appeal and Grievance Committee, upon receipt of a request from a Grievant shall promptly arrange for the constitution of a three-person Formal Hearing Board, as follows. The Appeal and Grievance Committee shall elect three of its members to serve on the Formal Hearing Board. In the event that any member of the Committee has participated in the circumstances that led to the grievance, such member shall not serve on the Formal Hearing Board. In no case shall a member of the same department as the Grievant serve on the Formal Hearing Board. In all cases, members of the Formal Hearing Board should consider themselves to be disinterested parties. The Formal Hearing Board thus constituted shall elect a Chair.

A member of the Appeal and Grievance Committee who is serving on two Formal Hearing Boards initiated in the same academic year will not be expected to serve on another unless the Chair of the Committee determines that the Formal Hearing Board cannot otherwise be constituted. For purposes of determining availability, service on a Formal Hearing Board will be considered to end with the issuance of the Report. [97-7]

D.3.2.5 Step Five: Scheduling of Formal Hearing

The Chair of the Formal Hearing Board shall promptly schedule and arrange for the Hearing.

The Hearing date shall not be less than ten calendar days nor more than thirty calendar days from the date of receipt of the request unless such a Hearing date would fall outside of the dates of the normal academic semesters, in which case the Hearing date shall not be more than ten calendar days after the beginning of the next semester. If a case cannot be completed within the semester, the Hearing may be suspended, at the discretion of the Formal Hearing Board, until the next semester. [97-7]

The Chair of the Formal Hearing Board shall notify the Grievant and all parties named in the request for the Hearing of the time, place, and date so scheduled by certified mail, return receipt requested. The Chair shall also notify in writing the President and the Provost. The failure of a Grievant to attend the Hearing except for compelling reasons shall terminate the proceedings.

D.3.2.6 Step Six: Conduct of Formal Hearing

An accurate record of the Hearing shall be kept including at least an audio recording. The Chair of the Formal Hearing Board shall preside over the proceedings and will act to

ensure a fair presentation of all evidence and to maintain decorum. Each party in the case may be accompanied only by counsel chosen by him/her from the Faculty or administration of the College. Procedures will not follow formal rules of evidence, but special care will be taken in evaluating evidence to ensure fairness. [99-31]

During the Hearing, the Grievant, the Respondent, their counsels, and the Formal Hearing Board shall have the following rights: to call and examine witnesses, to introduce written evidence, to cross examine any witness on any matter relevant to the issue of the Hearing, and to offer relevant evidence in rebuttal. The Grievant may testify in his/her own behalf and may be called and examined by the Respondent, by counsels, or by members of the Formal Hearing Board. At its discretion, the Formal Hearing Board has the authority to gather such additional evidence as it deems relevant, but it shall not have access to the files of any other member of the Faculty. All relevant parties shall have the responsibility to cooperate with the Board's inquiry. [99-31]

Upon the conclusion of the presentation of evidence, the Formal Hearing Board will deliberate in executive session, at a time convenient to itself. If during its deliberations the Formal Hearing Board gathers additional written evidence, it will provide all parties with an opportunity to respond. If the Formal Hearing Board wishes to hear additional testimony regarding the grievance from any of the parties or from others not present at the Hearing, it will reconvene the Hearing to provide all parties with an opportunity to respond. [97-7]

At the end of the final Hearing session or ten days after circulating any additional written evidence, whichever is later, the Chair of the Formal Hearing Board shall declare the Formal Hearing closed. Within three weeks of the close of the Hearing, the findings and recommendations (if any) for disposition of the grievance will be sent, in writing, to all parties to the grievance, to the Provost, to the President, and, as appropriate, to the EEO Officer. At the same time, or in no event later than seven calendar days after sending its decision, the Formal Hearing Board shall send the Grievant, the Provost, the President, and, as appropriate, the EEO Officer a written report (the Report) that describes separately the disposition of the grievance, the evidence considered, and the reasons for its determination. [97-7]

D.3.2.7 Step Seven: Final Disposition

Except in cases where the President is either the Grievant or the Respondent, final disposition of a grievance is the responsibility of the President and is based upon the report and the full record of the Formal Hearing Board. In cases where the President is the Grievant or the Respondent, final disposition of the grievance is the responsibility of a Grievance Review Panel (the "Review Panel"), subject to review by the Board of Trustees.

In cases where the President is either the Grievant or Respondent, a Review Panel will be constituted as follows: Within seven calendar days of receiving the Report of the Formal Hearing Board, the EEO Officer will supervise the formation of a three-person Review Panel, composed of three members of the Faculty. One member will be chosen by the Grievant, one member by the EEO Officer, and the third member chosen by the first two. The EEO Officer shall notify all parties when the Review Panel has been formed and will provide the Review Panel with copies of the Report of the Formal Hearing Board and access to the full record of the Hearing.

Final disposition of the grievance is based upon the report and the full record of the Hearing. The President (or the Review Panel) may request that the Formal Hearing Board reconsider the case on specific grounds. A request for reconsideration must be

made within thirty calendar days, and the Formal Hearing Board has another thirty calendar days in which to make a second Report.

Within thirty calendar days of the Report or the second Report, the President (or the Review Panel) shall make the final adjudication of the grievance. This adjudication must be sent, in writing, to all parties of the grievance, the full Appeal and Grievance Committee, the Provost, and the EEO Officer. Grounds for rejection of Formal Hearing Board findings must be stated in writing.

All written documents shall be placed in the files of the EEO Officer.

APPENDIX E

INTELLECTUAL PROPERTY POLICY AND PROCEDURES

[Revised per Faculty Motion 13-13a; adopted by the Board of Trustees on May 23, 2014]

Lafayette College is committed to fostering an environment that promotes and protects the creation and dissemination of knowledge, inventions, and artistic works by faculty, staff and students. The fullest realization of this goal is achieved only when the College ensures academic freedom for all of its community members, protects its identity and functional interests, and recognizes the ownership, whether shared or individual, of intellectual properties and patents. This policy fully intends to safeguard and protect those rights.

A robust Intellectual Property (IP) Policy is necessary for fostering scholarship in the community and for promoting the best interests of the College. The College's IP policy should encourage innovation and the creation and dissemination of IP for the public good, rather than implement procedures motivated by a desire to develop sources of revenue. A strong IP policy balances the IP rights and obligations of the faculty, staff and students with the institutional rights and obligations of the College. The policy stated herein is structured to include a clear and fair system for the distribution of any benefits accrued, if and where appropriate, by IP created by members of the Lafayette community.

Definitions of terms used in this appendix are given at the end of this appendix (Section E.7).

E.1 Scope

The guiding principle of the IP policy is that the products of teaching and scholarship except patents are the property of the community member. The College, however, has the sole ownership interest in copyrightable material if it involves an *identity interest* (Section E.1.1) or a *functional interest* (Section E.1.2). If a community member employs an *extraordinary use of College resources* in developing copyrightable material, then the IP rights will be determined by the deliberate determination procedure (Section E.3). Community members who develop patentable discoveries using College resources have a duty to assign patent rights to the College. In those cases where patentable inventions are created by a community member with only incidental use of College-supplied desktop computers or laptops, e-mail and phones, however, the patent rights are retained by the creator.

E.1.1 Identity Interest. The College has an identity interest in copyrightable materials that are integral to, and reflect more directly on, the identity of the College rather than the identity of the creator. The College has an identity interest in items distributed beyond the College, such as: the college catalogue, alumni bulletins, institutional web pages, admissions brochures and campaign materials. Copyrightable materials in which the College has an identity interest will be owned by the College.

E.1.2 Functional Interest. The College has a *functional interest* in copyrightable materials that enhances the effective functioning and coordination of the College's operations. The College has a functional interest in administrative and personnel procedures, including software, and internal handbooks and reports. Copyrightable materials in which the College has a functional interest will be owned by the College.

E.1.3 Extraordinary Use of College Resources. The College has an ownership interest in copyrightable materials generated with *extraordinary use of College resources*, which

refers to support by the College that is not normally available to a community member in their standard role (see section E.7.5).

E.2 Implications for Faculty, Staff and Students. The extent to which the College's IP policy affects the different constituencies on campus is given below.

E.2.1 Faculty. Faculty members who create products of teaching and scholarship own their IP except for patentable inventions, in which case the ownership rights rest with the College. Pedagogical, literary, artistic and creative works are owned by the faculty member, consistent with American Association of University Professors guidelines about copyrights and the prevailing view in academia. Lecture notes and other course notes such as problem sets and syllabi are the faculty member's IP. Works related to scholarship, such as journal articles, books, textbooks, videos, photos, and artistic works in any medium, are also the faculty member's IP.

The use of resources normally available to the faculty member does not abrogate that right. For faculty, the support normally provided in the form of salary, lab or studio space, funding for sabbatical leaves, and internal grants available on a competitive basis through the Academic Research Committee are considered normal support (see E.7.5 for further definition of normal support).

The IP generated in outside employment (such as consulting) or without College resources is not covered by this policy. Faculty members are bound by the terms of employment set forth in the Faculty Handbook.

E.2.2 Staff. In most cases, the copyrightable materials created by a staff member relate to either the functional or identity interests of the College, and therefore is owned by the College. In some cases, however, a staff member may undertake a project that is considered scholarly work, in which the College has no functional or identity interest. In such cases, ownership goes to the creator even though the default is to give it to the College. Staff members who develop patentable discoveries using College resources have a duty to assign patent rights to the College.

E.2.3 Students. For students, the College does not have an identity or functional interest in their IP except when they are employees of the College or are under the supervision of a faculty member. If a student project is developed in the context of normal coursework, then the rights to copyrightable materials is retained by the student. If students are under the supervision of a faculty member and are working on IP of the faculty member, then the faculty member and student are strongly encouraged to draw up a written agreement in consultation with the Intellectual Property Policy Committee, specifying the terms of how the IP generated by their collaboration will be handled before the project begins. If patentable inventions involve significant faculty mentorship and/or Lafayette resources, then the student has a duty to assign patent rights to the College. In all other circumstances where students are employed by the College, the IP policy for staff applies (Section E.2.2).

E.2.4 Group Projects. In the case when there are two or more community members collaborating in the creation of patentable inventions, all parties should sign the disclosure form. The disclosure form should indicate a fair distribution of fractional shares among the collaborators.

E.2.5 Acknowledgement of Help. There are often many community members involved in the creation of IP even if the IP is clearly the work of one creator. Acknowledgment of help in the creation of IP should be given by the creator in the appropriate manner.

E.3 Process for Deliberate Determination of IP Rights

E.3.1 Deliberate determination is not required. For all scholarly work (except for patents) in which the College has no identity or functional interest, or where there is no extraordinary use of College resources, there is no need to report the creation of IP by a community member to the Intellectual Property Policy Committee. Outside consulting and work done by community members without College resources is not subject to the reporting requirements. In those cases where the College has a routine and clear case of an identity or functional interest, the College owns the copyrightable material and there is no need to report it to the Intellectual Property Policy Committee.

E.3.2 Deliberate Determination Required. In the case of patents or when copyrightable materials have received extraordinary support from the College, the creator must declare the IP to the Intellectual Property Policy Committee via the disclosure form as soon as the situation becomes clear. The Intellectual Property Policy Committee will make recommendations regarding the most suitable distribution of IP rights between the creator and College as well as distribution of partial shares between community members. Normally, within sixty (60) days of receiving complete formal disclosures of IP requiring deliberate determination, the Intellectual Property Policy Committee will make a recommendation to the Provost. After receiving the report from the Intellectual Property Policy Committee, the Provost will make a determination of IP rights in writing, normally within thirty (30) days. If a decision is made in which the College retains its ownership of a patent, then the College should vigorously pursue patent applications and technology transfer. The distribution of IP rights should be specified in writing and signed by the creator and College's representative.

If the College decides not to pursue ownership of the IP or does not make a decision within a reasonable period of time after receiving the complete disclosure form, then the IP reverts to the creator.

E.3.2.1 Disclosure Form. The form for disclosure of IP requiring deliberate determination of IP rights will be available in the Academic Research Committee's Research Manual and website.

E.3.2.2 The Intellectual Property Policy Committee will be composed of the chair of the Academic Research Committee, a representative appointed by the Provost, and a third member chosen by the Provost and the Chair of the Academic Research Committee. In considering cases involving patents or other matters that fall outside the expertise of the three committee members, the Intellectual Property Policy Committee will ask qualified faculty members as well as external professional counsel to advise on an ad hoc basis as needed. The Intellectual Property Policy Committee will also serve as a resource for any questions about IP policy and procedures for the community, and initial inquiries about the need for deliberate determination can be made on an informal basis.

The Intellectual Property Policy Committee will report all deliberate determinations and their recommendations to the Academic Research Committee, which in turn will report the activities in the Academic Research Committee's annual report. The Intellectual Property Policy Committee will also report their deliberate determinations and their recommendations to the relevant reporting party(ies).

E.3.3 Third Party Agreements. All IP produced by work sponsored by public or private organizations is governed by this appendix, unless otherwise specified in a written contract or in federal or state laws and regulations. Contracts with third parties can contain provisions governing IP rights that supersede the College policy. The Provost

must approve the IP provisions in such contracts, and normally such contracts must also be reviewed by the Vice President of Human Resources and General Counsel.

E.3.4 Appeal of the Provost's Determination of IP Rights. In the event where the creator disagrees with the Provost's determination of IP rights, the creator may appeal the decision to the President within thirty days. Upon receiving the appeal, the President will render a decision regarding the appeal within thirty days.

E.3.5 Failure to Report IP Requiring Deliberate Determination. The College should support an environment that encourages frank discussions of IP ownership issues. Each community member is required to understand fully the nature and extent of the College's identity or functional interest and to know when IP rests with the College. For students working with faculty, the faculty member has an obligation to ensure the student has an understanding of the ownership of any IP produced. If the creator does not report IP that requires deliberate determination, then ownership of the IP remains with or defaults to the College.

E.4. Options for Development. If the College assumes ownership of marketable IP, then the College will seek appropriate avenues for exploiting its commercial development given the potential costs.

E.4.1 Revenue. If revenue is generated by IP held by the College, the College and creator will split the revenue in the following manner. After all costs associated with the copyright or patent are recouped, the first \$10,000 will go to the creator. The creator will receive sixty percent, and the College forty percent, of further revenue. This distribution will continue regardless of the creator's status at the College.

E.5 Transfer of IP Rights. There are circumstances in which either the creator or College may want to transfer IP ownership to the other. For IP developed without significant use of College resources and held by a community member, the community member may ask the College to consider accepting assignment of ownership, but the College has no obligation to do so. Even if the College has clear ownership of IP, the transfer of IP ownership to the community member may be appropriate, especially if it facilitates the distribution of the IP to the greater community.

E.6 Consultants. When the College has an identity or functional interest in copyrightable materials created by hired consultants, the College will stipulate by contract that ownership stays with the College. Hired consultants are not considered community members and as such are not covered by the other policies of Appendix E.

E.7 Definitions.

E.7.1. Intellectual Property (IP). Intellectual property is a creative work or invention in which the law allows ownership rights for the creator. The two main types of IP in the academic environment are copyrights and patents. Copyrights are an exclusive legal right available to creators to print, publish, perform, film, or record literary, artistic, or musical material. Patent protection is granted by the government to the creator for inventions that are useful, non-obvious and novel products or processes.

E.7.2. Community Members. Faculty, staff and students.

E.7.3. Creator. One community member, or two or more collaborators, who develop the IP.

E.7.3.1 Collaborators. Two or more community members who share in the creation of IP. In the case of more than one creator, fractional shares will be agreed upon beforehand to the extent possible. If parties outside the community are involved in the creation of IP that requires deliberate determination, then distribution of IP rights between all parties should be described prior to or as part of the disclosure process.

E.7.4 Scholarly Work. Scholarly work refers to original work including publications, exhibitions, and/or performances, as described in section 4.2.2.2 of the *Faculty Handbook*. The guidelines for recognized forms of scholarly work in each discipline are located on the Provost's website, and are described in section 4.2.2.1.1 of the *Faculty Handbook*.

E.7.5 Normal Support for a Community Member. For all community members, College-supplied computing, e-mail and phone resources are considered normal support. For faculty, normal support also includes salary, laboratory or studio space, funding for sabbatical leaves, start-up grants, competitive grants distributed through the Academic Research Committee, as well as other widely advertised grant opportunities from the College, professional development funds, and other funds available through competitive processes. For staff, salary and laboratory or studio space are considered normal support. For students, normal support entails the use of College-owned resources either freely available to students (for example, computer labs and workstations on campus) or available on loan (laptops, cameras, video recording devices, etc.) or through courses (art supplies, for example).

E.7.6 Extraordinary Support for a Community Member. A community member who receives support beyond the normal support afforded to the community member is receiving extraordinary support.

E.7.7 Work for Hire. Under the 1976 Copyright Law, "a work prepared by an employee within the scope of his or her employment" is considered "work for hire," in which case the copyright becomes the property of the employer. Within the context of academia, however, most institutions do not consider scholarly work (except for patents) done by faculty and students to be the property of the institution, except in cases where the institution has a functional interest, identity interest, and/or has given substantive resources for the creation of the work.

E.7.8 Federal Grants and Bayh-Dole Act of 1980. The Bayh-Dole act permits a college or university to elect to pursue ownership of IP developed with the support of federal research grants in preference to the government. In particular, Lafayette College can determine IP rights and responsibilities, within the framework of federal guidelines.

APPENDIX F

COPYRIGHT INFORMATION

Issued by the Supervisor of Administrative Services
October 5, 1990

F.1 Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per student in a course) may be made by or for the teacher giving the course for classroom use or discussion, provided that the copying:

- a. meets the tests of brevity and spontaneity as defined below; and,
- b. meets the cumulative effect test as defined below; and,
- c. each copy includes a notice of copyright.

F.2 Definitions

F.2.1 Brevity

F.2.1.1 Poetry (a) A complete poem if less than 250 words and if printed on not more than two pages or (b) from a longer poem, an excerpt of not more than 250 words.

F.2.1.2 Prose (a) Either a complete article, story or essay of less than 2,500 words, or (b) an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words.

(Each of the numerical limits stated in F.2.1 and F.2.2 above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.)

