

SWARTHMORE COLLEGE HANDBOOK FOR INSTRUCTIONAL STAFF

PREFACE

This *Handbook* contains relevant information concerning policies, procedures, practices, conventions, facilities, and services pertaining to members of the instructional staff at Swarthmore College, that is, faculty, whether full or part time, academic or athletic, and others with teaching roles in the academic program, such as laboratory and language instructors and lecturers. Although every effort has been made to be accurate and comprehensive, final authority for the governing rules and regulations necessarily rests with the sources from which the *Handbook* has been compiled. The *Handbook* identifies whenever possible the origins of particular provisions, especially when the text incorporates statements or actions formally adopted by the Faculty, or by the Board of Managers, or both.

The *Faculty Handbook* was first prepared during the academic year 1970-71 by Charles S. Olton, then an American Council of Education intern at Swarthmore College, with the assistance of a special faculty committee. It was revised during 1978-79 under the direction of Provost Harold E. Pagliaro, with the help of many faculty and administrative colleagues. Some additional editorial work was undertaken during the summer of 1980 by Provost Harrison M. Wright. A new revision was completed during 1989-90 under the direction of Provost James W. England. Under the direction of Provost Jennie Keith, the *Handbook* was updated to reflect changes in policies and services in 1991, 1993, and 1996; and in 2001 with the assistance of Associate Provost Craig Williamson. The 2001 version was checked by Provost Constance Hungerford and partly revised in 2004 with the help of Associate Provost Ellen Magenheim. The 2011 version was completed by Associate Provost Lisa Smulyan in consultation with members of the administration. The updates found in the 2018-2019 version were overseen by Provost Tom Stephenson, and the final version was approved by Provost Sarah Willie-LeBreton.

Sections of the *Handbook* may become dated at any time as a result of state or federal legislation, court decisions, actions by the Faculty or Board of Managers, and decisions by faculty committees or the administration. The *Handbook* will be revised from time to time to try to keep up with these changes and updates will be available on the Provost's Web site. If there are any questions concerning accuracy, or whether there have been changes, kindly contact the Office of the Provost. Suggestions for improvement of the *Handbook* are welcome.

This version of the *Handbook* incorporates policy updates to the parental leave policy and the tuition grant program.

December 2022 ¹

¹ This date reflects the most recent version of policies impacting faculty governance and life at the College. Given the dynamic nature of the institution, content related to the College's organizational structure, including titles and contact information may be updated after this date.

TABLE OF CONTENTS

I. STRUCTURE OF THE ADMINISTRATION AND FACULTY	6
1. COLLEGE CHARTER	6
2. BYLAWS OF THE CORPORATION, SWARTHMORE COLLEGE	7
3. ADMINISTRATIVE ORGANIZATION	21
4. MEMBERSHIP IN THE FACULTY	24
II-A. GENERAL POLICIES	25
1. NOTICE OF NON-DISCRIMINATION AND EQUAL OPPORTUNITY	25
2. ACADEMIC FREEDOM AND RESPONSIBILITY	27
3. CONVENTIONS OF THE COLLEGE COMMUNITY	27
4. REPORTING CONCERNS ABOUT INAPPROPRIATE ACTIVITIES	29
5. PRESERVATION OF PRIVACY AND CONFIDENTIALITY OF RECORDS	31
6. SURVEYS AND QUESTIONNAIRES	41
7. PROHIBITION OF SEXUAL AND DISCRIMINATORY HARASSMENT	42
8. RIGHTS AND RESPONSIBILITIES OF EXPRESSION AT SWARTHMORE	42
9. POLICY ON PROHIBITED RELATIONSHIPS BETWEEN STUDENTS AND INSTRUCTIONAL STAFF (INCLUDING FACULTY) AND BETWEEN EMPLOYEES (INSTRUCTIONAL STAFF OR STAFF) WHERE ONE EMPLOYEE EXERCISES SUPERVISION OR EVALUATION OVER THE OTHER	47
10. DRUG-FREE CAMPUS POLICY	49
11. SMOKE-FREE CAMPUS POLICY	50
12. WEAPONS POLICY	50
13. PET POLICY	50
14. COPYRIGHT POLICY	50
15. INTELLECTUAL PROPERTY POLICY	56
II-B. ACADEMIC PROGRAM	70
1. EDUCATIONAL PROGRAM AND DEGREE REQUIREMENTS	70
2. CLASS AND SEMINAR SIZE LIMITS	70
3. ADVISING OF STUDENTS	70
4. ACADEMIC ACCOMMODATIONS FOR STUDENTS WITH DISABILITIES	72
5. CRITERIA FOR STUDENT ENROLLMENT IN COURSES AND SEMINARS	75
6. STUDENT ATTENDANCE AT CLASSES	75
7. GUIDELINES ON SCHEDULING CONFLICTS BETWEEN ACADEMICS AND ATHLETICS	75

8. COURSE CONTENT AND FACULTY ATTENDANCE-----	76
9. ACADEMIC MISCONDUCT -----	77
10. EXAMINATIONS -----	80
11. GRADING -----	81
12. CREDIT FOR WORK AT OTHER DOMESTIC INSTITUTIONS -----	83
13. AWARDING CREDIT FOR OFF-CAMPUS STUDY -----	83
14. HONORS PROGRAM -----	85
15. COMPREHENSIVES-----	86
16. PROPOSALS FOR NEW MAJORS, NEW INTERDISCIPLINARY PROGRAMS, OR INTERDISCIPLINARY STUDY GROUPS -----	86
17. MINORS-----	88
18. ASSESSMENT -----	90
II-C. INSTRUCTIONAL STAFF, INCLUDING FACULTY -----	96
1. INSTRUCTIONAL STAFF GRIEVANCE PROCEDURE-----	96
2. PROCEDURES OF THE FACULTY: FACULTY MEETINGS -----	104
3. COMMITTEES OF THE FACULTY-----	105
4. TEACHING LOADS-----	106
5. LEAVES -----	107
6. RESEARCH POLICY-----	108
7. RESEARCH MISCONDUCT-----	112
8. GUIDELINES FOR RESEARCH INVOLVING HUMAN SUBJECTS-----	115
9. GRANT PROPOSAL ASSISTANCE-----	119
10. RESEARCH SUPPORT-----	120
11. APPOINTMENT OF FACULTY ADMINISTRATORS -----	122
12. ACCESSIBILITY OF INFORMATION ON CAMPUS -----	123
II-D. THE LANG CENTER FOR CIVIC AND SOCIAL RESPONSIBILITY-----	124
II-E. MISCELLANEOUS-----	125
1. PURCHASING-----	125
2. DEPARTMENTAL VISITING SPEAKER EXPENSES -----	126
3. TRAVEL GUIDELINES AND STANDARD PROCEDURES -----	126
4. SCHEDULING EVENTS -----	127
5. COLLEGE SPACE RENTAL GUIDELINES -----	127
6. MOTOR VEHICLES-----	128
III. EMPLOYMENT AND COMPENSATION FOR INSTRUCTIONAL STAFF----	128
III-A. EMPLOYMENT -----	128
1. APPOINTMENT PROCEDURES-----	128

2. FURTHERING RACIAL AND ETHNIC DIVERSITY-----	128
3. NEW TENURE TRACK FACULTY APPOINTMENTS-----	129
4. RENEWAL OF TENURE TRACK FACULTY APPOINTMENTS -----	129
5. REVIEW OF APPOINTMENT RENEWAL DECISIONS -----	129
6. PROMOTIONS -----	131
7. TENURE-----	131
8. THIRD YEAR REAPPOINTMENTS (OF TENURE-TRACK FACULTY)-----	134
9. ATHLETICS FACULTY -----	135
10. ENDOWED PROFESSORSHIPS -----	136
11. CONCOMITANT EMPLOYMENT-----	136
12. SHARED POSITIONS -----	136
13. RESIGNATION -----	140
14. TERMINATION OF APPOINTMENTS -----	141
15. TEMPORARY APPOINTMENTS (LEAVE REPLACEMENT AND OTHER NON-CONTINUING APPOINTMENTS) -----	145
16. PART-TIME AND TEMPORARY FACULTY APPOINTMENTS-----	145
17. LABORATORY INSTRUCTORS, LANGUAGE INSTRUCTORS, AND LECTURERS-----	148
18. RETIREMENT -----	149
19. STAFF HIRING WITHIN THE FAMILY-----	150
III-B. COMPENSATION -----	150
1. CHECKING PAYROLL INFORMATION AND BENEFITS -----	150
2. PERIOD AND FREQUENCY OF SALARY PAYMENTS -----	150
3. PAYROLL DEDUCTIONS -----	151
4. RELEASE OF SALARY INFORMATION-----	151
5. LEAVES OF ABSENCE -----	152
6. FAMILY AND MEDICAL LEAVE -----	154
7. GROUP LIFE INSURANCE PLAN -----	155
8. INSURED BENEFITS -----	156
9. MEDICARE INFORMATION -----	157
10. RETIREMENT PLANS -----	158
11. SUPPLEMENTAL RETIREMENT PLAN-----	159
12. VOLUNTARY TRANSITION PROGRAM FOR TENURED FACULTY-----	160
13. LONG-TERM DISABILITY INSURANCE -----	163
14. EMPLOYEE WORKPLACE INJURIES -----	163
15. EMPLOYEE ASSISTANCE PROGRAM (CAREBRIDGE) -----	164

16. TUITION GRANT PROGRAM-----	164
17. DOMESTIC PARTNER BENEFIT POLICY -----	166
18. MOVING EXPENSES -----	167
19. TRAVEL TO MEETINGS OF LEARNED SOCIETIES -----	167
IV. SERVICES AND FACILITIES-----	169
1. ALUMNI & PARENT ENGAGEMENT, OFFICE OF-----	169
2. CAMPUS AND COMMUNITY STORE-----	169
3. COMMUNICATIONS, OFFICE OF-----	169
4. ENROLLMENT IN COURSES -----	170
5. FOOD SERVICE -----	171
6. HEALTH SERVICES-----	171
7. HOUSING -----	172
8. SWARTHMORE ONECARD -----	174
9. INFORMATION TECHNOLOGY SERVICES-----	175
10. LANGUAGE RESOURCE CENTER -----	176
11. LIBRARIES-----	176
12. MAIL SERVICE -----	186
13. OFFICE EQUIPMENT AND OFFICE MAINTENANCE -----	187
14. OFFICE SERVICES -----	187
15. PUBLIC SAFETY, DEPARTMENT OF -----	188
16. RECREATIONAL AND ATHLETIC FACILITIES -----	189
17. STUDENT EMPLOYMENT OFFICE (SEO)-----	190
18. TELEPHONE SERVICE-----	191
19. TRANSPORTATION-----	191

I. STRUCTURE OF THE ADMINISTRATION AND FACULTY

1. COLLEGE CHARTER

Provisions of Charter of Swarthmore College, December 1977

Section 1. Be it enacted by the Senate and House of Representatives of the Commonwealth of Pennsylvania in General Assembly met, and it is hereby enacted by authority of the same: That James Martin, John M. Ogden, Ezra Michener, Mahlon K. Taylor, Thomas Ridgway, James Mott, Dillwyn Parrish, William W. Longstreth, William Dorsey, Edward Hoopes, William C. Biddle, Joseph Powell, Joseph Wharton, John Sellers, Clement Biddle, P. P. Sharples, Edward Parrish, Levi K. Brown, Hugh McIlvain, Franklin Shoemaker and their associates and successors forever be, and they are hereby made and constituted a body politic and corporate, under the corporate title of SWARTHMORE COLLEGE, and under the name shall have perpetual succession, and are hereby empowered and made capable in law to purchase, take, hold and enjoy to them and their successors real and personal estate, without limitation as to amount; and to sell, demise, convey, assure, transfer and dispose of their estate or interest therein, and also to improve and augment and apply the same with the rents, issues, profits and income thereof to the purposes of their institution; and the said corporation by the name aforesaid shall and may sue and be sued, plead and be impleaded, answer and be answered, defend and be defended in all courts of law and equity, and shall have power to make, have and use a common seal and the same to change, alter and renew at their pleasure and also to make and execute such By-Laws, ordinances and regulations not contrary to the laws and constitution of this Commonwealth as to them shall seem meet.

Section 2. That the said corporation be authorized to establish and maintain a school and college for the purpose of imparting to persons of both sexes knowledge in the various branches of science, literature and the arts, and the Board of Managers shall have power to confer upon the graduates of the said College and upon others when by their proficiency in learning they may be entitled thereto, such degrees as are conferred by other colleges and universities in the United States.

Section 3. So much of the Charter of Swarthmore College as provides for the representation of the property and franchises of the corporation by means of a capital stock divided into shares is hereby annulled. The affairs of the corporation shall hereafter be managed by a board of not less than fifteen or more than thirty-nine Managers, who shall have power to elect their successors and appoint the chair of the Board, Secretary and Treasurer and other officers of the Corporation and adopt such by-laws as may be necessary for the management of the business. The President of the College shall be an *ex officio* member of the Board of Managers. The government and direction of the said College, the appointment and employment of professors and other officers concerned therewith and the general management of the affairs of the College shall be entrusted to the Board of Managers, who shall have all the powers of directors and members of a Pennsylvania non-profit corporation, and who shall have power to enact such rules and regulations not inconsistent with the Charter and amendments thereto as they shall see fit. The President and Secretary shall affix the corporate seal and attest all documents as may be directed

by the Board of Managers. Women single or married may be members of said corporation and managers and officers thereof.

Section 4. None of the assets or income of the corporation shall ever be divided among the members thereof or be diverted from the objects for which it was incorporated.

Original charter is Act of Assembly approved April 1, 1864, P. L. 185.
 Supplemental Act of Assembly approved April 14, 1870, P. L. 1161.
 Amendments by the Court of Common Pleas of Delaware County approved April 8, 1889, February 1, 1892, February 26, 1908, January 23, 1909, October 22, 1910, July 17, 1931, C. P. Delaware County, June Term, 1931, No. 515, recorded at Media in Charter Book H, page 357, etc., and February 10, 1956, C. P. Delaware County, December Term, 1955, No. 1225 recorded at Media in Charter Book N, page 149, etc.
 Amendment filed with the Secretary of the Commonwealth December 1977. Amended October 6, 1990. Amended March 1, 2003.

2. BYLAWS OF THE CORPORATION, SWARTHMORE COLLEGE²

I-Board of Managers

1. The Board of Managers (hereinafter termed the “Board”) shall have responsibility for the general management of the affairs of the College, subject to the Charter and these bylaws. The Board shall have the responsibility for choosing and appointing the President of the College and for reviewing and approving all recommendations of the Committee on Academic Affairs with respect to tenure of members of the faculty and the granting of degrees.
2. The Board shall hold a minimum of three and a maximum of four regular meetings during each academic year, including an annual meeting to be held in April or May. The number of meetings shall be determined by the Board from year to year at the annual meeting provided, however, that the Chair of the Board may, with respect to any academic year in which three regular meetings have been scheduled, increase the number to four if in the judgment of the Chair the additional meeting is necessary for the proper carrying out of the Board’s business. At the annual meeting, the Board shall also set the dates, times and place of the three or four regular meetings to be held in the following calendar year.
3. Special meetings of the Board may be called by the Chair of the Board when the Chair deems them necessary and shall be called by the Chair on the written request of five members of the Board (hereinafter termed “Managers”). The notice of a special meeting shall state its purpose and no business other than that stated shall be transacted. Written notice of the date, time and place of each special meeting shall be given to each Manager

² As approved by the Board of Managers on May 2, 2015.

at least 3 days prior to the meeting, personally or by sending a copy thereof by first class or express mail, electronic mail, courier service or facsimile transmission, with postage or other charges prepaid.

4. At all meetings of the Board the number of Managers equal to one-third (1/3) of the total number of Managers then serving on the Board shall constitute a quorum for the transaction of business.
5. (a) The Board shall consist of a maximum of thirty-nine members in the following categories: (i) a maximum of thirty-one Term Managers; and (ii) a maximum of eight Alumni Managers. All Managers shall be elected by the Board for terms of four years from candidates nominated by the Nominating and Governance Committee; provided, however, that Alumni Managers shall be nominated following the procedure described in Section 5(c) of this Article I.
 - (b) Term Managers shall be eligible for election for three successive terms and may not be re-elected for one year after the expiration of the third such term, except that, on the recommendation of the Chair of the Board, the Nominating and Governance Committee may defer that one-year requirement in extraordinary circumstances when it finds that deferral would serve the best interests of the College. When such a deferral is granted, it shall be for four years, but it may be renewed if a similar finding is made.
 - (c) Alumni Managers shall be elected under the following procedure: (i) the Nominating and Governance Committee, after consultation with the nominating committee of the Swarthmore College Alumni Council, shall propose to the Alumni Council nominating committee two candidates for each Alumni Manager position to be filled from time to time; (ii) said nominating committee shall select one of the two candidates for each Alumni Manager position and report same to the Nominating and Governance Committee; and (iii) Alumni Managers shall serve for a single term and may not serve as Managers for a period of one year after the expiration of such term, except that on the recommendation of the Chair of the Board, the Nominating and Governance Committee may defer that one-year requirement in extraordinary circumstances when it finds that deferral would serve the best interests of the College. When such a deferral is granted, it shall be for four years, but it may be renewed if a similar finding is made.
 - (d) Terms of Managers, Officers of the Corporation, and Chairs of Standing Committees shall begin at the conclusion of the Annual Meeting at which they are elected and shall end at the conclusion of the Annual Meeting in the last year of their term.
 - (e) The President of the College and the President of the Alumni Council shall be *ex officio* members of the Board, but shall not have the right to vote or be counted in determining the total number of Managers serving from time to time or in determining the presence of a quorum.
 - (f) Vacancies caused by death, resignation or removal or inability to act shall be filled by election by the Board from candidates nominated by the Nominating and Governance

Committee; provided, however, that in the case of Alumni Managers the procedure described in Section 5(c) of this Article I shall be followed. If a Manager is elected to fill a vacancy for the balance of a term of which two years or less remains, such remaining period shall not be counted as a term for purposes of the term limits set forth in subsections (b) or (c) of this Article.

- (g) If a Manager is elected to fill a vacancy for the balance of a term of which two years or less remains, such remaining period shall not be counted as a term for purposes of the term limits set forth in subsections (b) or (c) of this Article.

II - Managers Emeriti

1. Anyone who has served as a Manager sixteen or more years in the aggregate or who reaches the age of sixty-five during active service on the Board may be recommended by the Nominating and Governance Committee to be elected a Manager Emeritus. A Manager Emeritus shall not be considered in determining the number of Managers under Section 5(a) of Article I or in determining the presence of a quorum.
2. The Nominating and Governance Committee may, under special circumstances, recommend that a Manager who does not meet the foregoing criteria be elected a Manager Emeritus.
3. A Manager Emeritus shall receive notice of all meetings of the Board, may be appointed to any Standing Committee or ad hoc committee of the Board, shall be entitled to attend all meetings of the Board and shall have all the privileges of a Manager except the right to vote.

III Officers of the Corporation

1. Officers

The Officers of the Corporation shall be Chair of the Board, Vice Chair of the Board, Secretary, Treasurer, Assistant Secretary and Assistant Treasurer, of whom only the Chair of the Board and the Vice Chair of the Board must be Managers. The Officers of the Corporation shall be elected for a one-year term at each Annual Meeting of the Board to serve at the pleasure of the Board and until their successors are elected and qualified. Officers of the Corporation shall be eligible for re-election at the expiration of their annual terms. The Chair of the Board shall serve no more than three consecutive one-year terms, provided, however, that the Nominating and Governance Committee may nominate the Chair for re-election for up to three additional one-year terms if the Committee determines it to be in the best interests of the College, and may nominate the Chair for re-election even beyond such six-year period in the event of extraordinary circumstances. In case of the death, resignation or inability to act of any Officer, the Board may appoint an officer *pro tempore* until the vacancy is filled or the disability is removed.

2. Chair of the Board

The Chair of the Board shall preside at all meetings of the Board and may execute official deeds, contracts and other documents, on behalf of the College as “Chair of the Board”. The Chair of the Board shall be an *ex officio* non-voting member of all Committees of the Board.

3. Vice Chair of the Board

The Vice Chair of the Board in the absence of the Chair of the Board shall discharge all the duties of the Chair of the Board and shall otherwise perform such functions as may be delegated to him or her by the Chair of the Board.

4. Secretary and Assistant Secretary

- (a) The Secretary shall keep, in a book provided for the purpose, accurate minutes of all proceedings of the Board. The Secretary shall send notices of all regular meetings of the Board at least five days prior thereto to all Managers and Managers Emeriti at their addresses last known to the Secretary.
- (b) The Assistant Secretary in the absence of the Secretary shall discharge all the duties of the Secretary and shall otherwise perform such functions as may be delegated to him or her by the Secretary.

5. Treasurer and Assistant Treasurer

- (a) The Treasurer shall have custody of all funds of the College, including all funds of which it is fiduciary, and shall receive all income from investments and all money paid to the College and shall deposit the same in such institutions as the Board may direct.
- (b) The Assistant Treasurer in the absence of the Treasurer shall discharge all the duties of the Treasurer and shall otherwise perform such functions as may be delegated to him or her by the Treasurer.

IV-Committees Generally

1. (a) The Standing Committees of the Board shall be:
 - Academic Affairs
 - Admissions and Financial Aid
 - Audit and Risk Management
 - Compensation
 - Development and Communications
 - Executive
 - Finance
 - Investment
 - Nominating and Governance
 - Property
 - Social Responsibility

- Student Affairs

- (b) The Standing Committees shall be under the control of, and directly responsible to, the Board. Members of the Standing Committees, except for the members of the Executive Committee, the Compensation Committee, and the Nominating and Governance Committee, need not be restricted to Managers. The Chairs of all Standing Committees shall be Managers. The Chair of a Standing Committee (other than the Compensation Committee, Executive Committee, Investment Committee and Nominating and Governance Committee) shall generally serve no more than three consecutive one-year terms if the Nominating and Governance Committee determines it to be in the best interests of the College. The Standing Committees shall keep minutes of their proceedings and shall report to the Board at its regular meetings.
2. The Chair of the Board may from time to time appoint ad hoc committees or task forces for such purposes as the Board shall determine, the members of which need not be restricted to Managers. The chairs of ad hoc committees and task forces shall be Managers or Officers of the College. Ad hoc committees and task forces shall keep minutes of their proceedings and shall report to the Board as and when the Board shall direct.
 3. Each Standing Committee and any ad hoc committee or task force may function through such subcommittees as it may determine from time to time. All subcommittees shall keep minutes of their proceedings to be incorporated with the minutes of the parent body.
 4. Each of the Standing Committees and each ad hoc committee or task force created pursuant to these bylaws shall be an “other body” within the meaning of the Pennsylvania Nonprofit Corporation Law of 1972 (or any successor act or provision). All provisions of said statute relating to fiduciary duty, indemnification, and any other provisions that apply to a board of directors or to directors individually shall be equally applicable to each “other body” and to the members of each “other body” individually.

V-The Standing Committees

1. Academic Affairs

- (a) The Committee on Academic Affairs shall consult with and advise the appropriate Officers of the College on the care and oversight of all academic affairs, including the Libraries, not delegated by the Board to the Faculty or the President of the College.
- (b) The Committee shall work with the Provost to generate broad policy discussions of educational philosophy, goals, and practices, and, acting on behalf of the Board, shall
 - (i) review all faculty appointments and promotions, including endowed professorships, (ii) review and recommend to the Board action on tenure decisions, (iii) consult on guidelines for yearly faculty salary increases, and (iv) recommend to the Board action on the granting of degrees for graduation.
- (c) The Committee shall review and advise on the evolving role of technology as it relates both to the Libraries and to the classroom.

- (e) Where appropriate, the Committee shall review and advise on issues on quality of life and other human resources issues with respect to the faculty.

2. Admissions and Financial Aid:

- (a) The Committee on Admissions and Financial Aid shall be responsible for reviewing and revising, as necessary, admissions and financial aid priorities of the College with a view toward admitting a diverse body of students who have the academic, critical thinking, and other necessary skills to thrive at Swarthmore, benefit from the education provided, and use their training and experience to become innovative and ethical leaders committed to making a difference through their careers and in their communities.
- (b) Working closely with the appropriate Officers of the College, the Committee on Admissions and Financial Aid shall (i) review the effectiveness of admissions policies and practices; (ii) establish guidelines to evaluate the growth in scholarship expenditures relative to overall resource allocation; (iii) examine current needs of enrolled and prospective students; (iv) review the financial implications and effectiveness of financial aid policies on a regular basis; and (v) monitor the College's admissions and financial aid policies compared with its peers.

3. Audit and Risk Management:

- (a) The members of the Audit and Risk Management Committee shall consist of not less than three members of the Board and the Chair of the Finance Committee (ex officio). The Committee shall meet at least three times per year and report to the Board at its next meeting. At any time, the Committee may request to meet with the Board or any of its members as it deems appropriate. The Chair of the Committee shall be empowered to call for and receive reports from any Officer or employee of the College.
- (b) The responsibilities of the Audit and Risk Management Committee shall be:
 - (i) Arranging for an annual audit by independent accountants of all the College's accounts, reviewing the College's annual audited financial statements, and recommending acceptance of these statements to the Board and, upon completion of the audit, reviewing separately (without management present) with the external auditors any significant issues encountered during the audit, including any restrictions to the scope of work or access to required information;
 - (ii) Arranging for an annual audit by independent accountants of the College's retirement plans and, upon completion of the audit, reviewing separately (without management present) with the external auditors any significant issues encountered during the audit, including any restrictions to the scope of work or access to required information;

- (iii) Arranging for the annual filing of and approving Internal Revenue Service Form 990 and 990-T and providing these submissions to the Board of Managers;
- (iv) Approving any non-audit services provided by independent accounting firms, which services should be provided by firms other than that providing the annual audit unless approval is given by the Committee prior to engagement;
- (v) Monitoring the internal controls of the College, including assessing the information system controls and security;
- (vi) Reviewing any certifications, reports, or opinions rendered by the external auditors, including an annual management letter, as well as management's response to such letter;
- (vii) Reviewing and approving, if appropriate, major changes to the College's accounting, reporting, and internal control practices;
- (viii) Monitoring risk management at the College including reviewing annually the College's insurance coverage and reviewing risk exposure to ensure adequate coverage of key areas of risk;
- (ix) Monitoring Board and employee conflict of interest policies and administering an annual survey of Board members and key administrators;
and
- (x) Establishing procedures for the receipt, retention, and treatment of any complaints regarding accounting, auditing, and internal control issues, including procedures for confidential, anonymous submissions of such complaints by employees.

4. Compensation:

- (a) The Compensation Committee shall (i) establish compensation for the President of the College, (ii) approve the compensation for the President's senior staff, (iii) advise appropriate Officers of the College on compensation policies generally, and (iv) assure that compensation and compensation policies comply with all appropriate laws and regulations.
- (b) The Chair of the Board shall be Chair of the Committee and the Vice Chair of the Board shall be Vice Chair of the Committee. The other members of the Committee shall be the Chair of the Finance Committee and three members appointed by the Chair of the Board, one to be appointed each year for a term of three years. No member of the Committee completing a three-year term of service shall be eligible for reappointment to the Committee during the following twelve months.

5. Development and Communications

- (a) The Development and Communications Committee shall confer with the appropriate Officers of the College with respect to all current and long-term development for the College and, with the President and the Officer in charge of the College's development activities, shall have responsibility for the raising of funds to meet the College's annual needs and periodic capital needs.
- (b) Working closely with the appropriate Officers of the College, the Committee shall review and advise regarding the ways in which the College (i) communicates its mission, priorities and needs both within and outside the College community and (ii) receives input from, and encourages involvement in the life of the College of, the various constituencies comprising the College community.

6. Executive

- (a) The Executive Committee shall serve as a resource for informal counseling to the Chair of the Board and the President of the College and shall undertake emergency or interim actions for the whole Board when necessary. Except as otherwise provided by law, the Committee shall also have all the power of the Board between meetings of the Board.
- (b) The Chair of the Board shall be Chair of the Committee and the Vice Chair of the Board shall be Vice Chair of the Committee. The other members of the Committee shall be the Secretary of the Corporation, the Chairs of the other Standing Committees, the President of the College and not more than three other Managers appointed from time to time by the Chair of the Board.
- (c) The Committee shall convene by call of the Chair, the Vice Chair or the President of the College or at the request of any two members of the Committee. Six or more members of the Committee shall constitute a quorum for the transaction of business.

7. Finance

- (a) The Finance Committee shall have the responsibility of reviewing the annual operating and capital budgets submitted by the President of the College, and when such budgets are approved by such Committee, they shall be recommended to the Board for final action. The Committee shall have authority to authorize changes in the budgets and the making of unusual expenditures as may from time to time be recommended by the President of the College, but such changes or expenditures shall be reported at the next meeting of the Board.
- (b) The Committee shall also have responsibility for the administration of all trusts where the College is the fiduciary, including the allocations and distributions of principal and income of the various trusts to beneficiaries and to funds and endowments of the College. Subject to the approval of the Board, the Committee may provide for and establish common trust funds for some or all of the trusts where the College is the fiduciary.

- (c) The Committee, on behalf of the Board, shall have oversight of the finances of the College, and shall recommend to the Board, in conjunction with the Investment Committee, a guideline for spending endowment returns. The Chair of the Committee shall be empowered to call for and receive from any officer or employee reports on the condition of the finances of the College and the various funds of the College, including funds of which the College is a fiduciary.
- (d) The Committee shall work closely with the Vice President of Finance in reviewing the College's five-year plans, other financial planning materials, and financial aid programs.

8. Investment

- (a) The Investment Committee shall have responsibility for the investing, sale, and reinvesting of all funds of the College and all funds held and administered by the College as fiduciary, in conformity with investment policies reviewed and approved by the Board at least annually, and in strict accordance with the terms of any trust, will, deed or gift or other instrument under which funds have been donated or entrusted to the College.
- (b) All investments shall be held in the name of the College, as the case may be, or of a nominee of such bank or banks as may from time to time be designated by the Committee as custodians of the securities owned or controlled by the College, or of a partnership or fund of which the College is a limited partner or shareholder, or by the College as fiduciary.
- (c) The Committee shall meet a minimum of four times per year. The Chair of the Finance Committee, or other member of that Committee designated by it, shall be a member of the Investment Committee.
- (d) With respect to the endowment, the Committee shall be responsible for:
 - (i) Recommending investment policies for the endowment to the Board;
 - (ii) Selecting investment managers, investment partnerships, and consultants, bank custodians, and other experts, as appropriate;
 - (iii) Making direct investments in cases in which an investment manager is not used;
 - (iv) Monitoring the adherence of endowment investments to the investment policies and evaluating the performance of the endowment and investment managers against objectives;
 - (v) Recommending to the Board, in conjunction with the Finance Committee, a guideline for spending endowment returns; and
 - (vi) Developing policies regarding the voting, or voting of proxies, at any stockholders' meeting of any corporation of which the College, as fiduciary or otherwise, owns stock.

- (e) Members of the Investment Committee shall be eligible for election for two successive four-year terms and may not be re-elected for one year after the expiration of the second such term, except that on the recommendation of the Chair of the Board, the Nominating and Governance Committee may defer that one year requirement in extraordinary circumstances when it finds that deferral would serve the best interest of the College. When such a deferral is granted, it shall be for four years, but it may be renewed if a similar finding is made.