F.2.1.3 Illustration One chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue.

F.2.1.4 "Special" works Certain works in poetry, prose or in "poetic prose" which often combine language with illustrations and which are intended sometimes for children and at other times for a more general audience fall short of 2,500 words in their entirety. Paragraph "i" above notwithstanding such "special works" may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10% of the words found in the text thereof may be reproduced.

F.2.2 Spontaneity

F.2.2.1 The copying is at the instance and inspiration of the individual teacher; and

F.2.2.2 The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

F.2.3 Cumulative Effect

F.2.3.1 The copying of the material is for only one course in the school in which the copies are made.

F.2.3.2 Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.

F.2.3.3 There shall not be more than nine instances of such multiple copying for one course during one class term.

(The limitations stated in F.2.3.2 and F.2.3.3 above shall not apply to current news periodicals and newspapers and current news sections of other periodicals.)

F.3 Prohibitions

Notwithstanding any of the above, the following shall be prohibited:

F.3.1 Copying shall not be used to create or to replace or substitute for anthologies, compilations, or collective works. Such replacement or substitution may occur whether copies of various works or excerpts therefrom are accumulated or are reproduced and used separately.

F.3.2 There shall be no copying of or from works intended to be "consumable" in the course of study or teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets and like consumable material.

F.3.3 Copying shall not:

- a. substitute for the purchase of books, publisher's reprints or periodicals;
- b. be directed by higher authority;
- c. be repeated with respect to the same item by the same teacher from term to term.

F.3.4 No charge shall be made to the student beyond the actual cost of photocopying.

APPENDIX G

LAFAYETTE COLLEGE HOUSING PROGRAM POLICIES AND PROCEDURES

Added 1968; revised 1987, 1999, 2002, 2003

Lafayette owns a number of houses and apartments close to the campus which it rents to members of the staff.

G.1 Objectives of the Program

The program is designed to:

- a. aid newly appointed faculty and administrative personnel by providing temporary housing,
- b. provide housing for personnel who should live close to the campus for the convenience of the College and for the effective operation of its programs,
- c. fulfill explicit or implicit commitments made in prior years to provide housing on a long-term basis for senior staff members.

G.2 Eligibility for College Housing

Faculty and administrative personnel are eligible for assignment to College-owned housing in the following order:

- a. new and recent appointees to the Faculty and administration, [Rev. 2015]
- b. other Faculty and administrative personnel.

G.3 Application Procedure

Applications should be submitted to the Office of Purchasing and Administrative Services. Persons newly appointed to the staff should submit a letter of application as promptly as possible. [Rev. 2015]

A person assigned to College-owned housing is notified of the unit assigned to him/her and the date on which that unit is expected to be available for occupancy. An applicant for whom a unit is not available is so notified promptly and may ask to be placed on an alternate list for assignment in the event of a cancellation or a sudden vacancy.

G.4 Terms of Occupancy

A lease is required so that occupants fully understand these privileges and responsibilities. Normally, the initial lease is for the period July 1 to the following June 30. Renewals are normally for one year. [Rev. 2015]

Tenants are expected to exercise reasonable care of the property during their tenancy. All units are inspected for necessary repairs and maintenance at least once a year at a time convenient to the tenant.

Rental charges will be payable monthly in advance and such payments will be made by payroll deduction. [Rev. 2003, 2015]

G.5 Responsibility for the Program

The Office of Purchasing and Administrative Services is responsible for the day-to-day operation of the program. This involves handling inquiries, dealing with applications, and assigning units to applicants.

The Office of Plant Operations is responsible for the day-to-day maintenance of the units.

APPENDIX H

STATEMENT OF GOVERNANCE [STUDENT]

Adopted by the Faculty June 2, 1971
Reviewed by the Board of Trustees November 19, 1971
Revised to Conform to Faculty Action, 1995

H.1 Student Government

H.1.1 All actions of Student Government shall be consistent with the *Charter* of the College, the *Statutes* of the College, and the *Statement on the Rights and Responsibilities of Students*.

H.1.2 Student Government shall:

H.1.2.1 adopt with Faculty approval a Constitution;

H.1.2.2. supervise the extracurricular life of the student body to the extent that the Faculty has itself been delegated authority to do so; [October 5, 1971; November 2, 1971]

H.1.2.3. supervise the general operation of student organizations by:

- a. granting recognition to organizations whose purposes are in accord with Article IV of the *Statement on the Rights and Responsibilities of Students* and whose College resource requirements can be met within the facilities of the College and budget limitations of the Student Government,
- b. apportioning to recognized organizations funds allocated for the purpose by the College budget,
- c. superintending the dissolution of organizations when the need arises;

H.1.2.4. supervise student elections;

H.1.2.5. nominate or choose student members of Standing Committees of the Board of Trustees or of the Faculty in ways acceptable to the parent bodies;

H.1.2.6. enforce the rules which it enacts and other College regulations which are explicitly within its jurisdiction.

H.1.3 And Student Government shall have authority:

H.1.3.1. to initiate and enact changes in the Code of Conduct for implementation after review by the Faculty and Board of Trustees;

H.1.3.2. to propose amendments to the *Statement on the Rights and Responsibilities of Students* for concurring action by the Faculty and the Board of Trustees;

H.1.3.3. to establish committees, assign their responsibilities, and appoint their membership, and to create whatever other internal organization it deems necessary for carrying out the purposes stated in its Constitution;

H.1.3.4. to make recommendations to appropriate deciding bodies on any matters relating to the general welfare of the student body.

H.2 Student Government Relation to Faculty

H.2.1 The Faculty may suspend any action of the Student Government which it judges to lie outside the authority of that organization or to be detrimental to the best interests of the College. Suspended actions shall be returned to the Student Government for reconsideration.

H.2.2 To carry out the provisions of this article, the Vice President for Campus Life shall act as the agent of the Faculty, reviewing all actions of the Student Government and deciding whether any should be suspended for review by the entire Faculty. He/she shall report actions of the Student Government to the Faculty when appropriate and shall report actions which have been suspended to the next regular meeting of the Faculty for suitable action at that meeting or the next regular meeting. [Rev. 06-5, 2011]

H.3 The Faculty

H.3.1 The Faculty shall retain the composition and responsibilities described in the *Charter* and the *Statutes* of the College.

H.3.2 The Faculty shall have the power to establish committees, assign their responsibilities, and appoint their membership, or to create whatever internal organization it deems necessary for the conduct of its business or the effective discharge of its responsibilities.

H.3.3 Committees of the Student Government

The Faculty shall appoint as many of its members as may be requested to serve as members of or consultants to committees of the Student Government; faculty members so appointed are expected to accept the responsibility to serve in the same way that they accept the responsibility to serve on committees of the Faculty.

H.3.4 Student Attendance at Faculty Meetings

Students who are members of Standing Committees of the Faculty, and the President and the Vice President of Student Government, shall have the privilege of attending stated meetings of the Faculty and the privilege of speaking to questions which have been brought to the floor of the meeting. They shall not have other rights that are normally associated with membership.

H.4 Instructions to Committees

H.4.1 The Student Government or its Executive Committee shall have the right to ask the Faculty to direct any of its committees to provide information, undertake studies, prepare recommendations, or perform other appropriate duties.

H.4.2 The Faculty or its Chair and Clerk jointly shall have the right to ask the Student Government to direct any of its committees to provide information, undertake studies, prepare recommendations, or perform other appropriate duties.

APPENDIX I

THE PREPARATION OF WRITTEN WORK

Added 1967 as "College Policy"; previously issued by the Office of the Dean
Revised 1988

In order to maintain the scholarly standards of the College and, equally important, the personal ethical standards of our students, it is essential that written assignments be a student's own personal work, just as is expected in examinations and class participation. The following generally recognized principles are designed to guide students in the writing of essays, term papers, and reports, and to forestall acts of plagiarism, misrepresentation and collusion, and consequent disciplinary action:

I.1 Use of Other Persons' Writing

The appropriation of the ideas or phrases of others without proper acknowledgment is plagiarism and must be regarded as dishonest.

I.2 Use of Reference Material

A student must often read extensively before being in a position to do any writing. The student may find passages in books and articles which will be helpful in illustrating ideas. There is no objection to quoting such passages provided the material is put within quotation marks and the source is indicated by means of footnotes or other means of showing authorship.

Obviously, if an essay consists largely of quotations, it will not normally be regarded as an original piece of work. Paraphrasing, the appropriation of ideas with changed wording, is a form of plagiarism unless the name of the person paraphrased is mentioned. Each piece of written work should contain a complete bibliography of books and articles which have been used in its preparation. The name of the author, the title of the work, and the place and date of the edition should be given. See "How to Avoid Plagiarism," in the *Student Handbook*.

I.3 Use of Other Students' Work

It is self-evident that to submit the work of another student, with or without revision, is dishonest and subjects one to disciplinary action. The use of another person's notes or rough draft of a similar subject is considered equally dishonest.

I.4 Working Together

Occasionally two or more students will consider it desirable and proper to engage in a joint investigation with individual essays or reports as the finished products. Such a procedure is acceptable only when the instructor has consented to and approved the details of the collaboration. The names of all collaborators must appear on the final document.

I.5 Re-Use of a Paper

The submission of one's own written work which has previously been used in another connection is a procedure which should not be followed without the explicit permission of the instructor.

Finally, the underlying principle is one of intellectual honesty. If a person is to have the respect of others and to have self-respect, all work must be the student's own work. If a student is dishonest, that student is liable to suspension or expulsion. See also *Student Handbook*.

APPENDIX J

ENGLISH COMPETENCY

Adopted by the Faculty on April 3, 1973
Revised 06-33

The following is the policy of the Faculty on the correct usage of English:

- a. Each Officer of Instruction shall refuse to accept written work that fails to demonstrate clear and correct use of the English language. The unaccepted paper shall be graded as a conditional failure until the student rewrites it in acceptable fashion. The instructor is expected to indicate to the student as precisely as possible the reasons for requiring the work to be rewritten.
- b. Should the rewritten paper still display incompetence in English, the instructor shall grade the paper as he/she sees fit but report the student to the Dean of Advising and Co-Curricular Programs for deficiency in English. The Dean of Advising and Co-Curricular Programs shall in turn notify the Department of English and require the student to consult with the Head of that Department. [Rev. 2014]
- c. To judge a student's competence in writing, a representative of the Department of English, after consulting with the reporting instructor, shall require the student to write an impromptu essay. This requirement may be repeated one or more times until the writer achieves an acceptable standard of literacy.
- d. Final decision regarding graduation shall be made by the Academic Progress Committee.
- e. The Dean of Advising and Co-Curricular Programs shall send a copy of this policy statement to each Officer of Instruction at the beginning of every term. [Rev. 2014]

APPENDIX K

LAFAYETTE COLLEGE POLICY ON STUDENT RECORDS AND THE FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA)

Revised 1997, 1998, 2000, 2001, 2002, 06-33, 2010

The Family Educational Rights and Privacy Act (also known as the “Buckley Amendment”), is a federal law regarding the privacy of student records and the obligations of the institution, primarily in the areas of release of the records and the access provided to these records. Any educational institution that receives funds under any program administered by the U.S. Secretary of Education is bound by FERPA requirements.

Under federal law, students have the right to obtain access to their educational records and to prevent disclosure of records to third parties without authorization. In accordance with FERPA, Lafayette College will permit students to have access to specified records and will prevent release of records to third parties without personal authorization from the student except as noted in the regulations.

K.1 Policy on Student Records

Lafayette College seeks to teach students to become mature, reasoned, educated adults capable of defining and realizing their academic and personal developmental goals. To that end, the College practice is to regard students as the primary contact for interaction regarding information contained in student educational records and to respect the confidentiality of that information. The College encourages students to act responsibly by communicating directly with their parents.

Under federal law, if College personnel determine that it is in the best interest of the student to disclose to a student’s parent(s) information from that student’s educational record, the College may elect to do so after receiving proof of the student’s financial dependency on their parent (s) for federal income tax purposes. In these cases, the College practice is to communicate first, when possible, with the student regarding a parental request for information. [Rev. 13-14]

Students who are not dependent on their parent (s) for federal income tax purposes, and students who are dependent but wish to provide their parent (s) general access to their educational record, may allow College personnel to share educational record information with their parent (s) by signing a waiver. Waivers can be found on the Registrar’s web site or picked up in the Offices of the Registrar or the Dean of Advising and Co-Curricular Programs. [Rev. 2014]

Students may also elect to have information from their educational record shared with graduate schools, potential employers, or other third parties by signing a release that can be found on the Registrar’s web site or picked up in the office of the Registrar or the Dean of Advising and Co-Curricular Programs. [Rev. 2014]

K. 2 Annual Notification

FERPA requires that the College provide notification annually to students of their rights under FERPA. The College provides this notification each semester through its publication of the Course Schedule that is distributed to all students. The annual notification includes the rights outlined below:

FERPA affords students certain rights with respect to their education records. These rights include:

- a. The right to inspect and review the student's education records within 45 days of the day the College receives a request for access.
- b. The right to request the amendment of the student's education records that the student believes is inaccurate, misleading, or otherwise in violation of the student's privacy rights under FERPA.
- c. The right to provide written consent before the College discloses personally identifiable information from the student's education records, except to the extent that FERPA authorizes disclosure without consent.
- d. The right to file a complaint with the U.S. Department of Education concerning alleged failures by the College to comply with the requirements of FERPA. The name and address of the Office that administers FERPA is:

Family Policy Compliance Office
 U.S. Department of Education
 400 Maryland Avenue, SW
 Washington, DC 20202-5920

K.3 Definition of Education Records.

Under FERPA, education records are defined as records that are directly related to a student and are maintained by an education agency or institution or by a party acting for the agency or institution. Education records can exist in any medium, including: typed, computer generated, videotape, audiotape, film, microfiche and email, among others.

Education records do not include such things as sole possession records or notes, information obtained through personal knowledge that is not recorded, law enforcement records, employment records, when the student is also an employee, medical treatment records, or alumni records.

At Lafayette, the individuals or offices responsible for maintaining Education Records include the following:

K.3.1 Registrar - Permanent transcript: Includes dates of attendance, course of study, grades, and official action of the College relating to probation, dismissal, etc.

K.3.2 Dean of Advising and Co-Curricular Programs - Student personnel file: Includes application for admission, test scores, grades, student biographical form, copies of correspondence with or about student, notation of official disciplinary actions, petitions to Academic Progress Committee, and copies of letters of recommendation. [Rev. 2014]

K.3.3 Controller - Business records.

K.3.4 Advisor - Advising files: Includes grades, copies of petitions, and adviser's notes and correspondence with student.

K.3.5 Communications - Public Information file: Includes copies of Lafayette College Student Biographical Form and news releases about students.

K.3.6 Health Professions Advisor - Health Professions Advisory Committee file: Includes the student's transcript, medical aptitude scores, faculty evaluation, and correspondence on professional school admission.

K.4 Obtaining Access to Your Educational Record

A student who wishes to obtain access to his or her student record should submit to the Registrar, Dean, or other appropriate official, a written request that identifies the record the student wishes to inspect. Within a reasonable amount of time, but no later than 45 days, the College official will make arrangements for access and notify the student of the time and place where the records may be inspected.

Students may not see letters of reference or recommendations for which they have waived their rights of review.

K.5 Students' Rights to Amend Records

A student who wishes to ask the college to amend a record should write the College official responsible for the record, clearly identify the portion of the record that the student would like changed, and specify why it should be changed. If the College decides not to amend the record as requested, the College will notify the student in writing of the decision and the student's right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

It is appropriate to seek amendment of information that is inaccurate or misleading. This is not a grade grievance mechanism. For example a student could question whether a grade has been entered incorrectly, but not the legitimacy of the grade itself.

K.6 Disclosure of Educational Records to School Officials

The College discloses information from the education records without a student's prior written consent under the FERPA exception for disclosure to school officials with legitimate educational interests. A school official is a person employed by the College in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the College has contracted as its agent to provide a service instead of using College employees or officials (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the College.

Upon request, the College also discloses education records without consent to officials of another school in which a student seeks or intends to enroll.

K.7 Disclosure of Directory Information

FERPA specifically identifies certain information called "Directory Information" that may be disclosed by the College without the consent of the student. Lafayette College considers the following to be directory information: Student's name, College and home address and phone numbers, P.O. box number, email address, date of birth, photograph, dates of attendance, class year, degree program and major, advisor's name, degrees and awards received, participation in College activities and the weight and height of members of athletic teams.

Although this information is public in nature, students may request that their directory information be withheld and released only upon written authorization by completing the required form and submitting it annually to the Registrar's Office.

K.8 Disclosure of Non-Directory Information

The College may, in specific instances and under strict limitations, release information from education records to individuals and/or agencies without the written consent of the students. Such persons are:

- a. College personnel with legitimate educational interests. College personnel include all employees or agencies contracting with the college to perform service on its behalf.
- b. Officials of educational institutions in which the student seeks to enroll, provided that the student is notified of the release, receives a copy of the record if desired, and has an opportunity to challenge the factual content of the record. The procedure for challenging records is outlined below.
- c. Authorized representatives of the Comptroller General of the United States; the Secretary of the Department of Education; the Attorney General of the United States, Veterans Administration officials, and state educational authorities.
- d. Persons requiring information in connection with a student's financial aid.
- e. State and local officials to whom the College must report pursuant to a state statute adopted before November 19, 1974.
- f. Officials of organizations that conduct studies for educational agencies or institutions provided that personally identifiable data is available only to officers of such organizations and that such information will be destroyed when no longer needed for purposes of the study.
- g. Officials of accrediting organizations.
- h. Parents of dependent students as defined in section 152 of the Internal Revenue Code of 1986.
- i. Parents of dependent students under the age of 21 who violate the college's alcohol or drug policies.
- j. Persons authorized to receive such data through judicial order or pursuant to a subpoena. In such cases, when allowed, the College will attempt to notify the student before its compliance with such orders.
- k. Individuals who require information in connection with an emergency which threatens the health and safety of the student or other persons.

Lafayette may also release, without restriction, information which cannot be identified with particular students. An example of such data would be statistical information abstracted from educational records. The College reserves the right not to provide copies of third party documents.

APPENDIX L

POLICY STATEMENTS FOUND IN THE *STUDENT HANDBOOK*

[Rev. 13-14]

- a. Statement on Rights and Responsibilities of Students [Adopted by the Faculty May 28, 1968, Rev. 03-37, Board, October 2, 2004]
- b. Student Code of Conduct
- c. Undergraduate Motor Vehicle and Traffic Regulations
- d. Policy on Solicitation
- e. Policy on Distribution of Literature
- f. Lafayette College Policies on Sexual Assault and Sexual Harassment

APPENDIX M

INTERDISCIPLINARY APPOINTMENT POLICIES AND PROCEDURES

Adopted by the Faculty on May 21, 2009 [08-32]
Approved by the Board of Trustees on May 22, 2009

Revised by the Faculty on February 7, 2012 [11-9]
Approved by the Board of Trustees on February 14, 2012

Recognizing that complex issues increasingly cross traditional disciplinary boundaries, Lafayette College values interdisciplinary teaching, scholarship and service as an important component of the mission of the College. With strong programs in engineering, natural and social sciences, and the humanities, Lafayette offers an unusually fertile environment for supporting interdisciplinary work, and values the contributions departments make to Interdisciplinary Programs. Lafayette also values the contributions faculty make to interdisciplinarity, and in such cases, interdisciplinary teaching, scholarship and service are considered in Faculty recruitment, appointment, review, and promotion decisions.

M.1 The College recognizes four types of interdisciplinary appointment: courtesy, affiliated, joint, and Interdisciplinary Program appointments. (See 4.6). [Rev. 11-9, Board, Feb. 14, 2012]

M.1.2 Courtesy and Affiliated Appointments

M.1.2.2 Courtesy Appointments

Faculty who occasionally teach courses outside their home department may receive a courtesy appointment in the program or department in which they occasionally teach. The terms of such an appointment shall be based on a Memorandum of Understanding between the home department and the courtesy program or department to define the involvement of the courtesy program or department in the appointment.

M.1.2.3 Affiliated Appointments

Faculty who regularly teach one course per year outside their home department may receive an affiliated appointment in the program or department where they contribute. The terms of such an appointment shall be based on a Memorandum of Understanding between the home department and the program or department to which the faculty member contributes, in order to define the involvement of the home department and the contributing program or department.

M.1.2.4 Review of Faculty Members Holding Courtesy or Affiliated Appointments

When faculty members holding courtesy or affiliated appointments undergo mid-term, tenure, and promotion reviews, the Department Head or Program Chair of the courtesy or affiliated department or program will normally write a letter of review that becomes part of the candidate's file, as specified in the Memorandum of Understanding.

M.1.3 Joint Appointments

A joint appointment refers to a faculty member whose teaching responsibilities are divided between two entities (departments and/or programs) for either the term of

appointment or for a time-limited period. Typically, a faculty member with a joint appointment will teach 30-70% of his or her courses in one department or program (X) and the remainder in another department or program (Y). Such appointments shall be based on a Memorandum of Understanding between X and Y, to be in place at the time the appointment is made.

There are two models for joint appointments: Integrated, in which X and Y act as one; and Collaborative, in which X and Y sometimes act separately and sometimes act as one.

M.1.3.1 Integrated Model for Joint Appointments: in which the units act as one

M.1.3.1.2 Search Procedures. The Search Committee will consist of an equal number of members from X and Y, with a Chair elected by its members. Acting as one unit, the search committee writes the job description, recruits candidates, and invites the top applicants to campus following existing search guidelines. During campus interviews, all members of X and Y will have the opportunity to meet the candidates. Following the interviews, members of both X and Y will meet together to discuss and to vote on the candidates, with the Heads and/or Chairs of X and Y both serving as co-chairs. The names of the recommended candidates, and the rationale supporting the recommendations, will be sent to the Dean of the Faculty. [Rev. 2014]

M.1.3.1.3 Responsibilities. The joint appointment is a full member of both X and Y. The Heads and/or Chairs of X and Y will determine the teaching responsibilities of the joint appointment each year, taking into account the curricular needs of X and Y, as well as the faculty member's preferences. In cases in which the Heads and/or Chairs cannot agree, the Dean of the Faculty will mediate. Advising responsibilities, supervision of student research, and department/program service will be arranged similarly, with the Heads and/or Chairs of X and Y insuring that the faculty member is not overburdened by virtue of being in more than one body. [Rev. 2014]

M.1.3.1.4 Mentoring. A Mentoring Committee will be set up to advise an untenured joint appointment. This committee, consisting of two tenured faculty members, one from X and one from Y, will counsel the joint appointment regarding faculty responsibilities and insure that the person has adequate information about faculty procedures for reappointment and tenure. The Committee will disband at the time a tenure decision is made.

M.1.3.1.5 Reviews. The Heads and/or Chairs of X and Y will jointly be responsible for organizing pre- and post-midterm conferences and midterm, tenure, and promotion reviews. The Mentoring Committee will be consulted for any such conference or review. For the pre- or post-midterm conference, a conference committee including the Heads of X and Y will meet and jointly write an evaluation. For the midterm, tenure, and promotion reviews, the appropriate joint X and Y Departmental Review Committee will meet together and act as a single body to discuss and evaluate the faculty member's performance. A single letter to the Promotion, Tenure, and Review Committee will be written. For tenure reviews, the members of the joint X and Y Departmental Review Committee will make their individual recommendations. [Rev. 11-9, Board, Feb. 14, 2012]

Post-tenure reviews, including promotion to full professor, will be conducted similarly but with only full professors of X and Y involved in a promotion recommendation.

M.1.3.2 Collaborative Model for Joint Appointments: in which the units sometimes act separately

M.1.3.2.1 Search. The Search Committee will consist of an equal number of members from X and Y, with a Chair elected by its members. Acting as one unit, the search committee writes the job description, recruits candidates, and invites the top applicants to campus following existing search guidelines. During campus interviews, all members of X and Y will have the opportunity to meet the candidates.

Following the interviews, members of X and Y will meet separately to discuss and to vote on the candidates. Each Department or Program will identify and rank those candidates deemed acceptable. The Heads and/or Chairs of X and Y will determine if a clear candidate emerges from the separate rankings; if not, X and Y will be informed of the rationale for the other's preferences and then will vote again. If a clear candidate still does not emerge, a joint meeting of X and Y will be held to discuss each candidate further. Votes will be taken until a clear candidate or list of candidates emerges. The names of the recommended candidates, along with the rationale supporting the recommendation will be sent to the Dean of the Faculty. No candidate will be recommended who is not acceptable to both X and Y. [Rev. 2014]

If it is unclear where the appointment will reside, the Search Committee will be comprised of three members of X, together with a representative from each of the departments or programs (Y's) in which the appointment might possibly reside. For example, a department or program may be given permission to hire a faculty member who will teach part-time in that program, and part-time in one of several other departments or programs that have indicated interest in sharing the appointment. The Chair will be one of the members of X. Once the job description is written and a list of top applicants chosen by the Search Committee, each candidate's credentials will be forwarded to the appropriate department/program Y that will potentially share the appointment. The Head or Chair of Y, along with the Y representative from the Search Committee and another member of Y, will meet to decide which of the candidates is acceptable to bring to campus. Once the Search Committee receives the evaluations from all Y's, it will invite the top applicants to campus following existing search guidelines. During campus interviews, all members of X will have the opportunity to meet the candidates, and all members of each Y will have the opportunity to meet the candidates who will potentially reside in their department/program.

Following the interviews, members of X and Y will meet separately to discuss and to vote on the candidates. Each department or program will identify and rank those candidates deemed acceptable. The Heads and/or Chairs of X and Y will determine if a clear candidate emerges from the separate rankings; if not, X and Y will be informed of the other's preferences and will then vote again. If a clear candidate still does not emerge, a joint meeting of X and Y will be held to discuss each candidate further. Votes will be taken until a clear candidate or list of candidates emerges. The names of the recommended candidates, along with the rationale supporting the recommendation will be sent to the Dean of the Faculty. No candidate will be recommended who is not acceptable to both X and Y. [Rev. 2014]

M.1.3.2.2 Responsibilities. The joint appointment is a full member of both X and Y. The Heads and/or Chairs of X and Y will determine the teaching responsibilities of the joint appointment each year, taking into account the curricular needs of X and Y, as well as the faculty member's preferences. In

cases in which the Heads and/or Chairs cannot agree, the Dean of the Faculty will mediate. Advising responsibilities, supervision of student research, and department/program service will be arranged similarly, with the Heads and/or Chairs of X and Y insuring that the faculty member is not overburdened by virtue of being in more than one body. [Rev. 2014]

M.1.3.2.3 Mentoring. A Mentoring Committee will be set up to advise an untenured joint appointment. This committee, consisting of two tenured faculty members, one from X and one from Y, will counsel the joint appointment regarding their faculty responsibilities and insure that the person has adequate information about faculty procedures for reappointment and tenure. The Committee will disband at the time a tenure decision is made.

M.1.3.2.4 Reviews. The Heads and/or Chairs of X and Y will each be responsible for organizing independent pre- and post-midterm conferences, midterm reviews, and tenure reviews. The Mentoring Committee will be consulted for any such conference or review. For the pre- or post-midterm conference, conference committees from both X and Y will meet and share their independent evaluations, which will be forwarded to the Provost. For the midterm and tenure reviews, Departmental Review Committees of X and Y will meet separately to deliberate. The Heads and/or Chairs of X and Y then will together compose a letter reflecting the views of both X and Y. For tenure reviews, tenured members of both X and Y will make their individual recommendations. [Rev. 11-9, Board, Feb. 14, 2012, 2014]

Post-tenure reviews, including promotion to full professor, will be conducted similarly but with only full professors of X and Y involved in a promotion recommendation.

M.1.4 Interdisciplinary Program Appointments

If an Interdisciplinary Program has been allocated a position to hire a faculty member whose teaching and research are fundamentally interdisciplinary in nature, or in exceptional circumstances when a candidate's teaching and research are interdisciplinary in nature, such that a courtesy, affiliated, or joint appointment is not appropriate, an Interdisciplinary Program may put a candidate forward for appointment and tenure through that Program. In such cases, the procedures for review and promotion will follow, as closely as possible, the existing procedures outlined in the *Faculty Handbook*, with senior faculty of the Interdisciplinary Program constituting "the department." The terms of such an appointment shall be based on a Memorandum of Understanding that specifies the time period of the appointment, faculty privileges and support, responsibilities, and evaluation.

M.1.5 The Memorandum of Understanding

Interdisciplinary appointments of all types are governed by a Memorandum of Understanding that shall be in place at the time an appointment is made.

At the beginning of any interdisciplinary appointment, Department Head(s) and/or Program Chairs prepare a Memorandum of Understanding that specifies the faculty member's privileges, support, responsibilities, and the procedures to be followed related to the faculty member's appointment, mentoring, and review. For new faculty appointments, the Memorandum of Understanding shall be incorporated by reference in the letter of appointment. For a current faculty member who accepts an interdisciplinary appointment, the two departments and/or programs should prepare the Memorandum of Understanding at the time of the appointment. The initial Memorandum of Understanding

and any subsequent changes must be made with the agreement of all relevant parties (faculty member holding interdisciplinary appointment, departments/programs involved) and the Dean of the Faculty. The Memorandum of Understanding becomes part of the faculty member's personnel file. [Rev. 2014]

The key issues a Memorandum of Understanding must address are listed below.

M.1.5.1 Time Period of Appointment

At the initial time of appointment, the time period of an interdisciplinary appointment at the rank of Instructor, Assistant Professor, Associate Professor without tenure, or Professor shall be made according to the length of appointment procedures described in Faculty Handbook 4.1.5.1.1, 4.1.5.2.1, 4.1.5.3.2, and 4.1.5.4.1. The time period for an interdisciplinary appointment of a current faculty member shall be specified within the Memorandum of Understanding. [Rev. 11-9, Board, Feb. 14, 2012]

M.1.5.2 Faculty Privileges and Support

The Memorandum of Understanding shall address how the following issues will be handled as necessary depending on the particular type of interdisciplinary appointment: voting rights within department/program; office/laboratory space; research/equipment support; and administrative/secretarial support.

M.1.5.3 Faculty Responsibilities

The Memorandum of Understanding shall specify how the following responsibilities will be determined: courses taught; setting of teaching schedules; service and committee participation (departmental, program, college); and student advising responsibilities. The Dean of the Faculty shall communicate the relevant portions of the terms of the Memorandum of Understanding to the relevant parties (e.g. to the Registrar and the Office of the Dean of Advising and Co-Curricular Programs for advising duties, to Governance Committee for service eligibility). [Rev. 09-30, 2014]

M.1.5.4 Faculty Evaluation

The Memorandum of Understanding shall specify how and by whom the following matters will be handled: annual evaluation and salary recommendations; pre- and post-midterm conferences; reappointment, midterm, tenure, and promotion reviews; procedure for peer review of teaching; leaves and sabbaticals; judgment of scholarship criteria. The faculty member holding an interdisciplinary appointment and the Head/Chair should address the Memorandum of Understanding in all pre- and post-midterm conferences and midterm, tenure, and promotion reviews. [Rev. 11-9, Board, Feb. 14, 2012]

APPENDIX N

LAFAYETTE COLLEGE POLICY AND PROCEDURES FOR DEALING WITH FRAUD OR MISCONDUCT IN SCHOLARSHIP

Adopted by the Faculty on March 1, 2005 [04-20]
Approved by the Board of Trustees on May 20, 2005

N.1 Statement of Purpose

The Lafayette College Faculty believes that its mission as a community of teacher/scholars and the fundamental integrity of the academic institution are best served when faculty scholarship in all disciplines, whether or however funded and wherever pursued, reflects high standards of professional ethics. In order to deal with allegations or apparent evidence of academic fraud or misconduct in a fair, workable, and expeditious manner, the Faculty will employ the following procedures for dealing with fraud or misconduct in scholarship.

N.2 Definitions

As used in this policy, "fraud" is the intentional falsification or fabrication of data or results, plagiarism or other misappropriation of the work of another person, misapplication of research procedures so as to bias results, or other deceptive research or reporting practices. "Misconduct" may include negligence in collecting or analyzing data; it may also include stealing or destroying the property of others, such as research papers, supplies, equipment, or products of scholarship. The forms of scholarship to which this policy applies are listed in Section 4.2.2.

Fraud and misconduct do not include unintentional error or honest differences in interpretations or judgments of data. Further, the procedures outlined below apply only to allegations of fraud or misconduct that affects the integrity of research data or outcomes or the honesty and accuracy of scholarly authorship. The Provost shall refer to the Academic Research Committee all other allegations of misconduct in scholarship, including, but not limited to, the misuse of funding allocated by the Academic Research Committee. If that committee, in consultation with the Provost, decides that the allegations are sufficiently serious that they may result in either dismissal or suspension of the accused faculty member, the case shall immediately be dealt with according to the procedures outlined in Appendix T. Less serious cases shall be considered by the Academic Research Committee according to its own procedures.

These procedures are not intended to treat allegations or apparent evidence of fraud or misconduct by students. The mere fact of faculty supervision does not necessarily imply responsibility for student malfeasance.

These procedures are not intended to supersede existing federal regulations and policies such as those dealing with research involving human subjects or animals.

N.3 Procedures

N.3.1 A member of the College who has information suggesting that a member of the faculty has committed an act or acts of fraud or misconduct in any of the above cases has an obligation to bring such information to the Provost, as does any person who is the alleged victim of a faculty member's alleged fraud or misconduct (a "Complainant") in such cases; the Provost may also receive information from a source outside the College. In any of the above cases, a copy of the Procedures will be furnished to the person whose scholarly activities have been questioned (the "Scholar") and to the Complainant

(if any). Once concerns about the integrity of a faculty member's scholarly activities or accusations of fraud or misconduct in scholarship are raised (the "Allegation"), the Provost shall convene a Preliminary Review Committee composed of himself/herself, the Dean of Curriculum and Research, and the Chair of the Academic Research Committee (the "Preliminary Review Committee"). The Provost shall ensure that no proposed member of the Preliminary Review Committee has a conflict of interest or is a member of the same academic department as the Scholar or the Complainant (if any). In cases where either the Dean of Curriculum and Research or the Chair of the Academic Research Committee has a conflict of interest or is a member of the same academic department as the Scholar or the Complainant (if any), the other members of the Academic Research Committee shall select a replacement. In cases where the Provost is the Scholar or the Complainant or has a conflict of interest, the President shall designate someone to act in place of the Provost in leading the investigation and in performing all other responsibilities assigned to the Provost in this procedure. The Provost shall inform the Scholar about the Preliminary Review and about the Allegation. In the case of a Complainant, that individual will also be informed that a Preliminary Review is underway. During the Preliminary Review, every reasonable effort shall be made to protect the privacy rights of all parties, but confidentiality cannot be guaranteed. The Preliminary Review Committee shall first determine whether the information presented constitutes a matter to which the Procedures properly apply. It shall then assess whether the suspicion is groundless, frivolous, or malicious or whether it warrants further inquiry. The Preliminary Review Committee shall promptly terminate any Allegation that is groundless, frivolous, or malicious. [Rev. 08-43, 2014]

N.3.2 The Preliminary Review Committee shall next conduct a thorough inquiry as to whether a Hearing is warranted. If there is a Complainant, he/she shall make the Allegation in writing. The Complainant has the responsibility to provide the Preliminary Review Committee with relevant materials to support the Allegation and may be asked to appear before the Preliminary Review Committee. The Scholar also has the obligation to furnish the Preliminary Review Committee with relevant information and to allow access to scholarly material which it deems necessary to make a determination. The Scholar may also be asked to meet with the Preliminary Review Committee to respond to the Allegation. If the Preliminary Review Committee determines by a majority vote that a Hearing is not warranted because there is no reasonable basis for concluding that the Scholar has committed fraud or misconduct in scholarship, the Provost shall so notify the Scholar and the Complainant (if any) in writing and the matter shall be promptly terminated. If the Preliminary Review Committee determines by a majority vote that a Hearing is warranted because there is a reasonable basis for concluding that the Scholar may have committed fraud or misconduct in scholarship or because further investigation is needed, the Provost shall prepare a report describing the Preliminary Review Committee's activity in gathering and reviewing information and data, and stating its reasons for determining that a Hearing is warranted. Copies of the Preliminary Review Report shall be given to the Scholar and the Complainant (if any). The Preliminary Review Committee shall normally conduct its inquiry and reach a determination within 60 days of its formation. The Scholar shall have 10 calendar days after receiving the Preliminary Review Report to file a written response addressing the Allegation of fraud or misconduct and responding to the Preliminary Review Report. If the Scholar needs more time to gather evidence to respond to the Preliminary Review Committee's findings, he/she may ask the Preliminary Review Committee for an extension of the 10-day period, and the Preliminary Review Committee should grant the extension under such circumstances if it is a reasonable request.