9. Nominating and Governance

- (a) At the Annual Meeting of the Board, the Nominating and Governance Committee shall nominate candidates to fill the offices of the Corporation. At any regular meeting of the Board, the Committee may nominate candidates to fill such vacancies as may exist among the Managers.
- (b) The Committee shall determine the membership of the Standing Committees and the Chairs and Vice Chairs thereof on an annual basis and shall report the same to the Board at the Annual Meeting.
- (c) The Committee shall have responsibility for the development of policies to govern the activities of the Board, including the modification from time to time of the Charter or these bylaws, the review of the number and areas of responsibility of the Standing Committees and the articulation of standards for the proper conduct by Managers of their duties.
- (d) The Committee shall have the responsibility for establishing and implementing procedures for reviewing the performance of the President of the College.
- (e) The Committee shall consist of six members, one or two of whom shall be appointed by the Board in alternating years to serve for a term of four years. At or before the second regular meeting of the Board following the Annual Meeting in each calendar year, the Chair of the Board shall appoint a special committee of three Managers to nominate to the Board at the subsequent meeting names of one or two persons to serve on the Committee for four years, or to fill any other vacancies on the Committee.
- (f) No member of the Committee completing a term of service shall be eligible for reappointment to the Committee during the following twelve months; provided, however, that the term of the person serving as Chair of the Committee may be extended for up to two additional years if the Chair of the Board, in consultation with the other members of the Nominating and Governance Committee, determines it to be in the best interests of the College for the Chair of the Committee to continue to serve as Chair of the Committee after the conclusion of a four-year term.

10. Property

- (a) The Property Committee shall consult with and advise the appropriate Officers of the College on the care and oversight of the College grounds, buildings, property, equipment, technology infrastructure, and all matters pertaining thereto.
- (b) With the appropriate Officers of the College, the Committee shall be responsible for planning and overseeing the erection of all new buildings and all significant renovations of and extensions and improvements to existing buildings.
- (c) In consultation with the appropriate Officers of the College, the Committee shall be responsible for all real estate matters, including the acquisition, disposition or development thereof.

11. Social Responsibility

- (a) The Committee on Social Responsibility shall reflect upon the College's commitment, in conjunction with the fulfillment of its institutional mission, to prepare and motivate students (i) to engage issues of social responsibility facing our communities and societies and (ii) to set their own paths as responsible citizens toward shaping a more inclusive, just and compassionate world.
- (b) The Committee shall be composed of Managers, Officers of the College, members of the faculty of the College, members of the staff of the College, students of the College, and representatives of the Alumni Council, the number of members in each category to be determined by the Board from time to time.

12. Student Affairs

- (a) Working closely with the Deans, the Committee on Student Affairs shall be responsible for reviewing issues that from time to time broadly affect student life at the College and shall act as a forum at which issues of concern to students can be aired.
- (b) Working closely with the appropriate Officers of the College, the Committee shall oversee all aspects of the College's athletic programs that relate to the experience of students in and with such programs, provided that all matters related to appointments to the physical education department and the teaching responsibilities within the department shall be the responsibility of the Committee on Academic Affairs

VI-Officers of the College

The Officers of the College shall consist of a President, a Vice President of Finance, a Secretary, a Treasurer, a Provost, and such other Vice Presidents, Deans and other Officers as the President shall determine to be necessary to conduct the business of the College. All Officers of the College shall serve at the pleasure of the Board, subject to the terms of any written employment contract between an Officer and the Corporation.

The President shall discharge all duties normally pertaining to the office of the President, and shall have the chief responsibility, subject to the Board, for the operation of the College. The President shall be responsible for the actions of all other administrative officers to whom

the execution of College policy may be delegated. The President, with the cooperation of the Vice President of Finance and such other officers as the President may rely on, shall prepare the annual operating and capital budgets and submit the same to the Finance Committee for recommendation to the Board in advance of the fiscal year of the College to which such budgets pertain.

The Vice President of Finance shall be the chief financial officer of the College. The Vice President of Finance and the Treasurer may be the same person.

The Provost shall be the principal academic officer of the College, working with the department chairs on faculty appointments and other aspects of personnel policy and having primary responsibility for the academic program.

The Vice Presidents, Provost, Deans and other administrative officers shall be responsible to the President of the College and through the President to the Board.

VII-Seal

The Seal of the Corporation shall be in the custody of such Officer of the Corporation or such Manager as the Board may from time to time direct.

VIII-Restricted Use of Surplus Funds

The use of any surplus funds for the private inurement to any person in the event of a sale or dissolution of the Corporation is expressly prohibited.

IX-Indemnification

1. The College shall indemnify any Manager, officer, employee, or other person who was or is a party to, or is threatened to be made a party to, or who is called as a witness in connection with any threatened, pending, or completed action, suit or proceeding, whether civil, criminal, administrative, or investigative, by reason of the fact that he or she is or was a Manager, officer, or employee of the College, or is or was serving at the request of the College as a director, officer, employee, member of a committee or "other body", or representative of another corporation, partnership, joint venture, trust or other enterprise (each such person an "Indemnified Person"), against expenses, including attorneys' fees, judgments, fines and amounts paid in settlement actually and reasonably incurred by him or her in connection with such action, suit, or proceeding if he or she acted in good faith and in a manner he or she reasonably believed to be in, or not opposed to, the best interests of the College and, with respect to any criminal proceeding, had no reasonable cause to believe his or her conduct was unlawful. The termination of any action, suit or proceeding by judgment, order, settlement or conviction or upon a plea of nolo contendere or its equivalent shall not of itself create a presumption that the person did not act in good faith and in a manner that he or she reasonably believed to be in, or not opposed to, the best interests of the College and, with respect to any criminal proceeding, had reasonable cause to believe that his or her conduct was unlawful.

2. Unless ordered by a court, any indemnification under Section 1 of this Article IX shall be made by the College only as authorized in the specific case upon a determination that indemnification of the Indemnified Person is proper in the circumstances because he or she has met the applicable standard of conduct set forth in said Section 1. Such determination shall be made: (i) by a Committee composed of the Chair of the Board, Vice Chair of the Board and Chair of the Finance Committee, or if any of those are interested or unable to serve, other disinterested Managers whom the Chair of the Board may appoint in their stead; or (ii) if said Committee so directs, by the Board by majority vote of a quorum consisting of Managers who were not parties to such action, suit or proceeding; or (iii) if such a quorum is not obtainable, or, even if obtainable, if a majority vote of a quorum of disinterested Managers so directs, by independent legal counsel in a written opinion.

3. The indemnification and advancement of expenses provided by, or granted pursuant to, this Article IX shall not be deemed exclusive of any other rights to which those seeking indemnification or advancement of expenses may be entitled under any bylaw, agreement, contract, vote of disinterested Managers or pursuant to the direction, howsoever embodied, of any court of competent jurisdiction or otherwise, both as to action in an official capacity and as to action in another capacity while holding such office. It is the policy of the College that indemnification of, and advancement of expenses to, Managers, Officers, employees and other indemnified persons of the College shall be made to the fullest extent permitted by law. To this end, the provisions of this Article IX shall be deemed to have been amended for the benefit of Managers, Officers, employees and other indemnified persons of the College effective immediately upon any modification of the Pennsylvania Nonprofit Corporation Law or the Directors' Liability Act of the Commonwealth of Pennsylvania which expands or enlarges the power of the College to indemnify, or advance expenses to, its Managers.

4. The College shall pay expenses (including attorneys' fees) incurred by an Indemnified Person in defending a civil or criminal action, suit or proceeding referred to in this Article IX in advance of the final disposition of such action, suit or proceeding upon receipt of an undertaking by or on behalf of such person to repay such amount if it shall ultimately be determined that he or she is not entitled to be indemnified by the College. Such advance shall be made upon a determination that he or she meets the applicable standard of conduct set forth in Section 1 of this Article IX by any of the persons permitted to make the determination of indemnification under Section 2 hereof.

5. Indemnification pursuant to this Article IX shall not be made in any case where the act or failure to act giving rise to the claim for indemnification is determined by a court to have constituted willful misconduct or recklessness.

6. The indemnification and advancement of expenses provided by, or granted pursuant to, this Article IX shall, unless otherwise provided when authorized or ratified, continue as to a person who has ceased to be an Indemnified Person and shall inure to the benefit of the heirs, executors and administrators of such person.

7. The College shall have the authority to purchase and maintain insurance on behalf of any person against the liabilities described in Section 1 of this Article IX, whether or not the College would have the power to indemnify such person against such liabilities under this

Article IX. The College shall have the authority to create a fund of any nature, which may be, but need not be, under the control of a trustee, or otherwise secure or insure in any manner, its indemnification obligations, whether arising under these bylaws or otherwise. This authority shall include, without limitation, the authority to (i) deposit funds in trust or in escrow, (ii) establish any form of self-insurance, (iii) secure its indemnity obligation by grant of a security interest, mortgage, or other lien on the assets of the College, or (iv) establish a letter of credit, guaranty, or surety arrangement for the benefit of such persons in connection with the anticipated indemnification or advancement of expenses contemplated by this Article IX. The provisions of this Article IX shall not be deemed to preclude the indemnification of or advancement of expenses to, any person who is not specified in Section 1 of this Article IX but whom the College has the power or obligation to indemnify, or to advance expenses for, under the provisions of Pennsylvania statutes or otherwise. The authority granted by this Section 7 shall be exercised by any of the persons permitted to make the determination of indemnification under Section 2 hereof.

8. A contract shall exist between the College and each of its Indemnified Persons with respect to indemnification and advance of expenses.

9. For purposes of this Article:

- (a) References to “other enterprises” shall include employee benefit plans;
- (b) References to “serving at the request of the College” shall include any service as a representative of the College that imposes duties on or involves services by the representative with respect to an employee benefit plan, its participants or beneficiaries;
- (c) Excise taxes assessed on a person with respect to any employee benefit plan pursuant to applicable law shall be deemed “fines”;
- (d) Action with respect to an employee benefit plan taken or omitted in good faith by a representative of the College in a manner he or she reasonably believed to be in the interest of the participants and beneficiaries of the plan shall be deemed to be action in a manner that is not opposed to the best interests of the College.

X-Liability of Managers

No Manager shall be personally liable, as such, for monetary damages for any action taken on behalf of the College or for any failure to take action unless the Manager has breached or failed to perform his or her fiduciary duties under Pennsylvania Law and such breach or failure constitutes self-dealing, willful misconduct or recklessness or is otherwise unlawful; provided, however, that this Article X shall not absolve a Manager from responsibility or liability pursuant to any criminal statute or from liability for the payment of federal, state or local taxes.

XI-Amendments

These bylaws may be amended at any regular meeting of the Board by a majority vote of the Managers present and voting, notice of such change having been given at a previous regular meeting, provided that the Secretary shall have sent to each Manager a copy of such amendment.

3. ADMINISTRATIVE ORGANIZATION

Swarthmore College has not traditionally emphasized administrative hierarchy or precise and exclusive definitions of function. The prevailing administration practices are collegial and depend heavily on mutual consultation. This is possible because of the relatively small number of strictly administrative functions and because of the relatively small size of the College community. It has seemed desirable because few important problems and needs for administrative services occur consistently in forms susceptible of precise and exclusive definition. The College catalog contains a complete and largely self-explanatory list of administrative offices and staff. The following account is neither full nor comprehensive, but is intended to indicate to faculty members in a general way where to turn for information and service. Many of the other sections of the *Handbook* make more specific references.

Functions of Principal Administrative Officers

Subject to the ultimate responsibility of the Board of Managers, the **President** is the principal administrative officer of the College. He or she is the normal channel for communication of College concerns to and from the Board of Managers and for relating the College in its general, institutional concerns to agencies and publics beyond the campus. The President superintends directly or indirectly all administrative functions of the College and is ultimately responsible for them under the Board of Managers. The President is the chair of the Committee on Faculty Procedures and the Committee on Promotion and Tenure and is a member *ex officio* of the Council on Educational Policy. The President is responsible to the Board for the quality and integrity of the academic program, for the conditions of campus life and work, for administrative performance, and for matters of the College's fiscal well-being, budget and personnel.

The **Chief of Staff and Secretary of the College (CSSC)** provides high-level executive support to the President to ensure that the needs of members of the College community are met in a strategic, coordinated, and timely manner. The CSSC manages processes of cultural and institutional change that relate to the college's strategic initiatives and plays a key role in communicating about and implementing major campus and institutional initiatives. The CSSC supports the College's active partnerships with local, state, national, and global communities and facilitates the coordination of the senior staff team. The CSSC collaborates with colleagues to align operations and special projects in the College's administrative units. In addition, the CSSC provides support to Swarthmore's Board of Managers and the Board Chair; staffs the Nominating and Governance Committee of the Board; supports the Honorary Degree Committee; and works with departments across campus to plan Baccalaureate and Commencement.

The **Vice President for Finance and Administration** is, in accordance with the College By-Laws, responsible under the President for financial management. This position is an officer of the College and works closely with the Finance, Audit, and Investment Committees of the Board of Managers. This office has jurisdiction over: the Business Office, the Investment Office, the Office of Institutional Research, the Financial Aid Office, the Department of Public Safety, Facilities and Capital Planning, and auxiliary services of the College including Dining Services, Office Services, the Post Office, and Summer Programs and Scheduling. The Vice President is responsible for endowment investment, institutional research, accounting and internal control.

This latter includes developing policies and procedures as they relate to budgeting, purchasing, reimbursements, and travel matters--as well as other related matters. The Vice President for Finance and Administration chairs the College Budget Committee and acts as the campus convener of the Committee on Investor Responsibility (which is chaired by the Chair of the Investment Committee of the Board of Managers). The Provost and Dean of the Faculty and the Vice President for Finance and Administration are the administrative officers with whom academic departments deal in formulating their operating budgets and who review and sign grant applications to which the College is an administrative party.

The Business Office provides faculty members and departments general support related to budget and research fund activity. The Provost's Office serves as the point of contact for faculty members for questions about administration of grants, travel/reimbursement issues, departmental equipment matters, and supplies.

The Human Resources department, directed by the **Vice President for Human Resources**, works to promote an environment which attracts talented staff and which challenges all staff to perform at the highest levels of achievement and to contribute in meaningful ways to the mission of the College. This is accomplished through the functions of employment, payroll, benefits, compensation, employee relations and employee/organization development.

The **Vice President of Advancement** has primary responsibility for fundraising, donor and alumni records, and alumni relations. The Vice President is assisted by the Directors of Alumni & Parent Engagement, Advancement Systems, Advancement Research, Alumni & Gift Records, and Individual Giving. Contributions are sought from alumni/ae, parents, friends, foundations, corporations and government. Gifts generally are of four types: annual, unrestricted (for operating expenses), capital (either for construction or endowment), and planned or deferred (realized by the College at the death of the donor). Alumni Engagement includes annual Alumni Weekend, regional events, the Alumni Council, and regional Swarthmore Connections (in certain large cities).

The **Provost and Dean of the Faculty** is the principal academic officer of the College, under the President. The Provost and Dean of the Faculty works with department chairs on appointments, reappointments, and tenure and promotion decisions, and oversees other aspects of personnel policy pertaining to the faculty. The Provost and Dean of the Faculty (hereafter referred to as the Provost) is responsible for the academic program, including the libraries, information services, and athletics; serves as Authorized Organizational Representative (AOR) for faculty and institutional grants and the Institutional Official (IO) for research compliance, including supervision of the Offices of Sponsored Programs, Institutional Relations, and Research Integrity and Engagement; chairs the Council on Educational Policy and the Curriculum Committee; and is a member of the Committee on Faculty Procedures, the Committee on Promotion and Tenure, and various other committees. The Provost's office is the point of contact, short of the President, for matters of general academic policy and faculty personnel policy. The **Associate Dean of the Faculty for Academic Programs** and the **Associate Dean of the Faculty for Diversity, Recruitment, and Retention** are faculty members who serve for three years in a full time administrative capacity. The Associate Dean of the Faculty for Diversity, Recruitment, and Retention assists the Provost in recruiting, hiring, mentoring, developing and retaining an

excellent faculty at the College. They serve as the Provost's office liaison to the College's "Diversity Team" and are actively involved in all diversity and inclusive excellence activities that come from the Provost's office. They work in close collaboration with the Associate Dean of the Faculty for Education Programs -- especially in areas related to faculty development and in policies related to non-tenure track faculty. The Associate Dean of the Faculty for Academic Programs assists the Provost in promoting and maintaining the excellence of education at the College. They focus on the organization and integrity of academic programs in general, including departments and interdisciplinary programs. They work in close collaboration with the Associate Dean of the Faculty for Diversity, Recruitment, and Retention. Both Associate Deans of the Faculty serve as thought partners to the Provost and pursue projects according to their interests.

The **Vice President for Student Affairs** has principal responsibility, under the President, for the administration of College policy in the broad field of student affairs. This officer works with students individually, and through the agency of colleagues in the Dean's office (and related offices), and through the agency of academic advisors as well. With the Registrar, the Dean of Students is responsible for administrative oversight of students' programs and fulfillment of the College degree requirements. The **Dean of Students** oversees advising and academic support services, and the Senior **Associate Dean of Student Life** has responsibility for issues relating to student conduct and the judiciary system. Because the distinction between academic concerns and student life outside the academic program is not drawn sharply at Swarthmore, the Provost and the Dean of Students work closely together.

The **Vice President and Dean of Admissions** and the admissions staff are responsible for the selection of first-year and transfer students who join the Swarthmore community each year. The Dean is glad to consult with members of the instructional staff whose children are involved in the college selection process. The Admissions Office is located on the second floor of Parrish.

The **General Counsel to the College** serves as the College's chief legal officer and oversees all legal affairs of the College. Serving as a member of President's Staff and reporting to the Vice President for Finance and Administration, the General Counsel to the College supports the strategic management of institutional risks by counseling those with institutional risk responsibilities about their development of the assessment plans to evaluate, prioritize, mitigate, control, and monitor those risks.

The **Vice President for Communications** leads the College's strategic positioning; the development and execution of interrelated internal and external communications strategy; and media, web, multi-media, and social media functions to enhance the College's reputation as a preeminent, distinct, global liberal arts college. Reporting to the President, the Vice President is a member of the College's senior leadership team and a key partner in support of strategic institutional initiatives, student recruitment, student and alumni engagement, fundraising, community relations, and internal initiatives and programs. The Vice President provides strong leadership and management of the Communications Office and serves as the primary College spokesperson.

The **Chief Information Technology Officer** oversees administrative computing, academic technology, and networking infrastructure at the college. Serving as a member of President's Staff and reporting to the Provost, the CITO is responsible for broad oversight of the College's technological infrastructure and advises the President and Provost on strategic directions related to information technology advances in support of the campus community.

4. MEMBERSHIP IN THE FACULTY

The following hold full membership in the faculty of Swarthmore College:

1. the President, the Provost, the Librarian of the College; those full-time Professors, Associate Professors, Assistant Professors, Instructors,³ regular part-time faculty,⁴ and members of the Athletics faculty who have taught at the College in the prior year or have an appointment of more than one year;
2. the Registrar, the Director of Athletics, and the College librarian;⁵
3. Professors, Associate Professors, Assistant Professors, and Instructors who hold joint appointment with Bryn Mawr College, Haverford College or the University of Pennsylvania;
4. others who, because of their special qualifications, are recommended by the President and approved by the Committee on Faculty Procedures and by the Board of Managers.

Those invited to participate in Faculty meetings, but who will have no vote, include:

1. emeritus faculty; ⁶
2. full-time, temporary academic appointees of any rank who do not have full faculty membership as defined above;

3. Instructor is a rank different from Laboratory Instructor or Language Instructor and is used for new appointees to the Faculty who have not completed the terminal degree (e.g., they have passed Ph.D. qualifying exams and researched the dissertation, but have not finished the writing and defense).

⁴ The extension of voting rights to regular part-time faculty members was approved by the faculty on 27 February 2015.

⁵ The extension of voting rights to the Registrar, the Director of Athletics and the College librarian was confirmed by the faculty on 18 September 2020.

⁶ Emeritus faculty members will have a vote in faculty meetings during semesters in which they have full-time or part-time teaching appointments.

3. lecturers teaching full-time, and those other members of the instructional staff who teach half-time or more, whose principal employment is with Swarthmore College and where there is reasonable expectation of continued employment on some regular basis;
4. Vice President and Dean of Admissions, Vice President for Finance and Administration, Vice President for Advancement, Chief Information Technology Officer, Vice President for Communications, General Counsel, Vice President for Human Resources, Chief of Staff and Secretary of the College, and the Vice President for Student Affairs.
5. others who, because of their special qualifications, are recommended by the President and approved by the Committee on Faculty Procedures.

The Instructing Staff, customarily invited to the first faculty meeting of the academic year, includes the faculty and all others who are engaged in teaching courses and seminars. (Adopted by the Faculty 27 April 1987; revised 27 February 2015).

II-A. GENERAL POLICIES

1. NOTICE OF NON-DISCRIMINATION AND EQUAL OPPORTUNITY

The College expressly prohibits any form of discrimination and harassment on the basis of any College-recognized protected classification, including sex, race, color, age, religion, national or ethnic origin, sexual orientation, gender identity or expression, pregnancy, marital status, medical condition, veteran status, or disability in any decision regarding admissions, employment, or involvement in a College program or activity in accordance with the letter and spirit of federal, state, and local non-discrimination and equal opportunity laws, such as Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, The Age Discrimination in Employment Act, The Americans with Disabilities Act and ADA Amendments Act, The Equal Pay Act, the Pennsylvania Human Relations Act, and the Borough of Swarthmore Ordinance on Non-Discrimination.

Swarthmore College, as an educational community, will promptly and equitably respond to all reports of discrimination and harassment based on a protected classification in order to eliminate the discrimination, prevent its recurrence, and address its effects on any individual or the community.

Inquiries or complaints may be directed as follows:

On Campus:

Paula MacDonald, Assistant Vice President, Human Resources, Human Resources 101 South Chester Road 500 College Avenue Swarthmore, PA 19081 610-690-5667 humanresources@swarthmore.edu	Bindu Jayne Title IX Coordinator 504 Fieldhouse Lane 500 College Avenue Swarthmore, PA 19081 610-690-6147 bjayne1@swarthmore.edu
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Off-Campus:

US Dept of Education, Office for Civil Rights 215-656-8541 OCR.Philadelphia@ed.gov	US Equal Employment Opportunity Commission: 1-800-669-4000	PA Human Relations Commission: 215-560-2496
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The College's complaint resolution procedures applying to:

- **staff** can be found in Chapter 11 of the [Employee Handbook](#),
- **students** can be found in the [Student Conduct Policies and Procedures](#) section of the Student Handbook,
- **instructional staff** can be found in section II.C.1 of the Faculty and Instructional Staff Handbook and
- **sexual violence, harassment, stalking and intimate-partner violence (including domestic violence and dating violence) complaints** can be found in the [Sexual Assault and Harassment Policy](#)

Non-Retaliation

Swarthmore prohibits retaliation against anyone who makes a good faith effort to appropriately disclose perceived wrongdoing and the College makes every effort to redress such situations. In all cases, members of the community should report their concerns when they feel they are being subjected to unethical, illegal, or unsafe activities or when they become aware of such activities going on at the College.

Statement of Equal Opportunity

Swarthmore College is committed to the principle of equal opportunity for all qualified persons without discrimination against any person by reason of any College-recognized protected classification, including sex, race, color, age, religion, national or ethnic origin, sexual orientation, gender identity or expression, pregnancy, marital status, medical condition, veteran status, or disability.

In keeping with the long-standing traditions of the College and the spirit and letter of the federal and state equal opportunity laws, we affirm the standing policy of the College to realize equality of opportunity in education and employment; to guard against discrimination contrary to that aim; and to correct discriminatory behavior if found to exist within the college community. Consistent with maintaining an educational program of the highest quality, our standing policy includes affirmative efforts to achieve the above goals in employment and education.

The above policy has been and shall be further implemented by the President and by members of the faculty and administration designated by the President for that purpose. (Adopted by the Board of Managers 1 March 1975, with amendments 24 April 1976, 3 December 1977, 7 December 1985, and 5 March 2007.)

These policies apply to all College community members, including faculty, staff, students, and volunteers.

2. ACADEMIC FREEDOM AND RESPONSIBILITY

Swarthmore College has long subscribed to the fundamental tenets of academic freedom articulated in the 1940 Statement of Principles on Academic Freedom and Tenure by the American Association of University Professors. This doctrine has been reiterated and amplified in the Association's 1970 Statement on Freedom and Responsibility. Swarthmore College adheres to the 1970 Statement, relevant portions of which are reproduced below. The complete texts of the Association's 1940 and 1970 Statements may be found in A.A.U.P. publications.

Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or her/his own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, such as personality, race, religion, degree of political activism, or personal beliefs.

It is a teacher's mastery of a subject and his or her own scholarship which entitle that teacher to the classroom and to freedom in the presentation of the subject. Thus, it is improper for an instructor persistently to intrude material which has no relation to the subject, or to fail to present the subject matter of the course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the instructor's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute, and the instructor's attention to her/his obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, she or he cannot escape the responsibility of that choice, but should either request a leave of absence or resign her/his academic position. (Adopted by the faculty, 25 May 1971, approved by the Board of Managers, 3 April 1971; revised, spring of 2001)

3. CONVENTIONS OF THE COLLEGE COMMUNITY

The faculty adopted the passages below on 25 May 1971.¹

To foster the academic freedom of all members of its community, Swarthmore College follows a number of general conventions governing the life of the institution.

The Classroom

Students are free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for meeting the standards of any course of study in which they may be enrolled. Members of the faculty are solely responsible for establishing and maintaining the academic standards of the courses they teach. Students who strongly believe they have been evaluated capriciously or with prejudice are free to bring the matter to the attention of the appropriate department chair or program coordinator, or if necessary, the Provost. Final judgment, however, must remain with the instructor.

Extra-curricular Associations

The College encourages students and faculty and their organizations to examine and discuss all questions of interest to them and to express their opinions publicly and privately. They should make clear to the academic and larger communities in their public utterances that they speak only for themselves.

Members of the College community who wish to use institutional facilities for a private meeting or for an event open to the public must register with the Dean's Office or must obtain the sponsorship of a registered organization. Individuals must register for each such event that they sponsor, while organizations need register only once. In all cases arrangements must also be made in advance for suitable space. All such meetings and events should be carried on in an orderly manner, as befits the College as an academic community. The purpose of registration is to assign responsibility and accountability. To register, an organization must submit to the Dean and to the Student Council items a through d below, and an individual must submit to the Dean and to the Student Council items a, c, and e below, as they apply to the meeting or event intended:

- a. a statement of purpose;
- b. a list of current officers;
- c. a statement disclaiming discrimination on the basis of sex, race, color, age, religion, national origin, or disability;
- d. a statement indicating that membership, policies, and activities of the organization are determined only by those holding bona fide membership in the College community;
- e. a statement indicating that the event planned by the individual is intended primarily for those holding bona fide membership in the College community.

Only registered organizations and members of the College community who have registered with the Dean's Office will be assigned space; and only they may receive financial support from the Student Council, which shall be available to qualified applicants according to such rules as the Student Council may adopt, subject only to the constraints imposed by the regulations of the Internal Revenue Service. These regulations prohibit devoting more than an insubstantial part of

College activities to attempting to influence legislation by propaganda or otherwise and absolutely prohibit the College from campaigning on behalf of or in opposition to any candidate for public office. Detailed regulations specifying College policy in this area are on file in the Dean's Office.

Publications

All student and faculty publications enjoy full editorial freedom, subject only to legal requirements.

Off-Campus Freedom

Swarthmore students and faculty are members of both a collegial and a wider community. As citizens, they enjoy all the civil liberties guaranteed other citizens. The College will neither interfere with the exercise of these liberties by the use of disciplinary sanctions, nor will it as a rule intervene on behalf of students or faculty in the event of conflict with legal authorities. Only where the College's interests as an academic community are distinct and clearly involved will the authority of the institution be asserted. (End of faculty action.)

Specific Regulations

In order to protect the academic environment of the College, as well as the property and freedom of both the institution and its members, the College has specific regulations governing certain situations. These regulations, concerning such matters as life in the dormitory and dining accommodations, the possession or use of alcohol, drugs, weapons, automobiles, etc., are summarized in the College catalog, this *Handbook*, and the *Student Handbook* and are posted or published in appropriate places. Students and faculty are expected to familiarize themselves with these rules and to observe them.

In all areas not governed by specific regulations, members of the community are expected to exercise good judgment and responsibility. Serious infringement of the rights of others will be subject to disciplinary action.

Discipline

Student discipline is carried out by a judicial system described in publications of the Dean's Office. Students participated in the development of this program, and they play a major role in its implementation.

4. REPORTING CONCERNS ABOUT INAPPROPRIATE ACTIVITIES

Swarthmore College takes seriously its commitment to ensure a safe, ethical and lawful educational, living, and work environment. Our community places a high value on ethical behavior, individual responsibility, and personal integrity. As members of this community, we each have a responsibility to share concerns of inappropriate activity.

Inappropriate activity can range from being asked to engage in a clearly illegal or unethical activity, such as falsifying research data; misdirecting College funds or resources; or requiring an

employee or student to do something that is clearly not related to their role at the college (such as babysitting your children on College time or in exchange for academic favors). Suspected violations of college policy should also be reported. Examples include, but are not limited to, falsifying college records (such as applications or time records), or violations of the college's policies prohibiting discrimination, harassment, and sexual misconduct. **Please note:** you must report allegations of sexual misconduct to the Title IX Coordinator. Please see the [Swarthmore College Notice of Non-Discrimination and Equal Opportunity](#) for details on reporting discrimination, harassment and sexual misconduct. Anyone determined to have engaged in the type of conduct described above is subject to disciplinary action by the College up to and including dismissal or expulsion, and civil action or criminal prosecution when warranted. If you encounter or become aware of behavior that is inappropriate or unethical, there are several different ways for you to share your concerns.

Internal Contacts

- Public Safety - For emergencies: (610) 328-8333 or other concerns: (610) 328-8281
- Human Resources - (610) 328-8397
- VP and Dean of Students – (610) 328-8365
- VP for Finance and Administration - (610) 328-8316
- Provost and Dean of the Faculty - (610) 328-8319
- any other supervisor, manager, or senior officer of the College
- any member of the [Audit and Risk Management Committee](#) of the Board of Managers, audit@swarthmore.edu

Contact Public Safety directly to report suspicious or suspected criminal activity as well as emergencies that involve an immediate threat to person, property, or the College environment. You must also contact Pennsylvania's ChildLine at (800) 932-0313 and Public Safety at (610) 328-8333 immediately if you suspect abuse of a child that is under the care or supervision of a College program. For instructions on making reports of child abuse, please also see the [Swarthmore College Mandatory Child Abuse Reporting Policy](#).

You may also contact the Office of Human Resources, the VP and Dean of Students, or the Provost directly if you believe you are being subjected to inappropriate demands or conditions and would like to access the grievance processes.

External Hotline (866) 292-7713

If you do not feel comfortable with any of these options, the Swarthmore College Hotline - (866) 292-7713 - is another avenue you may choose. This toll-free line is available 24/7 and there will always be someone available to speak with you. The line is managed by an outside company that will listen to your concern and direct it to the appropriate college official for prompt and corrective action. You may remain anonymous or you may choose to identify yourself. Regardless of your decision, your information will be documented and addressed appropriately.