N.3.3 Upon receipt of the Scholar's response or after the passage of 10 calendar days (or the extended due date), the Provost shall inform the Chair of the Appeal and Grievance Committee about the general nature of the case in order that a Hearing Committee can be formed. The Hearing Committee shall be comprised of five tenured faculty. The Chair

shall appoint any three of the five members of the Appeal and Grievance Committee to serve on the Hearing Committee, and those three members shall then select the other two members of the Hearing Committee from outside the Appeal and Grievance Committee. Prior to the actual appointment of members of the Hearing Committee at each of the two stages, the Provost shall be consulted to ensure that no proposed member has a conflict of interest or is a member of the same academic department as the Scholar or the Complainant (if any). In all cases, members of the Hearing Committee should consider themselves to be disinterested parties. The Hearing Committee thus constituted shall elect a Chair and be assigned a secretary, normally from the President's office, who shall provide the Hearing Committee with all requisite clerical assistance throughout the formal hearing process. In circumstances that warrant the Hearing Committee having access to an independent counsel, the Hearing Committee shall have access to an independent counsel arranged through the College Counsel's office. This independent counsel shall not be allowed to attend the Hearing but is provided to assist the Hearing Committee when such assistance is requested.

N.3.4 Promptly after the Hearing Committee is formed, the Provost shall provide the Hearing Committee, through its Chair, with a copy of the Preliminary Review Report and the Scholar's response to the Report. The Hearing Committee shall examine and evaluate all relevant written information and material, which may include research data and proposals, original data sets, publications, dated prior drafts, correspondence, memoranda of telephone calls, and other documents. The Scholar shall cooperate in providing all relevant information and material, including access to laboratories or other campus facilities in the Scholar's presence. The Hearing Committee may consult with outside experts, but all communications with such experts either shall be contained in written documents (copies of which shall be made available to the Scholar) or shall be conducted in the presence of the Scholar during the Hearing. The Hearing Committee shall provide the Provost and the Scholar with a list of selected outside experts (if any) no less than 48 hours prior to contacting those experts. In choosing outside experts, the Hearing Committee shall seek impartiality to the maximum extent possible. The Hearing Committee shall also ensure that its outside experts agree to respect confidentiality to the maximum extent possible.

N.3.5 At a time deemed appropriate by the Hearing Committee, the Hearing Committee shall hold a Hearing in order to receive testimonial evidence and to give the Scholar the opportunity to present testimony in his/her own behalf. The Chair of the Hearing Committee shall notify the Scholar, the Complainant (if any), the Provost, and the President of the time, place, and date so scheduled by certified mail, return receipt requested.

N.3.6 The entire proceedings of the Hearing shall be recorded by a professional stenographer, and an accurate transcript shall be promptly produced from that stenographic record and made available to the Hearing Committee. The Chair of the Hearing Committee shall preside over the proceedings and act to ensure a fair presentation of all evidence and equitable treatment of all participants, and to maintain decorum. Each party in the case (normally the Provost and the Scholar) and the Complainant (if any) may be accompanied only by counsel chosen by him/her from the Faculty or Administration of the College. Procedures shall not follow formal rules of evidence, but special care shall be taken in evaluating evidence to ensure fairness.

N.3.7 At the Hearing, the Provost or his/her designee presents the case for the College, and the Scholar presents his/her case. The Scholar shall be presumed not to have committed fraud or misconduct; the burden shall rest upon the College to prove that he/she has done so. During the Hearing, the parties shall have the following rights: to present and examine witnesses; to introduce evidence that has been previously made available to the Hearing Committee and, through the Hearing Committee, to the Provost

and the Scholar; to conduct reasonable cross examination of any witness on any matter relevant to the issue of the Hearing; and to offer relevant evidence in rebuttal. The Scholar shall have the right to question the Complainant (if any) directly. Each party shall give the Hearing Committee a list of the names of all witnesses and copies of all documentary and other evidence at least 72 hours before the Hearing begins, or, in the event that a party would like to offer rebuttal evidence, at least 24 hours prior to the use of that rebuttal evidence. The Hearing Committee shall provide copies of any such witness lists or evidence to both parties as promptly as possible, and a list of all witnesses to be summoned by the Hearing Committee shall be made available to both parties not less than 48 hours before the Hearing begins. Copies of all evidence received or gathered by the Hearing Committee at any stage shall be made available promptly to both parties, and no new witness(es) may be summoned by either party or by the Hearing Committee without the Hearing Committee giving both parties 24-hour notice in advance. At its discretion, the Hearing Committee has the authority to gather such additional evidence as it deems relevant. If a Complainant testifies at the Hearing, that Complainant may be accompanied by a counsel chosen by him/her from the Faculty or Administration of the College. Under the circumstance that the Hearing Committee calls the Scholar as a witness, the Provost or his/her designee shall be granted the right to question the Scholar. However, if the Scholar elects not to testify, he/she may not be called as a witness by the Hearing Committee or by the Provost or his/her designee.

N.3.8 Following the presentation of all evidence, the Hearing shall be closed at the time the Hearing Committee deems appropriate. Thereupon, the Hearing Committee shall deliberate in executive session, at a time convenient to itself. If a majority of the Hearing Committee members is persuaded by the evidence that the Scholar has committed fraud or misconduct in scholarship, then it shall recommend appropriate sanctions. Examples of sanctions include, but are not limited to, the following: letter of reprimand, suspension from the College, dismissal from the College, demotion, salary reduction, restrictions on research activities, and monitoring of future work. If the Hearing Committee determines that the Scholar has not committed any acts of fraud or misconduct in scholarship, then it shall recommend that the case be dismissed. Within 10 calendar days of the close of the Hearing, the Hearing Committee shall record its findings and its recommendations in a written report. Normally, the Hearing Committee shall complete its written report within 120 calendar days after the formation of the Hearing Committee.

N.3.9 Promptly upon completion of the report, regardless of the Hearing Committee's findings and recommendations, the Chair of the Hearing Committee shall inform the Chair of the Promotion, Tenure, and Review Committee about the general nature of the case in order that a three-member Hearing Review Committee can be formed from the Promotion, Tenure, and Review Committee. The Chair of the Promotion, Tenure, and Review Committee shall promptly appoint any three of the six elected members of that Committee to serve on the Hearing Review Committee. Prior to the actual appointment of members of the Hearing Review Committee, the Chair of the Hearing Committee shall be consulted to ensure that no proposed member has a conflict of interest or is a member of the same academic department as the Scholar or the Complainant (if any). In all cases, members of the Hearing Review Committee should consider themselves to be disinterested parties. The Hearing Review Committee thus constituted shall elect a chair. Promptly upon being elected, the Chair of the Hearing Review Committee shall notify the Chair of the Hearing Committee of the formation of the Hearing Review Committee. In response, the Chair of the Hearing Committee shall give the Chair of the Hearing Review Committee the written report of the findings and recommendations of the Hearing Committee with full explanatory justification and a summary of dissenting opinion, along with the full record of the Hearing, including the transcript, all documentary evidence, and all written communications between the Hearing Committee and the parties. The three members of the Hearing Review Committee are the only persons who shall receive the Hearing Committee's report and the record of the Hearing at this time. A copy of the

written report of the findings and recommendations of the Hearing Committee with full explanatory justification and a summary of dissenting opinion, along with the full record of the Hearing, including the transcript, all documentary evidence, and all written communications between the Hearing Committee and the parties, will be available in the President's suite for the Scholar and the Provost to review with or without counsel chosen from the College.

N.3.10 The charge of the Hearing Review Committee is to evaluate the integrity of the entire Hearing process and to ensure fairness to all parties. The role of the Hearing Review Committee is not to question or reevaluate the Hearing Committee's factual findings. Nor is it the role of the Hearing Review Committee to question or reevaluate the Hearing Committee's recommendations, except as provided in "e" below. The Hearing Review Committee shall review the report of the Hearing Committee and the full record of the Hearing, and any written statement(s) about the Hearing based on "a," "b," "c," "d," or "e" below that might be submitted by the Scholar and/or the Provost, and shall determine whether the Hearing was properly conducted. The Hearing Review Committee shall determine that the Hearing was not properly conducted if

- a. the Hearing Committee committed a procedural error that had a material (i.e., so substantial and important as to have been decisive) effect on its findings and recommendations, or did not take into account a procedural error that occurred in an earlier stage of the process and that had a material effect on its findings and recommendations; or
- b. the Hearing Committee violated the professional, academic, or EEO rights of the Scholar or of the Complainant (if any), or did not take into account an earlier violation of those rights, in such a way as to have a material effect on its findings and recommendations; or
- c. the Hearing was conducted in an unfair or inequitable manner, in such a way as to have a material effect on the Hearing Committee's findings and recommendations; or
- d. the Hearing Committee demonstrably considered non-germane evidence as material; or
- e. the sanction(s) (if any) recommended by the Hearing Committee was (were) not consistent with its factual findings.

The Hearing Review Committee shall reach its determination within 14 calendar days of its receipt of the Hearing Committee's report and the Hearing record. If the Hearing Review Committee determines by a majority vote that the Hearing was properly conducted, the Hearing Review Committee's determination shall, by the end of that 14-day period, be communicated in a written report to the members of the Hearing Committee, the Scholar, and the President. At this time, the President shall also receive the full record of the Hearing and the Hearing Committee's report. (At this stage, the President is the only additional person who shall receive the full record of the Hearing and the Hearing Committee's report.) If the Hearing Review Committee determines by a majority vote that the Hearing was not properly conducted, the Hearing Review Committee shall ensure that the flaws are corrected as it deems appropriate. Depending on the nature of the flaws, the Hearing Review Committee may require that the Hearing Committee reopen the Hearing to (but not beyond) whatever extent might be necessary to correct the flaws, or, in the case of an irreparable procedural impropriety, the Hearing Review Committee may require that the Chair of the Appeal and Grievance Committee form a new Hearing Committee to initiate a *de novo* Hearing. (If a *de novo* Hearing is called for, the Chair of the Hearing Review Committee shall inform the Provost, the

Scholar, and the original Hearing Committee. The full record of the *de novo* Hearing, and the report of the *de novo* Hearing Committee, will be subjected to the same scrutiny by the Hearing Review Committee as were the original Hearing Committee's report and Hearing record.) When the Hearing Review Committee has determined by a majority vote that all material flaws have been corrected, and that the Hearing was properly conducted, and that any potentially material new evidence that might have been brought to the attention of the Hearing Review Committee by either party has been referred to and fairly and adequately responded to by the Hearing Committee, the Hearing Review Committee shall communicate its determination in a written report to the members of the Hearing Committee, the Scholar, and the President. At this time, the President shall also receive the full record of the Hearing and the Hearing Committee's report.

N.3.11 The President shall review the report of the Hearing Committee, the full record of the Hearing (including the transcript), and the report of the Hearing Review Committee; may interview witnesses at his/her discretion; and shall make a decision in the case. The President may request that the Hearing Committee reconsider the case on a specific ground or grounds. The President's request for reconsideration must be made within 30 calendar days, and the Hearing Committee has another 14 calendar days in which to make a second report. The President shall make a decision on the matter within 30 calendar days of the Hearing Committee's initial report or its second report. The President may affirm, reject, or modify the recommendations of the Hearing Committee. The President's final decision, in writing, together with copies of the reports of the Hearing Committee and the Hearing Review Committee, must be sent to the Scholar, the Complainant (if any), the Hearing Committee, the Hearing Review Committee, the Provost, and the Board of Trustees, through its Secretary. Grounds for modification or rejection of the Hearing Committee's recommendations must be stated in writing. In cases where the President is the Complainant or the Scholar, disposition of the matter is the responsibility of a Review Panel, as described in Appendix D of the *Faculty Handbook*.

N.3.12 Subsequent to the process described above, a Scholar who does not accept the President's decision may make a written appeal to the Board of Trustees, through its Secretary, not more than 14 calendar days after receiving the President's written decision. An appeal is permissible only on the ground that the procedures of the College were not properly followed. Normally, the Board does not undertake a *de novo* review. The Chair of the Board may appoint a Board Committee to act on its behalf in considering the appeal. The Board may at its discretion interview such persons as it deems appropriate. The Board may either affirm or overturn the President's decision, or, alternatively, it may request that the case be re-evaluated by either the President or the Hearing Committee. The Board shall report its decision to the Scholar, the Complainant (if any), the President, the Provost, the Hearing Committee, and the Hearing Review Committee as soon as possible.

N.3.13 Dismissal or suspension is effectuated only by a vote of the Board of Trustees. If the Board has decided in favor of dismissal or suspension of the Scholar from the College, the report of the Hearing Committee and a copy of the President's decision shall be placed in the Scholar's personnel file and the President shall inform the Scholar of his/her dismissal or suspension. If the President has decided in favor of any other sanction against the Scholar and the Board has not overturned the President's decision on appeal, the report and the recommendations of the Hearing Committee and a copy of the President's decision shall be placed in the Scholar's personnel file and the President shall direct the Provost to impose the sanction.

N.3.14 Immediately after the appeal process has ended, the Provost shall notify any relevant external agency of the findings and sanctions. In addition, the Provost shall give consideration to formal notification of other concerned parties not previously notified.

N.3.15 If the Hearing does not substantiate fraud or misconduct in scholarship, the College shall undertake diligent efforts to restore the reputation of the Scholar if that reputation has been called into question. Such diligent efforts shall be made by the Provost in consultation with, and with the agreement of, the Scholar. Where there has been public damage to the Scholar's reputation, such diligent efforts shall include public statements by college officials, if the Scholar agrees.

N.3.16 The Preliminary Review Committee, the Hearing Committee, the Hearing Review Committee, the Executive Committee of the Board of Trustees, and all other parties involved in the process shall respect confidentiality to the maximum extent possible.

APPENDIX O

LAFAYETTE COLLEGE INSTITUTIONAL ANIMAL CARE AND USE GUIDELINES

[92-32], Approved by the Board of Trustees on October 30, 1993
[Rev. 00-19, 00-20] Approved by the Faculty on April 3, 2001
Approved by the Board of Trustees on October 27, 2001
[Rev. 02-3], Approved by the Board of Trustees on October 19, 2002

O.1 Introduction

The Animal Welfare Act (P.L. 89-544, as amended by P.L. 91-579 and P.L. 94-279 and administered by the United States Department of Agriculture) and other applicable state and local laws serve to provide guidance in the use of animals for research, educational, and instructional purposes. An important document in this area is Guide for the Care and Use of Laboratory Animals (NIH Publication No. 86-23, revised 1996) prepared by the Institute of Laboratory Animal Resources, National Research Council, 2101 Constitution Avenue, NW, Washington, DC 20418. According to the Guide, the term "animal" is defined as any vertebrate. [Rev. 00-19]

The establishment of an Institutional Animal Care and Use Committee (IACUC) at Lafayette is an important means of ensuring the humane treatment of animals and adherence to applicable government regulations. What follows is a description of the organization and duties of the Committee, procedures for the development of research and teaching proposals, and, finally, guidelines for the maintenance of these animals at Lafayette College.

O.2 The Institutional Animal Care and Use Committee (IACUC)

O.2.1 Membership

The Institutional Animal Care and Use Committee (IACUC) at Lafayette is an administrative committee and its members are appointed by the Provost. Terms of appointment shall be no longer than three years but may be shorter. The Committee shall consist of not less than five members and shall include:

O.2.1.1 One faculty member who is a practicing scientist with experience in research involving animals.

O.2.1.2 A doctor of veterinary medicine.

O.2.1.3 A member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy).

O.2.1.4 A member who is not affiliated with the institution in any way other than as a member of the IACUC and is not a member of the immediate family of a person who is affiliated with the institution.

O.2.1.5 Other persons as required by federal, state or local laws or institutional needs.

O.2.1.6 The Dean of Curriculum and Research, *ex officio*. [Rev. 08-43, 2014]

The Chair of the IACUC, selected by the Provost, is responsible for maintaining documentation of the IACUC. The Chair will notify applicants for IACUC review of necessary changes, approval, or

disapproval in writing (see below). All applications for research approval will be forwarded to the Dean of Curriculum and Research after a decision is made. [Rev. 08-43, 2014]

O.2.2 Duties

The duties of The Institutional Animal Care and Use Committee at Lafayette shall include:

O.2.2.1 Review at least once every academic year the institution's program for humane care and use of animals, using the Guide for the Care and Use of Laboratory Animals as a basis for evaluation.

O.2.2.2 Inspection at least once every six months of all of the institution's animal facilities using the Guide as a basis for evaluation.

O.2.2.3 Submission of an annual report to the Dean of Curriculum and Research. [Rev. 08-43, 2014]

O.2.2.4 A review of concerns involving the care and use of animals at the institution.

O.2.2.5 The presentation of recommendations to the Dean of Curriculum and Research regarding any aspect of the institution's animal use program, facilities, or personnel training. [Rev. 08-43, 2014]

O.2.2.6 The review and approval of all proposed research and instructional project protocols employing animals, as defined by the Guide for the Care and Use of Laboratory Animals, to determine if the projects are in accordance with the policies as established in the Guide. The Committee's power to approve the use of animals in research or teaching is confined to the requirements of federal, state and local law. The Committee may only withhold approval for the use of animals that, in its opinion, is in violation of law.

O.2.2.7 Review and approval of change in the use of animals in previously approved project.