Non-Retaliation

Swarthmore prohibits retaliation against anyone who makes a good faith effort to appropriately disclose perceived wrongdoing and the College makes every effort to redress such situations. In

all cases, members of the community should report their concerns when they feel they are being subjected to unethical, illegal, or unsafe activities or when they become aware of such activities going on at the College.

5. PRESERVATION OF PRIVACY AND CONFIDENTIALITY OF RECORDS

Members of the College community are frequently asked for information about other persons in the Swarthmore community. Any staff member in doubt about the application of the following guidelines to a particular situation should consult his or her supervisor; any faculty member or student with such a question should consult an appropriate member of the College administration. Departures from the guidelines may be made only by express permission of the President.

These guidelines are intended to help the College comply with privacy laws including the Family Educational Rights and Privacy Act (FERPA), which pertains to educational institutions, and the Gramm-Leach-Bliley Information Security Act, which governs financial and educational institutions, and a variety of other laws and best practices – all of which mandate that non-public personal information is private property, not to be shared without the release of the owner, and further, that all such non-public, non-released personal information on hand at the College should be technologically and/or physically protected and safeguarded by anyone with electronic and/or physical access to such information.

a. Verification of the Authenticity of Requests for Information

The credentials of any person requesting information should be checked. All police officials, government agents, and journalists have identification cards with photographs. If there is doubt about the authenticity of an identification card, the office of the person requesting the information should be called and an attempt made to determine whether the request has been duly authorized. If requests for information concerning a member of the College community are received by mail, that person should, whenever possible, be consulted to verify the legitimacy of the request.

Agents of the FBI or members of other public or private investigative agencies checking applicants for employment should be asked to show an authorization signed by the person under investigation, or similar evidence that the investigation has a specific, legitimate purpose related to employment or promotion. An investigator who does not have such evidence should be asked to secure it before information is given. Members of the College community also may not, on their own initiative, recommend or provide information or opinion concerning other members of the College community for employment with public or private intelligence agencies without the specific prior notification of the person involved.⁷

No student, member of the instructional staff, or member of the staff or administration may gather information on or off campus concerning persons, groups, or activities related to the

⁷ This paragraph was adopted by the Faculty on 19 November 1981.

College for any private or governmental institution in a covert fashion and/or under false pretenses (a) where the information-gathering is not related to a scholarly study governed by professional canons within the discipline; and (b) where access to the results of such information-gathering can be limited by people other than those directly involved in the scholarly project. Cases of possible ambiguity (for example, criminal activity or incidental information reported to representatives of governmental or private organizations) should be reported to the Provost and, if he or she deems it necessary, to the Research Ethics Committee.⁸

b. Ideas and Information

This section was adopted by the faculty on April 29, 2005, and modified on October 21, 2005. The Board of Managers approved this section on December 3, 2005.

Privacy is more than a concern with keeping personal matters personal. When privacy is wrongly compromised, freedom of thought, expression, and action are seriously eroded. This is especially true in an academic setting, where students and faculty are exploring ideas and modes of expression. But privacy is a concern for all members of the College community.

In a college community, students, members of the faculty and instructional staff, and staff will learn much about the ideas and beliefs of one another. This process should not be contaminated by the fear that ideas and beliefs, expressions and convictions, are being surreptitiously monitored or systematically reported to persons or agencies inside or outside the community. Intellectual freedom and mutual trust are indispensable to one another. In classrooms and seminars, in informal discussions in dormitories, dining rooms, and libraries, members of the College community should be free to adventure in ideas and expression.

Through its policy, Swarthmore College strives to reconcile sometimes competing concerns. Paramount is not to compromise the College's fundamental educational mission: to sustain a lively intellectual and social community of students, faculty and instructional staff, and staff. But against this must be balanced concerns that engage issues of civility, efficiency, legality, security, and supportive working conditions. Thus the individual right to privacy, though stringent and broad, is neither absolute nor unlimited. In particular, under guidelines established by the President acting on behalf of the Board of Managers, as having the authority to do so, certain supervisors and administrators, as designated herein, may access an individual's documents, communications, contacts and materials in cases of functional need to insure the efficient and responsible functioning of the College in the pursuit of its mission.⁹ This need extends to the proper assurance of a supportive – safe as well as nurturing – environment in which to learn and do one's work. Accordingly, those in supervisory positions, like those involved with assuring the College's compliance with legal requirements, must be entitled to

⁸ This paragraph was adopted by the Faculty on 19 November 1981.

⁹ "Administrator": anyone (member of the faculty, or instructional staff, or staff, or student) having responsibility for insuring the proper operation of a computer system, including any individual to whom such responsibility is delegated by a responsible supervisor. "Supervisor": anyone (member of the faculty, or instructional staff, or staff, or student) who is responsible for supervising the work of some other individual or individuals.

take appropriate measures in circumstances relating to functional need. Equally, the administrators of the College's various computer systems must be entitled to take appropriate actions in circumstances related to the need to insure that these systems function safely, efficiently, and securely, as is required to support the College's educational mission. Those who take such measures under this policy have an obligation, if asked by those affected, to justify their actions in terms of functional need.

Except where required by law or functional need, the communications system of the College, including telephone, mail, e-mail, and computing facilities, may not be used for surveillance. Messages to and from members of the College community may not be intercepted or monitored, nor information about the origin or destination of messages collected, except as functional need requires. Information fortuitously gained by those operating the communications system or in College facilities may not be passed on to others in any form, unless a violation of the law or of College regulations is suspected or apparent, in which case appropriate College authorities are to be notified.

Swarthmore College provides faculty and instructional staff, students, and many employees with access to computers and electronic systems, including e-mail and Internet access, for (a) educational and research purposes and (b) to conduct the College's business. While Swarthmore College does not monitor the use of these systems and equipment – except for normal maintenance and to prevent or remedy various electronic attacks – the systems and computers are the legal property of Swarthmore College. Therefore, the College can be required to provide legal authorities access to equipment and systems. The College will comply with all legal requirements, even those that may violate values embraced by many members of the College community. In complying, however, it will use reasonable effort to find a way that least transgresses on what it regards as its justifiable policies on privacy, electronic and otherwise. E-mail messages are also, as a matter of law, the legal property of the College. However, in cases of clear functional need (e.g., an internal investigation or an unanticipated absence necessitating access) the College has the right to retrieve and/or read the contents of a community member's computer or electronic communications. Even when it is permissible to retrieve and examine the contents of a computer, the College should not examine anything other than what is required by functional need.

Except as pertains to the administration of the College and except for matters outlined in this *Handbook*, personal files and information of whatsoever form existing within College computing systems for whatever duration are to be controlled by the user and not accessed by any others without the user's permission, including College authorities.¹⁰ This includes, but is not limited to, such things as research data, essays, papers, notes, communications (e.g., e-mail and letters), letters of recommendation, legally downloaded material, personally owned and legally

¹⁰ Under the application of various laws governing access by legal authorities to computing and communication facilities, and pursuant to College functional need, the computing systems of Swarthmore College include all computers on or off campus, College owned or not, that are connected, either occasionally or normally, to any College owned or maintained electronic network or are used in the conduct of College business without ever being connected to such a network.

permissible software, browser settings, and records. There are inevitable borderline cases that should be resolved in accordance with the principles set forth in this policy.¹¹

While the College makes a reasonable effort to protect the confidentiality of electronic communication and the content of computers and storage devices connected to the network, the very nature of the technology makes it impossible for the College to guarantee privacy. Although individuals and the College can each do a great deal to reduce the threat of disclosure of such content, ultimately there is no way to ensure that unintended interception, monitoring, inspection, storage, dissemination, or use of computer and network content can never occur. Any use of the Internet (e.g. e-mail, the WWW, or voice over IP), even simply being connected to the Internet, potentially exposes a computer's content and any of its network communication to inspection, deletion, or other unintended use. It is possible that any communication or content, including that which is deleted, will be illicitly or legally retrieved by others. Therefore, it is each individual's responsibility to understand the limitations of a networked world and to take great care in keeping private what he or she wishes to keep private.

In order for the College's various electronic systems to support its educational mission and to conduct its business, they should function safely, efficiently, and securely. Administrators of such systems and those in supervisory positions must therefore be entitled to take appropriate measures. Nevertheless, those in such positions must be able to justify their actions if called upon to do so and they have an obligation to act in ways respectful of individual privacy to the extent possible.

Different elements of the College community have differing functional needs with respect to computing and computing systems that lead to distinctive modes of implementing the College's electronic privacy policy. Even within the academic sphere, there are justifiably distinctive policies: Computer Science, for example, uses a much more open system – offering far less privacy – than is typical of the College generally. Several other academic departments also maintain more open, independently networked systems, and faculty in some academic departments may on occasion oversee instructional uses of individual electronic systems. Approaches that make good sense generally, therefore, would not necessarily make equally good

¹¹ Here is how to resolve two cases:

If a faculty member becomes incapacitated before submitting grades for a current semester, the grades may be retrieved from his or her office or computer. Any notes or comments pertaining to a student graded, however, remain private: they are not a required part of submitting grades. Even when the search for grades is permissible, however, it should be done with the Provost's approval and conducted in the presence of either the Chair or someone designated by the Provost to oversee the search. Any other contents inadvertently found should remain private and confidential, unless so doing would bring with it College legal liability.

Some faculty might wish to have letters of recommendation and other contents available should they be incapacitated or unavoidably absent; others not. Those who do must state in writing what is available for retrieval and what is not, and under what conditions. In the case of letters of recommendation, for example, a faculty member can easily make a copy of such letters and give them to the departmental AA with instructions on how to use them.

sense if applied to distinct instructional systems or modes of instruction. Administrators of any distinctive computing system, however, should ensure that its users are fully informed regarding their rights to privacy, or lack thereof, in using the system. (For an example of good practice in this regard, see “The User Agreement” read and signed by all who wish to use the Computer Science system.) Signing a user agreement is not the only way of fully informing users of their rights, privileges, and responsibilities; e.g., a clear statement on privacy limitations at the head of a syllabus might suffice.

Notwithstanding warranted diversity in the modes of implementing this policy, certain general guidelines that should be followed do apply in all settings.

- i. Intrusive investigations or searches variously undertaken – to ensure efficient functioning, to locate the source of some problem, or to examine suspected misconduct – should be of reasonable duration. This does not preclude further investigation, however, if satisfying the original need justifies further investigation; e.g., when an investigation is of possible continuing wrongdoing or involves tracing potential computer abuses.
- ii. The functional need to access an individual’s electronic data, files or materials does not justify or excuse any willful or reckless disregard of privacy.
- iii. Normally, appropriate means, efficiency, and security are complementary and mutually reinforcing. The press of College business might sometimes, however, result in means later deemed excessive. For example, in the midst of a virus attack, ITS might take measures that it reasonably regards as necessary only to conclude after the attack that less intrusive means might have been employed. There is no violation of College policies in such cases.
- iv. Civility is no less appropriate a consideration than are means, efficiency, and security which it complements. Nevertheless, the immediacy of College business can result in access that bypasses civility. Examples: when there is an investigation of possible illegal misconduct or of abuse of policies involving computing system use; when the College must investigate a security breach; when a staff member is unavailable for some reason; when system administrators determine that a particular computer may be the source of some debilitating network problem. Except in cases of routine maintenance or where imprudent in relation to some on-going investigation of wrong-doing, prior notification should be given of any intrusive investigations or searches. However, prior notification is not always practically possible; in such cases, with exceptions as just noted, post-notification is to be given.
- v. Where reasonable, the least intrusive methods given the context should be used. Similarly, the extent and scope of the investigation should be no wider than is reasonably necessary.

c. Special Areas of Privacy

Although investigations by government agencies usually do not require the respondent to divulge specific information, they usually request an evaluation of such information--for example, the evaluation of a student’s or faculty member’s ideas, statements, or behavior. If the respondent feels that the subject to be recommended is not suited to the position for which he or she has

applied, for reasons unrelated to academic abilities, the respondent should exercise utmost care and discretion in making a statement. It is possible and often advisable to give a negative recommendation without stating reasons. If the respondent feels any doubt about the loyalty of a current or past member of the College community because of his or her thoughts, opinions, statements, or beliefs, as distinct from character or stability of personality, a written statement to the investigating authority will minimize the possibility of ambiguity or misunderstanding. Whenever possible or appropriate, a copy should also be sent to the person under investigation so that he or she may have the opportunity of presenting the investigating agency with a rebuttal.

Police and investigative agencies have, on occasion, sought information about present and former members of the College community, which bears no clear relation to any criminal activity. Responses to all such requests require prior consent of the subject(s) of the inquiry. Requests other than those concerning employment must be referred to the appropriate Dean, the Provost, or the President.¹² Normally, requests for information by the news media are referred to the Communications Office. Requests for information from outside organizations or research groups are normally handled by the office, which has responsibility for the area being surveyed.

There may be occasions on which a faculty or staff member may wish to seek counsel from another member of the community in regard to difficulties observed in the ability of a student or faculty member to perform work. In such an event, scrupulous regard must be shown to the privacy to which the person under discussion is preeminently entitled.

The rooms of students are accorded as much privacy as possible, but such privacy is not absolute. The College reserves the right to make inspections of dormitory premises when there are grounds for suspecting violations therein. Such inspections are conducted by College personnel with witnesses present. If major repair work is to be performed on a student's room during an absence, the student is normally notified in advance.

Students are not obliged to comply with surveys or questionnaires that may reach them, except for official College inquiries. Problems regarding the ethics of research methods or other similar issues associated with questionnaires and surveys may be referred to the Research Ethics Committee, or to the Deans.

d. Sanctions

The College will apply sanctions to individuals violating the policies contained in this statement. All members of the College community should be thoroughly familiar with these policies and their preeminent importance to the well-being of the College.

e. Student Education Records at Swarthmore College

The Buckley Amendment, or the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, and related federal regulations, establish guidelines protecting the privacy of student records and give college students the rights (subject to certain exceptions) to review their

¹² The previous three sentences were adopted by the Faculty on 14 December 1978 and 22 March 1979.

educational records and within 45 days of formally requesting to do so, to challenge and/or amend their contents in order to ensure that they are not inaccurate or misleading, and to file a complaint with the Department of Education concerning alleged failures by the College to comply with the Act. Written complaints should be directed to the Family Policy Compliance Office, US Department of Education, 600 Independence Avenue, S.W., Washington D.C., 20202-4605.

Definitions

“Student” includes any individual with respect to whom the College maintains education records. The term does not include an individual who has not been in attendance at the College.

“Education record” means any personally identifiable information recorded in any medium, which is directly related to a student and is maintained by the College or by a party acting for the College.

“Personally identifiable” means that the information includes a student’s name, personal identifiers, or any information, which would make the student’s identity easily traceable.

Where to Direct Questions

Persons with questions regarding relevant law and the College’s policy concerning disclosure and non-disclosure of student records should not hesitate to contact the Dean of Students or the Dean’s associates.

I. Policy on Student Education Records

A. Categories of Student Records

There are three categories of student records at Swarthmore College:

Directory Information (known to be generally available from a variety of sources). The law provides that the following items relating to a student may be included in this category: name, address, telephone number, date and place of birth, major, minor, dates of enrollment and graduation and degree of honors received, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, the most recent educational agency or institution attended by the student, and other similar information.

Confidential Information (accumulated in confidence, within limits established by law, either upon specific promise of no disclosure or in the context of a confidential relationship). The law provides that the following items may be included in this category: personal records and notes of faculty and administrators which are not revealed to others except temporary substitutes; records of the Department of Public Safety which are maintained separately and are used solely for law enforcement purposes (provided that the Department of Public Safety

does not have access to education records, which is the case at Swarthmore); records of physicians, psychiatrists, psychologists, or other recognized professionals or para-professionals created and used only in connection with treating a student; financial information from parents of students; letters of recommendation for which a student has waived the right of access; confidential letters of recommendation placed in the record prior to January 1, 1975 (provided that they are used only for the purpose for which they were specifically intended); records which contain only information relating to a person after that person is no longer a student at the College.

Restricted Information. This category contains the “education records,” that is, those records, not included in the two categories above, which contain information directly related to a student and are maintained by the College or by a person acting for it. Examples of items in this category are the permanent academic record, courses elected each semester, evaluations of work carried on a Credit/No Credit basis, academic and disciplinary actions, financial arrangements, and letters of recommendation received in a student’s record after January 1, 1975, unless the student has waived right of access. (Recommendations accompanying an application for admission to Swarthmore are not maintained as part of the student’s education record.)

B. Access to and Release of Student Education Records

The following policies govern access to and release of records:

Directory Information. According to the law, any item of directory information may be released at any time unless the student has filed a written request that the information in that item not be released. Swarthmore College policy is that any information in this category, which is not newsworthy and not published in a college directory is released only after careful inquiry establishing the need for the information. Students who wish to have certain directory items withheld from any release should file their requests with the Dean’s Office. The College does not normally release addresses of students currently enrolled in response to inquiries from outside. Urgent requests based on apparent emergency are handled with appropriate discretion by College authorities. Directories giving the names and email addresses of all students are intended for internal use only.

Confidential Information. Items in this category will not be released to the student. They may be released to others only with the consent of the student and of the College official in charge of the record, except as required by law. Medical records can be personally reviewed by a physician or other appropriate professional of the student’s choice. Financial information contained in the College Scholarship Service “Parents’ Confidential Statement” may be discussed with the student if so authorized by the parent(s).

Restricted Information. Students may inspect information in the restricted records which pertains to themselves. Students wishing to see their permanent academic record should consult the Registrar.

With the exceptions noted below, restricted information may be released only at the student’s specific request, which must name the records to be released, the reason for release, and the

persons or agencies to whom the release is authorized. Responsibility of College officers to verify the authenticity of requests for information is described in the *Swarthmore College Handbook for Instructional Staff*, section II-A-4-a. The law permits the release of restricted information without the student's consent as follows:

- To College officers and faculty who have been determined by the College to have legitimate educational interests in having such information (both academic and non-academic records of students are disclosed to College faculty and staff members only in circumstances where the need for access can be clearly demonstrated on the basis of conducting College business);
- To individuals and offices within or outside the College as needed in connection with financial aid for which a student has applied or which a student has received;
- To governmental agencies only in connection with audit or evaluation of government supported education programs;
- To some research workers with stated precautions to preserve confidentiality;¹
- To accrediting organizations, again only with assurance of confidentiality;
- To parents of a dependent student (see clarification below);
- To individuals as needed in health and safety emergencies;
- To comply with a court order, or subpoena *duces tecum*, in which case the College will make a reasonable effort to notify the student of the order or subpoena in advance of compliance, unless the court order specifically prohibits the college from doing so.

Record of Access. A record will be kept with a student's education record indicating those individuals other than authorized College personnel to whom information from the record has been released and the reasons for the release. This record of access will be available to the student.

Information to Parents. The law permits the College to release information to parents of dependent students without prior consent of the student. The normal procedure of the College, however, is to notify parents only of any change of status of a student, such as, for example, actions by the Committee on Academic Requirements or the College Judiciary Committee. Other sharing of information with parents is almost always with student consent, except in a case of extreme medical emergency. It should be noted, however, that while students' grades are not normally released to parents, they may be revealed to parents at the discretion of the Deans. Students who wish to have grade reports sent routinely to their parents should see the Registrar. Students who are financially independent of their parents (consult Section 152 of the Internal Revenue Code of 1954) may request that no information be sent to parents at any time. Students who wish to make such requests should see one of the Deans.

Limitation on Release with Consent. There may be conditions such as unmet financial obligations to the College under which the College will not honor a student's request for release of grade reports, transcripts, certifications, and the like. In such instances, the College will notify the student in writing of the reasons for withholding such information.

Waiver of Access to Recommendations. A student requesting recommendations respecting admission to an educational institution or an application for employment or the receipt of an honor, fellowship, award, or the like, may waive the right of access to those recommendations. Waivers of access may not be required as a condition for admission to, or receipt of, any service or benefit from the agency or institution, but there may be circumstances under which a student will wish to execute a waiver of access to a recommendation. The decision whether or not to write a letter or statement of recommendation is an individual one, and, of course, is voluntary; any student requesting a recommendation may be asked to indicate to the writer whether he or she has waived or wishes to waive right of access.

The following is an example of appropriate language for a valid waiver of access to a statement or letter of recommendation:

I hereby waive my right of access (granted under the Family Rights and Privacy Act of 1974, as amended) to this confidential letter of recommendation, provided that it is used solely with respect to my application for: _____

Signed: _____ Date: _____

Other language would be valid so long as it provides for specifying the use to which the statement is to be put. In waiving right of access, a student nonetheless retains the right to be notified, upon request, of the name of each person who has submitted such a confidential evaluation or recommendation. Waivers may be revoked, but only with respect to letters or statements filed, or to other actions taken, after the revocation.

II. Inspection and Reproduction of Records

Inspection of Education Records by Students [excerpts]

An enrolled student in residence at the College may inspect restricted information belonging to his or her education record solely at the office which is responsible for maintaining such information, and all records to which a student has legal access will normally be made available without a written request except for those records maintained by the Dean's Office.

In all instances of on-campus record inspections, a staff member may be present to assist in interpreting the information and any office may require that the record be inspected only in the presence of the office head. Further, any office may require that a request for record inspection be made in writing, and where appropriate, in person. The student may be required to provide proper identification in filing a request and prior to having access to records. The student is obligated to examine the record during reasonable hours at the place where the record is maintained and not to interfere with the operation of the office involved. When the original record is shown, examination is permitted only under conditions that will prevent alteration or

mutilation, but all requests by students to inspect their own records will be responded to as promptly as possible within the limits of staff availability to assist in such inspections.

In some instances, materials which are part of a student's record may include references to other students. In such cases, the individual student's right of access is limited to the part of the record that pertains only to him or to her.

III. Challenge of Content of Student Records [excerpts]

A student who wishes to contest the content of an educational record that he or she believes is inaccurate, misleading, or in violation of privacy or other rights, should first of all ask the College official in charge of the record to emend it, and provide evidence why this should be done. Within a reasonable period of time after receipt of such a request, the official will decide whether or not to emend the record in accordance with the request. If the decision is not to emend, the student will be so informed and also advised of the right to a hearing to pursue the matter further. Students who wish to have such a hearing should consult one of the Deans.

It should be pointed out that grades (or Credit/No Credit evaluations) received by students from members of the Swarthmore teaching faculty cannot be contested under the "Buckley Amendment" or related regulations. The intent of the law in this regard is only to ensure the accuracy of College procedures that record the grades actually given. Thus, a student could seek to correct an improperly recorded grade, but could not contend that a different grade should have been assigned.

6. SURVEYS AND QUESTIONNAIRES

Persons or organizations within the College wishing to distribute surveys or questionnaires should be alert to ethical considerations involving the privacy and integrity of respondents; in cases of doubt, department chairs or program coordinators or the Research Ethics Committee should be consulted. The Assistant Vice President for Institutional Effectiveness and Assessment may also be contacted.

Any person or organization outside the College community wishing to circulate a questionnaire or survey among students or faculty must obtain prior permission from the Dean of Students (for students) or Provost (for faculty).

All surveys and questionnaires, whether internal or external, should contain information identifying their source and purpose. Surveys for commercial purposes are not permitted. Except for official College inquiries, students and faculty members are under no obligation to respond to any survey or questionnaire.

The College relies on all members of the community to use survey research judiciously and to take advantage of existing data and collaborative opportunities where possible, to limit the imposition of surveys on our populations. Institutional Research maintains a list of active and

upcoming surveys, as well as tips and best practices. These and other resources may be found on the [Institutional Research webpage](#).

7. PROHIBITION OF SEXUAL AND DISCRIMINATORY HARASSMENT

It is the policy of Swarthmore College to provide an academic and employment environment free from any form of sexual or discriminatory harassment including harassment by speech or other expression, by action, or by combination thereof. To address concerns related to discrimination or harassment, please refer to section [II-A.1: Notice of Non-Discrimination and Equal Opportunity](#). For matters involving sexual misconduct, please review to the [Sexual Assault and Harassment Policy](#).

8. RIGHTS AND RESPONSIBILITIES OF EXPRESSION AT SWARTHMORE¹³

On December 18, 1996, after discussion at several Faculty Meetings, the faculty passed (as amended) the report by the Task Force on Speech and Community, entitled, “Rights and Responsibilities of Expression at Swarthmore,” and indicated that relevant portions of the report be entered into the *Handbook for Instructional Staff*. The relevant sections below were chosen by the Provost and Chair of the Task Force and modified slightly to fit the handbook format.

a. Introduction

Swarthmore College is deeply committed to creating an environment that fosters diversity without in any way sacrificing its unwavering commitment to free inquiry, speech, expression, and exchange of ideas.

Without the commitment to free inquiry, the pursuit of truth, exploration of alternate approaches to knowledge and art, and broader concerns to educate ourselves about different ways of life would be doomed. Free inquiry, speech, expression, and exchange of ideas often lead to controversy. Such controversies can be fierce and often painful for those who believe – sometimes rightly – that their views or ways of expressing themselves are not given their due or that cherished convictions are under siege. But no academic institution can avoid these dangers. We can hope and urge, however, that students, staff, and faculty will be civil and treat one another with respect. For speech is *also* conduct: we *do* things with words. Speech and other forms of expression have effects, intended or otherwise. Just as we demand that people take responsibility for their conduct, so we can demand that people take responsibility for their speech: freedom is not license.

The College finds it unconscionable that its members should be subjected to hateful expression or to the attitudes that underlie such expression. We seek to maintain the civility of college life, recognizing that failure to do so is a very real failure of our academic and ethical mission. As part of our ongoing efforts to educate our community and to protect victims of hateful expression, we affirm the policy described below. We acknowledge that there are powerful forms of expression that this code cannot prohibit, but that nevertheless do genuine harm, and we

¹³ This section is under review for consistency with other policies contained in this Handbook.

encourage all members of the campus community to help make this code only one in a range of responses that work to end verbal abuse. We believe that active attention to the power of the expression we use will increase the educational opportunities of our entire community, and that our shared commitment to respectful coexistence will benefit us all. Yet because of its commitment to free expression, the College will regulate speech or expression [hereafter, *expression*] *only if* fraudulent, threatening, or harassing. But nothing in this document is meant to discourage those who think they have been wounded by expression from seeking assistance. This document is, in fact, a tangible sign that the College is strongly committed to providing that assistance.

Below we affirm a policy that we hope will greatly help to combat expressive harassment on our campus. Although the report itself is adamant about protecting free expression, we ask those who read it not to infer lack of concern for the victims of expression that wounds. On the contrary, we hope that setting out a clear and defensible set of policies will facilitate a much broader engagement with the problems of expression in our community. To the extent that we can put regulations behind us, we can turn our energies toward the much larger task of creating an environment that fosters educational, social, and professional growth for all who live, study, and work here.

b. Fraudulent Expression

Fraudulent expression occurs where one lies about or seriously misrepresents authorship of one's expression. Plagiarism, of course, is one instance. But there are others. It is forbidden, for instance, for **A** to send an e-mail message to **B** purporting to be from **C** or for an individual or group to place a poster attributing it to another individual or group. Clearly, some instances are mere pranks, but many instances can cause serious harm, so even pranksters must realize that they run the risk of adjudication for reckless conduct that causes harm.

c. Threatening Expression

Expression that credibly threatens physical violence will not be tolerated any more than the College tolerates physical assault and battery: everyone has a right to participate in all aspects of College life without fear of physical attack. Threatening expression will be inferred from all the circumstances.

d. Harassing Expression

i. Preface

Harassment can take many forms. One can harass, for instance, by intentionally playing a radio so loudly that others cannot work. Here, however, we are concerned with harassment that has a *semantic content*: that is, where one harasses using words, gestures, images, and other forms of expression that substantially interfere with another's educational opportunities, peaceful enjoyment of residence and community, or terms of employment. The harm caused by harassment is no less real because it has a semantic content. It does, however, make it more difficult to regulate since it often involves issues of free expression.

Students, Staff, and Faculty have different procedures for addressing complaints. We believe, however, that the definitions, principles, and criteria relating to harassing expression should be the same. This is reflected in what follows.

ii. Definitions, Principles, and Criteria

It needs to be emphasized that harassment can be and often is non-physical, including words, images, gestures, and other expression. To count as harassment, such expression must be reasonably regarded as (a) taunting,¹ vilifying,¹ or degrading¹ whether (b) directed at individuals or groups [subject to the clarification and qualification below] and (c) where reasonable people may expect that such expression would harm its target(s) by substantially interfering with their educational opportunities, peaceful enjoyment of residence and community, or terms of employment. Further, to count as harassment subject to possible formal grievance procedures, such expression must (d) be made *either* with the intent to interfere with the protected interests mentioned in (c), above, *or* with reckless disregard to the nature of the conduct. Such intent or recklessness must be inferred from all the circumstances. Finally (e), such expression must be repeated and persistent. To be “repeated and persistent,” the offending conduct must have been brought to the attention of the defendant (though not necessarily by the complainant), be of the same kind, and repeated. There are two reasons for adding (e): first, the College wishes to have the opportunity to educate those who may not realize that certain expression constitutes harassment; second, by requiring that the expression be repeated and persistent, the College helps establish intent or recklessness. However: (f) before **any** expression can be considered for possible formal grievance procedures, it must be clear that no substantial free expression interests are threatened by bringing a formal charge of harassing expression. This strict criterion for possible formal grievance procedures must be imposed to insure that the College does nothing that would diminish free expression or compromise principles of academic freedom in the vigorous and often contentious examination and criticism of ideas, works of art, and political activity that marks Swarthmore College.

Because *groups* have been included in (b) above, the following clarification and qualification is in order. If expression that would be regarded as harassing if directed at an individual is directed at a group – where no individuals are specifically named or referred to as targets – any member of that group will have a grievable complaint *only if* it can be established that a reasonable person would regard that offending expression as harassing each and every member of the group *as individuals*. Unlike sexual harassment, which is often though not exclusively directed at particular individuals, degrading expression is more often than not directed at individuals through their group identity. A loose analogy with threats may clarify what is intended: in cases where someone credibly threatens violence against group X, reasonable people would be right to conclude that each and every member of X has good reason to believe himself or herself threatened, and thus any member of X would have a complaint although unmentioned by name and perhaps unknown to the threatener.

iii. Options for Resolution

Charges of harassment may be handled according to either informal or formal procedures. In general, opportunities for education and awareness are important elements in the resolution of harassment issues, sexual or otherwise. Individuals who wish to register concern about questionable behavior, but do not wish to claim intent or reckless disregard, are encouraged to speak to the person(s) involved and/or to any of the resource persons listed below. Whether or not options for resolution are pursued within the College system, complainants always have the option of seeking formal legal redress.

Assistance and information are available from the following:

- Equal Opportunity Office
- Human Resources Office
- Provost's Office
- Dean of Students

In cases in which grievants and alleged offenders are from different parts of the community (students, staff, or faculty and instructional staff), complaints should be directed to the responsible office according to the identity of the alleged offender: Dean's Office for students, Human Resources for staff, and Provost for faculty and instructional staff. The formal grievance procedures are specified in the relevant sections of the corresponding Handbooks. They should be adapted as specified below when applied to expressive harassment.

Before any formal grievance procedures can proceed, case materials must first be reviewed by faculty members of the College Judiciary Committee (CJC), who shall determine whether any substantial free expression issues are at stake.¹ If the CJC faculty members find that formal grievance procedures would violate individual rights to free expression or the College's commitment to academic freedom, the case will not go forward. Instead, the case will be referred back to the appropriate College officer, who may discuss with the complainant(s) other options for resolution. If, on the other hand, it is determined by the faculty members of the CJC that the case represents no substantial infringement on the right to free expression, the grievance will be allowed to go forward.

It is important to note that discussing concerns with or seeking clarification or support from the Equal Opportunity Officer, Title IX Coordinator, or any other resource person listed above, does not obligate a complainant to initiate either legal proceedings or formal procedures at the college. Depending on the severity of the concerns raised, the individual to whom a complaint is made (e.g. the Equal Opportunity Officer) may decide to seek resolution with or without the complainant's support in order to ensure a safe and legally appropriate campus environment. The resource person will register each request for assistance in resolving a case involving charges of sexual harassment, whether formal or informal. These records will be kept confidential to the extent permitted by law.

Often perceived harassment is subtle; it cannot be assumed that the perceived offenders are aware of the way in which their behavior has been interpreted and the responsibility for resolution is shared by both parties. Either directly or through a third party, grievants should make their discomfort known to perceived harassers. Perceived harassers have a

responsibility to attempt to understand both the intentional and unintentional effects of their behavior and to respond in a thoughtful, sensitive manner to those perceived effects. The grievant can consider all the informal and formal means available for resolution and choose what seems most useful and workable in a particular case. The grievant must also weigh the fact that the perceived harasser may continue the offensive behavior until being made aware of his/her actions. In the most serious instances of harassment, it is unreasonable to expect grievants to confront their perceived harassers; in these cases the grievant should enlist the help of a trained third party.

e. Uncivil and Demeaning Non-Harassing Expression

As a member of Swarthmore College, one's moral responsibilities extend beyond formally sanctionable conduct. All of us, therefore, have a responsibility not to indulge in gratuitous offensive expression just because it may not be subject to official sanctions. Anonymous offensive expression is generally inexcusable, but the risk of harm in making adjudicable all forms of offensive expression would not only outweigh the benefits of official proscription, it would also seriously endanger academic freedom. Even when individuals (or groups) admit authorship, however, they act irresponsibly if they are unwilling to engage in a defense of their views, especially with those targeted.

Perpetrators of alleged non-adjudicable but uncivil expression should engage the objects of their attacks through discussion and, possibly, mediation. If they do not, however, no disciplinary action will be taken, though College officials or anyone else may publicly decry the content and manner of such expression.

It needs stressing again that the College will in no way formally discourage any argument, provided it does not include threats of violence, though what is said may be deplorable and very possibly more diatribe than argument.

f. Explanation

Without vigorous and controversial discussion and debate, the College cannot survive; without respect and civility, however, it cannot thrive. Swarthmore College therefore strives to create an environment of civility and respect where those of diverse backgrounds and convictions can explore questions and controversies that naturally arise in an academic setting. Successful creation of such an environment cannot, of course, be guaranteed. But however vehement controversy becomes, the College insists that its members take responsibility for their expression just as it insists that individuals take responsibility for their **other** actions.

To attack the bases of self-respect for others, especially while hiding behind a veil of anonymity, is inexcusable. First, it is cowardly, and abjectly so: license masquerading as freedom may not take refuge in cowardice. Second, because Swarthmore is committed to the free exchange of ideas, all must take responsibility for their expression: those subject to attack especially need to know who is mounting attacks against them so that they can better decide how to respond.

It should be noted that the criteria set out above regarding harassing expression are not limited to individuals or groups historically oppressed and/or as protected in the College's Equal Opportunity statement.¹ It must be stressed that the regulations protect specified *interests*, not

specified groups, and apply only to expression that harasses, not other expression that might reasonably be regarded as offensive or hurtful, whether intended, reckless, or negligent. To reiterate: the College's response and any punishments assessed by the College will address only the intentional or reckless infliction of harm caused by harassing expression, and not other possible harms or offensiveness caused by non-harassing expression.

In particular, these regulations do not apply to what are arguably far more destructive forms of offensive expression, whether or not anonymously expressed and whether or not they are harassing: e.g., racism or sexism thinly disguised as science or art. The College does not attempt to *prohibit* such expression, however irresponsible it may be. A sufficient reason not to do so is the virtual impossibility of framing regulations with requisite subtlety to capture just those cases we would wish to discourage without – at the same time – creating a chilling educational, scholarly, and artistic atmosphere. Further, experience elsewhere suggests that when complex and fine-grained regulations are drafted, attention tends to be diverted from the substance of irresponsible expression to the niceties of quasi-legal interpretation. Finally, fraudulent and harassing expression are the two most prevalent and serious forms of expressive misconduct that occur at Swarthmore and so they, along with threats of violence, are singled out for attention. In prohibiting only them the College hopes to foster maximum academic freedom. Only fraudulent expression, threats, and expressive harassment, therefore, run the risk of official sanction. Again, when offensive but non-harassing expression occurs, especially when repeated and persistent, then discussion and mediation may be suggested and even urged, but never adjudication.

These formal limits on harmful, licentious expression do not exhaust anyone's responsibilities to create and sustain a setting where students, staff, and faculty and instructional staff can pursue life at Swarthmore free from hatred, slurs, and vilification. The purpose of these regulations, however, is to put everyone on notice concerning what will and will not enjoy formal protection under the guise of "free expression."

9. POLICY ON PROHIBITED RELATIONSHIPS BETWEEN STUDENTS AND INSTRUCTIONAL STAFF (INCLUDING FACULTY) AND BETWEEN EMPLOYEES (INSTRUCTIONAL STAFF OR STAFF) WHERE ONE EMPLOYEE EXERCISES SUPERVISION OR EVALUATION OVER THE OTHER

This policy was passed by the faculty on May 9, 1997 and modified on March 21, 2014.

a. Summary

- Romantic or sexual relationships between instructional staff members (including faculty) and students¹⁴ are prohibited.
- Romantic or sexual relationships between employees (instructional staff or staff) where one employee exercises supervision or evaluation over the other are prohibited.¹⁵

¹⁴ In the policy, "students" refers to all individuals who have matriculated at Swarthmore, Haverford or Bryn Mawr Colleges, who continue to make progress towards a degree from one of these institutions, but have not yet graduated, and any other individual enrolled in Swarthmore courses.

¹⁵ Individuals in a long-term relationship are sometimes employed within the same academic department, and one of them may be asked to serve as Chair of the department or in a different administrative capacity. This policy

b. Descriptions

Romantic or sexual relationships between (a) instructional staff members (including faculty) and students, or (b) employees (instructional staff or staff) when one of the participants is in an evaluative or supervisory position over the other can present serious ethical concerns about issues such as the validity of consent, conflicts of interest between personal and professional concerns, and unfair treatment of others. Power imbalances between individuals holding different positions at the College complicate such relationships. These relationships have the potential for negative reverberations that affect not only the individual participants, but also third parties and the climate of the community as a whole, and thus can undermine the trust and integrity that are essential to teaching, learning, and working at the College. The primary objective of Swarthmore College in addressing the topic of consensual relations is to maintain the integrity of the academic process and to maintain a positive work environment.

Although a consensual relationship may per se not necessarily constitute sexual harassment, a relationship may give rise to claims of sexual harassment when:

- i. the relationship creates a hostile and intimidating work or learning environment, or
- ii. the relationship ends, and one of the parties continues behavior which the other party has made clear is now unwelcome.

Claims that a relationship has been consensual are unlikely to protect individuals from charges of sexual harassment, nor will they guarantee a successful defense if charges are made. Faculty, instructional staff, and supervisors should keep in mind that a student or subordinate's initial consent does not preclude a charge of sexual harassment in the future. When power differentials exist, charges of sexual harassment will be difficult to refute on the grounds of mutual consent.

c. Relationships between Students and Instructional Staff (including Faculty)

Romantic or sexual relationships between faculty or instructional staff members (including faculty) and students are particularly susceptible to exploitation and are therefore prohibited. The respect and trust essential to a meaningful intellectual relationship, as well as the power exercised by the teacher in giving praise or blame, grades, recommendations for further study or employment, make voluntary consent by the student suspect, given the fundamentally asymmetric nature of the relationship. Such a relationship may place the student in a vulnerable position and may endanger the impartiality of the teacher, thus creating a problematic learning environment for other students.

Given these general concerns about romantic or sexual relationships between faculty or instructional staff members and students, the College prohibits involvement of a faculty or instructional staff member in such a relationship with a student. An instructional staff or faculty member's failure to adhere to this standard constitutes unprofessional conduct that may fall within the definition of "serious shortcomings" and can lead to termination (see section III-A-13).

does not prohibit this service or the relationship. In these cases, the individuals must remove themselves from any activity or evaluation that may reward or punish the other individual, and assure that the Provost is aware of the relationship.

d. Relationships between Employees, Including Instructional Staff and Staff

Instructional staff members who are involved in romantic or sexual relationship with another employee must remove themselves from any activity or evaluation that may reward or punish the other individual. In addition, having removed themselves from an evaluative position, the relationship in question must be disclosed to the Provost. Either party should consult the appropriate senior staff member to determine a procedure that will best maintain the integrity of the evaluative or supervisory process. Faculty and instructional staff members should be aware that even if they are not currently in an evaluative or supervisory position over a particular individual, they may be in such a position at a future date. Failure to respect these standards may constitute unprofessional conduct.

e. Options for resolution

Complaints alleging a violation of this policy may be initiated by any individual, including either party in the prohibited relationship, or by a third party. *The College may also initiate action on its own accord.* If a complaint is raised, there will be no presumption that the relationship was welcome to the student or subordinate employee. The Provost or designee will conduct prompt and equitable investigation and take appropriate remedial or disciplinary action. Where the complaint also involves behavior that may constitute sexual harassment, the complaint will be referred to the Title IX Coordinator for resolution under the [Sexual Assault & Harassment Policy](#).

10. DRUG-FREE CAMPUS POLICY

In compliance with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Amendments of 1989, Swarthmore College has adopted a policy to establish and maintain a campus that promotes a safe and healthy environment for students, staff and faculty and instructional staff. Swarthmore College believes that everyone has the right to work in an environment free from the effects of substance abuse; individuals who abuse drugs and alcohol are a danger to themselves and to others.

The unlawful possession, use, purchase, or distribution of alcohol on College property or as part of any College activity is prohibited. (Note that there are occasions when the legal consumption of alcoholic beverages in a social setting is authorized or sponsored by the College.) The unlawful possession, use, purchase, or distribution of illicit drugs, controlled substances (including stimulants, depressants, narcotics, or hallucinogenic drugs), or paraphernalia - or the misuse of prescription drugs, including sharing, procuring, buying, or using in a manner different from the prescribed use, or by someone other than the person for whom it was prescribed-is prohibited on College property or as part of any College activity.

Employees who are working under a grant are required to notify the Human Resources Department of any criminal drug statute conviction for a violation occurring in the workplace within five days after that conviction. The College is required to notify the funding agency within 10 days after receiving such notice. Employees so convicted shall, within 30 days, face discipline up to and including discharge.

Violation of this policy will result in disciplinary action in accordance with College policies and procedures covering the conduct of faculty and staff, up to and including dismissal (consistent with applicable local, state, and federal laws).

A complete statement of Swarthmore College's Drug-Free Campus Policy is distributed to all members of the College community on an annual basis and is available for review in the [Employee Handbook](#). For further information or clarification of the policy, students should contact the Dean's Office; employees should contact the Human Resources Department.

11. SMOKE-FREE CAMPUS POLICY

The Smoking Policy prohibits smoking in all indoor public spaces throughout the campus, including classrooms, laboratories, libraries, lounges, hallways, and stairwells. There can be no smoking in any areas of Parrish Hall and in all areas of buildings in which circulated air is used for heating and cooling. Smoking is prohibited within 25 feet of entrances to buildings to avoid a second-hand smoke zone for others entering or leaving the building. Students who would like assistance in freeing themselves from a smoking habit are encouraged to consult with the Health Center; any faculty, instructional staff, or staff member may consult with Carebridge.

12. WEAPONS POLICY

College policy prohibits anyone other than commissioned police officers from carrying a firearm on College premises. Further, other weapons such as knives, explosives, fireworks or other dangerous devices are not permitted without authorization. Unauthorized possession of a firearm or other weapon on College premises is grounds for disciplinary action.

13. PET POLICY

As a general policy, the College does not permit pets to be in the public areas of College buildings (research animals and approved service animals are the exception to this policy), unless passage is being sought through hallways and other spaces in order to reach the employee's own individual office. The College will permit employees to have their pets inside their private office, as long as the arrangement meets with the approval of the employee's department head and does not present any health and safety concern to others in the building. These pets may not be allowed to wander outside the office into public areas. Employees who do bring their pets to work are wholly responsible for making sure that their offices remain clean. Administrative offices open to the public, during working hours, are considered public spaces and thus animals may not be brought into these areas.

All dogs on college property (including the Crum Woods area) must be leashed and under control. To read the full Pet Policy online, please visit the following website:
<http://www.swarthmore.edu/human-resources/pets-workplace-and-college-grounds>

14. COPYRIGHT POLICY

It is the policy of Swarthmore College to comply with all relevant sections of the United States Copyright Law. Our policies assume respect for the rights of copyright holders, tempered by the

recognition that the educational process dictates a flexible and good faith interpretation of the “fair use” doctrine.

The College convened a Copyright Committee in 1999-2000 to develop guidelines, which would assist the college community in interpreting and applying the law. These guidelines are available on Reserve in any library or from your department’s office and can be found on the Swarthmore website at:

<http://www.swarthmore.edu/Library/campuspolicies/copyright.html>

For the sake of convenience, those sections containing information deemed most relevant to the daily work of faculty and instructional staff are excerpted below. Because no set of guidelines can foresee all the issues related to intellectual property that may materialize, the Copyright Committee convenes as necessary to discuss and make recommendations on specific questions related to fair use and other aspects of the copyright law.

a. Classroom And Reserve Materials

Faculty and instructional staff often place articles or chapters of books on either general print reserve or the Blackboard or Moodle course management software other password protected system. Occasionally they may make multiple copies of a work for distribution in class. Under current procedures the department or faculty/instructional staff member is responsible for acquiring permission from the copyright holder(s) to use these materials; however in many cases, this type of copying is permitted under fair use guidelines of the copyright law.

The guidelines described below provide a framework for judging whether the use of copyright protected material falls within fair use. For a fuller explanation and interpretation, the reader is directed to the campus copyright policy. If you have further questions, you can contact the College Librarian.

In any case, the preferred method of providing these materials is to link to the library’s electronic copy rather than to a static PDF.

Faculty and instructional staff can provide supplementary materials or course readings by:

- distributing multiple copies for classroom use;
- placing items on print reserves in the library;
- making materials available using the college’s course management system or other password protected system
- compiling anthologies (“course packs”);

Each one of these methods is treated somewhat differently under copyright law.

Multiple Copies for Classroom Use

(Following the American Library Association’s Model Policy Concerning College and University Photocopying for Classroom Research and Library Reserve Use (1982).)

Permission need not be sought if the faculty or instructional staff member follows the guidelines suggested below:

- the distribution of the same photocopied material does not occur every semester;
- only one copy is distributed for each student per course;
- the material includes a copyright notice on the first page of the portion of material photocopied; and
- students are not assessed any fee beyond the actual cost of photocopying.

Furthermore, copying should meet the tests of *brevity* and *spontaneity*.

To meet the *brevity* test, the guidelines suggest that no more than one article, poem, story or essay may be copied from the same author and no more than three from the same collective work or periodical volume during one class term.

Spontaneity is defined as that which meets the following two criteria:

- i. The copying is at the inspiration of the individual instructor, and
- ii. The decision to use the work and the time of its use are so close in time that it is impractical to expect a timely reply to a request for permission.

Given the amount of time it often takes to get permissions, instructional staff can assume **that the first time they use an item, it will fall within fair use**. However, if the instructional staff member expects to use the materials again, she or he should seek permissions from the copyright holder before a repeat use. (Alternatively, instructional staff should seek permissions when they decide to use the work. They may proceed with use of the work if permission is not forthcoming prior to the time when the work is introduced in the course).

In any case, photocopying for classroom use:

- should not have a significant detrimental impact on the market for the copyrighted work;
- should not be used to create or replace or substitute for anthologies, compilations or collective works;
- should not be used to reproduce consumable works such as copyrighted workbooks, exercises, standardized tests and test booklets and answer sheets, etc;
- should not substitute for purchase of books or periodicals.

Print and Electronic Reserves

It is reasonable to believe that fair use applies to the Library's reserve shelf to the extent that it functions as an extension of classroom readings (provided that the brevity and spontaneity criteria are satisfied) and reflects an individual student's right to photocopy for his or her personal scholastic use. The use of photocopied material for course reserves is subject to the following guidelines:

- The Library or the instructional staff member (or department) must own a copy of a work placed on reserve. If material is out of print, or cannot be obtained for a fair price, the Library may put a copy from Bryn Mawr or Haverford libraries on reserve.

- Copyrighted materials must display the copyright warning on the first page and online access to those materials should be limited to those enrolled in the course.
- Materials that are available online (ex. JSTOR articles) can be linked to directly and need not comply with fair use tests.
- For materials that are to be photocopied or scanned, generally one work from a single author or three from the same collective work or periodical volume (not owned by the library) may be placed on reserve for a single course. Instructional staff members who wish to place more than three chapters from a collected work or monograph or more than three single journal articles on Reserve must seek permission from the copyright holder or place the entire work or periodical volume on print reserve.
- Generally, the Library should not place more than five photocopies of a single article, reading, etc. on reserve, or allow more than 5 simultaneous users in the case of electronic reserves, but factors such as the length or difficulty of the assignment, the number of enrolled students and the length of time given for completion of the assignment may permit the Library to make an exception.
- If instructional staff members wish to place photocopied material on Reserve for a second semester, they must seek permission from the copyright holder to do so, unless that material comes from a journal for which Swarthmore pays an institutional subscription price. (Check Tripod to determine if the library owns the journal).
- Photocopies must not be retained by the Library following completion of the course, and they must be deleted from the server (for e-reserves).

If the instructional staff member determines that fair use does not apply, the library will assist in acquiring permissions. Contact the Head of Access and User Services, ext. 8478, for more information.

Course Packs

If an instructional staff member wishes to compile a set of articles into a course pack for distribution or sale:

- He/she must seek permissions for all materials to be included.
- The bookstore can assist with seeking these permissions.
- Even with significant lead time, there may be some instances wherein permissions are not secured prior to the beginning of the term. If this occurs, we suggest that those readings be placed on reserve in the library or they may be distributed to students following the guidelines for Multiple Copies for Classroom Use.

A Note about Video and Audio Materials

The Library does provide streaming audio and video as an alternative to placing CDs and DVDs (or other video formats) on Reserve. In these cases, the entire work can be streamed, however, it cannot be downloaded (except for very brief segments – generally 10% of a work) without permission of the copyright holder.

b. Scholarly Use of Copyrighted Materials

The College has long held that the scholarly activities of the faculty are integral to the educational mission of the institution. In recent years, the growth of student/faculty research in the curriculum only highlights the degree to which faculty scholarship is an extension of the work done with students in the classroom and laboratory.

Traditional interpretations of copyright law have long held that the reproduction of copyrighted materials for the individual use of scholars is fair use. While this environment remains largely intact, recent court rulings have circumscribed the breadth of this fair use exception.

Reproduction of entire journal articles or small sections of a monograph is permitted, assuming that the copy is for the individual use of a scholar. (Further distribution of that copy by, for example, producing copies for a group of students will typically fall under the guidelines for “multiple copies for classroom use,” above.)

Reproduction of entire monographs may be permitted for the scholarly use of individuals, provided that the “spontaneity” test is met. Absent this, scholars should either purchase a copy of the monograph, if available, or seek copyright permission. (For out of print materials, a reasonable attempt must be made to obtain copyright permission as these materials retain their copyright protection.)

Institutional encouragement of widespread reproduction of copyrighted material (by, for example, circulating individual journal issues to faculty and instructional staff for systematic copying of individual articles for their files) is not considered fair use.

c. Visual Resources

For visual materials, ownership of copyright can be ambiguous, with several possible rights holders involved. These include:

- For published collections of images or works into which images are incorporated, the compilers of the images (i.e., publishers or authors), any photographer who may not have relinquished copyright to the compilers, and/or the creators of the original works (if not in the public domain).
- For unpublished images, those who created the works.
- Any person or entity to which any of these copyright holders have transferred or assigned their copyrights.

In addition, museums or other repositories may have “proprietary interests,” which grant them the legal right to control access to and distribution of reproductions of works under their control.

For the purposes of teaching and research, individuals may make use of derivatives depicting works of art, which are in the public domain. The “mechanical” means used to reproduce such works can be characterized as documentary in intent and fundamentally non-creative in nature, and so these derivatives are not protected by copyright.

For works that are copyright protected, the use of derivative images in educational contexts may be permitted under the legal doctrine of “fair use” (See Title 17 of the U. S. Code, Circular 92, Chapter 1, Section 107). This law allows the use of copyrighted materials for non-commercial purposes, including teaching and research, within certain limits. Since the law has been written in a deliberately vague fashion, College staff and faculty must judge whether proposed uses are “fair” under the statute on a case-by-case basis.

Policy for reproduction and use of visual materials

The following guidelines govern the acquisition and production of visual materials for educational and scholarly use at the Tri-Colleges (Note: The libraries subscribe to various image collections (ex. ArtStor) and increasingly museums are making their images available to the public via the Web. Rights for use of these collections will depend upon whether their purpose is educational, research, or commercial).

- Obtaining images for use in the classroom (or for other professional activity by faculty, short of publication) through purchasing or licensing them from appropriate vendors, where opportunity and resources permit, is our preferred method of acquisition.
- Reproduction of images should be limited to the amount needed for teaching and research purposes.
- If materials are acquired through the duplication of original copyright-protected slides, photographs, or digital works (as distinct from those reprinted in texts or other collections of images), it is necessary to seek permission from the copyright holder(s) before their duplication and/or use can proceed. If the need for these materials arises spontaneously during the course of a semester and there is no time to obtain permissions prior to use, reproduction and use may proceed until the necessary permissions have been secured, or good-faith efforts to obtain them have been documented.
- Low-resolution digital representations of images (“thumbnails”) can be produced and used in support of scholarship or the curriculum by College faculty, students and staff without the need to secure permission from the copyright owners. Rights holders for the original works who prefer not to have these representations shared with the scholarly community may ask for the removal of these thumbnails from any public interface, which will take place in a timely fashion upon request.

Use of visual materials

Visual materials that have been produced or acquired in accordance with the guidelines above may be used freely for teaching in the classroom and for other related, non-commercial, non-publication purposes by faculty, staff and students. All non-commercial, non-publication, professional activities of faculty and staff (public lectures, presentations at professional meetings or other institutions, etc.) are understood to be extensions of the educational work carried out in the classroom.

NOTE: The use of visual materials in scholarly or professional publications requires prior permission of the copyright owner(s). In this context “publication” is taken to mean both

traditional print media, and any Web-based or on-line presentation with an audience that extends beyond the College computing network.

d. Software and Data Files

The vast majority of all computer software used on campus is protected by copyright law. The exceptions to this rule are so few that faculty, instructional staff, staff, and students should assume that all software on Swarthmore's computer system, on third party systems, or available through the Internet is protected by copyright, unless there is clear indication to the contrary.

Simply stated, the copyright law allows a user of software to use the software, load it onto the hard drive of a computer, and retain the original disk as an archive copy. Users are not allowed to modify the software, make more copies of it, simultaneously use a single copy on both a home and a campus computer, or distribute the software through the Internet, unless the license agreement explicitly permits those activities.

Possessing software for which an individual does not own a license is a violation of the Copyright Act, and may subject the College and individual faculty or instructional staff member, staff, and students to sanctions as set forth in the Act. **For all practical purposes, the fair use exception does not apply to operating system and application software.**

In addition to application software and operating systems, federal copyright protection also extends to the data files (content) created for use with or by applications and operating systems (e.g., spreadsheets, databases, mpeg3 music files, QuickTime video files, and scanned images). Unauthorized creation, copying and distribution of these materials are violations of the federal copyright statute, unless they can be construed as fair use.

The College Copyright Guidelines also provide information on the interpretation of the Digital Millennium Copyright Act as it pertains to Swarthmore College. The DMCA provides protection from liability for Swarthmore College in its role as Internet Service Provider. Faculty and instructional staff members who host their own Web sites should become familiar with this section of the guidelines.

For questions on copyright as it pertains to sheet music, audio-visual materials, multimedia development, and unpublished works, please consult the College Copyright Guidelines which are available at the Circulation Desk in McCabe Library.

15. INTELLECTUAL PROPERTY POLICY

This policy was passed by the Faculty on May 16, 2003, with one revision on September 9, 2003 and another on October 24, 2008. The Board of Managers approved the document on May 1, 2004. Following the Faculty vote on April 28, 2006 on lecturers and laboratory instructors the term "faculty" in the approved document was replaced by "instructional staff" wherever appropriate.

This is Swarthmore's policy about the rights to intellectual property (IP) *produced* by members of the Swarthmore College community. For policy about *use* of intellectual property, e.g., fair

use of copyrighted material of others, see Section II.A.12 of the *Handbook for Instructional Staff*.

Definitions of key terms are given at the end of this policy document [before the Addendum].

a. Policy Principles.

This policy is guided by the following principles:

Swarthmore College wishes to encourage the creation and wide dissemination of knowledge, new ideas, inventions, and educational materials.

Swarthmore College is a community of creative thinkers and therefore the College recognizes that intellectual property is created by individuals, or groups of individuals. Academic freedom, including the freedom to choose how to disseminate creations, has higher priority than possible financial rewards, to the individuals or to the College. Specifically, the College will not be driven in its approach to intellectual property by a desire to develop new sources of revenue.

In addition, the College does not want to claim intellectual property in cases where making that claim may stifle or put procedural roadblocks in the way of creative endeavors or the dissemination of scholarly work.

An important way for the College to encourage creation and dissemination of intellectual property is to provide various types of production and dissemination support. In return, when it provides substantial support, the College is entitled to recoup costs, be granted certain usage or ownership rights, and receive a share of any financial returns.

The College does have a claim to intellectual property in which it has an identity or functional interest. The College has an *identity interest* in IP that is more integral to, and reflects more directly on, the identity of the College than on the identity of the individuals who create it. In particular, it has an identity interest in items disseminated beyond the College, such as the catalog, institutional Web pages, the alumni bulletin, admissions brochures, and campaign materials. (What is meant by institutional Web pages is elaborated later.) The College has a *functional interest* in IP that is used or intended to be used to ensure the effective functioning, coordination and management of ongoing operations. For example, it has a functional interest in administrative and personnel procedures, including software, and internal handbooks and reports. (It may also have an identity interest in the latter two examples.)

Therefore, ownership of any IP produced with only normal support (see the definitions) and in which the College does not have an identity or functional interest shall default to the creator. Ownership of any IP in which the College does have an identity or functional interest shall default to the College, regardless of level of support.

The College has the right to protect its good name and therefore will have a say in the dissemination of any intellectual property that suggests endorsement, for instance, by the use of the College name or logo.

When community members working on a group project negotiate IP rights among themselves, they are under an obligation to recognize fairly each other's contributions, and the College should attempt to ensure that this obligation is met.

The College recognizes that even when IP is clearly the property of individuals, those individuals may wish to transfer rights to the College in exchange for help in developing, disseminating, and protecting their creations. The College will readily consider such requests. Such requests are especially recommended when the IP is created by a group.

Conversely, in some cases government legislation, regulations and case law dictate that IP ownership resides with the College, but the College stands willing to transfer such rights or parts of such rights back to individuals or their designees, to the extent allowed by law, if to do so is consistent with the policies herein explained.

Similarly, grant sponsors will often have positions on how IP created under their grants should be assigned. The grant applicant, along with the College, should attempt to align the grant conditions with the College policies herein explained, but the conditions specified in any grant, if accepted, shall apply.

The College expects that intellectual property policy will evolve, as its mission evolves and as the types of intellectual property evolve. As the policy evolves, consideration will be given to equalizing the traditions of intellectual policy rights in different parts of the College community.

b. Implications for Instructional Staff, Staff, and Students.

The extent to which the College has an identity or functional interest in the IP produced by community members varies across segments of the community and particular units within academic and administrative divisions.

For instructional staff, including faculty, the College does not have an identity or functional interest in the traditional products of their teaching and scholarship. (For elaboration of traditional products, see the definitions.) To be sure, the College has an interest in the quality of their work, but it has no functional need to manage instructional staff IP directly – indeed, to attempt to do so would be counterproductive. Moreover, instructional staff IP is more integral to the identity of the instructional staff than to the identity of the College. Therefore, ownership of instructional staff scholarly works, whether for internal use only or disseminated, and whether of a research or pedagogical nature, defaults to them. However, the College does have an identity or functional interest in instructional staff administrative work, e.g., committee reports and departmental records. The College also has a negotiable ownership interest in instructional staff works that require more than normal support, as discussed later.

For staff, the extent to which the College asserts ownership of the IP they produce has depended on the traditions of the staff member's specific affiliation, and these differences can generally be justified on the basis of the principle of identity or functional interest. For example, College librarians sometimes undertake professional activities of a scholarly nature, in which the College does not have a functional or identity interest. Such IP defaults to the librarians. On the other hand, in almost all cases, the College does have a functional interest in the work of ITS Staff. For

instance, the College must have the rights to control the computer code produced by ITS staff in order to guarantee the smooth administrative functioning of the institution. Such IP belongs to the College. When staff work in a support role for instructional staff engaged in traditional instructional staff works, and the staff role falls within normal support for instructional staff, ownership of the IP produced will default to the instructional staff.

Employees, typically instructional staff, occasionally produce instructional materials where the departmental practice or explicit intent is that these materials are a departmental resource, that is, a resource that will be used repeatedly by various people and is open to modification by them over time. Examples that often meet these conditions are laboratory manuals, language learning modules, placement tests, comprehensive exercises, and other teaching aids. The College has a clear functional interest in instructional materials meeting these conditions. At the same time, the College recognizes that the creators have an identity interest (and maybe a functional interest) if the materials are produced or primarily produced by a single individual or individuals acting in concert, whether by plan or by happenstance. Therefore, when individuals have an identity interest, both the College and the individual(s) have rights to such materials. The individuals have the right to use them elsewhere and the College has the right to use them internally at Swarthmore - including modifying the materials subsequently. In simple cases where a single individual has done all the work, the copyright or patent would be held by the individual, with permanent rights for local use by the College as just described. In other cases, the ownership would be decided by deliberative determination, as described in Section III of this policy. If a resource was produced primarily by a single individual who has left the College, the College will acknowledge by whom the materials were created. If revised, the College will then add that the materials have been revised, and that the original author is not responsible for any of the revisions.

For students, the College has no identity or functional interest in their traditional IP unless they are in the paid employment of the College. While the quality of student works obviously contributes to the College's reputation, in almost all cases the College has no functional need to manage student creations and these creations are more integral to the student's identity than to the College's identity. Therefore student creations default to the student. When the student is employed in a staff role, IP policies for staff in the sector of employment shall apply. When the student is employed by an instructional staff member (for instance, as part of a summer research project), the student may be an assistant, in which case policies for staff working with instructional staff apply. However, the student may be, or become, a collaborator (see the definitions), in which case IP policies for instructional staff apply.