O.3 Guidelines for Research and Instructional Proposals

Proposals for research and instruction involving mammals and birds must be approved by the Committee before such projects can take place. Therefore, all animal use must be approved by the IACUC prior to the initiation of procedures. In the case of research proposals to be submitted to outside agencies (e.g., NIH), the IACUC must review the protocols for animal use prior to the submission of the proposal. The Committee will accept proposals at any time and will act on them monthly.

All honors projects or advanced research projects conducted by students which use animals in their procedures need to be approved by the IACUC before they can begin. Similarly, laboratory projects using animals that are part of course requirements must be reviewed by the IACUC. However, instructors who require students to develop short-term independent projects within general content courses (i.e., not Honors or Advanced Research) can submit to the Committee the internal procedure by which he/she will approve these small research projects.

O.3.1 Procedures for Submission for IACUC Review

*O.3.1.1 Complete the Request for IACUC Review Form available on-line on the College website. All requested information must be provided and follow the format of the form. [Rev. 08-43, 2014] **[Revised per Provost at request of Dean of Curriculum and Research]**

P.5.10.3.1.2 Student research and research activities that are included as part of a course must be accompanied by a statement from the supervising professor indicating that he/she has reviewed the guidelines for animal research and approve of the methods being employed.

O.3.1.3 Investigators should submit all information 30 days in advance of the anticipated data collection phase. In the case of grant proposals, materials must be submitted to the IACUC 30 days in advance of the agency submission deadline.

O.3.2 Basis for IACUC Review

The following items will be considered by the IACUC in its review of proposals:

O.3.2.1 Significance of the research or teaching approach

O.3.2.2 Appropriateness of the use of animals in light of possible alternatives

O.3.2.3 Appropriateness of the species of animal chosen and the number of animals needed

O.3.2.4 Research procedures to be employed

O.3.2.5 Techniques proposed for minimizing pain and distress

O.3.2.6 Euthanasia techniques

O.3.2.7 Availability of veterinary care for the animals

O.3.2.8 Personnel qualifications

O.3.2.9 Program(s) for training those persons involved in the care and maintenance of the animals

O.3.2.10 Environmental conditions of the laboratory and housing facility.

The IACUC is responsible for attending to concerns raised in the review of protocols for animal use. A concern expressed by the majority of the Committee that the proposed use of animals is not in compliance with law will prohibit the use of animals for that particular purpose until the concerns can be alleviated to the satisfaction of the Committee. When necessary, the Committee may consult with "experts" in the field on procedural questions. The Committee will make a good faith effort to discuss their concerns with the primary investigator and help him/her amend their procedures so as to ameliorate the Committee's concerns. If the investigator is unable to amend his/her procedures to meet the concerns of the Committee, the IACUC has the authority to suspend or terminate approval of research that is not being conducted in accord with federal, state and local guidelines. Such action will be accompanied by a written statement of the reasons for this action which will be sent to the primary investigator, the Provost's Office, and any sponsoring agency.

An investigator whose use of animals is not approved by the Committee may appeal that decision to the Provost. The Provost may reject the appeal or may ask the Committee to reconsider its decision. [Rev. 02-3]

Once a protocol has been approved by the IACUC, any significant changes in that protocol must be approved by the IACUC before those changes are instituted.

All on-going research or teaching programs using animals must be re-evaluated by the IACUC once every three years. The re-evaluation procedure will be the same procedure as described above. [Rev. 00-20]

O.4 Guidelines for Maintenance of Animals

Records of all use and maintenance activities involving animals must be kept on a routine basis. These records will be made available to the Dean of Curriculum and Research and/or the IACUC upon request. The records should include information on: [Rev. 08-43, 2014]

O.4.1 Type of housing (e.g., cages and their dimensions)

O.4.2 Feeding and watering

O.4.3 Experimental procedures performed

O.4.4 Medications or other treatment procedures

O.4.5 Cage cleaning and other routine maintenance activities

O.4.6 Environmental conditions of the facility (e.g., temperature and humidity)

APPENDIX P

INSTITUTIONAL REVIEW BOARD (IRB) POLICIES AND PROCEDURES⁴

Adopted by the Faculty on May 19, 1995 [93-32]
Approved by the Board of Trustees on January 27, 1996

Lafayette College and its Faculty are dedicated to the protection of human subjects. The College and its Faculty consider that part of their task is to educate students in what is required to appropriately protect human subjects. At the same time, the College and its Faculty recognize that many disciplines already offer guidance to Faculty and students on the protection of human subjects. In what follows, the protection of human subjects and the education of our students in the context of specific disciplinary requirements for their protection play a central role. The Procedures for Review of Research Involving Human Subjects are designed for the purpose of insuring that these goals are met.

The Health Research Extension Act of 1985 requires that each institution applying for federal funds establish an Institutional Review Board (IRB) with accompanying procedures to review biomedical and behavioral research involving human subjects.

Codes of ethics regarding research with human subjects already exist in those disciplines most intimately involved in such research. However, such guidelines do not exist for all disciplines. Whenever a faculty member is doing research in a discipline where such codes do not exist or whenever the proposed research involves outside funds, or whenever any faculty member, administrator, or student requests review of her/his own research, the proposed research must be reviewed by the IRB.

P.1 Procedures

The procedures contained herein are applicable to all research conducted by Lafayette College faculty, staff, or students and to class projects designed either by the instructor or the student. Further, any research involving Lafayette faculty, staff, or students by individuals not associated with the College is subject to these procedures, unless the project has received prior IRB approval. For the purpose of these procedures, research is defined by the Code of Federal Regulations (45 CFR §46.102(d)) as a "systematic investigation designed to develop or contribute to generalizable knowledge."

P.1.1 Research involving funding from outside the college which requires IRB approval must be reviewed by the IRB before potential subjects become involved in any way.

⁴Portions of these guidelines were adopted directly from: (1) The Code of Federal Regulations (45 CFR 46) published by OPRR Reports, U.S. Government Printing Office, Washington, D.C., 1983; (2) The Belmont Report, published by OPRR Reports, U.S. Government Printing Office, Washington, D.C., 1979; (3) Codes of professional ethics published by the American Psychological Association, American Political Science Association, American Anthropological Association, and the American Sociological Association; and (4) Institutional Review Board procedural guidelines of Rutgers University, Creighton University, Towson State University, Lehigh University, Tufts University, Bryn Mawr College, Lehigh Valley Hospital, and Muhlenberg College.

P.1.2 Research involving human subjects in a discipline which does not have its own code of ethics concerning the protection of human subjects must be reviewed by the IRB before potential subjects become involved in any way.

P.1.3 Departments which have one or more disciplinary codes of ethics concerning the protection of human subjects must set up a review process for student and Faculty research that does not fall under direct IRB review. It is the responsibility of each such department to examine and discuss the relevant disciplinary code(s) of ethics on a regular basis and to formulate its criteria for departmental review. A current copy of the disciplinary Code(s) of Ethics and the research review criteria of the department must be filed with the IRB and the Dean of Curriculum and Research. [Rev. 2010, 2014]

P.1.3.1 At a minimum, any review process must address, as appropriate, such major issues as informed consent, debriefing, confidentiality, anonymity, and the right to withdraw at any time without prejudice. Further, since one of the important functions of this process is the education of students, the department must provide the IRB with information about how the department will address those issues in the education of Lafayette students.

P.1.3.2 When a student is involved as an investigator, the faculty supervisor is obligated to discuss with the student the issues of protection of human subjects. Student research proposals must be reviewed first by the faculty supervisor.

P.1.3.3 The informal collection of information by students from respondents--for example, informally interviewing friends or relatives for purposes of class discussions or assignments--does not require review. IRB or departmental review is required only where there is the intent to undertake a systematic investigation, produce a design or protocol for the research, a sampling of a population, etc. It is presumed that Faculty will instruct students about the importance of confidentiality, anonymity, and privacy, as is appropriate.

P.1.3.4 If a proposal does not receive departmental approval, the investigator may appeal to the IRB, in which case normal IRB procedures will be followed.

P.1.3.5 All Review Forms shall be kept on file in the Department Office, with a copy forwarded to the Dean of Curriculum and Research and a copy to the Chair of the IRB. This pertains to all reviews of proposed research. [Rev. 2010, 2014]

P.1.3.6 If individuals who are not professional members of the department whose Code of Ethics is being used are conducting research it is the responsibility of the principal investigator to insure that such individuals are informed of the issues involved in using human subjects.

P.1.3.7 The department involved will be responsible for assuring that their procedures take place.

P.1.4 Investigators have the right to request review by the IRB, whether or not they are members of a discipline with its own Code of Ethics.

P.1.5 The basis for review, whether by the IRB or a departmental committee, will be that which is described in Section VI of the IRB Procedures and will focus on the human involvement in the research.

IRB, or when applicable departmental, approval must be granted prior to the involvement of human subjects in any way, including subject recruitment and selection.

P.2 Responsibility

P.2.1 The individual investigator is responsible for conduct of research in a manner in which the dignity and welfare of human participants is the primary concern, and for an understanding of regulations presented in the Department of Health and Human Services Regulations for the Protection of Human Research Subjects (Title 45 of the Code of Federal Regulations Part 46; March 8, 1983) as well as professional standards established within the investigator's discipline. Copies of 45 CFR 46 and of ethical principles presented by professional associations in psychology, sociology, anthropology, economics, and political science are available through the Dean of Curriculum and Research. Whenever such materials are revised by professional associations, a copy of the revised version should be filed with the Dean of Curriculum and Research. [Rev. 08-43, 2010, 2014]

P.2.2 In cases of student or staff research, the supervising faculty/staff member is also responsible for ethical treatment of human subjects by collaborators, assistants, students, and employees who share the same responsibilities and obligations to protect the welfare of human subjects.

P.2.3 This responsibility for protection of the welfare of human subjects is shared by the College as indicated by the policies of the IRB, and by any agency that sponsors that research. The IRB is responsible for the review of research and has the authority to approve, to disapprove, or to require changes in activities that involve human subjects. The IRB also has the authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's decisions, conditions, and requirements, or that has been associated with harm to human subjects. Such action will be accompanied by a written statement of reasons for this action conveyed to the investigator, the Dean of Curriculum and Research, and any sponsoring agency. [Rev. 2010, 2014]

P.2.4 The Chair of the IRB is responsible for maintaining documentation of IRB decisions and actions. The Chair will notify applicants for IRB review in writing of necessary changes, approval, or disapproval. All applications will be forwarded to the Dean of Curriculum and Research by the Chair after a decision is made. An annual report will be submitted to the Dean of Curriculum and Research by the IRB each June. These reports will include a summary of the review activities as well as approvals for the use of human subjects. [Rev. 08-43, 2010, 2014]

P.2.5 Information regarding continuing noncompliance of IRB requirements by investigators, injuries to human subjects, unanticipated problems involving serious risk to subjects, and suspension or termination of IRB approval will be reported to the Dean of Curriculum and Research. Such information will be reported to the Office of Protection from Research Risks as well if the project is federally funded. [Rev. 2010, 2014]

P.2.6 The Dean of Curriculum and Research will provide each faculty and staff member at the College who conducts research involving human subjects with a copy of the assurance of compliance with the Department of Health and Human Services Regulations for the Protection of Human Research Participants. [Rev. 08-43, 2014]

P.2.7 The investigator is responsible for informing the IRB promptly of any changes in: subject recruitment, selection, procedures for obtaining consent, debriefing (if required for the research), or research protocols that occur during the year. It is the investigator's responsibility to inform the IRB in writing when the project is terminated. If the project continues beyond a year, an annual report must be submitted on the anniversary of the approval date. This report should include information concerning recruitment, selection, data collection procedures, debriefing (if appropriate), etc., as well as plans for use of human subjects as the project continues.

P.3 IRB Membership

The IRB is comprised of four faculty members, one community delegate, and one staff member, each appointed by the Provost for a fixed term, which can be renewed. The Dean of Curriculum and Research serves as an ex officio member. The IRB is comprised of both men and women and represents at least three disciplines. At least one member of the IRB will have expertise in an area that is non-scientific. If research under review involves vulnerable subjects (see Special Considerations, Section VI-G) the IRB should include one or more additional members who have concern for the welfare of these participants as their primary responsibility during that particular review. The IRB Chair will determine if this is necessary and will be assisted in locating the additional member by the Provost. [01-3, 08-43, 2014]

P.4 Types of Review

Three types of review are applicable to research projects conducted by individual members of the faculty, staff, and student body: Exempt, Expedited, and Full. The Exempt review determines whether or not the proposed research meets the requirements for exempt status, in which case committee approval is not necessary for the research. The Expedited review is applicable in instances of minor changes in previously reviewed research and in special cases of limited human involvement with minimal risk (described in Section IV-B). The Full review is required for new research proposals that do not meet the requirements for Exempt status or Expedited review. The IRB Chair should be consulted if it is unclear which type of review is warranted. The three types of review are described below.

P.4.1 Exempt Status Review

Research proposals involving human subjects must be submitted to the IRB to determine whether or not the status is exempt. If the research is found to be exempt, the investigators must still ensure confidentiality, inform the participants of the requirements of the research, inform participants that participation is voluntary and that they may withdraw from the study without penalty. Subjects must be exposed to no more than minimal risk, which is defined as risk of harm no greater than those encountered in daily life or during performance of routine physical or psychological tests. There are 5 criteria that can be used to determine exempt status. These definitions and criteria are taken from the Federal Code of Regulations (see 45 CFR 46101b). The criteria for exempt status are:

P.4.1.1 Research conducted in established or commonly accepted educational settings, involving normal educational practices such as research on, or comparison among, instructional strategies, curricula or classroom management methods.

P.4.1.2 Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement) if the data are recorded so that subjects cannot be identified either by use of names or any special coded identifiers.

P.4.1.3 Research involving surveys, interviews, or observations of public behavior except where all of the following conditions exist. If subjects can be identified directly through an identification code, an exemption is allowable only if the subject's responses (should they become public) will not place the subject at risk of criminal or civil liability, or be damaging to the subject's financial standing or employability AND the subject's responses do not deal with sensitive aspects of personal behavior, for example, illegal conduct, drug use, sexual behavior, alcohol abuse, cheating, etc.

P.4.1.4 Research involving the collection and study of existing data, documents, records, pathological specimens or diagnostic specimens if these sources are

publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified directly or through identifiers linked to the subjects.

P.4.1.5 All research using survey or interview procedures is exempt when the respondents are elected or appointed officials or candidates for public office.

P.4.2 Expedited Review

Minor changes in research previously approved during the one year approval period may receive Expedited review. In addition, research in which human subjects are exposed to no more than minimal risk, which is defined as risk of harm no greater than those encountered in daily life or during performance of routine physical or psychological tests, AND which fits into one or more of the following categories may undergo Expedited Review. These categories are also taken from the Code of Federal Regulations.

P.4.2.1 Clinical studies of drugs and medical devices only when condition (a) or (b) is met. [98-35, Board, May 21, 1999]

- a. Research on drugs for which an investigational new drug application (21 CFR Part 312) is not required. [98-35, Board, May 21, 1999]
- b. Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling. [98-35, Board, May 21, 1999]

P.4.2.2 Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows: [98-35, Board, May 21, 1999]

- a. From healthy, nonpregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week [98-35, Board, May 21, 1999]
- b. from other adults and children, considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week. [98-35, Board, May 21, 1999]

P.4.2.3 Prospective collection of biological specimens for research purposes by noninvasive means. [98-35, Board, May 21, 1999]

Examples: (a) hair and nail clippings in a nondisfiguring manner; (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; (c) permanent teeth if routine patient care indicates a need for extraction; (d) excreta and external secretions (including sweat); (e) uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; (f) placenta removed at delivery; (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance

with accepted prophylactic techniques; (i) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; (j) sputum collected after saline mist nebulization. [98-35, Board, May 21, 1999]

P.4.2.4 Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications. [98-35, Board, May 21, 1999])

Examples: (a) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging; (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual. [98-35, Board, May 21, 1999]

P.4.2.5 Research involving materials (data, documents, records, or specimens) that have been collected or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis). [98-35, Board, May 21, 1999]

P.4.2.6 Collection of data from voice, video, digital, or image recordings made for research purposes. [98-35, Board, May 21, 1999]

P.4.2.7 Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. [98-35, Board, May 21, 1999]

P.4.2.8 Continuing review of research previously approved by the convened IRB as follows: [98-35, Board, May 21, 1999]

- a. Where (i) the research is permanently closed to the enrollment of new subjects; (ii) all subjects have completed all research-related interventions; and (iii) the research remains active only for long-term follow-up of subjects; or [98-35, Board, May 21, 1999]
- b. Where no subjects have been enrolled and no additional risks have been identified; or [98-35, Board, May 21, 1999]
- c. Where the remaining research activities are limited to data analysis. [98-35, Board, May 21, 1999]

P.4.2.9 Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified. [98-35, Board, May 21, 1999]

P.4.2.10 Any other category specifically added to this list by HHS and published in the Federal Register.

P.4.3 Full Review

Any research not covered under the Exempt or Expedited Reviews must be referred to the IRB for Full Review. The investigator may be invited to attend. The research is either approved, approved pending modifications which must be verified by members of the full committee, or is not approved.

P.5 Procedures for Submission for IRB Review

*P.5.1 Complete the Request for IRB Review Form available on-line on the College website. All requested information must be provided, typed and following the format of the form. Indicate the type of review most appropriate for the study. If the type of review is determined to be different than indicated by the investigator, the investigator will be notified and additional material necessary to continue the review process will be solicited by the IRB. [Rev. 08-43, 2014] *[Revised per Provost at request of Dean of Curriculum and Research]*

P.5.2 If student independent research proposals are brought to the IRB, these research proposals must be accompanied by a statement from the supervising professor indicating that they have reviewed the requirements for protection of human subjects with the student and approve of the methods employed to protect human subjects.

P.5.3 Investigators should submit all information 30 days in advance of the anticipated data collection phase. In the case of grant proposals, materials must be submitted to the IRB 30 days in advance of the agency submission deadline.

P.5.4 The following information should be submitted to the IRB with the completed Request for IRB Review Form:

- a. Subject recruitment and selection procedures
- b. Consent Form
- c. Explanation of Study
- d. Copy of Instruments (if applicable)
- e. Debriefing Statement (if applicable)
- f. Full Grant Proposal or study description (whichever appropriate)

P.5.5 All adverse and unexpected effects regarding subject welfare must be reported in writing to the Chair of the IRB immediately.