Student Notes and Other Class Records. Most student notes are a distillation of class activities, and as such are the student's IP. However, at times student records may be so complete (e.g., verbatim notes, a videotape of class) that they are effectively a recording of a performance, and performances are copyrighted. The College and instructional staff encourage students to take written class notes of any degree of thoroughness *for their own use or to share with classmates*, and in any event notes for this purpose are appropriate under fair use guidelines when there are copyright concerns. However, transcription of course materials for (a) other purposes, such as dissemination and sale, or (b) in any medium other than writing, even for personal use, requires permission and agreement on ownership through the deliberative

determination process described later. See also *Embodiments of Courses as Swarthmore Courses*.

c. Determination of IP Rights.

In many cases application of the foregoing principles gives one party (either the creator or the College) ownership of the IP. In such cases that party shall have all ownership rights, specifically the right to decide all dispositions and the right to receive all income. Other cases are more complex and require deliberative determination of responsibilities, rights and benefits as well as a formal designation of ownership.

Deliberative Determination Not Required. Those cases handled by default in the previous section (Implications for Instructional Staff, Staff, and Students) require no deliberation.

Deliberative Determination Required. In some cases, for instance, those involving unusual support by the College to individuals or novel group collaborations, deliberative determination of IP ownership and associated matters is required. In such cases, potential IP development is best reported to the College before it is well underway, so that an agreement on ownership, responsibilities, rights and benefits can be reached. Here are stated the principles that determine when IP must be reported, and how agreements will be reached.

Creators should report, as soon as the situation is reasonably clear, on the production or planned production of any IP that meets one or more of the following conditions.

- Creating the IP would involve more than normal support.
- Its creation would involve unusual or novel circumstances (example: a class working together to create a scholarly Web resource), or substantial collaboration among members of two or more different parts of the community (e.g., faculty, students and staff creating and performing an opera), or institutional collaboration (e.g., the Tri-co Library Consortium).
- The creator intends to seek a patent or other commercialization for which the process of commercialization involves substantial cost and effort, and the creator wishes the College to consider providing some or all of that support.
- The IP would be created under a government or private sponsor grant that specifies IP rights. (A grant, such as an NSF grant, is different from outside employment, which is discussed later.)

Where IP ownership defaults either to the creator or to the College, there is no need for reporting. Thus instructional staff need not report most traditional products of their teaching and scholarship. (As an example of an exception, an invention may require reporting, say, under #3.)

Staff do not need to report any IP created in their normal work. Only when there are unusual projects for which supervisors have authorized special efforts or resources will reports be necessary.

Students do not report IP created for classes, such as papers, videos, lab reports and computer code, or work done when hired by administrative offices or as faculty assistants.

The College official designated to receive reports (whether the creator be instructional staff, staff or student) will be, at least initially, the Provost, and is hereafter referred to as the Provost. However, staff members should also make sure that their supervisors are aware of any plans reported. The Provost may choose to prepare a special form, or a set time of year, for such reports.

From time to time, the Provost may request the reporting of additional types of IP situations, not yet envisioned by this policy, if such situations are appropriate for deliberative determination in the spirit of this policy. Conversely, if the resolution of certain situations has become routine, the Provost may declare that those situations should continue to be resolved in the same way directly by those involved and need not be reported.

If creators who are required to report IP projects do not do so, then ownership of the IP created defaults to the College. When in doubt whether a project needs to be reported, a community member should make a preliminary inquiry with the Provost. (This paragraph is included solely to provide an incentive to proceed on IP issues in the informal, collegial and timely way that this policy intends throughout.)

In the case of a group IP project, all those in the group shall be named in the report, and if the report contains an initial proposal for the disposition of rights and proceeds, all members of the group shall sign. In any event, the Provost shall endeavor to ensure that the contributions of all group members are fairly represented in the agreement between the College and the group.

The Provost or the Provost's designee will consult promptly with the creators of reported works to reach agreement on all relevant issues, such as (a) ownership, (b) who will seek patent or copyright registration, if any, (c) ideas for dissemination, ranging from open use to licensing or ownership transfer, (d) division of support and development costs, and (e) the distribution of potential proceeds. In making these determinations, the College will attempt to treat cases promptly and consistently. In order to do this, the College shall keep a record of all IP decisions and any trends in these decisions. Initially, determinations should be guided, but in a nonbinding way, by the Guidelines for Agreements submitted by the Intellectual Property Task Force along with this policy at the time the policy is presented for faculty and Board acceptance. [These Guidelines appear within the Addendum to this document]. The guidelines, and later the record of IP decisions, will be made available to all community members. Eventually, after more experience, this initial policy may be replaced with a more prescriptive policy. It is definitely expected that the policy will evolve.

Review Procedure in Case of Disagreement. Should the Provost and the creator of a work not be able to reach agreement, a Review Committee shall make the determination. Initially Review Committees shall be chosen ad hoc (no standing committee). One member shall be chosen by the Provost and one by the creator; these two members shall then choose the third member. Similarly, if a group doing an IP project cannot work out an ownership proposal among themselves or with the Provost, or a member in the group expresses concerns to the Provost, a Review Committee shall be constituted. In this case, if the group cannot agree on the choice of a

Review Committee member, then the Provost shall choose two members, who will again choose a third member. In any event, Review Committees shall have the authority to consult as needed inside and outside Swarthmore to make their determinations, subject to approval to avoid excessive expenses.

Whether the Provost and the creator reach accord on their own, or whether a Review Committee is needed, in each case, an agreement shall be put in writing and signed by all concerned. (**Note:** throughout this discussion, “report” refers to the notification the creator gives the Provost, whether it is a simple announcement of intended IP production or is instead a detailed proposal including plans for IP disposition; “agreement” refers to the decision between the College and the creator.)

If at any later point in the process, circumstances change, or a disagreement arises about the meaning of the written agreement, the Provost and the creator shall endeavor to resolve the problem. If they cannot, a Review Committee will again be convened. In either event, a revised document will be produced and signed.

If the creator and a Review Committee cannot reach an agreement, the Review Committee shall report this in writing to the Provost, who shall decide what further steps to take, keeping in mind established grievance procedures.

d. Further Matters

Time spent on IP production Not for the College. IP developed by a community member as part of outside employment, or on one’s own time, is not governed by this policy. For instance, a report provided in a consulting role is outside employment. (Scholarly work done under a grant is not outside employment, and thus needs to be reported if any of conditions 1 - 4 earlier apply.) Outside employment is limited by the College’s longstanding policy on Concomitant Employment (*Handbook for Instructional Staff*, Sect III.A.10 and *Employee Handbook*, “Conflict of Interest” in Ch. 15). For instance, a faculty member proposing to create or teach an online course as a freelancer for an online education provider should make sure to follow the Concomitant Employment policy. For another example, a staff member who produces fundraising materials for a local nonprofit must not take work time to do this.

Use of Swarthmore’s Name or Logo with IP Products. When community members produce intellectual property in which the ownership resides with the member or the member’s designee, the members may present themselves as affiliated with Swarthmore College, but they may not imply that Swarthmore endorses the product in any way, without a written agreement permitting such endorsement. For instance, Swarthmore’s logo, which is trademarked, may only be used by community members in customary ways, unless permission is granted. It may not be used without permission for anything disseminated outside the College that goes beyond one’s routine work or is sold for profit. For instance, writing letters about College business is routine work. For faculty, binding articles sent to other scholars is routine work. The College logo may be used in these cases; indeed, such use is often customary. On the other hand, selling software one has produced is not routine work. Writing books is routine work for faculty, but as these are sold for profit, the Swarthmore logo may not be used without permission. Restrictions on use of the logo

apply as well to anything else that might be taken to imply endorsement, such as the prominent use of photographs of Parrish Hall.

Embodiments of Courses as Swarthmore Courses. It is possible to embody courses for dissemination, in whole or in part, in ways that uniquely identify them with Swarthmore and may portray a unique Swarthmore quality. In such cases, the College's good name is at issue, as well as the identity interests of the College and anyone who appears in the embodiment. (Examples: A videotape archive of a course which shows the students and their comments places the course at Swarthmore and gives the students as well as the faculty member an identity interest. If the physical facilities are identifiable, or if the course is an Honors seminar and the taping highlights the special Honors seminar aspect, the College has some identity interest as well. However, a videotape of uninterrupted faculty lectures, with the faculty member posed against a nondescript blackboard, does not uniquely identify the course with Swarthmore, or any institution.) The intent by anyone to create an embodiment that is likely to be uniquely identifiable must be reported for deliberative determination, whether or not the project is reportable under conditions 1- 4. If the embodiment is primarily of lecture material, the default is that the project may go ahead as planned and the IP will belong to the instructional staff member, but the College will share in revenues when more than normal support is provided. (The last example in the middle of this paragraph, if done with only normal support, would not need to be reported and full ownership rights would automatically rest with the faculty member.)

IP Created by Consultants. When the College has an identity or functional interest in the IP created by consultants or any others outside the community hired for a specific task, the College will stipulate by contract the ownership of any IP created during the completion of that task. (In the absence of a contract, IP created by contractors defaults under the law to them.) For the purpose of IP policy, consultants are not community members and are not covered by other paragraphs of this document.

Responsibility for Knowledge of One's IP Status. It is incumbent on every individual community member that s/he understands fully the nature and extent of the College's identity or functional interest in the products of his or her work, and therefore understands when the College will assume ownership of IP he or she produces. For employees, the obligation for ensuring such understanding rests initially with the individual's supervisor and should be documented, perhaps within an employment letter for new hires. Similarly, for students working with faculty, the faculty member has the obligation before commencement of the work to ensure an understanding about ownership of any IP produced. In both cases, the College is committed to a work environment in which there is frank and open dialogue to achieve an understanding of an agreement on these IP ownership issues, both as a general matter and in regard to specific cases that may arise.

Acknowledgement of Help. Even when IP is the work of one person, that person almost always has help. A faculty member may have depended on an AA for administrative support, or a librarian to find references, or a student hired to check answers, or an ITS staff member to develop Web skills. The creator should always give appropriate credit to all those who helped, and also to all funding sources.

e. Definitions

Community members. Faculty and other members of the instructional staff, staff, and students.

Creator. One person, or two or more collaborators, who develop a piece of intellectual property, or plan to do so.

Collaborators. Two or more people who share in the creative aspect of IP development. Collaborators work on an equal or near-equal basis, not in that they necessarily do equal amounts of work, but rather in the sense that they have similar freedom in developing their parts of the project and their contributions are valued in similar ways. **Note:** In a group project, the group may be larger than the set of collaborators; there may be others with secondary, less-creative roles.

Intellectual property (IP). Creations of the mind to which law allows various ownership rights so that the creators have incentive to develop and disseminate those creations. The two main sorts of property rights, especially for the work done at academic institutions, are *patents* and *copyright*. Generally speaking, patents are available for inventions whereas copyright is available for works of authorship. (Some sorts of IP of more recent vintage may be eligible for both patents and copyrights. for instance, computer program. In any event, what may be patented or copyrighted is determined by law.)

Normal support for a community member is whatever sort of resources is regularly provided to that sort of community member in that department at that time. Costly, exceptional, individually dedicated resources are generally not normal support. For instance, if an ITS staff member works on a special software project under a special budget request to the College for one-time money, that is not normal support to that staff member or to the ITS department. Similarly, if a faculty member gets one-time money, from the budget or the Provost, that money is not normal support unless it is funding that is regularly offered (e.g., the current annual offering of research funds, and competitively available funding for curriculum development and for second- semester sabbaticals). One-time funding to help a newly hired science faculty set up a laboratory *does* count as normal support, because it is regularly provided in science departments at this time.

Currently, normal support for a faculty member would include salary, an office, a basic computer, routine clerical services, access to the network and to site-licensed software, and occasional help from library and ITS staff. Funding and staff provided by outside sources (for instance, grants) is not considered when determining whether the College is providing only normal support. It is fully expected that the boundary between normal and special (non-normal) support will change over time. [Further examples of normal and special support at the current time are provided at the end of the Addendum.]

Traditional products of instructional staff academic work. Related to teaching: lecture notes and other course notes produced by instructional staff (whether in summary or verbatim form, whether privately held by the instructional staff member or distributed to the class, whether paper or electronic), problem sets, syllabi, Web sites for classes. Related to scholarship: What is traditional varies greatly across disciplines. Examples of traditional instructional staff works that are copyrightable include journal articles, books, Web pages, artistic works in any medium, videos, photos, and computer code. Examples of traditional instructional staff works that are patentable include mechanisms, chemical compositions, biological entities, engineering systems, and sometimes computer code and mathematical models and algorithms. (Note: Copyrighted material will rarely need to undergo a deliberative determination, whereas patentable products

often will. While assignment of copyright, say of a book to a publisher, is a form of commercialization, it need not be reported under condition #3 in the deliberative determination section because it is an easy process for which help from the College is rarely requested. The patent process, however, requires a long expensive application and legal effort, for which the creator may well seek College support.)

Institutional Web Pages. These Web pages include pages about the College as a whole (e.g., the front page), pages that facilitate the College’s interactions with the outside world (Admissions pages, Development pages) and pages that facilitate the functioning of administrative subdivisions (Registrar pages, Provost Office pages, and academic department pages that deal with the department as a whole rather than the work of individual instructional staff). Institutional Web pages do not include pages put up by individual community members about academic work or about other IP in which they hold ownership under this policy. For instance, course pages, whether posted under a course management system (Blackboard) or put up directly, belong to the instructional staff member who puts them up.

The College also allows community members to put up personal pages. In allowing this, the College becomes their Internet Service Provider (ISP, or OSP, for Online Service Provider). All personal pages posted with the College as ISP are the property of the individuals. However, their usage is subject to the College’s guidelines of good behavior – see Computer Guidelines and Policies at <http://www.swarthmore.edu/its/information-technology-policies-and-guidelines>

Also, as an ISP, the College has certain obligations under the Digital Millennium Copyright Act. For instance, under certain conditions, after a complaint from a copyright holder, the College may have to deny Internet access. These obligations are explained at <http://www.swarthmore.edu/libraries/copyright#DMCA>. In any event, these are College *liability* obligations. They are not IP rights. They do not confer ownership of personal Web pages to the College.

Addendum to the Intellectual Property Policy

This addendum contains the Guidelines for Agreements referred to in the Intellectual Property Policy statement, which are meant to serve in a nonbinding way as initial “case law.” It also contains special recommendations on IP issues surrounding student work with faculty (right after the Guidelines), further examples of normal and special support (at the end), and remarks on a miscellany of topics.

Authority to Make Dispositions of College IP. For those situations where IP ownership resides by default with the College (i.e., there is no deliberative determination), the administration needs to create (if it doesn't exist) and make adequately known the procedures for deciding on the disposition of College owned IP, including statements as to the authority of various administrators and supervisors to make such decisions.

Guidelines for Agreements. In many cases where deliberative determination is required, ownership should not alone determine all responsibilities, rights, and benefits. We now turn to our initial guidelines for agreements on these issues. In these guidelines the level of support plays an important role.

IP Produced with More than Normal Support and Which Would Otherwise Default to the Creator. Such additional support can take many forms, for instance, the purchase of special equipment and supplies, extra staff labor, or the fees and efforts needed to obtain patents. In any event, additional support involves extra costs beyond the College's normal costs. Ownership of IP produced with extra support may stay with the creator. However, for its willingness to take a risk the College is entitled to recoup its extra costs and share in any profits. Specifically, any proceeds from the IP shall go first to recoup extra costs, and shall be divided between the College and the creator on a prorata basis according to who paid those costs. After that, the default is that 25% of income shall go to the College and 75% to the creator.

The division of income agreed upon may vary, both before costs are recouped and after, depending on the relative input and risk of the College and the creator. Other arrangements are also possible for ownership, and are encouraged in the case of a group project, as discussed later. Other arrangements are also encouraged in cases where the income takes complicated forms (e.g., part license fees, part consulting fees, part stock options); for instance, College ownership in such a case will make it easier to meet the then difficult administrative obligation that all income be reported and divided as agreed.

By long tradition, instructional staff are not required to create any specific academic IP product. However, if a member of the instructional staff agrees to a request to produce a specific IP product, the default is that the College will be the owner, since the College has thereby shown an identity or functional interest. The default split for any income, after costs are recouped, will be 25% to the College and 75% to the creator. Again, other arrangements are possible, and would be spelled out in the necessary agreement between the College and the instructional staff member.

When a member of the staff creates marketable IP in which the College has an identity or functional interest, the patents or copyright should stay with the College, but the good work of the staff member should be recognized in some meaningful way. Example: A staff member who is a web developer, in order to meet an assignment to build a top level website for the college, proposes to go about it by making a general tool for efficient production of a collection of webpages, a tool that has market value to other colleges. Such a proposal would need to be authorized by the supervisor, and as it would likely require extra time and effort (a form of more than normal College support for the project), a report would need to be filed with the Provost and an agreement reached. The default for the agreement is that the College would be the owner, and would receive all income if the product is commercialized; the creator would receive some recognition and benefit (many forms are possible) as part of the agreement.

(Added after President's Staff discussion on 9/9/03) The previous paragraph describes a situation where IP is needed (top level webpages) in which the College has a functional interest, but the staff member creator proposes a generalized solution (a tool for creating webpages) that would create IP with a functional value outside the College as well. A similar situation (both internal and external value is generated if more effort is made) can arise with regard to identity interest. A dean in charge of handling a type of student life problem could propose to prepare a paper (or book, or video) explaining how to handle that sort of problem. Both the College and the dean have an identity interest in such a work, and their relative interests vary depending on the extent

to which the specifics of the cases are not masked (placing the events clearly at Swarthmore) versus the extent to which the personal ideas of the dean are put forward. When the relative strengths of the College's interests and the outside interests in a proposed project are unclear, the creator should always discuss the proposal with a supervisor, and this may lead to a report to the Provost, for decisions must be made whether to go ahead with the project in the generalized form and, if so, how to distribute IP rights. Often the proposal would involve more than normal support, so that a report to the Provost would be required, but even if only normal support is needed, a report may be advisable.

Options for Development. On occasion, a creation at Swarthmore will be so successful that it may be best to seek outside help, or set up a new organization to handle it. The creations might be patentable inventions, copyrightable material such as online courses, or educational activities that can expect to receive continuing supporting grants. There are a wide variety of ways to pursue such development. To the extent that the product was developed with College support of the sort that warrants ongoing income to the College by the guidelines above, the College may wish to become a partner in a business, or a licensee. On the other hand, it may wish to become completely separated from the business to protect against losses and liability. Such decisions will be made on an individual basis. The point is: spinning off a business is an option that will be considered. The creator of said product should have substantial input in determining how to proceed.

Projects with Many Creators. In the case of class projects or other projects with many collaborators, those involved should consider transferring ownership to the College even when ownership can clearly stay with them under the guidelines above. To do so will simplify administration and increases the chances that the IP produced will remain available as the creators come and go. When such a transfer is made, proceeds should be distributed as they would have been distributed had the ownership remained with the creators (with any additional costs to the College from making the transfer added to the costs to be recouped by the College).

Faculty Work with Students. The IP Policy states “for students working with instructional staff, the member of the instructional staff has the obligation before commencement of the work to ensure an understanding about ownership of any IP produced.” This obligation is important because of the unequal status of the participants. In most cases of student-faculty work (e.g., summer research grants) students may simply be assistants, not collaborators, but in any event it is incumbent on faculty to judge the student contribution fairly. To this end we make several recommendations.

1. Instructional staff are urged to provide a copy of the College IP Policy to any student being considered for any work together that might result in IP.
2. The student and member of the instructional staff should sign a letter of understanding about IP in advance of commencement of work, as opposed to having only an oral agreement or no discussion. This letter can be very broad and need make no promises; a sample is provided below.
3. At least for the first year or two after the IP Policy takes effect, faculty are urged to report to the Provost on work with students more broadly than required under Conditions 1-4 of the section on “Deliberative Determination Required”. While there should be no need for

deliberative determination when these conditions don't apply, there is nonetheless value in assuring that both instructional staff and student have agreed beforehand on the understanding of IP rights. We recommend reporting *all* employment of students in projects where IP is to be created, including employment as part of outside contracts that otherwise don't fall under the IP Policy. In all cases the report could take the form of a copy of the letter between member of the instructional staff and student. Or, where college funds are being used, as under divisional research grants, the application form, properly augmented, may serve as sufficient notification. Other automatic notification procedures might be developed.

Sample letter: From dates X to Y the supervising instructional staff member F and student S will undertake a project on Z. Appropriate acknowledgement shall be given to all participants in any written or verbal presentation of the project. The following sorts of IP may be developed during the project:.... Whether the student will share in rights to any IP developed depends on the nature and extent of the student's contribution, in short, on whether the student becomes a collaborator as defined in the Swarthmore College IP Policy. The determination of rights will be made by the instructional staff member at the end of the project period in consultation with the student, with review possible in accordance with the IP policy of Swarthmore College.

Note that if the student does become a collaborator, reporting is *required* under Condition 2 of the section on "Deliberative Determination Required".

Reconsideration of Policies. Where the case might be made that it is tradition, rather than identity or functional interest, that has led to vesting of formal IP rights with the College rather than with the creator, consideration may be given to whether tradition should be changed. In any event, supervisors in departments where all IP has been considered the property of the College have the option to allow a staff member to develop IP in which the College does not have an identity or functional interest. To the extent that such a project adds to the quality of the staff member's work and to the welfare and reputation of the College, supervisors are encouraged to consider such projects. For instance, a staff member might be encouraged to prepare an article or conference presentation, over which the staff member would then hold ownership.

Bayh-Dole Act of 1980. This act vests in educational institutions the ownership of patents developed at such institutions through government grants. Prior to this law, it was uncertain who, if anyone, could own such patents. The purpose of the law was to stabilize the situation, so that someone would have the rights and would thus have the incentive to develop the patents and disseminate the products. The purpose was not to lock out the creators. In cases where Swarthmore community members develop patentable inventions under Bayh-Dole conditions, the College will endeavor to the full extent allowed by the law to transfer rights so as to follow its own policy for patents.

Archiving of Digital IP. The ownership of IP is determined by the principles already discussed, and is therefore independent of whether that material is stored in tangible or electronic form. Thus, community members may, and often will, own IP that resides on an office computer or the College network, even though the computer and network belong to the College. However, the nature of electronic networks sometimes makes it difficult or unwise to expunge electronic materials. For instance, when a professor creates electronic course materials through a course

management system, those materials may be backed up indefinitely. Therefore, by using the College network or computers to create or store IP, creators grant the College the right to store the materials. However, when such IP belongs to the creator, the College will not use it as intellectual property without permission, including should the creator leave the College.

Work for Hire. Under the current US Copyright law (1976), any work done by an employee, even a member of the instructional staff, may be work for hire, and the law says that the copyright of a work for hire belongs to the employer. (See below for definition of work for hire in the law.) However, the College considers work done by community members to belong to them in cases of normal support where the College does not have an identity or functional interest, as explained above. If need be, the College will transfer its rights in writing, so that the right of ownership by the community member is clear. At the present time, such a need is only likely to arise if a community member wishes to make a contract with a commercializer, and the commercializer wants proof that the community member has standing to make a contract, that is, that the community member is the owner. Other than that, the College's Policy statement should suffice.

Definition of Work for Hire. The United States Code says that, when a work is a "work for hire" then the employer owns it, where Title 17, Chapter 1, Section 101 defines work for hire as:

- (1) a work prepared by an employee within the scope of his or her employment; or
- (2) a work specially ordered or commissioned for use as a contribution to a collective work, as a part of a motion picture or other audiovisual work, as a translation, as a supplementary work, as a compilation, as an instructional text, as a test, as answer material for a test, or as an atlas, if the parties expressly agree in a written instrument signed by them that the work shall be considered a work made for hire. For the purpose of the foregoing sentence, a "supplementary work" is a work prepared for publication as a secondary adjunct to a work by another author for the purpose of introducing, concluding, illustrating, explaining, revising, commenting upon, or assisting in the use of the other work, such as forewords, afterwords, pictorial illustrations, maps, charts, tables, editorial notes, musical arrangements, answer material for tests, bibliographies, appendixes, and indexes, and an "instructional text" is a literary, pictorial, or graphic work prepared for publication and with the purpose of use in systematic instructional activities.

Item (1) is quite broad, and makes no exclusions for faculty. Hence the possible need to assign rights to faculty members for works that by our guidelines would automatically be theirs.

Further examples of normal support and special support. It is instructive to begin with a few historical examples, as these show how the definition of normal support can change.

1. In 1980, a computer in one's office was not normal support. Now it is.
2. In 1995 the availability of video production and editing equipment in order for students and instructional staff to produce videos was not normal support, but now it is normal support to be able to produce short videos occasionally.

Now for some examples as of Spring 2003.

3. *Internet 2* is a very fast second-generation internet, available only to academic institutions, and at high cost (minimum \$20,000/yr). At this time access to Internet 2 would not be considered normal support.
4. It would not be normal support for the College to provide staff to record in digital form all the lectures of a course in order to create a fully Web based course. However, it would be normal support to provide for the recording of one or two lectures. It would be normal support in a film production course to provide support for all the digital course work of the students.
5. A member of the instructional staff creates a large collection of interviews as fieldwork and wishes to have these transcribed to form the core of a published book. It would not be normal support if the College pays to make all the transcriptions. (If the transcriptions are paid out of a research grant, then the College has only provided normal support for the book project.)

II-B. ACADEMIC PROGRAM

1. EDUCATIONAL PROGRAM AND DEGREE REQUIREMENTS

For a complete description of the College's educational program and degree requirements, readers should consult the *Swarthmore College Bulletin* (catalog), which is updated each year.

2. CLASS AND SEMINAR SIZE LIMITS

Though class and seminar sizes often differ according to the subject, level, and prerequisites, the college has traditionally held to norms concerning minimum and maximum class sizes. The norm for a viable seminar is 4 students, although occasionally 3 is appropriate. In an Honors seminar at least half of the students are normally Honors students. Seminars have traditionally been closed at 8-12 students. The norm for a viable class is 5 students. First Year Seminars are capped at 12. Writing courses may be capped at 15, if the instructor and department wish, but may also be larger. Faculty members may not cap the enrollment of other courses without permission of the department chair or program coordinator (or section head), who in turn needs authorization from the Provost. Any variation on these norms must have the approval of the department chair or program coordinator and the Provost.

3. ADVISING OF STUDENTS

Academic Advisors

Each student at the College is assigned to an academic advisor. Academic advisors consist normally of those faculty members who do not chair a department, who have been on the faculty for at least one year, and if on a short-term contract have at least two years remaining. Some administrators also act as academic advisors, including members of the Dean's staff. The Dean of Students coordinates advising for students in the first two years; for upper-class students with majors or minors, the chair of the student's major or minor department generally serves as advisor or designates someone else in the department to do so.

Assignment of Advisees in the First Two Years

Whenever possible, the preferences of new students as to an advisor's academic discipline are followed. While the initial assignment to an advisor may carry through the student's first two years, reassignment at any stage is freely permitted at the initiative of either the student or the advisor. When a faculty member goes on leave, he or she should notify the Dean's Office so that the student can be assigned a new advisor.

The policy of attempting to follow preferences of students sometimes results in heavier advising loads for some departments. Although at times inequities develop, overloading is avoided wherever possible. The Dean of Students will respond to requests from advisors for changes if their advising schedule becomes too burdensome. A heavy load is more than fifteen first- or second-year students; a light load is five or fewer; ten is about average.

Information about Advisees

Advisee information for each new student is available electronically for advisors through Faculty Services. It contains an advising questionnaire filled out by the student indicating the student's address, high school, SAT and Achievement Test scores, the student's interests, preference regarding major, expectations about the advising relationship, and non-academic interests. Copies from the Common Application of the personal essay and the 'Why Swarthmore' essay are also included. For transfer students, all academic history from the previous institution is included in the Degree Audit. Advisors who wish further information may request it from the Dean of Students.

General Suggestions

The program of academic advising is intended to assist students in planning the academic program which will best meet their needs and interests. The most sensitive and important parts of this process are the conversations with students, at least before and during every enrollment period; and otherwise as often as seems appropriate. Advisors may place a "hold" on a student's enrollment (via Faculty Services) if those conversations about a student's program have not occurred.

General information designed to assist academic advisors in fulfilling their advising roles is issued by the Office of the Dean, normally during the summer. A handbook for advisors is available online and updated annually. The Dean of Students also hosts an all-advisor meeting at the beginning of the fall semester to discuss general issues and to provide updated information. Any advising questions may subsequently be referred to the Vice President for Student Affairs, Dean of Students, or to the Registrar. When questions about departmental requirements occur, advisors should consult the chair of the department concerned.

Requests for changes in program, for permission to take courses at other colleges (excluding Haverford and Bryn Mawr), or for approval of summer or term-time study in other institutions (including institutions abroad) are referred to advisors for approval. For courses taken outside the Tri-College consortium, departmental approval is also required for each course.

Advisors are encouraged to suggest, as appropriate, that advisees take advantage of additional resources available at Swarthmore to support them. Students are encouraged to be in regular conversation with their instructors, and may always consult the Deans, the health center's staff, the Counseling and Psychological Services staff, the Career Services staff, as well as the Student Disability Services staff. Services provided by the Student Academic Mentoring (SAM) program and the Writing Center may also prove very helpful. The Deans are available to facilitate any such support.

A tutorial service is also available through the Office of Academic Success. Student tutors are nominated by the various departments and their service is provided free of charge. Departments in the Division of Natural Sciences, as well as Economics, offer clinics several evenings a week.

Equal Opportunity

Consistent with the College's equal opportunity policy and in compliance with federal regulations, advisors are asked to take particular care that their advice on course choice, major field, and career aspirations is not influenced by the advisee's sex, race, sexual orientation, gender identity or expression, or physical disabilities. Social stereotypes about appropriate sex roles, preconceptions about the limitations imposed by physical disabilities, social class or socio-economic status, and even realistic appraisals of racial prejudice in the world of work should play no part in advice given to students.

4. ACADEMIC ACCOMMODATIONS FOR STUDENTS WITH DISABILITIES

At Swarthmore's core is a commitment to an inclusive community. Our goal is to ensure that students with physical, medical, learning or psychological disabilities are provided with equal access to all college programs, activities and services. Our policy is consistent with relevant governmental statutes and regulations, including those pursuant to the Americans with Disabilities Act of 1990 (as amended in 2008), and Section 504 of the Federal Rehabilitation Act of 1973. The Student Disability Services office works with students, faculty and staff to ensure that students with disabilities can have equal access to all programs without altering any fundamental curriculum or program requirements.

Disability Law

A *qualified person with a disability* is someone who meets the essential eligibility requirements of the academic program or service, with or without a reasonable accommodation. **Disability** is defined by the ADA as "a physical or mental impairment that substantially limits one or more of the major life activities, a record of such an impairment or being regarded as having such an impairment."

The term *substantially limits* means the individual is restricted with regard to the condition, manner, or duration with which they perform a major life activity compared to most people in the general population.

With regard to postsecondary education, a *qualified person with a disability* is one who, with or without accommodation, meets the standards for admission to or participation in an educational program, activity, or service.

Students with disabilities have a right to:

- Reasonable accommodations, appropriate academic adjustments, auxiliary aids and services as necessary.
- Privacy with regards to disability-related information, except where disclosures are required or permitted by law.
- Equal access to programs, activities, courses and services.