P.5.6 Interim progress reports should be submitted as requested by the IRB. Annual reports are mandatory.

P.5.7 When a project is completed, the IRB must be informed in writing and a final report regarding protection of human subjects must be submitted in writing.

P.6 Basis for Review

The IRB will determine that the following requirements have been adequately satisfied by the proposed research.

P.6.1 Risk to human subjects are minimized by using procedures that are based upon sound research design and do not expose subjects unnecessarily to risk.

P.6.2 Risks to subjects are reasonable in relation to anticipated benefits, if any, to subjects, and the importance of knowledge that may be reasonably expected to result. Alternative procedures that reduce potential risk should be considered if appropriate.

P.6.3 Recruitment and selection of subjects is equitable. When advertising is used to recruit subjects, the IRB must review the information contained in the advertisement to determine if the procedure adequately informs and protects the participants. Advertisements should include the name and address of the investigator, the purpose of the study, eligibility criteria used to admit subjects to the study, a description of benefits and risks, the location of research and means to contact the investigator for further information.

P.6.4 Informed consent procedures define the obligations and responsibilities of the investigator and the subject. Additional safeguards are necessary to ensure the welfare of human subjects if full disclosure of the research requirements is not made prior to consent. If deception is necessary to fulfill the goals of the study, the investigator must justify the value of the outcome, determine whether there are alternative procedures that do not involve concealment or deception, and ensure that subjects are given full disclosure as soon as possible. The welfare of the participant is always the primary concern. The procedure for obtaining informed consent should include use of a written consent form signed by the subject or the subject's legal representative that has been approved by the IRB. Each subject should be given a copy of the consent form unless that requirement is specifically waived by the IRB. Informed consent should normally include:

- a. Explanation of the purposes of the research.
- b. Description of the research procedures.
- c. Expected duration of participation.
- d. Description of potential risks.
- e. Description of benefits that can reasonably be expected.
- f. Description of procedures for maintaining confidentiality and if appropriate, anonymity.
- g. A statement that participation is voluntary and that consent can be withdrawn and participation can be discontinued at any point without negative consequences for the subject.
- h. Explanation of whom to contact for answers to questions about the research, subjects' rights and whom to contact in the event of physical or mental discomfort, stress or harm.

- i. Potential risks and hazards and any feature of the protocol that may influence decisions to participate should be explained in a manner that is understandable to the subject or their legal representative.
- j. It is incumbent on investigators to demonstrate how their procedures address recruitment, selection, informed consent and debriefing concerns in terms which are culturally relevant given the subjects selected for study.

P.6.5 The research plan makes adequate provision for monitoring the data collected to insure subjects' safety.

P.6.6 There are adequate provisions to protect the privacy of subjects and maintain confidentiality of data.

P.6.7 Special Considerations: Research involving children, fetuses, pregnant women, students, disabled individuals, employees and prisoners. If the investigator is in a position of authority or influence over the participant, or if the subject has reduced ability to understand the nature of the study, special safeguarding procedures should be considered. Under these circumstances, be certain to document fully the informed consent procedures.

P.7 IRB Procedures

P.7.1 Determination of type of review

The Chair of the IRB will review all submissions for IRB approval. The Chair and one other member of the IRB will determine if the proposed research meets the requirement for an exempt, expedited or full review. If the proposed research is determined to be exempt, the investigator is notified in writing by the Chair and the proposal is forwarded, with that action noted, to the Dean of Curriculum and Research. If an expedited or full review is necessary, the investigator is notified and additional materials requested if necessary. [Rev. 2010, 2014]

P.7.2 Expedited Review

P.7.2.1 The Expedited Review is conducted by the IRB chair and one (or more) of the members of the IRB who was (were) not involved in the determination of type of review. Participants in this process of the expedited review are designated by the Chair.

P.7.2.2 No projects involving subjects deemed as vulnerable to influence, authority or with special requirements with respect to obtaining informed consent (See Special Considerations above) can be included under Expedited Review Procedures.

P.7.2.3 The investigator is informed of the outcome of the expedited review. The outcome could be approval, disapproval with an explanation of problems that must be remedied before approval, need for additional information, or need for a full review. This decision is communicated in writing to the investigator, the IRB members, and to the Dean of Curriculum and Research, with a copy of documents submitted to the IRB forwarded to the Dean of Curriculum and Research. [Rev. 2010, 2014]

P.7.2.4 Proposals will be circulated to all members of the IRB with notification from the Chair that the proposal has been designated for expedited review. Any member

of the IRB may request within one week of receipt of the proposal that the proposal scheduled for expedited review come under full review.

P.7.3 Full Review

P.7.3.1 Materials scheduled for review will be distributed to all members of the IRB one week prior to the meeting for full review. It is expected that all members will have reviewed materials prior to the meeting and requested additional information through the Chair if necessary.

P.7.3.2 If consultants or experts, especially in the case of vulnerable populations, are necessary, the materials will be distributed to those individuals prior to the meeting as well.

P.7.3.3 A majority of the membership constitutes a quorum and is required for a full review of submitted research. An IRB member whose expertise is in a nonscientific area must be present for full reviews.

P.7.3.4 A majority of those present must approve the request for approval to be granted.

P.7.3.5 Results of a Full Review supersede those of Exempt or Expedited Reviews.

P.7.3.6 The Chair of the IRB notifies the investigators and the Dean of Curriculum and Research in writing of approval, disapproval or need for additional information. Reasons for disapproval and for additional information will be included in the notification. [Rev. 2010, 2014]

APPENDIX Q

INSTITUTIONAL REPOSITORY OF FACULTY SCHOLARLY ARTICLES

Adopted by the Faculty on April 5, 2011 [10-29]

The Faculty of Lafayette College is committed to disseminating the fruits of its research and scholarship as widely as possible. Each faculty member grants to Lafayette College permission to make available his or her scholarly articles in the College's institutional repository as allowed by copyright agreements. This resolution applies to all scholarly articles authored or co-authored while the person is a member of the Faculty except for any articles completed before the adoption of this resolution and any articles for which the faculty member entered into an incompatible licensing or assignment agreement before the adoption of this resolution. The Provost or the Provost's designate will waive application of the resolution for a particular article or for all articles by a particular author upon written request by a faculty member.

Faculty members are encouraged to reserve their rights under copyright to allow the College to provide open access to as many scholarly articles as possible. Faculty members are further encouraged to provide an electronic version of their scholarly articles to the Library as of the date of publication for deposit in the Lafayette Digital Repository.

The Provost's Office, in consultation with the Information Technology and Library Committee, is responsible for interpreting this resolution, resolving any disputes concerning its interpretation and application, and recommending changes to the Faculty. Library staff are responsible for checking publishers' policies and depositing articles in the repository. The resolution is effective at the start of the 2011-12 academic year and will be reviewed at the end of the 2014-15 academic year by the Information Technology and Library Committee, with a report to the Faculty in fall of 2015.

APPENDIX R

INFORMATION TECHNOLOGY: STATEMENT OF CONFIDENTIALITY, PRIVACY, AND SECURITY

[00-21, 05-11, 06-5]

Lafayette College cherishes freedom of expression and the value of privacy for all members of the Lafayette community. Private communication via computer is treated with the same degree of protection as other forms of private communication.

Information Technology Services (ITS) provides reasonable security measures against intrusion and damage to files stored on the central computing facilities. Current technology, however, is not capable of providing complete protection against unauthorized access. Therefore, the confidentiality of e-mail and other system files cannot be assured. In addition, members of the ITS staff may inadvertently see the contents of e-mail or user files due to address errors or as a result of maintaining the system. In such cases, ITS staff members are required to keep the contents of e-mail messages and user files confidential.

Users should be aware that e-mail is a written record and, once delivered, enters the control of the recipient and like other written documents may be admissible as evidence in internal and external proceedings. Messages and/or user files that have been deleted may be retained on the College's system backup files as part of standard computing services procedures. All users should be aware of the system limitations and use reasonable caution when transmitting confidential materials.

R.1 College Privileges

By attaching personal computers or other devices to the College's network, users consent to College use of scanning programs for security purposes on those resources while attached to the network.

Information technology systems routinely log user actions in order to facilitate recovery from system malfunctions and for system management purposes. The logs of user actions or other information obtained by the scanning programs for security purposes should be treated as confidential in the same manner that user files and e-mails are treated as confidential. ITS is required to post policies and procedures concerning logging of user actions, including the extent of individually-identifiable data collection, data security, and data retention.

R.2 Conditions of College Access

ITS endeavors to respect the privacy of all users, but cannot guarantee it. Members of ITS staff are forbidden to log on to a user account or to access a user's files unless the user gives explicit permission. Exceptions to this privacy policy are made, however, under the following conditions:

- a. when required to do so to preserve public health and safety;
- b. when necessary to preserve or restore system integrity or security;
- c. when required by federal, state, or local law; or

- d. when there are reasonable grounds to believe that system resources are being used in violation of law or College policy.

If any of the conditions described above is present, the Vice President and Chief Information Officer and one other senior officer of the College—the Provost (for faculty users), the Vice President for Campus Life (for student users), or the Vice President for Human Resources (for administrative or staff users)—must agree that there is sufficient cause to review a file or e-mail message before it can be accessed without the user's permission. The appropriate senior officer of the College shall preserve this agreement in writing, identifying the sufficient cause and the file(s) or message(s) to be accessed. Once sufficient cause has been established, the appropriate senior officer of the College and the Vice President and Chief Information Officer may then have access to the file(s) or message(s). Information obtained in this manner is admissible in legal proceedings or in a College hearing. At the earliest possible opportunity that is lawful and consistent with other College policy, the appropriate senior officer of the College shall notify the affected individual of the action(s) taken and the reason for the action(s) taken. [Rev. 2011]

R.3 Periodic Review

The three senior officers of the College and the Vice President and Chief Information Officer shall report annually to the Faculty Academic Policy Committee on the effectiveness of this policy. [Rev. 2011]

APPENDIX S

PREFERENTIAL VOTING

Added 2005

Some Faculty elections involve choosing among several candidates for each open position. In such elections preferential ballots are used; that is, each voter is asked to rank the candidates (see 5.3.5.1).

According to Arrow's theorem, there is no single ideal way to count preferential ballots; a simple example will illustrate this fact. Suppose three candidates, X, Y, and Z, are involved in an election, and 100 voters cast preferential ballots.

- a. X receives 60 first-place votes and 40 third-place votes
- b. Y receives 40 first-place votes and 60 second-place votes
- c. Z receives 40 second-place votes and 60 third-place votes

Who should win the election? Candidate X has the support of the majority, but the "average voter" prefers Y (average score 1.6) over X (average score 1.8). Either X or Y could reasonably be declared to be the winner.

Because there is no ideal way to count preferential ballots, several different reasonable systems have been proposed in the literature. Some of these systems are fairly simple, e.g., "the candidate with the most first-place votes wins" or "the candidate with the best average vote wins"; the latter is referred to as the Borda winner.

Other systems are more complicated. For instance, in the Copeland system a single election with n candidates is treated as a set of simple two-candidate elections, pitting the candidates against each other individually. These individual two-candidate elections are called "pairwise elections"; there are $(n^2 - n)/2$ of them. A pairwise election is decided by counting each voter's ballot as that ballot applies to that election: a single vote is given to the one of the two candidates who is more preferred by that voter. In the example mentioned above, X defeats Y 60–40 and X defeats Z by the same 60–40 score. To analyze the pairwise election between Y and Z, the 40 ballots on which Y is mentioned first must be the same 40 ballots on which Z is mentioned second, because Y is second whenever Y is not first; consequently Y defeats Z 100–0. The Copeland winner is the candidate for whom the quantity (number of pairwise elections won minus number of pairwise elections lost) is greatest; in the example this would be candidate X, who has won two pairwise elections and lost none.

The Copeland system and the Borda system are both reasonable ways of deciding preferential elections, but the two systems have somewhat different personalities: in the Borda system the vehemence of a voter's preferences is considered to be represented by the numbers the voter writes on the ballot, while the Copeland system deals instead with the system of one-against-one preferences the ballot indicates. In the example, the Copeland winner is X, but because of the large number of third-place votes X receives, the Borda winner is Y.

The preferential system used by the Lafayette College Faculty is a hybrid of the Copeland and Borda systems, with a complicated set of tie-breaking rules. If there is a single Copeland winner and a single Borda winner, the winner of the pairwise election between these two is declared the winner of the election, with a tie going to the Copeland winner. If there are several candidates tied as Copeland winners and there is a single Borda winner, the single Borda winner is declared to be the winner of the election. Copeland ties are fairly common, because there are not many

possible Copeland scores (each candidate's Copeland score is an integer between $1 - n$ and $n - 1$); on the other hand, Borda ties are fairly rare, as they can occur only when two or more candidates receive exactly the same average vote. In the rare instance when there are candidates tied as Borda winners and a single Copeland winner, then those Borda winners who lose or tie their pairwise elections to the Copeland winner are eliminated from contention. If this leaves only the Copeland winner, then he or she is declared the winner of the election; if this leaves an individual tied Borda winner who also wins the pairwise contest against the Copeland winner, then that individual Borda winner is declared the winner of the election. In the extremely unlikely event that there are several tied Borda winners who defeat the Copeland winner in their pairwise elections, the election is referred to the President.

The complicated details of the tie-breaking decisions used in this system should not obscure the fact that it takes into account the information provided by the preferential ballots in a fairly reasonable way, given that no ideal system can exist.

Some comments on the nature of preferential ballots may be helpful. In the simple example above, each voter submitted a ballot in which he/she indicated a single first-place preference, a single second-place preference, and a single third-place preference. In practice, it may not happen that a voter has such clear-cut preferences. For instance, Y and Z may seem equally undesirable to a voter who believes X to be the best candidate; this voter may want to submit a ballot on which Y and Z are tied in second place or in third place, and on which X is alone in first place or second place, whichever best indicates the voter's judgment. There is also an idiosyncratic tradition of Lafayette's preferential voting system: a blank space is interpreted as being worse than last place.

S.1 Frequently Asked Questions

Q: Why not simply say the candidate with the most first-place votes wins?

A: Although this would have the advantage of simplicity, it would not reflect the sentiments of the voting body in many examples. Suppose for instance that in the example discussed earlier, candidate X had 41 first-place votes and 59 third-place votes, Y had 40 first-place votes and 60 second-place votes, and Z had 19 first-place votes, 40 second-place votes, and 41 third-place votes. It would seem unreasonable to declare X the winner when 59 out of 100 voters prefer Y to X and the same 59 prefer Z to X.

Q: How can I vote so as to maximize a candidate's chance of winning?

A: In general, a voter should simply submit a ballot that reflects his/her judgments of the candidates as accurately as possible; our vote-counting system will read this in a reasonable way. The voter asking this question probably feels that there is only one very good candidate in the field, and the voter's ballot should reflect that sentiment; for instance, the voter may give the preferred candidate a vote of "1" and all other candidates' votes of $n+1$. (This ballot is interpreted thus: "In my opinion there is one excellent candidate and all the rest are terrible.")

Notice that such a ballot has a strong impact on the Borda tally of the election but does not contribute any information at all to pairwise elections not involving the preferred candidate, as if the voter were abstaining from them. Consequently the ballot may be "wasted"—that is, if this voter's preferred candidate doesn't win the election, this ballot will not contribute at all to the outcome.

Q: How can I vote so as to minimize a candidate's chance of winning?

A: Again, a voter should simply submit a ballot that reflects his/her judgments of the candidates as accurately as possible. In this case, the voter probably wants to give one candidate a much worse vote than any of the other candidates.

Q: What should I do if I have no opinion about a candidate?

A: Vote-counting systems are not designed to compensate for the ignorance of the voters who participate in them, only to try to use the voters' expressed preferences to come to conclusions in reasonably fair ways. The voter who has no opinion about a candidate may wish to give that candidate an "average" rating, remembering that if the space on the ballot is left blank, that will be interpreted as indicating the lowest possible ranking.

2000; revised 2003

APPENDIX T

FORMAL PROCEDURE FOR A CASE OF POSSIBLE DISMISSAL, OR OF POSSIBLE SUSPENSION,⁵ OF A FACULTY MEMBER FROM THE COLLEGE FOR MISCONDUCT OTHER THAN THAT COVERED BY EITHER APPENDIX B OR N

Adopted by the Faculty on April 6, May 4, and May 20, 2004 [03-24]
Approved by the Board of Trustees on October 2, 2004 and January 29, 2005
Revision approved by the Faculty on October 5, 2004 [04-2]

T.1 If a faculty member has been accused of misconduct that might warrant dismissal or suspension from the College, other than acts covered in Appendices B and N, the Provost shall be responsible for promptly investigating the matter to determine whether there is a reasonable basis for concluding that dismissal or suspension is warranted. The Provost shall inform the faculty member about the investigation, and about the accusations or any other reasons necessitating it, and shall give the faculty member the opportunity to respond to the allegations. During the investigation, every reasonable effort shall be made to protect the privacy rights of all parties, but confidentiality cannot be guaranteed. If the cause for possible dismissal or suspension is an alleged act of misconduct against the Provost, the EEO officer of the College shall act in place of the Provost in conducting the investigation and in performing all other responsibilities assigned to the Provost in this procedure.

T.2 Following the investigation, the Provost shall determine whether there is a reasonable basis for concluding that dismissal or suspension is warranted. If the determination is affirmative, the Provost shall attempt to negotiate a settlement with the accused faculty member. If a negotiated settlement cannot be reached and the Provost has determined that there is a reasonable basis to conclude that dismissal or suspension from the College is warranted, the Provost shall provide the faculty member with a written report describing the Provost's conclusions, including a statement of reasons for the dismissal or suspension. The faculty member may choose to accept the dismissal or suspension at this stage, or he/she may inform the Provost that he/she wishes to have the case presented to a Hearing Committee. If the faculty member chooses to have the case presented to a Hearing Committee, he/she will, within 10 calendar days after receiving the Provost's report, file a written response to the report.

T.3 Upon receipt of the response, the Provost shall inform the Chair of the Appeal and Grievance Committee about the general nature of the case in order that a Hearing Committee can be formed. The Hearing Committee shall be comprised of five tenured faculty. The Chair shall appoint any three of the five members of the Appeal and Grievance Committee to serve on the Hearing Committee, and those three members shall then select the other two members of the Hearing Committee from outside the Appeal and Grievance Committee. Prior to the actual appointment of members of the Hearing Committee at each of the two stages, the Provost shall be consulted to ensure that no proposed member is involved in the particular case or a member of the same academic department as the accused faculty member. If the dismissal or suspension was prompted by the filing of a formal complaint by a faculty member, then the Provost shall also be consulted to ensure that no proposed member of the Hearing Committee is a member of the

⁵The word "suspension" in this Appendix refers only to suspension as a sanction for misconduct, and does not include suspension, with pay, that may be imposed during the course of a proceeding under this Appendix or Appendix B or N. Accordingly, the procedure set forth in this Appendix may not be used to challenge or prevent a suspension, with pay, that might be imposed while any such proceeding is underway.

same academic department as the complainant. In all cases, members of the Hearing Committee should consider themselves to be disinterested parties. The Hearing Committee thus constituted shall elect a Chair and be assigned a secretary, normally from the President's office, who shall provide the Hearing Committee with all requisite clerical assistance throughout the formal hearing process. In circumstances that warrant the Hearing Committee having access to an independent counsel, the Hearing Committee shall have access to an independent counsel arranged through the College Counsel's office. This independent counsel shall not be allowed to attend the Hearing but is provided to assist the Hearing Committee when such assistance is requested.

T.4 Promptly after the Hearing Committee is formed, the Provost shall provide the Hearing Committee, through its Chair, with a copy of the Provost's report and the faculty member's response to the report. The Hearing Committee shall normally hold a Hearing within 21 calendar days of its formation. The Chair of the Hearing Committee shall notify the accused faculty member, the Provost, and the President of the time, place, and date so scheduled by certified mail, return receipt requested.

T.5 The entire proceedings of the Hearing shall be recorded by a professional stenographer, and an accurate transcript shall be promptly produced from that stenographic record and made available to the Hearing Committee. The Chair of the Hearing Committee shall preside over the proceedings and act to ensure a fair presentation of all evidence and an equitable treatment of both parties, and to maintain decorum. Each party in the case (normally the Provost and the accused faculty member) and the complainant may be accompanied only by counsel chosen by him/her from the Faculty or Administration of the College. Procedures shall not follow formal rules of evidence, but special care shall be taken in evaluating evidence to ensure fairness.

T.6 At the Hearing, the Provost or his/her designee presents the case for the College, and the accused faculty member presents his/her case. The faculty member shall be presumed not to have engaged in misconduct; the burden shall rest upon the College to prove that he or she has done so. During the Hearing, the parties shall have the following rights: to present and examine witnesses; to introduce evidence that has been previously made available to the Hearing Committee and, through the Hearing Committee, to the opposite party; to conduct reasonable cross examination of any witness on any matter relevant to the issue of the Hearing; and to offer relevant evidence in rebuttal. The accused faculty member shall have the right to face and cross-examine the complainant, if any. Each party shall give the Hearing Committee a list of the names of all witnesses and copies of all documentary and other evidence at least 72 hours before the Hearing begins, or, in the event that a party would like to offer rebuttal evidence, at least 24 hours prior to the use of that rebuttal evidence. The Hearing Committee shall provide copies of any such witness lists or evidence to the opposing party as promptly as possible, and a list of all witnesses to be summoned by the Hearing Committee shall be made available to both parties not less than 48 hours before the Hearing begins. Copies of all evidence received or gathered by the Hearing Committee at any stage shall be made available promptly to both parties, and no new witness(es) may be summoned by either party or by the Hearing Committee without the Hearing Committee giving both parties 24-hour notice in advance. At its discretion, the Hearing Committee has the authority to gather such additional evidence as it deems relevant. If a complainant testifies at the Hearing, that complainant may be accompanied by a counsel chosen by him/her from the Faculty or Administration of the College. Under the circumstance that the Hearing Committee calls the accused faculty member as a witness, the Provost or his/her designee shall be granted the right to question the faculty member. However, if the accused elects not to testify, he/she may not be called as a witness by the Hearing Committee or by any party.

T.7 Following the presentation of all evidence, the Hearing shall be closed at the time the Hearing Committee deems appropriate. Thereupon, the Hearing Committee shall deliberate in executive session, at a time convenient to itself. The Hearing Committee shall determine by a majority vote whether the preponderance of evidence indicates that dismissal or suspension is warranted. If

the Hearing Committee determines that dismissal or suspension of the faculty member from the College is warranted, then it shall recommend that the Provost's conclusion that dismissal or suspension is warranted be sustained. If the Hearing Committee determines that the dismissal or suspension of the faculty member from the College is not warranted, then, depending on its determination, it shall either recommend alternative sanctions or recommend that the case be dismissed. Within 10 calendar days of the close of the Hearing, the Hearing Committee shall record its findings and its recommendations in a written report.

T.8 Promptly upon completion of the report, regardless of the Hearing Committee's findings and recommendations, the Chair of the Hearing Committee shall inform the Chair of the Promotion, Tenure, and Review Committee about the general nature of the case in order that a three-member Hearing Review Committee can be formed from the Promotion, Tenure, and Review Committee. The Chair of the Promotion, Tenure, and Review Committee shall promptly appoint any three of the six elected members of that Committee to serve on the Hearing Review Committee. Prior to the actual appointment of members of the Hearing Review Committee, the Chair of the Hearing Committee shall be consulted to ensure that no proposed member is involved in the particular case or a member of the same academic department as the accused faculty member. If the Hearing was prompted by the failure of the Provost and the accused to reach an informal resolution to charges made through the filing of a formal complaint by a faculty member, then the Chair of the Hearing Committee shall also be consulted to ensure that no proposed member of the Hearing Review Committee is a member of the same academic department as the complainant. In all cases, members of the Hearing Review Committee should consider themselves to be disinterested parties. The Hearing Review Committee thus constituted shall elect a chair. Promptly upon being elected, the Chair of the Hearing Review Committee shall notify the Chair of the Hearing Committee of the formation of the Hearing Review Committee. In response, the Chair of the Hearing Committee shall give the Chair of the Hearing Review Committee the written report of the findings and recommendations of the Hearing Committee with full explanatory justification and a summary of dissenting opinion, along with the full record of the Hearing, including the transcript, all documentary evidence, and all written communications between the Hearing Committee and the parties. The three members of the Hearing Review Committee are the only persons who shall receive the Hearing Committee's report and the record of the Hearing at this time. A copy of the written report of the findings and recommendations of the Hearing Committee with full explanatory justification and a summary of dissenting opinion, along with the full record of the Hearing, including the transcript, all documentary evidence, and all written communications between the Hearing Committee and the parties, will be available in the President's suite for the accused and the Provost to review with or without counsel chosen from the College.

T.9 The charge of the Hearing Review Committee is to evaluate the integrity of the entire Hearing process and to ensure fairness to all parties. The role of the Hearing Review Committee is not to question or reevaluate the Hearing Committee's factual findings. Nor is it the role of the Hearing Review Committee to question or reevaluate the Hearing Committee's recommendations, except as provided in "e" below. The Hearing Review Committee shall review the report of the Hearing Committee and the full record of the Hearing, and any written statement(s) about the Hearing based on "a," "b," "c," "d," or "e" below that might be submitted by the accused and/or the Provost, and shall determine whether the Hearing was properly conducted. The Hearing Review Committee shall determine that the Hearing was not properly conducted if

- a. the Hearing Committee committed a procedural error that had a material (i.e., so substantial and important as to have been decisive) effect on its findings and recommendations, or did not take into account a procedural error that occurred in an earlier stage of the process and that had a material effect on its findings and recommendations; or
- d. the Hearing Committee violated the professional, academic, or EEO rights of the accused faculty member or of the complainant (if any), or did not take into account an earlier

violation of those rights, in such a way as to have a material effect on its findings and recommendations; or

- e. the Hearing was conducted in an unfair or inequitable manner, in such a way as to have a material effect on the Hearing Committee's findings and recommendations; or
- f. the Hearing Committee demonstrably considered non-germane evidence as material; or
- g. the sanction(s) (if any) recommended by the Hearing Committee was (were) not consistent with its factual findings.

The Hearing Review Committee shall reach its determination within 14 calendar days of its receipt of the Hearing Committee's report and the Hearing record. If the Hearing Review Committee determines by a majority vote that the Hearing was properly conducted, the Hearing Review Committee's determination shall, by the end of that 14 day period, be communicated in a written report to the members of the Hearing Committee and the President, who shall also at this time receive the full record of the Hearing and the Hearing Committee's report. (At this stage, the President is the only additional person who shall receive the full record of the Hearing and the Hearing Committee's report.) If the Hearing Review Committee determines by a majority vote that the Hearing was not properly conducted, the Hearing Review Committee shall ensure that the flaws are corrected as it deems appropriate. Depending on the nature of the flaws, the Hearing Review Committee may require that the Hearing Committee reopen the Hearing to (but not beyond) whatever extent might be necessary to correct the flaws, or, in the case of an irreparable procedural impropriety, the Hearing Review Committee may require that the Chair of the Appeal and Grievance Committee form a new Hearing Committee to initiate a *de novo* Hearing. (If a *de novo* Hearing is called for, the Chair of the Hearing Review Committee shall inform the Provost, the accused, and the original Hearing Committee. The full record of the *de novo* Hearing, and the report of the *de novo* Hearing Committee, will be subjected to the same scrutiny by the Hearing Review Committee as were the original Hearing Committee's report and Hearing record.) When the Hearing Review Committee has determined by a majority vote that all material flaws have been corrected, and that the Hearing was properly conducted, and that any potentially material new evidence that might have been brought to the attention of the Hearing Review Committee by either party has been referred to and fairly and adequately responded to by the Hearing Committee, the Hearing Review Committee shall communicate its determination in a written report to the members of the Hearing Committee and the President, who shall also at this time receive the full record of the Hearing and the Hearing Committee's report. [Rev. 04-2]

T.10 The President shall review the report of the Hearing Committee, the full record of the Hearing (including the transcript), and the report of the Hearing Review Committee; may interview witnesses at his/her discretion; and shall make a decision in the case. The President may request that the Hearing Committee reconsider the case on a specific ground or grounds. The President's request for reconsideration must be made within 30 calendar days, and the Hearing Committee has another 14 calendar days in which to make a second report. The President shall make a decision on the matter within 30 calendar days of the Hearing Committee's initial report or its second report. The President may affirm, reject, or modify the recommendations of the Hearing Committee. The President's final decision, in writing, together with copies of the reports of the Hearing Committee and the Hearing Review Committee, must be sent to the faculty member, the complainant (if any), the Hearing Committee, the Hearing Review Committee, the Provost, and the Board of Trustees, through its Secretary. Grounds for modification or rejection of the Hearing Committee's recommendations must be stated in writing. In cases where the President is the complainant or the accused as the result of his/her teaching role, disposition of the matter is the responsibility of a Review Panel, as described in Appendix D of the *Faculty Handbook*.

T.11 Subsequent to the process described above, an accused who does not accept the President's decision may make a written appeal to the Board of Trustees, through its Secretary,

not more than 14 calendar days after receiving the President's written decision. An appeal is permissible only on the ground that the procedures of the College were not properly followed. Normally, the Board does not undertake a *de novo* review. The Chair of the Board may appoint a Board Committee to act on its behalf in considering the appeal. The Board may at its discretion interview such persons as it deems appropriate. The Board may either affirm or overturn the President's decision, or, alternatively, it may request that the case be re-evaluated by either the President or the Hearing Committee. The Board shall report its decision to the faculty member, the complainant (if any), the President, the Provost, the Hearing Committee, and the Hearing Review Committee as soon as possible.

T.12 Dismissal or suspension is effectuated only by a vote of the Board of Trustees. If the Board has decided in favor of dismissal or suspension of the faculty member from the College, the report of the Hearing Committee and a copy of the President's decision shall be placed in the faculty member's personnel file and the President shall inform the faculty member of his/her dismissal or suspension. If the President has decided in favor of any other sanction against the faculty member and the Board has not overturned the President's decision on appeal, the report and the recommendations of the Hearing Committee and a copy of the President's decision shall be placed in the faculty member's personnel file and the President shall direct the Provost to impose the sanction.

APPENDIX U

PROCESS FOR CONSIDERING THE COLLEGE'S RESPONSE TO MATTERS OF GRAVE SOCIAL OR MORAL CONCERN RAISED BY MEMBERS OF THE LAFAYETTE COMMUNITY

Approved by the Board of Trustees on January 27, 2007
Adopted by the Faculty on October 2, 2007 [07-6]

The Faculty has designated the Faculty Academic Policy Committee to receive notice of matters of grave social or moral concern from faculty members. In the event that a College-wide committee is convened under this policy, as provided for in section 3 of the Process, the faculty members on the College-wide committee are appointed from the Faculty Academic Policy Committee by the chair of the Faculty Academic Policy Committee; see Section 5.4.3.8.2.k.

U.1. When members of the Lafayette community believe that matters of grave moral or social concern exist that warrant an institutional response, they may bring these matters to the attention of the Board of Trustees pursuant to the following procedures.

U.2. Faculty members may bring such issues to the Faculty through a designated faculty committee, or may ask for faculty action directly by calling for a vote of the full faculty (during a faculty meeting). Students may bring such issues forward through a process identified by Student Government. Administrators and staff members may bring such issues forward through a designated administrative officer. If the faculty, Student Government, or administrative officer concludes that the issue is of sufficient grave moral or social concern to warrant an institutional response, they shall forward such recommendation to the President who shall convene a College-wide committee to consider the issue.

U.3. The committee shall include but not necessarily be limited to two faculty members identified in advance by the Faculty to serve on this committee, the President of Student Government, the General Counsel, the Chaplain (or other members of the community to be identified as the process is refined). The committee will consider whether the issue presented meets the threshold of "grave moral or social concern that warrants an institutional response." If the committee concludes that the issue meets that threshold, the committee will forward its recommendation to the President.

U.4. Upon receiving the recommendation of the College-wide committee, the President will consider whether he/she believes that the concern at issue is sufficiently grave and is one that warrants an institutional response. The President will then forward his/her recommendation in writing to the Board of Trustees.

U.5. The Chair of the Board may form an Ad Hoc Committee of the Board of Trustees to determine whether the issue is sufficiently grave and is one that warrants an institutional response and, if so, to recommend to the Board of Trustees appropriate institutional action.

APPENDIX V

CONFLICT OF INTEREST POLICY FOR LAFAYETTE COLLEGE FACULTY OR STAFF MEMBERS UNDERTAKING FEDERALLY FUNDED RESEARCH

Approved by the Board of Trustees on October 20, 2007
Adopted by the Faculty on October 2, 2007 [07-2]

Approved by the Board of Trustees on May 24, 2013
Adopted by the Faculty on May 7, 2013 [12-17]

V.1 Purpose

In response to regulations (including NSF 05-131, Section 510 and 42 CFR Part 50) governing the National Science Foundation (NSF), the United States Department of Health and Human Services (HHS) and its components, including Public Health Services (PHS), the National Institutes of Health (NIH), and other federal organizations, the following statement defines policy and procedures established to manage, reduce, or eliminate conflicts of interest as they relate to federally funded research. [Rev. per 12-17, Board, May 24, 2013]

While the College imposes no restrictions upon faculty and staff members in terms of their research interests, the College is obligated to ensure that federally funded research conducted under its auspices is accomplished with candor, integrity, and free inquiry. The College encourages faculty and staff members to explore new ideas, to establish partnerships with federal agencies, industry, and other organizations, and, subject to Appendix E, to patent and license inventions that may develop from their research.

The College is, however, mindful that such ventures and relationships carry potential risks and conflicts. When conducting research, it is imperative that faculty and staff members maintain objectivity and the highest level of integrity. The opportunity for personal gain – or the appearance of such an opportunity – may jeopardize the research and bring into question the researcher's objectivity and the validity of the research results. It is the expectation of the College that a faculty or staff member will disclose any financial or related interest that could present a conflict of interest as defined herein or be perceived as presenting such a conflict of interest. Disclosure is a key factor in protecting both the College and the faculty or staff member from potentially embarrassing or harmful allegations of misconduct.

V.2 Definitions

Research means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research and product development.