Students with disabilities have the responsibility to:

- Meet all academic requirements of the College.
- Disclose their disability to Student Disability Services as early as possible to ensure timely accommodation arrangements, if they need accommodations. Please note, accommodations are not retroactive.
- Provide the required documentation of disability.
- Engage in an interactive process with the appropriate College personnel to select reasonable accommodations.
- Arrange meetings with their professors to discuss accommodation letters provided by Student Disability Services.
- Follow the procedures for requesting accommodations every semester.

The College has a right to:

- Establish and maintain requirements and standards for admission to the College, and for participation in its courses, programs, services and activities.
- Request current, relevant documentation that verifies a disability and the need for reasonable accommodations.
- Determine reasonable accommodations.
- Deny a request for an accommodation
 1. if the student fails to provide current relevant information verifying a disability and need for the requested accommodation;
 2. if the request is for a retroactive accommodation; or
 3. if the request requires a fundamental alteration of a course, program or service.

The College has the responsibility to:

- Ensure that admissions policies and procedures are implemented in a non-discriminatory manner with regard to individuals with disabilities.
- Ensure that programs, services and activities when viewed in their entirety are accessible.
- Provide appropriate reasonable accommodations, academic adjustments, auxiliary aids and services in a timely manner.
- Maintain appropriate confidentiality of disability-related information.

Guidance for Faculty Members and Instructional Staff in Implementing ADA Accommodations

Syllabus Statement

We encourage faculty and instructional staff to include the following statement on all course syllabi and course websites:

"If you believe you need accommodations for a disability or a chronic medical condition, please contact Student Disability Services via at email

studentdisabilityservices@swarthmore.edu to arrange an appointment to discuss your needs. As appropriate, the office will issue students with documented disabilities or medical issues a formal Accommodations Letter. Since accommodations require early planning and are not retroactive, please contact Student Disability Services as soon as possible. For details about the accommodations process, visit the [Student Disability Service website](#). You are also welcome to contact me [the faculty member] privately to discuss your academic needs. However, all disability-related accommodations must be arranged, in advance, through Student Disability Services."

Students with disabilities are invited to register with Student Disability Services if they are seeking reasonable accommodations for courses. Reasonable accommodations refer to modifications that provide students with disabilities equal access to college programs and activities. Accommodations may include the removal of physical barriers, extended time on timed tests, electronic books, note takers, recording devices, captioning, sign language interpreters, calculator use, laptop use, screen-readers, voice recognition and other adaptive software or hardware for computers. An accommodation is not considered reasonable if it fundamentally alters the essential elements of an academic program.

Privacy

Swarthmore College respects the privacy of its students and adheres to the [Family Educational Rights and Privacy Act](#) regarding the privacy of student record information. All information concerning student disabilities and accommodation is kept separately from student academic files. Information regarding student disabilities and requests for accommodation is available to College faculty and staff on a need-to-know basis. This information is not normally released to anyone outside the College without a student's prior consent, unless otherwise permitted or required by law.

Please avoid discussing accommodations for students in public. We encourage you and the student to meet individually to discuss your course and any accommodations arrangements.

Resources and Further Information about ADA Accommodations

Student Disability Services welcomes faculty questions and is happy to discuss options for a given course in order to be sure that reasonable accommodations do not alter any fundamental course requirements. Since some accommodations (e.g., accessible course materials for print disabled students) require several weeks of planning, Student Disability Services will make every effort to notify faculty members and departments as early as possible. For more information on resources to support students with disabilities, visit [Faculty and Staff Resources to Support Students with Disabilities](#).

Feel free to contact the office of Student Disability Services:

- Phone: 610-328-7358 or 610-690-5538
- Email: studentdisabilityservices@swarthmore.edu
- Fax: 610-690-3350
- Offices: Parrish 113 & 123

5. CRITERIA FOR STUDENT ENROLLMENT IN COURSES AND SEMINARS

When space in courses, seminars, or attachments is insufficient to meet student demand, the instructor may choose among prospective students on the basis of time of application to enter the course, major field, class year, previous performance in the department, or other non-discriminatory, objective criteria. Student characteristics such as sex, race, color, age, religion, national origin, marital status, sexual orientation, gender identity or expression, veteran status, medical condition, pregnancy or disability are not acceptable criteria. Use of such criteria is illegal under federal and state non-discrimination laws.

6. STUDENT ATTENDANCE AT CLASSES

The College's general policy on student attendance at classes, which is based on Faculty action of 17 May 1968, is published in the section of the College catalog titled "Attendance at Classes."

7. GUIDELINES ON SCHEDULING CONFLICTS BETWEEN ACADEMICS AND ATHLETICS

On May 20, 2002, the Faculty approved the following document.

The following guidelines are affirmed by the Faculty in order to recognize both the primacy of the academic mission at Swarthmore and the importance of the intercollegiate athletic program for our students. The guidelines are meant to offer direction with an appropriate degree of flexibility. Where conflicts occur, students, faculty, and coaches are encouraged to work out mutually acceptable solutions; faculty and coaches are also encouraged to communicate with one another about such conflicts. Note that the guidelines make a firm distinction between athletic *practices* and competitive *contests*.

- a. Regular class attendance is expected of all students. Students who are participating in intercollegiate athletics should not miss class, seminar, or lab for *practice*.
- b. Students who have a conflict between an athletic *contest* and a required academic activity, such as a class meeting or a lecture, should discuss it and try to come to an understanding regarding the conflict with their coach and their professor as soon as possible, preferably during the first week of the semester and certainly in advance of the conflict. When a mutually agreeable understanding is not reached, students should be mindful of the primacy of academics at Swarthmore. Students should understand that acceptable arrangements may not be feasible for all classes, particularly seminars and laboratories.
- c. Students should take their schedule of athletic contests into account as they plan their class schedules and may want to discuss this with their academic advisors. Students should provide coaches with a copy of their academic schedules and inform them promptly of any changes.
- d. Coaches should make every effort to schedule practices and contests to avoid conflict with classes and should collect their students' academic schedules in an effort to coordinate team activities and minimize conflict. Coaches should instruct students not to miss class

for practice and should encourage students to work out possible conflicts between classes and contests as early as possible.

- e. Faculty should provide as complete a description of scheduling requirements as possible to their classes early each semester (preferably before registration or during the first week of classes); faculty and instructional staff and coaches alike should work with students to resolve contest-related conflicts.
- f. Coaches and faculty and instructional staff alike should avoid last-minute scheduling changes whenever possible, and faculty and instructional staff should normally avoid scheduling extraordinary class meetings. Where such meetings seem desirable, students should be consulted, and as the *Handbook for Instructional Staff* stipulates, the arrangement cleared with the Department chair or program coordinator and Registrar (see item 3 in the next section). Where possible, extraordinary sessions should be voluntary or offered with a choice of sections to attend. When a schedule is changed after students have arranged their commitments, it is important for the faculty or instructional staff member or coach to be flexible.
- g. Normally classes will end each day by 4:00 (5:00 on Fridays). Seminars will often extend beyond 4:00. Afternoon laboratories are usually scheduled until 4:15 or 4:30, and students who encounter difficulties completing a lab may need to stay later than the scheduled time. Students in all cases are expected to keep to their academic commitments and then attend practices as soon as possible.
- h. Faculty and instructional staff should recognize that the time from 4:15 to 7:00 p.m. is heavily used by students for extracurricular activities and dinner. This late afternoon time has also traditionally been used for certain courses in the performing arts. Some use of this time for other academic purposes (such as department colloquia, lectures, etc.) is appropriate, but departments are encouraged to exercise restraint in such use, particularly with respect to activities they judge important for the full academic participation of students.

8. COURSE CONTENT AND FACULTY ATTENDANCE

The College encourages faculty members to exercise their freedom to teach according to the highest professional standards and according to the dictates of their consciences. At the same time that it encourages the right of instructors to teach freely, however, it also recognizes the right of students to receive the education for which they enroll. With this in mind, the College endorses the following practices, combining, as they do, one's professional obligations to both students and colleagues:

- a. The catalog and other course descriptions should accurately reflect the intent of the instructor (or the department) with respect to its content.
- b. Except during sabbatical leaves, faculty members should put their teaching obligations first, and should attend class regularly unless ill or otherwise prevented from doing so. Absences that will interfere with regular College obligations, such as teaching, advising,

departmental duties, reporting of grades, etc., should normally be reported to the department chair or program coordinator.

- c. Scheduling extraordinary class meetings or rescheduling of the regular time and place of class meetings may result in hardships for one's students and colleagues. Such changes should normally be avoided, but if they seem desirable, students should be consulted and the change cleared with the department chair or program coordinator and Registrar.
- d. Unless the instructor has a policy of requiring students to attend all classes, examinations should be announced in advance. (Adopted by the Faculty, 25 May 1971.)

9. ACADEMIC MISCONDUCT

(Faculty should also consult "Academic Freedom and Responsibility" in section II.A.2 of this handbook.)

Departments should make clear to students at various levels what the rules for academic honesty are with reference to the particular discipline. Students may need guidance, especially at entry levels, about proper documentation, citation, and appropriate collaboration. Though they will also have access to general rules about academic honesty and the nature of plagiarism from their student handbooks, they will often need to understand the rules of citation and peer collaboration in a particular field. Many departments have a brief handout on such rules, which they give out regularly to their classes or at least to all their introductory classes. In some cases the handouts to entering majors and minors are more extensive. The more students are reminded of the rules of proper citation and the acknowledgment of sources and acceptable collaboration, the better. Students may also need to understand the rules with regard to documentation of electronic sources. Faculty are encouraged to list expectations of academic integrity on their course syllabus.

The College subscribes to a service called turnitin.com. Turnitin.com is an easy-to-use Web-based application that helps detect and prevent plagiarism. This service makes it easy for faculty to determine if a research paper has been copied or paraphrased from the Internet by comparing student papers with millions of documents on the Web, digital books and every paper ever submitted to the site, by looking for matching sequences. Once you create an account you will be able to add and update classes, submit papers for review, and view originality reports. More information on this service can be obtained from your Academic Technologist.

Several departments have prepared statements regarding academic integrity that can be found on the server or on the departmental Web pages. These statements include definitions and illustrations of plagiarism and a description of the proper use of citations. A useful model for this is the English Literature Department guide, "How to Cite Sources," available on the departmental Web site.

The following procedures for Academic Misconduct cases were adopted by the Faculty on Feb. 16, 2001, and modified on October 27, 2017.

a. Considering Academic Misconduct Cases

- i. Academic misconduct is defined as a violation of the College's standards of academic integrity whether these violations are intentional or unintentional. Academic misconduct consists of cheating on an exam, plagiarism on an academic assignment, or unauthorized collaborative work.
- ii. The College Judicial Committee will adjudicate academic misconduct cases.
- iii. In academic misconduct cases the Senior Associate Dean of Student Life, who serves as convener/observer, acts as a neutral procedural facilitator, not as an advocate or a judge. The Senior Associate Dean of Student Life, as convener/observer is a non-voting member of CJC

b. Procedures

- i. An instructor who has good evidence to suspect a student or students of academic misconduct (e.g., cheating on an exam; plagiarism on a paper, lab reports, problem sets, or honors work) will, at the instructor's discretion, consult the department chair or program coordinator about the case and then meet with the student (or students) to discuss the incident in question. Mere suspicion on the part of a faculty member that the student's work does not sound right is normally not by itself sufficient grounds to bring a case forward in the absence of good evidence. Good evidence may include, but is not limited to the following:
 - a) Some of the student's work coincides with or closely paraphrases a source that is not properly acknowledged. Sources that must be acknowledged include, but are not limited to, books, articles in books, journal articles, Web pages, graphs, charts, tables, data sets, etc. in any of the sources just mentioned. Proper acknowledgment must indicate both the source and how it served as a source for any specific portions of the student's assignment.
 - b) Glaring coincidences in the work of students on exams, papers, problem sets, etc., where cooperation in producing the work was not permitted.
 - c) Submission of the same work in more than one course. When submitting any work to an instructor for a course, it is assumed that the work was produced specifically for that course. Submission of the same work in more than one course without prior approval is prohibited.
- ii. In any event, the instructor will typically meet with the student (or students) to present evidence to the student(s) and may, at the instructor's discretion, invite the department chair or other department instructors to be present.
- iii. After this meeting, if the instructor's suspicions are not allayed, the instructor will submit a report to the Senior Associate Dean of Student Life. The report will include a narrative of the incident and evidence supporting the allegation, which will be included in material available to the student(s) in question and also reviewed by all members of the CJC hearing panel. A student may also request resolution through an administrative adjudication rather than a CJC hearing. The faculty

member must also agree to this request in order to proceed with an administrative adjudication. Information regarding the facilitation of the College's administrative hearing and CJC processes can be found in the College's Student Handbook.

- iv. In some cases, the Senior Associate Dean of Student Life will provide copies of the report to all faculty members of the College Judicial Committee, including alternates, and will call a preliminary meeting of the faculty members of the CJC for the purpose of determining the merits of the case. If in the judgment of this group there are sufficient grounds to warrant an adjudication, the Senior Associate Dean of Student Life will continue with the formal CJC adjudication process.
- v. Before sanctions are rendered, the Senior Associate Dean of Student Life will provide the Committee with an updated summary of the previous cases and their dispositions.

c. Sanctions

- i. The College Judicial Committee will consider the case, make a finding of responsible or not responsible on the basis of the preponderance of the evidence, and determine an appropriate sanction if a finding of responsibility is reached.
- ii. In determining a sanction, the Committee will consider all the circumstances of the case including the intent of the student, the character and magnitude of the offense, the considered evidential judgment of the faculty or instructional staff member bringing the accusation, and mitigating circumstances. It is the opinion of the faculty that for an intentional first offense failure in the course may be appropriate. Suspension for a semester or deprivation of the degree in that year may also be appropriate when warranted by the seriousness of the offense.
- iii For a second offense the penalty normally should be expulsion.

d. Appeals

Respondents may appeal the determination of responsibility or sanction(s) in writing to the Vice President for Student Affairs or designee. The appeal must be filed within five (5) business days of receiving the written notice of outcome.

Dissatisfaction with the outcome of the hearing is not grounds for appeal. The limited grounds for appeal are as follows:

- new evidence that would affect the finding of the hearing and that was unavailable at the time of the hearing;
- procedural error(s) that had a material impact on the outcome; or
- the sanctions imposed were grossly disproportionate to the violation committed.

The appeal shall consist of a plain, concise, and complete written statement outlining the grounds for the appeal.

The appeal consideration will be conducted in an impartial manner by the Vice President for Student Affairs. In any request for an appeal, the burden of proof lies with the party requesting the appeal, as the original determination and sanction are presumed to have been decided reasonably and appropriately. The appeal is not a new review of the underlying matter.

The Vice President for Student Affairs shall consider the merits of an appeal only on the basis of the three (3) grounds for appeal and supporting information provided in the written request for appeal and the record of the original hearing. The Vice President for Student Affairs can affirm the original findings, alter the findings, and/or alter the sanctions, depending on the basis of the requested appeal.

If the appeal is granted based on procedural error(s) that materially affected the outcome of the hearing, the Vice President of Student Affairs will return the case to the CJC for additional review or forward the case for a new hearing, which may (at the Vice President for Student Affairs' discretion) be heard by an alternate CJC panel.

In the case of new and relevant information, the Vice President for Student Affairs can recommend that the case be returned to the original CJC to assess the weight and effect of the new information and render a determination after considering the new facts.

Typically, the Vice President for Student Affairs will communicate the result of the appeal to the student requesting the appeal within three (3) business days from the date of the submission of all appeal documents, but the time may be longer or shorter depending on the nature of the case. Appeal decisions are final.

e. Informing Faculty and Students about Swarthmore's Academic Misconduct Policy

The integrity of a liberal arts education depends on the principle of academic integrity. Educating the community about the academic misconduct policy is essential to the educational goals of the college.

Both students and all instructional staff, including faculty, should be informed regularly about the college's academic misconduct policy. In addition to stating the policy in the college catalogue, instructional staff and student handbooks, and college website, we recommend that COFP prepare a statement that defines academic misconduct in both general terms and concrete examples. The statement will be sent to all departments, who may supplement it with examples and details specific to their discipline. It is the responsibility of all instructors to inform their classes about the academic misconduct policy. We suggest, in addition, that a discussion of the college's academic integrity policy be included in orientation for first-year students in the fall, the orientation meeting for new instructional staff, and in WA and SAM training.

10. EXAMINATIONS

Members of the faculty are free to use a variety of formats for their final examinations (including, for example "open-book" and "take-home" tests). The format to be used, and the

ground-rules governing it, should be carefully explained to students well in advance of the examination itself.

If a traditional examination is given, the following procedures should be observed:

- a. The examination should be given at the time in the place indicated on the Registrar's published examination schedule;
- b. The examination should be given under direct departmental supervision;
- c. Reasonable precautions should be taken to assure an atmosphere conducive to maximum performance by all students and to prevent dishonesty.

Absence from examinations, announcement of which has been made in advance, should be permitted in only two circumstances: (1) when prior arrangements have been made with the instructor in charge of the course, or (2) when personal emergency, such as illness certified by the Dean's Office, makes attendance impossible. Permission for absence from an examination and the arrangements for a "make-up" examination are left to the discretion of the instructor in charge of the course.

Special procedures are used for the administration of the external examinations in the Honors Program. These are described in materials provided to the department chair or program coordinators and the outside examiners by the Registrar and the Honors Coordinator.

11. GRADING

The grading policy of the College shall be construed to mean, at a minimum, that (a) course grades will reflect faculty members' evaluation of work completed by individual students, and (b) the system of grading is to be used to distinguish between substantial differences in level of performance. Experimental procedures should be approved by the department chair and the Provost. (Adopted by the faculty, 27 May 1971.)

Students are free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for meeting the standards of any course of study in which they may be enrolled. Members of the faculty are solely responsible for establishing and maintaining the academic standards of the courses they teach. Students who strongly believe they have been evaluated capriciously or with prejudice are free to bring the matter to the attention of the appropriate department chair or program coordinator, or if necessary, the Provost. Final judgment, however, must remain with the instructor.

For specific details on grading, faculty and instructional staff members should see the section of the College catalog titled "Grades," which is based on various Faculty actions, including those of 3 June 1970; 5 and 13 May 1971; 2 December 1971; 30 October and 7 November 1972; 7 April 1975; 17 April 1978; 22 February 1982; 16 February 1983; 25 October 1996; 6 October 2000; 17 November 2000; and 30 March 2000.

At the end of each semester formal grades are given in each course, either under the Credit/No Credit (CR/NC) system, or under the letter system, by which A means excellent work; B, good

work; C, satisfactory work; D, passing but below the average required for graduation; and NC (no credit), uncompleted or unsatisfactory work. (See the College catalog for a complete list of grades, including W, X, and IP.) Letter grades may be qualified by pluses or minuses.

Faculty and students should bear in mind that any course with a grade of D- or better may be counted by a student toward graduation, whereas a course with a grade of NC may not. A student must have at least 32 credits to graduate and must attain a graduation GPA of at least C (2.0) for the Swarthmore credits within the package of the 32 credits. A student with more than 32 credits may count the 32 credits with the highest grades toward meeting the graduation GPA. Courses transferred from outside of Swarthmore (and approved by the department in question) may be counted toward graduation (as part of the 32 credits), but they will not be part of the Swarthmore GPA.

The general policies governing the CR/NC option and the use of the grade W are detailed in the College catalog. On March 30, 2000, the Faculty voted the following changes:

Applications to withdraw from a course and receive the permanent grade notation W (Withdrawn) must be received no later than the end of the 9th week of classes, or the 5th week of the course if it meets for only one-half of the semester. After that time, late withdrawals are recorded on the student's record with the notation NC (No Credit) unless the student withdraws from the College.

On April 29, 2006, the Faculty also voted the following:

Applications to take a course CR/NC must be received no later than the end of the 9th week of classes, or the 5th week of the course if it meets for only one-half of the semester.

The grade of Incomplete (INC) means that a student's work is incomplete with respect to specific assignments or examinations. The faculty has voted that a student's final grade in a course should incorporate a zero for any part of the course not completed by the date of the final examination, or the end of the examination period. However, if circumstances beyond the student's control (e.g., illness, family emergency) preclude the completion of the work by this date, a grade of INC may be assigned with the permission of the faculty instructor and the registrar. Note that "having too much work to do" is not, in fairness to other students, considered a circumstance beyond the student's control. A form for the purpose of requesting an Incomplete is available from the Registrar's Office and must be filled out by the student and signed by the faculty instructor and the Registrar and returned to the Registrar no later than the last day of final examinations. In such cases incomplete work must normally be made up and graded and the final grade recorded within five weeks after the start of the following term. Except by special permission of the Registrar and the faculty instructor, all grades of INC still outstanding after that date will be replaced on the student's permanent record by NC (no credit). Waiver of this provision by special permission shall in no case extend beyond one year from the time the INC grade was incurred.

Late Grades: Faculty members who do not turn grades in promptly do a great disservice to the students. Late grades damage the educational process by denying students prompt feedback and

the opportunity to consider their academic programs in timely fashion. They also handicap students needing transcripts when job hunting, applying for graduate schools, or simply looking for summer employment in order to pay their college fees. It is therefore important that course grades be submitted to the Registrar's office as promptly as possible at the end of the semester. By faculty action (22 February 1982) grades must be submitted no later than three weeks after the close of the examination period in the fall semester and two weeks after the close of the examination period in the spring semester.

Grade Changes: Requests to change a grade must be directed to the Registrar for his or her approval. Grade changes must be made in writing directly from the faculty member who assigned the original grade. Grade changes are only permissible in the case of an instructor's error (normally of a computational or clerical sort), and not in response to the receipt of late work, or for re-evaluation of student work. Any appeal of the application of this policy should be taken to the Provost, who has final jurisdiction over grade changes. Grade changes are normally only permissible for one year after the assignment of the original grade; any grade change over one year old must be approved by the Provost. (Adopted by the faculty, October 25, 1996.)

No instructor shall change the grade of NC to Incomplete after the grades have been turned into the Registrar's office except under unusual and compelling circumstances such as cases of illness misunderstood as absenteeism. The grade of Incomplete must be approved by the faculty instructor and the Registrar in advance of the end of finals so there should be no chance of a computational or clerical error on which to base such a change.

12. CREDIT FOR WORK AT OTHER DOMESTIC INSTITUTIONS

For this matter faculty members should see the sections of the College catalog titled "Summer School Work and Other Work Done Elsewhere."

Students who plan to study at another domestic institution should consult the Dean of Students about a leave of absence and the chair of their major department for approval of their proposed program. (Students who do not yet have an approved major should consult their faculty advisor and/or the chair of the department to which they intend to apply for a major.) Intended courses must be listed and approval of the appropriate departments secured.

Upon returning to Swarthmore, students should consult with the appropriate departments about the nature and extent of the work in order for the departments to determine the appropriate amount of credit. Students should bring with them their syllabi, transcript, written work, exams, indication of class hours, etc. Work in other programs, especially summer school programs, may sometimes be given less credit than work at Swarthmore, but this will depend upon the nature of the program and the work involved.

13. AWARDING CREDIT FOR OFF-CAMPUS STUDY

On April 29, 2016, the Faculty approved the following document:

To receive Swarthmore credit for off-campus study, students must conform to the provisions of the Swarthmore Semester/Year Off-Campus Study Program. Swarthmore students who wish to

receive Swarthmore credit for off-campus study must, for the semester(s) away, pay the full Swarthmore charges (excluding the student activities fee). Financial aid is normally applicable, with the approval of the Office of Off Campus Study (OCS). Student may receive up to ten (10) credits for the year from a Swarthmore Semester/Year Off-Campus Study program

Since off-campus study is an officially recommended part of the College's degree program, the following specific procedures have been developed to award Swarthmore credit for off-campus study, to reduce uncertainty wherever possible both for students undertaking off-campus study and for the academic departments and credit granting programs of the College.

For students enrolled in the Swarthmore Semester/Year Off-Campus Study Program, an equivalent full load of Swarthmore degree credits will be guaranteed in advance for successful completion of a normal full load in either a semester-long or academic year-long program by obtaining the U.S. equivalent of a straight C or better in each course. In cases where students complete less than a normal full load in the off-campus study program, they can only earn proportional credit at Swarthmore. It is the joint responsibility of departmental/program faculty advisors, OCS, and students to do their utmost to avoid duplicating coursework done either here or while off-campus.

There are three kinds of credit that may be awarded for students in the Swarthmore Semester/Year Off-Campus Study Program:

- a) Departmental or program credits: These credits are determined normally before departure by departments and/or programs, when the course's subject matter falls within the disciplinary purview of same. Course materials must be submitted according to departmental or program requirements. Departments and programs do not grade materials for these off-campus study courses. Grades earned must be the U.S. equivalent of straight C or better for credit at Swarthmore. These credits count toward the thirty-two credits required for graduation, toward completion of the major or minor, toward fulfillment of the twenty-course rule, and where appropriate toward fulfillment of the distribution requirement. The grades earned by the students in off-campus study programs will be entered upon their Swarthmore transcripts, with the four-letter department or program designation clearly noted. These grades are not computed in the Swarthmore GPA.
- b) Off-Campus Study (OCST) credits: These credits are determined normally before departure by the Off-Campus Study office through the Faculty Adviser for Off-Campus Study for non-major/minor and non-distribution credit. These credits count toward the thirty-two credits required for graduation and toward fulfillment of the twenty-course rule. While this is intended for granting credits without specific designation to departments and/or programs, it may also be used to award work done in a foreign language when a student has less than two semesters equivalent or for interdisciplinary work that does not fall under the jurisdiction of one department and/or program. The grades earned by the students in off-campus study programs will be entered upon their Swarthmore transcripts, with the four-letter OCST designation and must be the U. S. equivalent of a straight C or better for credit at Swarthmore. These grades are not computed in the Swarthmore GPA. OCST credit may be re-evaluated at the discretion of departments and/or programs as meeting the requirements

for a major or minor after a student returns to campus, but the OCST designation will remain. Students may receive up to a total of 4 OCST credits per semester of off-campus study.

- c) Swarthmore credits: These credits are determined normally before departure by departments and programs that manage Swarthmore off-campus study programs. In rare circumstances, credits may be supervised by Swarthmore faculty for other off-campus study programs. Departments and programs are required to grade these off-campus study courses. These grades are computed in the Swarthmore GPA. Course materials must be submitted according to departmental or program requirements. This credit counts toward the degree like any credits at Swarthmore.

All students must request that an official transcript from their off-campus study program or direct-enrollment university be sent to the Registrar. See the Registrar's website for further details. For more details about how students obtain credit and how departments grant credit for off-campus study, consult the Office of Off-Campus Study or its website.

14. HONORS PROGRAM

A revised Honors Program was approved by the faculty in May 1994 and made available for the first time to the Class of 1997. The revised program was modified in a number of faculty votes between 1997 and 1999. The program maintains the core features of Swarthmore's External Examination Program and adds flexibility to encourage Honors work in the full range of curricular options, including studio, creative, and performing arts, study abroad and community-based learning. The key features of the current Honors Program are as follows: (1) four preparations (three in a major and one in a minor, or four in an interdisciplinary major); (2) flexibility in the mode of preparation to include seminars, course combinations, theses or research projects, study abroad, work in studio, creative and performing arts, and community-based learning; (3) inclusion of interdisciplinary programs such as Public Policy and Black Studies as sponsors of honors minors; (4) flexibility in the modes of examination; (5) Senior Honors Study (optional at the discretion of the department, interdisciplinary program, or program) in the major and minor whose purpose is to enhance and where appropriate integrate the work of the preparations; (6) the grading of preparations by Swarthmore instructors (except theses and certain other original work which are graded by outside examiners) because such grades have been increasingly required for entry into graduate and professional schools; and (7) evaluation of honors preparations by outside examiners who determine the only college honorifics, given the abolishment of Distinction.

The basic features of the current Honors Program approved at faculty meetings on 23 May 1994, 19 December 1994, 23 March 1995, 18 April 1997, 21 November 1997, 15 May 1998, and 17 November 2000 may be found within the *Honors Handbook* produced by the Director of the Honors Program under Curriculum Committee supervision and made available in department offices and on the Honors section of the College's webpage.

A faculty member's role in the honors program may include advising sophomores about possible honors programs, teaching seminars, advising theses or special projects, and inviting and hosting

external examiners. In addition to providing students with a challenging culminating experience at the end of their senior year, the Honors Program is meant to provide faculty with an annual opportunity for professional exchange with the more than one hundred external examiners who visit campus each spring. Over the years examiners have regularly found the program a distinctive credit to Swarthmore's faculty for holding their students to such high standards and to our students for the caliber of their intellectual and artistic work.

15. COMPREHENSIVES

It is a long-standing college requirement that each student must pass a comprehensive exercise in the major as one of the graduation requirements. Over time departments and programs have shaped and revised the requirement so that a variety of models are now in use. These include a written exam, a special project, a thesis or other long paper, an oral presentation, a special course or colloquium, etc. Whatever the model, the comprehensive should, in the words of a 1971-72 faculty resolution, "encourage imaginative and disciplined thinking and motivate the student to achieve an encompassing and broad academic competence in the major field."

If a student does not pass the comprehensive (in whole or in part), the student will be required to retake it (or some portion of it), to rewrite or revise the thesis or paper, or to redo the project or retake the course, as the department sees fit. The department may, if it wishes, establish a policy that a student who does not pass the comprehensive must wait for an appropriate period (which may be up to three months) before retaking the comprehensive. The nature and length of the waiting period may depend on the nature of the comprehensive.

Taking Honors examinations and completing the Honors Program satisfies the college's comprehensive requirement for the Honors major only. An Honors student who does a double major must take a regular comprehensive in the non-Honors major (even if this is also the Honors minor). If the outside examiners decide that the work of an Honors candidate does not merit any form of Honors, Swarthmore faculty members review the examination papers to determine whether the work in the major satisfies the college's and the department's comprehensive requirement.

16. PROPOSALS FOR NEW MAJORS, NEW INTERDISCIPLINARY PROGRAMS, OR INTERDISCIPLINARY STUDY GROUPS

Proposals for New Majors

Proposals for new majors must be made to the Provost and require a Faculty vote. Normally such proposals are put forward by programs, which offer special majors and/or minors for a time and have developed a strong curricular program with a history of student interest. Although the Curriculum Committee does not have a formal role in the process of reviewing a proposal for a new major, the Provost has traditionally asked the members of the committee to review such a proposal and to give her/him their views. The Curriculum Committee may suggest revisions to the proposal before it is forwarded to the Provost. The Provost then reviews the proposal (and may suggest further revisions) and brings it to the Faculty with her/his recommendation. Some considerations, which the Provost and Curriculum Committee take into account in evaluating the proposal for a new major are:

- a. Is the new discipline well-defined, substantive, and coherent?
- b. Is the discipline represented in other liberal arts colleges and graduate institutions?
- c. Has the program offered a special major with defined requirements for some time?
- d. Has there been strong faculty participation in, and support for, the special major?
- e. Has student interest in the program been strong?
- f. Is there suitable faculty staffing in place to sustain the major? (Normally there need to be at least two full-time tenure-track faculty who teach in the major.)

Proposals for New Interdisciplinary Programs

The procedure for establishing new Interdisciplinary Programs was first formulated in faculty legislation of November 1995. It has been slightly revised to agree with subsequent legislation and the implementation policies worked out by the Curriculum Committee. In 2010 the faculty agreed to revise the legislation so that Interdisciplinary Programs could be approved for up to 8 years.