Federal agencies require that each investigator (defined as principal investigator, co-principal investigator, senior associate, or other individuals who have significant influence in the design, conduct, and/or reporting of the research) and his/her family (defined as spouse and dependent children) fully disclose financial interests, business affiliations, and/or other relationships that could be perceived as influencing or benefiting from the proposed research. A financial conflict of interest exists when an institutionally designated official (either Lafayette's Director of Sponsored Research or, as appropriate under this policy, the Provost, the President, or the Board of Trustees) reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of research or educational activities funded or proposed for funding. [Rev. per 12-17, Board, May 24, 2013]

V.2.1 Definitions Specific to the Department of Health and Human Services [Rev. per 12-17, Board, May 24, 2013]

For the U.S. Department of Health and Human Services which includes the National Institutes of Health (HHS/PHS/NIH), Financial Interest means anything of monetary value received or held by an investigator or an investigator's family, whether or not the value is readily ascertainable, including, but not limited to, salary or other payments for services (e.g., consulting fees, honoraria, paid authorships for other than scholarly works); equity interest (e.g., stocks, stock options, or other ownership interests); and intellectual property rights (e.g., patents, trademarks, service marks, copyrights, and royalties from such rights). [Rev. per 12-17, Board, May 24, 2013]

For Investigators, Financial Interest also includes any reimbursed or sponsored travel undertaken by the Investigator and related to his/her institutional responsibilities. This includes travel that is paid on behalf of the Investigator as well as travel that is reimbursed, even if the exact monetary value is not readily available. It excludes travel reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers. [Rev. per 12-17, Board, May 24, 2013]

Significant Financial Interest means a Financial Interest that reasonably appears to be related to the Investigator's Institutional Responsibilities, and: [Rev. per 12-17, Board, May 24, 2013]

- a) if with a publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure, and the value of any equity interest during the 12 month period preceding or as of the date of disclosure, exceeds \$5,000; or [Rev. per 12-17, Board, May 24, 2013]
- b) if with a non-publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure exceeds \$5,000; or [Rev. per 12-17, Board, May 24, 2013]
- c) if with a non-publicly-traded company, is an equity interest of any value during the 12 month period preceding or as of the date of disclosure; or [Rev. per 12-17, Board, May 24, 2013]
- d) is income exceeding \$5,000 related to intellectual property rights and interests not reimbursed through the Institution, or [Rev. per 12-17, Board, May 24, 2013]
- e) is reimbursed or sponsored travel related to their institutional responsibilities. [Rev. per 12-17, Board, May 24, 2013]

Financial interest does not include: [Rev. per 12-17, Board, May 24, 2013]

V.2.1.1 Salary, royalties, or other remuneration from the applicant institution; [Rev. per 12-17, Board, May 24, 2013]

V.2.1.2 Income from the authorship of academic or scholarly works; [Rev. per 12-17, Board, May 24, 2013]

V.2.1.3 Income from seminars, lectures, or teaching engagements sponsored by U.S. Federal, state or local government agencies; U.S. institutions of higher education; research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; [Rev. per 12-17, Board, May 24, 2013]

V.2.1.4 Income from service on advisory committees or review panels for U.S. Federal, state or local governmental agencies; U.S. institutions of higher education; research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; [Rev. per 12-17, Board, May 24, 2013]

V.2.1.5 An equity interest or income from investment vehicles such as mutual funds and retirement accounts, so long as the investigator does not directly control the investment decisions made in these vehicles. [Rev. per 12-17, Board, May 24, 2013]

Investments in a pooled fund such as a diversified mutual fund are likely to be sufficiently remote that they would not reasonably be expected to create a conflict of interest for a federally funded investigator. Because it is likely that an investigator's interest in a mutual fund is only a small portion of the fund's total assets and because only a limited portion of the fund's assets are placed in the securities of a single insurer, it is unlikely that an investigator's activities on a federally funded award would affect his or her interest in the mutual fund. Under these circumstances, disclosure is not required. (More detailed regulations regarding the treatment of diversified mutual funds under the government's conflict of interest rules are available from the federal Office of Government Ethics.) [Rev. per 12-17, Board, May 24, 2013]

V.2.2 Definitions for the National Science Foundation and Other Federal Agencies [Rev. per 12-17, Board, May 24, 2013]

For the National Science Foundation and other federal agencies, significant financial interest means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interest (e.g., stocks, stock options, or other ownership interests); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights). [Rev. per 12-17, Board, May 24, 2013]

Significant financial interest does not include:

V.2.2.1 Salary, royalties, or other remuneration from the applicant institution;

V.2.2.2 Any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program;

V.2.2.3 Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;

V.2.2.4 Income from service on advisory committees or review panels for public or nonprofit entities;

V.2.2.5 An equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity; or

V.2.2.6 Salary, royalties, or other payments that, when aggregated for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 during a twelve-month period.

Investments in a pooled fund such as a diversified mutual fund are likely to be sufficiently remote that they would not reasonably be expected to create a conflict of interest for a federally funded investigator. Because it is likely that an investigator's interest in a mutual

fund is only a small portion of the fund's total assets and because only a limited portion of the fund's assets are placed in the securities of a single insurer, it is unlikely that an investigator's activities on a federally funded award would affect his or her interest in the mutual fund. Under these circumstances, disclosure is not required. (More detailed regulations regarding the treatment of diversified mutual funds under the government's conflict of interest rules are available from the federal Office of Government Ethics.)

V.3. Investigator's Obligation to Disclose Conflicts

V.3.1 Disclosure Procedures: An investigator who proposes to undertake research funded by a federal agency that requires disclosure must submit to the Director of Sponsored Research a signed Disclosure Form prior to the submission of the proposal. Proposals that require the signature of the Authorized Institutional/Organizational Representative (Director of Sponsored Research) also require a signed Disclosure Form. Normally, students serving as Excel Scholars will not have to complete Disclosure Forms. If an investigator's situation changes subsequent to signing the Disclosure Form, he/she is obligated to inform the Director of Sponsored Research promptly and submit within 30 days a revised Disclosure Form. The Disclosure Forms will become a permanent part of the investigator's grant file. [Rev. per 12-17, Board, May 24, 2013]

Subcontractors, subawardees, and/or collaborators involved in federally funded grants are subject to the same conflict of interest guidelines as Lafayette investigators. This requirement will be stipulated in subcontracts issued by the College.

HHS/PHS/NIH requires institutions, no fewer than 60 days prior to the expenditure of any funds under an award, to report to PHS the existence of any conflicting interest and assurance that the interest has been managed, reduced, or eliminated in accordance with PHS regulations. NSF requires that only conflicts that have not been managed, reduced, or eliminated prior to expenditure of funds under an award be reported to NSF. Responsibility for reporting conflicts of interest to the federal agencies rests with the Director of Sponsored Research.

The Director of Sponsored Research will obtain annually updated Disclosure Forms from investigators who are required to file these forms and monitor those grants that are subject to conditions and/or restrictions, in order to ensure adherence to the imposed conditions or restrictions.

Information disclosed to the Director of Sponsored Research (and, if necessary, to other College officials) for the resolution of conflict of interest matters shall be held in confidence to the extent legally permissible.

V.3.2 Director of Sponsored Research' Decision: If an investigator discloses a potential conflict of interest, the matter must be reviewed by the College's Director of Sponsored Research, who will decide within 10 business days whether or not a conflict exists and, if so, under what conditions or restrictions the research can be undertaken so as to reduce or eliminate the conflict. Prior to issuing a decision, the Director of Sponsored Research will meet with the investigator to discuss the potential conflict and means of managing it (if a conflict exists). Following that meeting, the Director of Sponsored Research may, in deciding whether or not a conflict exists and how best to manage it, seek advice from HHS/PHS's Office of Research Integrity, NSF's Office of General Counsel, or other appropriate authority.

If the Director of Sponsored Research decides that a conflict of interest exists, the reasons for the decision and the conditions or restrictions under which the research may be conducted will be outlined in writing ("the Decision") and signed by the investigator

and Director of Sponsored Research. Examples of conditions or restrictions that may be imposed include public disclosure of significant financial interests, divestiture of the financial interests, monitoring of the research by independent reviewers, modification of the research plan, disqualification from participation in the portion of the funded research that would be affected by significant financial interests, and/or severance of the relationships that create the conflict.

V.3.3 Appeal of the Director's Decision: Within ten business days of receipt of the Decision, an investigator may deliver a written appeal to the Academic Research Committee (ARC), with a copy to the Director of Sponsored Research. The committee, with the advice of the College's General Counsel, may recommend to the Provost that the Decision be affirmed, modified, or reversed. The Provost will then render a decision that will be communicated in writing to the investigator and the Director of Sponsored Research, and the decision of the Provost shall be final.

V.4 Violations of the Conflict of Interest Policy

V.4.1 Director of Sponsored Research' Referral to Provost: If the Director of Sponsored Research believes either (a) that the investigator may have violated imposed conditions or restrictions or (b) that the investigator may have failed to disclose a potential conflict of interest, the Director will notify the investigator of these concerns in writing and will give him/her ten business days to respond in writing. After considering the response, if any, the Director may either (a) deem the concerns to have been satisfactorily allayed or (b) allege to the Provost in writing that the investigator has knowingly violated the Conflict of Interest Policy. If, after prompt review, the Provost concludes that the allegations have merit, the Provost will report in writing to the investigator, who will have ten business days to respond.

V.4.2 Provost's Referral to ARC: After considering the investigator's response, if the Provost has determined that there is a reasonable basis to believe that the policy has been violated, the Provost will refer the allegations promptly to ARC in writing. If ARC, in consultation with the Provost, decides that the allegations are sufficiently serious that they may result in either dismissal or suspension of the investigator, the case shall immediately be dealt with according to the procedures outlined in Appendix T.

ARC, in consultation with General Counsel, will promptly review the allegations, hear the testimony of the investigator pursuant to the procedures outlined below, and make its recommendation to the Provost in writing, including the possible imposition of sanctions.

V.4.2.1 At a time deemed appropriate by ARC, ARC shall hold a Hearing in order to receive testimonial evidence and to give the investigator the opportunity to present testimony in his/her own behalf. The Chair shall notify the investigator and the Provost of the time, place, and date so scheduled by certified mail, return receipt requested.

V.4.2.2 The entire proceedings of the Hearing shall be recorded by a professional stenographer, and an accurate transcript shall be promptly produced from that stenographic record and made available to ARC. The Chair of ARC shall preside over the proceedings and act to ensure a fair presentation of all evidence and equitable treatment of all participants, and to maintain decorum. The Provost and the investigator may be accompanied only by counsel chosen by him/her from the Faculty or Administration of the College. Procedures shall not follow formal rules of evidence, but special care shall be taken in evaluating evidence to ensure fairness.

V.4.2.3 At the Hearing, the Provost or his/her designee presents the case for the College, and the investigator presents his/her case. The investigator shall be presumed not to have violated this policy; the burden shall rest upon the College to prove that he/she has done so. During the Hearing, the parties shall have the following rights: to present and examine witnesses; to introduce evidence that has been previously made available to ARC and, through ARC, to the Provost and the investigator; to conduct reasonable cross examination of any witness on any matter relevant to the issue of the Hearing; and to offer relevant evidence in rebuttal. Each party shall give ARC a list of the names of all witnesses and copies of all documentary and other evidence at least 72 hours before the Hearing begins, or, in the event that a party would like to offer rebuttal evidence, at least 24 hours prior to the use of that rebuttal evidence. ARC shall provide copies of any such witness lists or evidence to both parties as promptly as possible, and a list of all witnesses to be summoned by ARC shall be made available to both parties not less than 48 hours before the Hearing begins. Copies of all evidence received or gathered by ARC at any stage shall be made available promptly to both parties, and no new witness(es) may be summoned by either party or by ARC without ARC's giving both parties 24-hour notice in advance. At its discretion, ARC has the authority to gather such additional evidence as it deems relevant. Under the circumstance that ARC calls the investigator as a witness, the Provost or his/her designee shall be granted the right to question the investigator. However, if the investigator elects not to testify, he/she may not be called as a witness by ARC or by the Provost or his/her designee.

V.4.2.4 Following the presentation of all evidence, the Hearing shall be closed at the time ARC deems appropriate. Thereupon, ARC shall deliberate in executive session, at a time convenient to itself. If a majority of ARC members is persuaded by the evidence that the investigator has violated this policy, then it shall recommend appropriate sanctions. Examples of sanctions include, but are not limited to, the following: letter of reprimand, demotion, salary reduction, restrictions on research activities, and monitoring of future work. If ARC determines that the investigator has not committed any violation of this policy, then it shall recommend that the case be dismissed. Within 10 calendar days of the close of the Hearing, ARC shall record its findings and its recommendations in a written report to the Provost (the "Recommendation") which shall include the full record of the Hearing. A copy of the Recommendation shall be provided to the investigator and the Director of Sponsored Research. Normally, ARC shall complete its Recommendation within 30 calendar days after the referral of the matter to ARC from the Provost.

V.4.3 Provost's Determination: The Provost may accept, reject, or modify the Recommendation of ARC. If, after considering the Recommendation, the Provost determines that the investigator has knowingly violated this Conflict of Interest Policy, the Provost will so notify the investigator, the Director of Sponsored Research, and ARC in writing (the "Determination"). The Determination shall include a full explanatory justification of the finding and a statement of the sanctions, if any.

V.4.4 Appeal of the Provost's Determination: Within ten business days of receipt of the Determination, the investigator may appeal it by letter to the Chair of the Appeal and Grievance Committee. The Chair shall designate three members of the Appeal and Grievance Committee to serve as a Review Committee (RC) and shall designate one of them to chair the RC. No RC member shall have a conflict of interest on this matter; it will be presumed that any collaborator, family member, or departmental colleague of the investigator has a conflict of interest.

The charge of the RC is to evaluate the integrity of the entire Determination process and to ensure fairness. The role of the RC is not to question or reevaluate the factual findings of ARC or the Provost. Nor is it the role of the RC to question or reevaluate the

Determination, except as provided in "e" below. The RC shall review the Recommendation and the Determination and any written statement(s) about the process based on "a," "b," "c," "d," or "e" below that might be submitted by the investigator and/or the Provost, and shall ascertain whether the Recommendation and Determination were properly arrived at. The RC shall find that the Recommendation and/or Determination were not properly arrived at if

- a. ARC or the Provost committed a procedural error that had a material (i.e., so substantial and important as to have been decisive) effect on the Recommendation or the Determination; or
- b. ARC or the Provost violated the professional, academic, or EEO rights of the investigator, or did not take into account an earlier violation of those rights, in such a way as to have a material effect on the Recommendation or the Determination; or
- c. the review by ARC or the Provost was conducted in an unfair or inequitable manner, in such a way as to have a material effect on the Recommendation or the Determination; or
- d. ARC or the Provost demonstrably considered non-germane evidence as material; or
- e. the sanction(s) (if any) imposed by the Provost was (were) not consistent with his/her factual findings.

The RC shall reach its decision within 21 calendar days of its receipt of the Determination and the Recommendation. If the RC decides by a majority vote that the Determination was properly arrived at, the RC's decision to affirm the Determination shall, by the end of that 21-day period, be communicated in a written report to the investigator, the Director of Sponsored Research, ARC, the Provost, and the President. At this time, the President shall also receive the Provost's Determination and the ARC Recommendation. If the RC decides by a majority vote that the Determination was not properly arrived at, the RC may, as it sees fit, seek additional evidence or testimony from any party. The RC shall then decide by a majority vote whether it sustains, modifies, or rejects the Provost's Determination. The RC shall communicate its decision, with a full explanatory justification, in a written report to the investigator, ARC, the Director of Sponsored Research, the Provost, and the President.

The President shall review the Recommendation of ARC, the Provost's Determination, and the report of the RC; may interview witnesses at his/her discretion; and shall make a decision in the case within 30 calendar days. The President may affirm, reject, or modify the recommendations of the RC. The President's final decision, in writing, must be sent to the Investigator, the Director of Sponsored Research, ARC, the RC, and the Provost.

If the President or, in the absence of an appeal, the Provost determines that the investigator has violated imposed conditions or restrictions without having done so knowingly, the investigator will promptly adhere to such conditions or restrictions and will promptly provide the Director of Sponsored Research with credible evidence of such adherence.

If the President or, in the absence of an appeal, the Provost determines that the investigator has failed to disclose a conflict of interest without having done so knowingly, the investigator will promptly disclose the conflict as required by this policy and will abide

by any conditions or restrictions imposed by the President, or in the absence of an appeal, the Provost.

Subsequent to the process described above, an investigator who does not accept the President's decision may make a written appeal to the Board of Trustees, through its Secretary, not more than 14 calendar days after receiving the President's written decision. An appeal is permissible only on the ground that the procedures of the College were not properly followed. Normally, the Board does not undertake a *de novo* review. The Chair of the Board may appoint a Board Committee to act on its behalf in considering the appeal. The Board may at its discretion interview such persons as it deems appropriate. The Board may either affirm or overturn the President's decision, or, alternatively, it may request that the case be re-evaluated by either the President, the Provost, or ARC. The Board shall report its decision to the investigator, the President, the Provost, ARC, the RC, and the Director of Sponsored Research as soon as possible.

V.5 Disclosure to Funding Agencies and Relevant Parties

If the investigator acknowledges or if, at the conclusion of the appeal process, it is determined that the investigator (a) violated imposed conditions or restrictions or (b) failed to disclose a conflict of interest, the Director of Sponsored Research, if required by federal law or regulations, will notify promptly the funding agency of the conflict and the measures taken to manage the conflict. In addition, if the federally-funded research project involves other investigators, the Director of Sponsored Research will notify them of the findings.

It should be noted that each funding agency retains the right to take its own action as it deems appropriate, including the suspension or termination of the project. If HHS determines that a PHS/NIH-funded project to evaluate a drug, medical device or treatment was conducted by an investigator with a conflict that was not disclosed or managed, HHS requires the investigator to disclose the conflict in each public presentation (written or oral) of the results of the research. [Rev. per 12-17, Board, May 24, 2013]

Per HHS/PHS/NIH policy, Lafayette's Director of Sponsored Research will publish on a publicly-accessible website or respond to any requestor within five business days of the request, information concerning any Significant Financial Interest pertaining to an HHS/PHS/NIH grant that meets the following criteria: [Rev. per 12-17, Board, May 24, 2013]

- a. The Significant Financial Interest was disclosed and is still held by the senior and/or key personnel; [Rev. per 12-17, Board, May 24, 2013]
- b. A determination has been made that the Significant Financial Interest is related to the HHS/PHS/NIH-funded research; and [Rev. per 12-17, Board, May 24, 2013]
- c. A determination has been made that the Significant Financial Interest is a Financial Conflict of Interest. [Rev. per 12-17, Board, May 24, 2013]

V.6 Financial Conflict of Interest Training for HHS/PHS/NIH Investigators [Rev. per 12-17, Board, May 24, 2013]

Each HHS/PHS/NIH investigator must complete training on the HHS/PHS/NIH financial conflict of interest policy prior to engaging in research funded by HHS/PHS/NIH, and at least once every four years thereafter. HHS/PHS/NIH investigators must also complete training within a reasonable period of time as determined by the Director of Sponsored Research in the following situations: if this policy is substantially amended in a manner that affects the requirements of the investigators or if it is determined that the investigator has not complied with this policy or with a

management plan related to moderating potential financial conflicts of interest. [Rev. per 12-17, Board, May 24, 2013]

V.7 Records Management

As required by the federal government, Lafayette College will retain records of all conflict of interest disclosures and actions for at least three years beyond completion or termination of the grant to which they relate or, where applicable, from other dates specified in 45 C.F.R. 74.53(b) and 92.42(b). These records will be maintained securely and will be held in confidence to the extent legally permissible. [Rev. per 12-17, Board, May 24, 2013]

Faculty or staff members who have questions about this Conflict of Interest Policy should contact the College's General Counsel and/or the Director of Sponsored Research.