Interdisciplinary Programs are created and authorized to offer minors by faculty approval of a recommendation from the Curriculum Committee. These Programs are administered by committees composed of Swarthmore faculty. Members of these committees are appointed by the President on recommendation by the Provost. Initial authorization of an Interdisciplinary Program to offer a minor is normally for a period of 5 years. Continuation for additional periods of up to 8 years requires review and renewal by the Curriculum Committee.

Criteria for approval or renewal of an Interdisciplinary Program which offers a minor include an intellectual rationale for its presence in undergraduate education in general and at Swarthmore in particular, as well as evidence of substantial faculty and student interest and of departmental willingness and ability to commit to offering the necessary courses in the coming 5 or 8 years, for initial or renewal approvals, respectively.

By approval of the Curriculum Committee, Interdisciplinary Programs, which offer minors may also offer interdisciplinary courses. Criteria to be considered in decisions about approval of an interdisciplinary course offered solely by an Interdisciplinary Program authorized to offer a minor include: centrality to the curriculum of the Interdisciplinary Program; potential impact on teaching needs in departments; potential overlap with offerings by departments; ability of the Interdisciplinary Program to offer the course in future years. Such interdisciplinary courses will meet distribution requirements only by decision of the division or divisions concerned. Changes to the Interdisciplinary Program may be made with approval by the Curriculum Committee if they are within the parameters of Interdisciplinary Program structure as defined by the Faculty.

Interdisciplinary Programs which offer minors are eligible to request from the Provost:

- up to a one-course reduction in annual teaching load for the convenor;
- modest office budgets and clerical support;

- support for up to two courses in a given year either through course replacement to free faculty from departmental teaching responsibilities in order to offer a capstone seminar or other course in the Interdisciplinary Program or through funds to hire a non-Swarthmore professor to teach a course in the Interdisciplinary Program.

Some Interdisciplinary Programs, which offer minors may wish to invite other members of the College to serve as an advisory council to the Program. However the core faculty of the Interdisciplinary Program offering a minor will have sole responsibility for curricular decisions.

Some considerations, which the Provost and Curriculum Committee take into account in evaluating the proposal for a new Interdisciplinary Program are:

- a. Is the Interdisciplinary Program well defined, substantive, and coherent? Is it represented in other liberal arts colleges and/or graduate programs?
- b. How would the Interdisciplinary Program fit into the Swarthmore curriculum? What would the Honors and non-Honors minor be?
- c. Would there be strong faculty participation in, and support for, the Interdisciplinary Program ? Would there be strong student interest in the Interdisciplinary Program?
- d. What goals do the faculty involved in the Interdisciplinary Program have for its future? What obstacles do they see to reaching those goals? What support do they see as necessary for reaching those goals?

Proposals for Interdisciplinary Study Groups

Interdisciplinary Study Groups were first proposed in 1995 as a way for faculty to work together in an interdisciplinary category that was less formal than an Interdisciplinary Program (then called a Concentration) but that had some explicit recognition and some eligibility for resources. CEP recommended that given the relative informality and the modest level of resources in question, such groups not require faculty approval.

The procedure set up by the CEP was that a group of faculty members might request recognition as an Interdisciplinary Study Group in order to facilitate communication among faculty and students with interdisciplinary interests, provide opportunities for faculty to develop new courses or revise existing one, and provide opportunities for students to integrate their interdisciplinary coursework. Proposals are made to the Provost, who makes a decision after consultation with the CEP and the Curriculum Committee. Proposals should present an intellectual rationale and evidence for faculty and student interest. They might include, for example, a letter signed by several faculty members, presenting an intellectual rationale and showing links to their research and teaching, as well as to intellectual developments outside the College; possible formats for a faculty seminar; possible interdisciplinary courses to be developed; lists of recent individualized special majors in the field, indicating the relevant interdisciplinary perspective. The Provost informs the faculty about new Interdisciplinary Study Groups and then considers them eligible to receive funds for curriculum innovation.

17. MINORS

This section is based on legislation passed by the faculty on May 16, 2000; it has been modified slightly to accommodate changes in the rubric and terminology for interdisciplinary minors.

The College recognizes the educational value of both depth and breadth. Depth in a major allows a student to concentrate on the fundamental knowledge and skills of a particular discipline. Work in a minor facilitates this to a lesser degree in a secondary field; it produces a “focused breadth.”

Another kind of breadth is represented by the divisional requirements and the 20-course rule. These requirements recognize that the hallmark of a liberal arts education is a broad exposure to a variety of academic disciplines. By studying in fields across the curriculum, students may discover new intellectual interests and also make novel connections between traditional disciplines.

- a. In order to maintain both depth and breadth, the College limits the number of majors and minors which a student may pursue. The requirements and rules are as follows:
 - i. All students must have a major.
 - ii. Honors students must have a major and a minor.
 - iii. Students may do additional focused work (which is optional) beyond the major in the following ways:
 - a) Students may pursue a double major (with the approval of the departments involved). Students who have a double major may not have any additional concentration or minor (outside of Honors). Honors students who have a double major must do one of their majors as the Honors major and the other as the Honors minor. Comprehensives will be required in the second major (which is the Honors minor).
 - b) Students with a single major may have up to two minors (including interdisciplinary minors). An Honors student with two minors must select one of them as the Honors minor.
 - iv. Students must take 20 credits outside the major department and must fulfill the divisional requirement of at least three courses in each division.
- b. In order to create departmental and interdisciplinary minors as curricular elements, the following policies are proposed:
 - i. Minors will be offered at the option of departments or programs now offering majors or “fixed” special majors (therefore including areas such as Asian Studies, Astrophysics, Biochemistry, Educational Studies, Medieval Studies, Neuroscience).
 - ii. The curricular elements previously known as Concentrations will become interdisciplinary minors, but otherwise will remain subject to the same policies that apply with regard to creation and renewal. A culminating experience may be offered at the discretion of a Program but is not required for approval or renewal of the interdisciplinary minor.

- c. Departments and programs will set criteria for admission to minors, make decisions about acceptance, and define requirements for completion of minors
- d. Minors will include at least five credits, four of which may not overlap with the student's major or other minor.

Exceptions

The overlap constraint is not applicable to courses that departmental majors or minors MUST take in other departments; e.g. Mathematics courses required for an Engineering major are not automatically excluded from a minor defined by the Department of Mathematics and Statistics.

For an Honors major who is also a double major, the overlap constraint does not apply to the relationship between the Honors minor and the second major SINCE THESE WILL ALWAYS BE THE SAME FIELD. Thus an English Honors major who is a History Honors minor and also a History course major as part of a double major is not violating the constraint.

- e. The initial definition of minors by departments and programs will be reviewed and approved by the Curriculum Committee (parallel to the initial definition of new Honors programs following the adoption of the new Honors legislation).

18. ASSESSMENT

In addition to the multiple forms of student assessment that occur at the College, in 2006 the College instituted several forms of departmental assessment to ensure continuous examination of curriculum, pedagogy, and student learning. This assessment takes the form of (a) a yearly process of departmental assessment, (b) regular department reviews, and (c) interdisciplinary program reviews.

a. Department Assessment

The college assessment plan, put in place in 2006-2007, asks chairs to coordinate regular assessments within the department in order to ensure appropriate attention to student learning. The process consists of several steps.

- Each department must establish and articulate learning goals for majors, minors and individual courses.
- At the beginning of the academic year each department should have a conversation about goals and assessment informed by the previous year's summary report. During this meeting the department should clarify the focus of department assessment and how the department will carry out its plan.
- As a part of this plan, every faculty member must conduct student course evaluations for at least one course per year. Some course evaluation questions may be common to all of the department's course or seminar evaluations, consistent with the goals that the department has set for assessment for the year. Other questions may be specific to the

course or seminar, focusing on particular areas of the curriculum and pedagogy about which the faculty member wants feedback. The completed course evaluations are read and discussed by the chair and the faculty member teaching the course or seminar.

- Finally, each department is charged with holding a discussion about assessment activities, to be held after the end of classes, ideally after the conclusion of Honors exams. The goal of this meeting is to discuss the results of the previous year's assessments - both formal and not - and determine how to use this information to improve student learning (see section below).

End-of-year meetings

Each academic department holds an annual meeting at the end of the spring semester. This meeting provides an opportunity for departments to:

- Review and revise curricular goals for the program of the department and individual courses
- Consider the progress of students towards meeting these goals and the effectiveness of the department's program
- Review assessment activities concluded over the past year and reflect on what has been learned
- Plan for assessment activities to be conducted in the following academic year.

Ideally, these discussions should take place after Honors orals and comprehensive exercises are completed so that data from these experiences can inform the department's consideration of student learning and performance. Ultimately, the department can determine what materials to use as input for its reflections.

In a given year, departments may choose to consider student performance in their program in general, or to focus on individual components of the program, such as introductory courses or Honors seminars. A component of the discussion should derive from the results of recently administered course evaluations, the results of which will be summarized, in general terms only, by the Chair.

Chair's end-of-year report

Following the end-of-year meeting the Chair will prepare a written report for the Provost that summarizes the departmental discussion and any actions that the department will take. This report, limited to 3 single-spaced pages, provides an opportunity to summarize assessment results, the department's conclusions and highlight any needs or issues that arose from the discussion. In this report, the Chair should answer each of the following questions:

1. What goals or objectives have you assessed this year?
2. How did you do it?
3. What did you find?
4. What changes will you make as a result of this work?

5. What plans have you made for assessment during the coming academic year? What goal(s) will you focus on and what are your tentative plans for collecting and evaluating student work to reflect on those goals?
6. What topics and courses did you cover in your course evaluations, and what were the nature and implications of your findings?
7. What other issues did the department discuss?

The Chair's report should be submitted to the Provost no later than June 15. This report can serve as the basis of a conversation between the Chair and the Provost about future department needs and plans.

b. External Review of Academic Departments Swarthmore College

The assessment plan now in place for the academic program of the College calls for the reinstatement of regular external reviews of academic departments, with each department reviewed every 8 to 12 years. These guidelines were developed by the Assessment Planning Committee during 2006-2007 and were approved by the Provost.

An external review is usually conducted by a committee of (usually) three individuals from outside the College who visit the campus and prepare a written report for the department and the administration. The department to be reviewed recommends members for the review committee, as does the Provost. The Provost then selects and appoints the committee.

Self-study

Departmental reviews begin with a departmental self-study. The self-study assesses the strengths, weaknesses and needs of the department and looks ahead to the challenges that the department may face. The plan for the self-study is developed by the department and approved by the Provost, in consultation with the Associate Dean of the Faculty for Academic Programs. Departments should follow the guidelines below but should also feel free to focus on the issues that are most pressing for them as they consider how to make best use of the perspectives provided by an external review team.

All members of the instructional staff in the department and the Provost should be aware of the concerns and issues that the external committee is charged to address. Accordingly, while a small number of faculty in the department may be responsible for producing the self-study report, all department faculty, the Associate Dean of the Faculty for Academic Programs and the Provost will review the report before it is provided to the external committee. The Associate Dean of the Faculty for Academic Programs submits the self-study report to the external committee, along with general College-wide descriptive material and a letter (developed in consultation with the department) that raises specific issues that the external committee should address.

Narrative

As part of the self-study, the department will prepare a 10-12 page written document that discusses the results of its examination, provides background information on the program of the department and raises specific departmental strengths and concerns. This document will be

provided to members of the external committee prior to their visit to campus. Departments and external committees should consider the following general topics in assessing the current state and future challenges of a department and its programs and should focus on those that seem most relevant to them.

- Departmental goals/student learning goals
- Curriculum and pedagogy (including participation in honors, Writing courses, first year seminars, community-based learning)
- Student life and experience
- Faculty and instructional staff experience and development
- Governance, collegiality and interaction with other departments
- Relationship to the library, Information Technology Services, Lang Center and other relevant non-academic departments
- Department-specific concerns, often provided as a set of questions the department would like the review team to help them consider

In the narrative report of the self-study, the department will normally summarize (1) its perspective on these topics, including a description of the current state of affairs; (2) the data collected in the course of the self-study that relate to these topics and some reflection on its conclusions; (3) future plans; and 4) departmental concerns/questions.

Supportive data

In the course of the self-study departments will gather and provide to the review committee information from a variety of sources, all of which should be summarized as needed within the self-study narrative. These materials should be submitted in raw form as appendices for the external review committee or uploaded onto a password-protected website that will be made available to the reviewers.

- *Vitae* of current instructional staff
- Syllabi of currently and recently offered courses
- Course enrollments for the last five years
- Surveys of alumni regarding their experiences in the discipline prior to and after graduation
- Copies of the Chair's end-of-year reports to the Provost for a period of 5 years
- Results of the most recently completed external review

In some circumstances, it will be appropriate for the department to examine the curricula of peer institutions and to report the results of this study and the department's perspectives on the data to the external committee.

In addition, the Associate Dean of the Faculty for Academic Programs will prepare and send materials that describe for the committee the curriculum of the College, including descriptions of the goals and structure of the Honors program, first-year seminars, writing courses, distribution requirements, interdisciplinary minors, the foreign language requirement and any other material deemed appropriate.

External Review Process

1. **Confirm decision to conduct an external review with Provost or Associate Dean of the Faculty for Academic Programs**
2. **Meet with the Associate Dean of the Faculty for Academic Programs to review the process.** The Associate Dean of the Faculty for Academic Programs can meet with the chair or with the entire department to review the process, provide examples of prior reviews and self studies, and answer questions. At this point, departments can discuss with the Associate Dean of the Faculty for Academic Programs any needs to customize the process to best meet the needs of their department. This conversation should happen about 12 months prior to the review.
3. **Consult with Institutional Research as needed about what institutional data might be available to inform the self-study and about carrying out a survey of alumni.**
4. **Provide the Provost with a list of potential external reviewers.** Include the person's name, institutional affiliation, and a note about field or why you have included them. Also include general information about what fields or perspectives, if any, should definitely be represented among the members of the review team. Some departments have found it useful, when possible, to include an alumnus as a potential reviewer, since they have preliminary knowledge about the institution and the department.
5. **Write the self-study.** A draft of the self-study should be given to the Associate Dean of the Faculty for Academic Programs at least two months before the review. The Associate Dean of the Faculty for Academic Programs will consult with the Provost and provide the department with feedback. The final version of the self-study should be given to the Associate Dean of the Faculty for Academic Programs one month prior to the review.

Departments have taken different approaches to producing the self-study. Most make discussion of what to include a part of department meetings and/or a departmental retreat. Some have assigned sections to different members of the department; faculty collect relevant data, draft the section, and get feedback from the department on that section. Other departments have formed a subcommittee to draft the report following department discussions, usually ensuring that the committee represents a range of perspectives and positions in the department. In other departments, the chair has taken primary responsibility for drafting and/or editing the self-study, drawing on departmental discussions and feedback.

The Provost's Office can assist in making travel, lodging, and catering arrangements for the visit.

6. **Host the Visiting Committee** The visit by the external committee will generally take place over a three-day period. The schedule will normally include the following:

Day 1:

- Team arrives early afternoon
- Initial meetings for team with Associate Dean of the Faculty for Academic Programs, Provost, and department chair or program coordinator

- Reception with department and affiliated faculty.
- Dinner for team and department members
- Evening meeting for review team.

Day 2:

- Consultation with all faculty members in the department – normally on an individual basis
- Consultation with other members of the instructional and administrative staff, either individually or in groups
- Consultation with students (majors and non-majors) working in the department without instructional staff present
- Consultation with faculty from other departments in same division and others that are relevant to the program of the department being reviewed

Day 3:

- Additional meetings with faculty and staff as needed
- Time for the committee to discuss their visit, formulate their conclusions and begin to prepare their final report
- Review team exit interview with the Provost and the President

7. Reflect on and respond to external review team report. Once the final report is submitted by the visiting committee, it is to be shared in its entirety with all faculty members in the department. The Provost, in consultation with the department chair or program coordinator, may approve exceptions to this principle. After it has had time to reflect on the report (normally within 2 months of receiving the report), the department should write a brief response that includes their tentative plans for using the report over the next several years. The response can also be used to raise any concerns the department has about the report or review process. The department chair or program coordinator should then schedule a meeting with the Provost (by him or herself, with selected members of the department, or with the entire department) to discuss the report, its implications for department planning, and the department's ideas about addressing issues and suggestions raised in the report.

8. A copy of the department self study, the external team report, and the department response will be filed in the Provost's office.

c. Interdisciplinary Program Reviews

Faculty legislation requires that Interdisciplinary Programs be reviewed at least every 8 years. These reviews are internal only; the Program Coordinator submits a self-study to the Associate Dean of the Faculty for Academic Programs, who shares it with the Curriculum Committee and the Provost. The Curriculum Committee can recommend that a program continue for up to another 8 years, be reviewed again in a shorter amount of time, or be disbanded.

The legislation approved by the faculty explains that: "Criteria for... renewal of an Interdisciplinary Program [should] include an intellectual rationale for its presence in

undergraduate education in general and at Swarthmore in particular, as well as evidence of substantial faculty and student interest and of departmental willingness and ability to commit to [continuing to offer] the necessary courses in the coming 5 years."

Self study

The written self study should include:

1. a statement of the program's goals
2. background information on the program
3. a description and analysis of the program's current curriculum and an explanation of how it fits into the larger Swarthmore curriculum
4. an exploration of how the program addresses the needs of a range of students (including Honors and non-Honors students if applicable)
5. an analysis of the current health (status) of the program, including specific levels of student and faculty participation (number of students involved in the program in recent graduating classes, number of faculty involved in teaching courses, number of courses offered, course enrollments, etc.)
6. an exploration of future goals, challenges, plans, and available and needed resources
7. a summary of budgetary needs and the availability of funds to meet those needs

The self study should draw on (and include as appendices):

8. data on enrollment and faculty involvement
9. evaluation letters from faculty and students (and alumni if they are available) involved in the program
10. letters from chairs of related departments

Process

The Curriculum Committee normally reviews requests for renewal starting in February.

- Fall: The program coordinator, in consultation with the program committee gathers data and writes a self-study report
- December: The program coordinator provides the Associate Dean of the Faculty for Academic Programs with a draft of the narrative report
- January: The program coordinator completes revisions and submits a final report to Associate Dean of the Faculty for Academic Programs, who shares it with the Curriculum Committee
- February/March/April: The Curriculum Committee meets to review the report and make its final recommendations.

II-C. INSTRUCTIONAL STAFF, INCLUDING FACULTY

1. INSTRUCTIONAL STAFF GRIEVANCE PROCEDURE

Swarthmore College is committed to establishing and maintaining a community rich in equality and free from all forms of discrimination, harassment, and misconduct. The College's [Notice of Non-Discrimination](#) expressly prohibits any form of discrimination and harassment on the basis of any College-recognized protected classification. The College seeks to create an environment

in which the greatest academic potential of students and professional potential of instructional staff and non-instructional staff may be realized. In order to create and maintain such an environment, the College recognizes that all who work and learn at the College are responsible for ensuring that the community is free from all forms of discrimination, harassment, assault, and other forms of misconduct. These behaviors threaten our learning, living, and work environments and will not be tolerated. The College provides methods for all members of the community to seek prompt, impartial, and balanced assessment of their concerns.

The outcomes of our process will vary depending on the nature of the concerns and the severity of the alleged infractions. Ultimately, we seek to create a healthy learning and working environment for all members of the College community through compassion, justice, and restoration. We emphasize consultative resolution as a preferred methodology, understanding its limitations, and the need in some cases for proceedings that can lead to formal sanctions.

The following procedures apply to complaints against instructional staff and may be initiated by any members of the College community, including students, instructional staff (which includes faculty), staff, or any individuals regularly employed, studying, living, or having any official capacity at the College. In this context, instructional staff includes all full-time and part-time faculty (whether or not appointed to regular faculty rank), lecturers, and lab instructors. A grievance or complaint against a member of the instructional staff is an allegation of inappropriate discrimination or substantial unfairness, relating to one's work as a member of the College's instructional staff. Such a grievance may include but is not limited to discrimination on grounds of sex, race, color, age, religion, national origin, marital status, sexual orientation, gender identity or expression, veteran status, medical condition, pregnancy, disability, or any other legally protected status.

Any member of the college community concerned about the actions of an instructional staff member who wishes to have a grievance considered by the College is required to follow this grievance procedure, except when:

(a) A complaint is contesting the outcome of a reappointment decision or a termination of a member of the instructional staff. In this case, the procedure in the *Handbook for Instructional Staff* sections entitled "Review of Appointment Renewal Decisions" and "Termination of Appointments" shall be employed.

(b) A complaint is related to sexual misconduct of all forms, including:

- Sexual Harassment
- Sexual Assault
- Sexual Exploitation
- Indecent Exposure
- Intimate-Partner Violence, including Dating Violence and Domestic Violence
- Retaliation
- Stalking

- Other misconduct that is sex- or gender-based or in the context of an intimate partner relationship, including bullying and intimidation, physical assault, and discrimination.

Alleged violations of the College's [Sexual Assault and Harassment Policy](#) will be addressed by the [Procedures for Resolution of Complaints Against Staff and Instructional Staff Including Faculty](#).

Preliminary Considerations

Consultative Resolution: Prior to initiating the grievance procedure, a member of the community who asserts a grievance is expected to make timely and good faith efforts first to resolve a grievance through consultation without resort to the grievance procedure. Among the consultation steps deemed appropriate are: discussing the grievance with the person or persons who appear to be responsible for it; discussing the grievance with the Department Chair; discussing the grievance with the Provost and Dean of the Faculty. The complainant(s) may consult the Director, Equal Opportunity and Engagement at any time, informally and privately, about the grievance procedure and/or any means available for mediation, conciliation, or investigation of a grievance, whether or not the grievance is concerned with equal opportunity.

College personnel that may (or in some cases must) be involved in grievance procedures include the Director, Equal Opportunity and Engagement, the Provost and Dean of the Faculty, a Division Chair, the Department Chair(s) of the instructional staff involved, and members of the Committee on Faculty Procedures (COFP).

At any stage of this process, complainant(s) and respondent(s) may be assisted by campus support person(s) of their choice (one per complainant/respondent) to attend meetings in order to help the complainant(s)/respondent(s) prepare their cases effectively and to provide moral support. Note that since this is an internal campus process, support persons must be Swarthmore College community members. The support person cannot be an identified witness or have any conflicting role in the grievance procedure (described below) or with a party in the proceedings.¹⁶

All parties to the grievance are expected to *refrain from retaliation*, to engage in *good faith participation*, and to *respect privacy*:

¹⁶ The College's duty is to complainant(s)/respondent(s), not to support person(s). All communication is made directly with the complainant(s)/respondent(s), who can share information with their support person, at the discretion of the complainant(s)/respondent(s). At the discretion of the complainant(s) or respondent(s), support person(s) (one per complainant/respondent) may accompany the complainant(s) or respondent(s) to any meeting related to these procedures. Support person(s) are expected to be silent and non-participating observer(s), except to ask for a short break if the complainant(s)/respondent(s) requires some time for composure or to collect thoughts. Support person(s) may communicate with the complainant(s)/respondent(s) during proceedings in a non-disruptive manner. Support person(s) may be required to leave the meeting, if disruptive. Support person(s) may not delay, disrupt, or otherwise take action to interfere with the integrity of the grievance procedures.

Non-Retaliation: Members of the College community who make use of this policy may do so without fear of retaliation from other members of the community. Retaliation against any member of the community for good faith participation in this policy is a violation of College policy, will not be tolerated, and will be subject to disciplinary procedures. Any violation of the non-retaliation policy should be reported to the Director, Equal Opportunity and Engagement or the Provost and Dean of the Faculty.

Good Faith Participation: This policy is dependent upon the willingness of all those involved to participate in good faith, whether as a complainant, respondent, witness, or support person. Accordingly, it is expected that community members will participate in an open, civil, and respectful manner aimed at productive resolution. Should a community member be found to have knowingly and intentionally brought forward a false charge, provided false witness, or in any other way knowingly and intentionally acted to thwart the resolution process, that person will be subject to disciplinary action.

Privacy: Understanding the nature of any complaint and facilitating resolution typically requires speaking with others. The Director, Equal Opportunity and Engagement and/or the Provost and Dean of the Faculty will take this step when necessary to resolve the complaint and with those persons relevant to the resolution of the complaint. Participants in a complaint (i.e., complainant(s), respondent(s), interviewees, witnesses, support persons, members of COFP, any persons consulted by the complainant(s) and respondent(s)) are expected to maintain the privacy of the proceedings to ensure an unencumbered resolution.

Grievance Procedure

A member of the community who has a grievance involving the actions of an instructional staff member, and who has failed, despite timely and good-faith efforts, to resolve that grievance consultatively may invoke the grievance procedure. The first point of contact for the complainant(s) will be either the Director, Equal Opportunity and Engagement or the Provost and Dean of the Faculty. If the grievance is against the Provost and Dean of the Faculty, one of the Division Chairs may be notified as an alternative. The request to initiate the grievance procedure must be written and should include the following:

- a. A statement of the particulars of the grievance, including a specification of the grievance itself and allegations with respect to the act or acts constituting the grievance and the person or persons responsible for those acts.
- b. A statement detailing steps taken by the complainant(s) to resolve the grievance through consultation.

The Director, Equal Opportunity and Engagement and the Provost and Dean of the Faculty will consult about the timing and logistics of next steps, understanding that a Division Chair will substitute for the Provost and Dean of the Faculty if the latter is the subject of the grievance.

Within five (5) business days of the receipt of the written statement of the particulars of the grievance, the Director, Equal Opportunity and Engagement or Provost and Dean of the Faculty (or Division Chair) will share a copy of the written statement with the respondent(s). Respondent(s) may submit a written response within five (5) business days.

Both the complainant(s) and respondent(s) may consult with other members of the College community for advice in preparing their statements. Such consultations must adhere to the principles of good faith participation and respect for privacy described above.

A formal disposition of an individual grievance entails a determination of the basic facts of the issue by a faculty committee, as provided for below, and a finding that the facts do or do not substantiate the grievance. The final determination may be accompanied by a recommendation to the President for redress of the grievance. Final action is the responsibility of the President. If in their capacity as a faculty member, the President is named as a party to the grievance, the Chair of the Board of Managers will take final action.¹⁷

Upon receipt of the request and supporting statements, the Director, Equal Opportunity and Engagement, Provost and Dean of the Faculty, or Division Chair shall notify the COFP of that request, and include a copy of the request of the complainant(s) and the written response of the respondent(s). COFP shall as soon as possible but in any case within 30 days of receipt of the request appoint a committee of three to five faculty members (“the Committee”) of whom at least a majority shall be tenured and none of whom have an identified interest in the matter. COFP shall appoint one of the tenured members to chair the Committee.¹⁸ The request of the complainant(s) and supporting statements as well as the written response of the respondent(s) will be shared with the Committee.

The Committee will proceed in private as it deems best, resolving by majority vote any issues relating to procedure or its final determination, with provision for minority reports. Counsel may be made available for consultation by the Committee upon approval by the President. The Committee may consult with or interview whomever it chooses in reaching its determinations. However, if the Committee meets with one party, it will also offer to meet with the other party in an equitable manner.

If the Committee determines either that the complainant(s) has failed to make good-faith efforts to resolve the grievance through consultation prior to invoking the grievance procedure or that the complainant(s) has failed to establish a prima facie case of a grievance, it shall so notify the complainant(s) and respondent(s). The complainant(s) shall have an opportunity to respond within five (5) business days, but if the Committee remains convinced either that good-faith efforts were lacking or that a prima facie case was not established, it shall so notify the

¹⁷ In some cases, grievances may highlight issues of policy or practice that are broader or more pervasive than a single individual situation. If so, then the responsible parties informed of the grievance (the Provost and Dean of the Faculty, the Division Chair and/or the Director, Equal Opportunity and Engagement) will consult with the relevant governance committees to address these policy or practice concerns through the normal process of College decision-making. This consultation could include, for example, the Equal Opportunity Advisory Committee, the COFP, the Council of Educational Policy, or others, as deemed appropriate, respecting as always the privacy of the College community members involved in the individual grievance. At no time, however, should resolution of broader policy or practice concerns be seen as a substitute, impediment, or reason to delay addressing an individual complaint or grievance.

¹⁸ If the request is received less than 30 days from the last day of Spring finals, COFP shall appoint the committee within 30 days of September 1 or the start of fall classes, whichever comes first.

complainant(s) and respondents(s) in writing and terminate the grievance procedure. The Committee will also report its determination, with or without recommendations, to the President and to the Director, Equal Opportunity and Engagement, Provost and Dean of the Faculty, or Division Chair.

The Committee's determination to terminate the grievance procedure at this stage is subject to Procedural Review (see below) at the request of the complainant(s).

If the complainant(s) is not satisfied with this disposition of an equal opportunity grievance and wishes to pursue the matter further, the complainant(s) may request information from the Director, Equal Opportunity and Engagement about other remedies available from state or federal agencies.

If the Committee determines that the complainant(s) has made good faith efforts toward a consultative resolution of the grievance and that a prima facie case for the grievance has been established, it shall proceed to a formal determination, to which the following provisions apply.

- a. The Committee will proceed by considering the complainant(s)'s allegations and all of the relevant information submitted in the grievance. The Committee will determine whether the evidence, considered altogether, substantiates the grievance. Once submitted to the Committee, neither the grievance nor the allegations supporting it may be amended except following further attempts at conciliation or mediation or except when the Committee concludes that justice would not be served by denying the amendment(s).
- b. The Committee need not adhere to strict rules of evidence and may consider any evidence of probative value with respect to the issues involved.
- c. The burden of proof shall rest with the complainant(s) asserting the grievance; but the Committee shall not be foreclosed from seeking additional evidence, relating to the grievance, on its own initiative.
- d. The Committee shall have the power to conduct the proceedings in an orderly manner. The Committee may secure the presentation of evidence and attendance of witnesses concerning facts in dispute and may expect to have the assistance of the College administration in obtaining the attendance of witnesses. The Committee may, at any time it deems appropriate, exclude any or all other persons and deliberate in private.
- e. The complainant(s) and the respondent(s) can be accompanied by their support person in their appearances before the Committee (see note 1). At the request of the respondent(s), the complainant(s), or the Committee, a representative of the College administration (as long as they are not in the position of being a respondent) may also be present during the taking of testimony.
- f. The complainant(s) and respondent(s) shall, at some stage or stages of the proceedings, appear together before the Committee, testify, and respond to one another.

- g. The deliberations of the Committee and testimony given before the Committee shall be private but for the specific exceptions provided below. Obligations to respect the privacy of the testimony, the proceedings, and the recommendations and reports of the Committee extend to all members of the College community and to all persons involved in the proceedings. Violations of privacy by any party may be considered with prejudice by the Committee.
- h. At any point in its proceedings the Committee, on its own initiative or in response to the parties, may recommend further efforts at conciliation or mediation. While the parties consider alternatives to resolve their dispute, the Committee may suspend its proceedings during this period.

The Committee shall formulate an initial determination as to whether the evidence, considered altogether, substantiates the grievance. Its determination shall include a statement, with appropriate specificity, of the facts and the conclusions from these facts that support their decision. This statement shall be given to the complainant(s), the respondent(s), the Director, Equal Opportunity and Engagement, the Provost and Dean of the Faculty, or the Division Chair, and the President. Within a reasonable time, but not more than 30 days, either the complainant(s) or the respondent(s) may:

- a. initiate further attempts at conciliation or mediation;
- b. make a request for amendments in the determination of the facts or conclusions from those facts. This request should be in writing and may be supported by oral argument.

In discussing the interim report with the complainant(s) or the respondent(s), the Committee will strive at all times to preserve privacy, especially with respect to those who are not parties to the dispute, except that some information may be divulged by the Committee with the consent of the affected parties, or after notification of the affected parties and insofar as necessary to procedural fairness.

After the Committee has received and considered the comments of the complainant(s) and those of the respondent(s), it shall proceed to a final determination. Its final determination shall include an explicit and reasoned statement of the Committee's conclusion with respect to the merits of the grievance, and the Committee may make recommendations for disposition of the complaint and/or for dealing with the circumstances that gave rise to it.

Copies of the Committee's statement shall be given to the complainant(s), the respondent(s), the President, and the Director, Equal Opportunity and Engagement.

Either party to the grievance may initiate a Procedural Review (see below) after the Committee's final determination is received.

The President shall decide what further steps to take, either to redress the grievance or to act upon advice given by the Committee, informing the Committee and the parties of the decision and giving the reasons for it. The decisions of the President will be final and not subject to further review.

Outcomes

The options available for the resolution of a grievance against a member of the instructional staff are varied and depend on the nature of the alleged behavior. Restoration of a healthy learning and working environment is the goal to be achieved; resort to formal sanctions may not be the most effective means to achieve that end. Depending on the circumstances, for example, mandatory training or other educational efforts might be appropriate.

In other cases, formal sanctions may be required to take corrective action and to deter future infractions. In this context, formal sanctions can also be viewed as consistent with restoration of a healthy learning and working environment.

If the Committee finds, and the President agrees, that a member of the instructional staff has behaved in a manner that is sufficiently unprofessional to constitute “serious shortcomings” as defined in section III-A-14 of this Handbook, then an appropriate response would be initiation of the procedures described in section III-A-14 for the “Termination of Appointments.”

Less serious behavior could result in sanctions that include, but are not limited to: oral reprimand; written reprimand; restitution (for instance, payment for damage due to individuals or to the institution); loss of prospective benefits for a stated period (for instance, suspension of increase in salary or suspension of promotion eligibility); reduction in salary for a stated period; suspension from service for a stated period, without other prejudice.¹⁹

Other situations may require adjustments in the working expectations of instructional staff in response to the resolution of a grievance. These could include, but are not limited to: withdrawal from future personnel decisions regarding an individual, a department or a program; restrictions from serving on particular committees or in specific roles in the College; restrictions regarding future teaching assignments or modes of interaction with students; no-contact or avoidance measures that continue in place beyond the resolution of the grievance.

Procedural Review

Decisions made by the Committee may be subject to review under two circumstances (as referenced above):

1. The complainant(s) may request a review of the Committee’s determination to terminate the grievance procedure because either the complainant(s) have failed to make good-faith efforts to resolve the grievance through consultation prior to invoking the grievance procedure or the complainant(s) have failed to establish a prima facie case of a grievance.
2. Either party to the grievance may initiate a review after the Committee’s final determination is received.

¹⁹ The disciplinary actions listed in this section are consistent with AAUP policies on Faculty Misconduct and Discipline (see “Report of the Joint Subcommittee on Faculty Responsibility” *AAUP Bulletin* vol. 57, no. 4, 1971, pp. 524-527).

In either of these circumstances, the limited grounds for review are:

- (a) new evidence that could affect the determination of the Committee and that was unavailable during the grievance procedure
- (b) procedural error(s) that had a material impact on the Committee's decisions
- (c) the Committee's recommendations to the President are grossly disproportionate to the severity of the complaint

Dissatisfaction with the substance of the Committee's determination is not grounds for review.

The respondent(s) or complainant(s) may request a review based on one or more of criteria (a) - (c) by the elected members of the Committee on Faculty Procedures (COFP). The request for review will consist of a concise written statement of the grounds for review, to be submitted to the elected members of COFP within fifteen (15) business days of the receipt of the determination of the Committee which prompts the request for review.²⁰ In carrying out the review, the burden of proof lies with the party requesting the review; the original determination is presumed to have been decided reasonably and appropriately.

The COFP will communicate the result of their review within five (5) business days from the date of submission of all documents by both parties. The decision of the COFP is not subject to further review.

(Approved by the Faculty, 15 December 1995; revisions approved by the Faculty, 9 October 2020)

2. PROCEDURES OF THE FACULTY: FACULTY MEETINGS²¹

The Faculty has adopted *Roberts Rules of Order* as its basic procedural document, but it also observes a number of other procedural rules designed to preserve the spirit of consensus appropriate to a small community.

- a. Agenda for faculty meetings are determined jointly by the President and the elected members of the Committee on Faculty Procedures and are circulated in advance of scheduled meetings.
- b. The President or the President's delegate presides at faculty meetings. If the President wishes to participate extensively in debate on an issue, the chair is surrendered to another faculty member.

²⁰ If the request for review is received less than 30 days from the last day of Spring finals, COFP shall undertake the review within 30 days of September 1 or the start of fall classes, whichever comes first.

²¹ Based on various faculty actions: see faculty meetings of 8 and 13 October 1969, 2 March and 3 June 1971, 29 May 1975, 30 April 1980.

- c. Students may be invited to faculty meetings as observers or to participate in debate, but may not vote.
- d. Long and complex proposals or motions may be considered seriatim. The arrangement permits discussion and amendment and tentative approval of the several parts before the whole is put to a vote.
- e. A motion to reconsider an action taken at a previous meeting may be introduced by any faculty member (whether or not the faculty member voted with the majority on the original motion) and passes by a majority vote.
- f. Before calling the previous question, the presiding officer asks for a show of hands by those who have not spoken and who wish to do so, as information to faculty members before they vote to close debate.
- g. The Faculty, on 30 April 1980, abolished the quorum for faculty meetings.
- h. The Faculty on 6 February 1998, set the following schedule for faculty meetings: Meetings of the Faculty shall be held at least three times each semester as scheduled by the Committee on Faculty Procedures.
- i. The President, or, in the President's absence, the Provost, shall call a special meeting of the faculty upon the written request of fifteen faculty members to the Secretary of the Faculty or to the President. The President or Provost shall confer with the Committee on Faculty Procedures to set a suitable time for any such meeting.
- j. The agenda for faculty meetings will normally be set by the Committee on Faculty Procedures, as set down above (a). Committee chairs and other members of the faculty or administration wishing to place items on the agenda should communicate with the President, the Provost, or a faculty member of the Committee on Faculty Procedures as far as possible in advance of the meeting for which the business is intended.

3. COMMITTEES OF THE FACULTY

In a small academic community, members of the faculty participate significantly in the life of the institution. There are a large number of committees on which faculty members serve. A list of standing faculty committees with the current membership of each is sent to the faculty by e-mail each year and is posted on the Provost's Office website. The President and Provost consult the Committee on Faculty Procedures before the President makes assignments to these committees. A number of ad hoc committees are appointed from time to time to perform specific temporary duties.

Because extensive committee work may impinge on concentrated teaching efforts and the ability of faculty members to meet the demands of research and scholarship, the College attempts to confine committee responsibilities to matters of some importance. Wherever possible, faculty committees are spared routine administrative work, and the College attempts to distribute the burden of committee work equitably and in accordance with the preferences of faculty members.

Faculty members are usually not assigned to standing committees during the first year of appointment.

Two important elected faculty committees are the Committee on Faculty Procedures and the Council on Educational Policy. Both have six faculty members, elected for staggered terms of two years, with the President and the Provost as *ex officio* members. The Committee on Faculty Procedures is responsible for the agendas for faculty meetings, for various matters concerning faculty procedures generally, and for consulting with the President on assignments to standing committees of the faculty. The Council on Educational Policy (which in addition has three student members, two appointed by Student Council, one elected) is concerned with matters of basic academic policy. Matters of educational philosophy that might involve the College in a fundamental change in academic policy normally are referred to this committee. After serving on CEP, an individual cannot serve again for a period of 4 years. No department can have more than one representative on CEP at the same time. Matters involving possible modification of existing policy are normally referred to the Curriculum Committee. The Curriculum Committee is also asked from time to time to implement faculty curricular decisions such as the revised Honors program and the program for minors.

4. TEACHING LOADS

The context of the College's policy on teaching loads includes, beside budgetary and logistical considerations, both the importance of scholarship and research to strong teaching at Swarthmore and to the leave policy. On the other hand, strong undergraduate students and a tradition of serious attention to teaching are, practically speaking, factors in the teaching load, as are committees and other institutional participation, academic advising, and the supervision of individual student work, which is not normally accounted for in teaching loads.

The College's policy on teaching loads stems from the Report of the Ad Hoc Committee on Teaching Loads in 1957, and the Report of the Commission on Educational Policy in 1967. The recommendations in both documents were endorsed by faculty action (20 November 1957 and 23 February 1968). In the spring of 1985 this policy was altered in conjunction with faculty adoption of the revised program for the first two years. The expected teaching load in the Division of the Humanities and Social Sciences and in the Natural Sciences not requiring laboratory work is four units per year, a unit being defined as a single semester subject (course-title, section, or Honors seminar) taken by a group of students for credit toward a degree. In the laboratory sciences the normal load is on average ten contact hours per week; classes and Honors seminars count for three hours; Course laboratories count for three hours and Honors laboratories associated with two-credit Honors seminars count for six hours. Variations from the contact-hour norm are frequent, empirically speaking, as a function of scheduling problems, shared teaching responsibilities, and the intensiveness of laboratory supervision required, but the norm is expected to hold over time.

The load for Department Chairs is a maximum of three units per year (and proportionately in the laboratory sciences). Chairs of the larger departments may be granted an additional course reduction by the Provost. Certain other special administrative duties may be included in teaching loads *ad hoc* with approval of the Provost. The College attempts to provide released time occasionally for the pursuit of scholarly work; Department Chairs, in consultation with the

Provost, arrange for released time for members of their departments for research supported by grants from outside the College to a degree consistent with the instructional program of their department. In cases where a course or seminar is jointly taught by two faculty members, both may, with the approval of the Provost and particularly during the initial development of the course, count it as a regular unit. Half-credit offerings and other special formats are handled ad hoc by Department Chairs in consultation with the Provost.

All special arrangements with respect to teaching loads require approval of the Department Chair and ultimately of the Provost, each of whom has primary administrative responsibility for maintaining equity with educational quality within his or her respective purview. The Registrar's office prepares each term, from reports provided by faculty members, a comprehensive account of curricular units and their enrollments, and the Provost's office maintains these data and calculations based on them for administrative review of teaching loads.

Faculty may occasionally be asked or offer to teach a one-course overload. This additional course may be compensated for by additional salary, which the chair should negotiate with the Provost, or may be "banked" for a course off in a subsequent semester. Banked courses, accrued through teaching an overload, teaching or administering during a leave, or teaching despite being granted a course release for administrative or other duties, are normally used within the period up to and including the faculty member's next sabbatical year. If a faculty member has a banked course and receives a fully funded year of leave, the faculty member may carry the banked course forward beyond the sabbatical year.

5. LEAVES

It is the policy of the College to grant periodic leaves of absence to continuing members of the faculty whose appointments are in the ranks of Professor, Associate Professor, Assistant Professor or Instructor. A leave with compensation from the College is conditioned on the presentation of a definite program of research, writings, or other activity that gives promise of increasing the future usefulness of the recipient to the College. Insofar as the resources of the College permit, such leaves may be granted as often as once in four years and are normally granted for a half-year at full salary or for a full year with as much as half-salary. Faculty members who take only a one-semester leave are expected to teach two courses in the other semester. With the approval of the Department Chair and the Provost, a faculty member may delay the leave by one year and be eligible for the next leave following two years of teaching. If a faculty member is the recipient of an outside grant or is paid for work during a leave, the payment from the College is reduced accordingly. A faculty member who receives full outside support for a year may, with the permission of the Department Chair and Provost, "bank" a semester of leave for a future leave or future course reduction or, in rare cases, be granted an additional semester of leave with College funding, for a total of three continuous semesters.

For persons on probationary appointments, the period of probation will include time spent on leave of absence, subject to arrangements with the College concerning the purpose and duration of the leave.

Full-time or part-time leaves of absence without compensation may be granted subject to particular arrangements between the faculty member and the College. Such absence will not be counted as leave time or as part of the probationary period.

In addition to these matters, established in a joint Board-Faculty policy statement, the College expects faculty members who receive leaves paid for wholly or in part by Swarthmore College to return to their teaching responsibilities at the College for at least one year after the year of leave. The College expects faculty members who do not return to repay the College for the amount of their leave support. (This section is based on College regulations and practices dating from the 1950s. See also the CEP recommendations adopted, as amended, by the faculty, 24 May 1968.)

6. RESEARCH POLICY

Swarthmore College believes that teaching is supported and enhanced by scholarly activity. Research and scholarship not only contribute to the teacher's competence but also to the institution's aims of intellectual excellence and to the individual's professional development.

It is therefore the policy of the College to encourage and support research and scholarship by faculty members as well as to provide opportunities and settings for students to participate in research activity. Specifically, the College provides leaves at frequent intervals, under the assumption that scholarly work tends to progress more effectively when the scholar is free from teaching or administrative duties; it awards modest grants to meet research expenses (see below); it assists faculty members in seeking out government and foundation support for research; and it attempts to arrange teaching responsibilities and other duties at the College in such a way as to permit a reasonable research schedule for the faculty member. The College refrains from interfering with the individual's scholarship by means of institutional censorship, though it does presume to judge the quality of the work by professional standards.

The following statement and two resolutions were adopted by the faculty on 7 April 1981.

As an academic institution, Swarthmore College places high value on both free inquiry and the unrestricted dissemination of knowledge. At the same time, the College recognizes the right of faculty members as individuals to contribute their knowledge and insights while participating in the formation of public policy or in private consulting, and acknowledges that such contributions may sometimes involve classified research. It also acknowledges that some research partially restricted as to subject, sources, or the dissemination of results may contribute to the public welfare, the professional growth of the individual faculty member, and indirectly to students and other members of the College community.²²

22. Prospective candidates for reappointment, promotion, and tenure are cautioned that classified research may be difficult, and in some cases impossible, to evaluate, and that such research might therefore be difficult to assess when such decisions are made." (This sentence was adopted by the faculty, 19 November 1981.)

Recognizing that these consulting and research activities may sometimes conflict with the principles of free inquiry and the unrestricted dissemination of knowledge, the faculty has adopted the following two resolutions.

- a. The College will not provide financial support for any restricted research. All research in which there are limitations on inquiry or dissemination at any stage imposed by someone other than the researchers/authors is subject to review to ascertain whether it is “restricted research” within the meaning of this resolution. In such cases, it is the responsibility of the individual faculty member to inform the Provost who, after consultation with the faculty member, shall refer any problematic case to the Research Ethics Committee for its opinion before a decision on financial aid is made.²³ Proposed research shall be judged ‘restricted,’ and hence ineligible for College financial support, only when foreseeable restrictions on inquiry appear to the Provost and Research Ethics Committee to compromise or vitiate the scholarly goals of the researchers/authors, or when restrictions on dissemination are such that there seems no reasonable prospect that the end results will become freely available to other scholars. Financial support refers both to direct research grants and to sabbatical pay. Regular salary is not considered financial support when ‘restricted research’ is undertaken during the summer months or during the year within the limits of College policy concerning ‘Concomitant Employment’ (*Handbook for Instructional Staff*, Section III-A-10).
- b. Faculty members are urged to heed the AAUP’s Resolution on Covert Intelligence Operations in the United States, which calls on all academics associated in any capacity with any governmental agency to disclose the nature of this association to professional colleagues, students and others who are affected by it, as well as in publications resulting from this association. (End of faculty action.)

The College’s Research Ethics Committee is responsible for the review and approval of research involving human subjects at the College. A subcommittee of the Research Ethics Committee constitutes the Institutional Review Board required for research supported by several branches of the federal government. Faculty planning research on human subjects should visit the IRB Web site (<http://www.swarthmore.edu/institutional-review-board>) and review the College’s guidelines from the Committee early in the planning process. Also, see the following sections on “Research Misconduct” and “Guidelines for Research Involving Human Subjects at Swarthmore College.”

Faculty members who wish to make formal application for financial assistance or other assistance from a private or governmental agency should discuss the matter in advance with their department chairs. Since this kind of funding often requires allocation of space, the hiring of personnel, assistance from the College, or other special arrangements, it is essential that the proposed budget be established in close consultation with the offices of Sponsored Programs (SP) and Institutional Relations (IR).

23. In rendering its decisions to the Administration, the Research Ethics Committee functions, as do other College committees, in an advisory capacity. Final decisions concerning the allocation of College resources for research remain the responsibility of the Administration, and ultimately of the Board of Managers." (This sentence was adopted by the faculty, 19 November 1981.)

Faculty members who undertake research financed by the federal government are urged to pay particular heed to their expenditures of funds. While the government usually permits some shifting of expenditures from one budget category to another, indiscriminate shifting is not permitted and can involve the individual and the College in serious embarrassment. Any departures from approved budgets should be discussed in advance with the SP and IR as well as the Senior Accountant in the Business Office.

All major equipment and appliances purchased under a governmental grant normally become the property of the College, unless otherwise stipulated. Faculty members who intend to leave the College for employment elsewhere and who wish to take such equipment with them should discuss the matter with the Provost and the Vice President for Finance and Treasurer.

Animal research on vertebrates (mammals, birds, amphibians, reptiles and fish) is reviewed by the Institutional Animal Care and Use Committee as set forth in the Guide for the Care and Use of Laboratory Animals, which embodies the requirements of federal, state and local regulations for animal research. The IACUC, whose activities are monitored by the United States Department of Agriculture, reports directly to the Provost. Any concerns about animal welfare in animas used in studies at the College should be reported to the Provost (ext. 8319).

Responsible conduct of research policy for Principal Investigators, Students, and Postdoctoral Researchers (Effective January 10, 2010)

Swarthmore College embraces the notion that sound research is critical to the advancement of knowledge in all disciplines. Furthermore, as noted in the institution's mission statement

*Swarthmore students are expected to prepare themselves for full, balanced lives as individuals and as **responsible citizens** through exacting intellectual study*

To this end, Swarthmore College encourages Principal Investigators to educate themselves and their students in the responsible conduct of research (RCR)²⁴ such that they not only learn appropriate methodologies for undertaking research in their respective disciplines but also receive training and mentoring with regard to the ethics involved in undertaking such activities.

More specifically, in compliance with the recent federal requirement that

“each institution that applies for financial assistance from the [National Science] Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and

²⁴ According to the Office of Research Integrity's *Introduction to the Responsible Conduct of Research*, RCR encompasses the following issues: (1) Data Acquisition, Management, Sharing and Ownership; (2) Conflict of Interest and Commitment; (3) Human Subjects; (4) Animal Welfare; (5) Research Misconduct; (6) Publication Practices and Responsible Authorship; (7) Mentor/Trainee Responsibilities; (8) Peer Review; and (9) Collaborative Science.

ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project,”²⁵

The following individuals must demonstrate evidence of having successfully completed the CITI Responsible Conduct of Research training:

- (1) all Swarthmore undergraduates and postdoctoral researchers working on an NSF-funded project (whether receiving a stipend, salary, academic credit, or in a voluntary capacity); and
- (2) all Swarthmore faculty who are supervising undergraduates and/or postdoctoral researchers as part of his or her NSF-funded project.

This requirement must be met **before** beginning the NSF-associated research, or receiving the associated stipend or salary.

For instructions on how to access the CITI training, please contact the IRB Administrator at IRB@swarthmore.edu). PIs, students, and postdocs must complete six core required modules and at least one elective module (or case study). There are two optional modules that may be required at the discretion of the faculty sponsor. CITI estimates that each module (including quizzes) will take 20-30 minutes to complete, though they may take longer. Please note that the on-line tutorials **do not** have to be completed in one sitting.

National Science Foundation Responsible Conduct of Research (RCR) Policy²⁶

1. Background

The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers. Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 1862o-1 requires that “each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.”

The language specified below provides NSF’s implementation of Section 7009.

2. Institutional Responsibilities

²⁵ America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 1862o-1), Section 7009

²⁶ From NSF’s January 2010 *Award and Administration Guide* (AAG), Chapter IV.B.
(http://www.nsf.gov/pubs/policydocs/pappguide/nsf10_1/aag_4.jsp#IVB)

- a. An institution must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research. As noted in GPG Chapter II.C.1.e, institutional certification to this effect is required for each proposal.
- b. While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review, upon request.
- c. An institution must designate one or more persons to oversee compliance with the RCR training requirement.
- d. Institutions are responsible for verifying that undergraduate students, graduate students, and postdoctoral researchers supported by NSF to conduct research have received training in the responsible and ethical conduct of research.²⁷

7. RESEARCH MISCONDUCT

The following was proposed by the Research Ethics Committee and approved by the faculty on October 24, 2008:

Because Swarthmore receives funds from certain federal agencies, the College is required by federal regulation to have in place a policy for response to allegations of research misconduct. These policies have been revised to comply with “Public Health Service Policies on Research Misconduct,” which became effective on June 16, 2005. It is published at 70 *Federal Register (FR)* 28370 (May 17, 2005) (subsequently codified at Title 42 of the Code of Federal Regulations [CFR] Part 93).

The new rule is applicable to incidents of research misconduct occurring within six years of the date on which HHS or the institution receives the allegation of misconduct, with some exceptions (see Section 93.105).

Research Misconduct Policy

Integrity in research is an essential part of the College's intellectual and social structure, and adherence to its spirit and principles must be maintained. These principles include commitments to truth, objectivity, fairness, honesty, and free inquiry.

Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

²⁷ There is a wide array of resources, in addition to the CITI online training, that can be used for education in the responsible conduct of research. NSF has funded two beta sites ([NSF Award 0936857](#) and [NSF Award 0936865](#)) to begin to provide an interactive community online resource on ethics education in science and engineering.

- a. Fabrication is making up data or results and recording or reporting them.
- b. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- c. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- d. Research misconduct does not include honest error or differences of opinion.

Allegations by any member of the College community about research misconduct by a member of the faculty shall be reported in writing to the Provost. Allegations cannot be made anonymously. The Provost will decide if an inquiry (preliminary investigation) is warranted in accordance with Section 93.307(a).

Inquiry

The Provost shall notify the subject of the inquiry of the allegations and contemporaneously sequester all research records and other evidence needed to conduct the research misconduct proceeding. Where appropriate, the subject of the inquiry may obtain copies of, or reasonable, supervised access to the research records. The committee shall keep all unpublished research confidential.

To the extent allowed by law, the identity of respondents and complainants will be maintained securely and confidentially. No identifying information shall be disclosed, except to: (1) those who need to know in order to carry out a thorough, competent, objective, and fair research misconduct proceeding; and (2) ORI as it conducts its review of the research misconduct proceeding and any subsequent proceedings.

The Provost shall also inform the agency sponsoring the research if such action is required by the agency.

If an inquiry is warranted, the COFP will appoint a committee to examine the allegations. COFP will take reasonable steps to ensure an impartial and unbiased process to the maximum extent practicable, including participation of persons with appropriate scientific expertise who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the inquiry or investigation.

The committee shall conduct an inquiry (i.e., an initial review of the evidence to determine if the criteria for conducting an investigation have been met) in accordance with Sections 93.307 through 93.309. The committee may call witnesses, examine published and unpublished research data of both accuser and accused and seek expert opinions both inside and outside the College. The committee will make every effort to complete the inquiry—including preparation of the inquiry report, submission of the inquiry report to the Provost, and giving the accused a reasonable opportunity to comment on it—within 60 calendar days of its initiation. If

circumstances clearly warrant a longer period, documentation of the reasons for the delay will be included in the inquiry record.

The Provost will review the committee's inquiry report and will make a final written determination of whether a full investigation is warranted on the basis of their recommendations. If the inquiry results in a determination that such an investigation is warranted, the committee shall begin the investigation within 30 calendar days of that determination and, on or before the date on which the investigation begins, send the inquiry report and the written determination to the ORI. The investigation process will comply with Sections 93.310 through 93.316.

Investigation

If the committee decides that an allegation of misconduct is not substantiated, all participants in the investigation shall be so informed in writing by the Provost. The Provost will also oversee good faith efforts to restore any potential detriment to the reputations of the person(s) alleged to have engaged in misconduct. Efforts shall also be made to protect the reputations of those persons who, in good faith, made the allegations. If the committee has reason to believe that unfounded charges have been brought with malicious or dishonest intent, the committee shall recommend considerations of the appropriate action by the College.

If the committee finds that the allegations are substantiated, the accused has the right to appeal on procedural grounds to the Provost. The appeal must normally be presented within 30 calendar days of notification of the committee's decision. The appeal must specify how the appellant believes the procedure was flawed or what new evidence is now available. The Provost may, at his or her discretion, appoint an ad hoc committee of faculty members to review the procedures used. This ad hoc committee will not substitute its own judgment for the judgment of the original committee on the merits of the case. If the ad hoc committee reports to the Provost that new evidence is available, the Provost will send the case back to the original committee. If the ad hoc committee finds flaws in the procedures which make it inappropriate to send the case back to the original committee, the Provost will ask COFP to appoint another review committee, following the same guidelines as described for appointment of the original committee.

If the committee finds that the allegations are substantiated, and the finding is not reversed on appeal, the Provost will inform ORI and any sponsoring agency of the findings of the investigation within 120 calendar days of the date on which it began. The Provost shall also inform publishers and editors of journals if manuscripts based on fraudulent research have been submitted and published. The Provost will decide whether to recommend to the President that dismissal be considered. If dismissal is initiated, then normal College procedures regarding dismissal as described in the *Handbook for Instructional Staff* shall apply.

The committee shall prepare the draft and final institutional investigation reports in accordance with Section 93.312. The Provost shall promptly provide to ORI after the investigation: (1) A copy of the investigation report, all attachments, and any appeals; (2) A statement of whether the institution found research misconduct and, if so, who committed it; (3) A statement of whether the institution accepts the findings in the investigation report; and (4) A description of any pending or completed administrative actions against the respondent.

ORI requires institutions to complete all aspects of an investigation within 120 calendar days of beginning it, including conducting the investigation, preparing the report of findings, providing the draft report for comment in accordance with Section 93.312, concluding any appeal, and sending the final report to ORI under Section 93.315. If it becomes apparent that the investigation cannot be completed within that period, the Provost shall request an extension in writing from ORI.

At any time during a research misconduct proceeding, appropriate interim actions will be taken to protect public health, federal funds and equipment, and the integrity of the PHS-supported research process. The necessary actions will vary according to the circumstances of each case, but examples of actions that may be necessary include delaying the publication of research results, providing for closer supervision of one or more researchers, requiring approvals for actions relating to the research that did not previously require approval, auditing pertinent records, or taking steps to contact other institutions that may be affected by an allegation of research misconduct.

The Provost shall maintain and provide to ORI upon request all relevant research records and records of the research misconduct proceeding, including results of all interviews and the transcripts or recordings of such interviews. The College will maintain all documentation resulting from the investigation for a minimum of seven years as required by Section 93.317.

Summary

- This policy applies to research misconduct occurring within six years of the date on which HHS or the College receives an allegation.
- Inquiries must be completed within 60 calendar days of its initiation.
- The inquiry report and written determination must be submitted to ORI within 30 calendar days of the end of the inquiry.
- Investigations, if warranted, must begin within 30 calendar days of the end of the inquiry. ORI must be notified at the start of an investigation.
- Investigations (including any appeal process) must be completed within 120 calendar days

A complete copy of the new final rule on research misconduct is posted on the [ORI web site](#).

8. GUIDELINES FOR RESEARCH INVOLVING HUMAN SUBJECTS

Any member of the Swarthmore community—whether faculty, staff, or student—who conducts research involving human subjects must receive approval from the Research Ethics Committee—which also serves as the College’s Institutional Review Board (IRB)—before beginning data collection or any interactions with potential research participants. The IRB’s mission is not only to certify that researchers are in compliance with the federal regulations for the protection of human subjects but also to foster ethical principles of beneficence, justice, and respect of individuals’ dignity and autonomy. This memo is intended to clarify both when IRB certification is necessary, and how to go about securing it.

DOES MY PROJECT REQUIRE IRB REVIEW?

A project requires IRB review if it involves both “research” AND “human subjects”:

(1) Research is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” (Section 46.102(d), Code of Federal Regulations 45 CFR, Subtitle A, Part 46).

(2) Human subject is defined as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information” (Section 46.102(f)).

Even if a project is not intended to generate publishable results, it may still be considered research. There are additional criteria for what constitutes research on human subjects on the Swarthmore IRB website (<http://www.swarthmore.edu/institutional-review-board>).

It is the task of the IRB to review research proposals to insure that the guidelines for protection of human subjects are followed. Much research in the social sciences, some in the natural sciences and humanities, and some conducted by the administration relies upon data gathered from individuals. Sometimes researchers gather data directly from individuals through surveys, interviews, or experiments; researchers may also gather data indirectly, by drawing on their own or others’ pre-existing databases that contain information gathered from human subjects. In either case, researchers must follow specific regulations and procedures. Note that students’ research projects— especially theses— may fit the definition of research.

Faculty, staff, and student research that involves human subjects—whether carried out at Swarthmore or carried out elsewhere—must receive IRB approval. IRB approval is necessary regardless of whether it receives extramural funding, regardless of the location of the project, and regardless of whether or not the involved student will earn academic credit. If research is co-sponsored by another institution, Swarthmore’s IRB may accept that institution’s IRB approval as adequate, but researchers should not assume that simply because a project has IRB approval from somewhere else, it does not need review by Swarthmore’s IRB.

For international projects, the researcher must also comply with applicable local rules, including local laws and regulations and the requirements of a hosting institution such as a local university. (See [OHRP’s website](#) for more information.)

Projects/programs that do not require IRB review. IRB review is *not* required for projects that are intended as students’ learning exercises (as, for example, part of students’ training in research methodology) or as course assignments. Such projects should be reviewed by the instructor. IRB approval is also *not* required for social service projects (such as the provision of counseling, tutoring services, or arts or drama training or experiences), even though these projects engage human participants. Such service projects may include internal evaluations that involve focus groups or surveys of the participants. As long as these assessments are intended only to provide information for assessing or improving the program and not to produce

generalizable knowledge, they do not meet the definition of research as defined in the federal code (see above).

Note that although these projects do not require IRB review, standards of ethical conduct still apply. The sources of information listed below (see “Regulations and Resources”) may provide useful guidance.

WHY IS PROTECTION OF HUMAN SUBJECTS NECESSARY?

In addition to the ethical imperative to protect human subjects, there are real and identifiable risks associated with lax adherence to human protections regulations. The three levels of accountability are: the researcher, the IRB itself, and the institution and its representative (in our case, the Provost). In the extreme, penalties imposed by the federal Office for Human Research Protections (OHRP) could include the suspension of all research involving human subjects at the institution for a period of time and a requirement that all future investigators apply directly to the U.S. Department of Health and Human Services (HHS) for review and approval of each research project. IRB review is also important for researchers because many professional journals require IRB approval of research as a condition for publishing reports based on the results.

IRB REVIEW PROCESS

The IRB is eager to work with researchers to help them bring their research projects into compliance with regulations concerning ethical treatment of human subjects. We make every effort to streamline the review process. But the members of the IRB committee all have multiple other responsibilities, so please help us by submitting fully-prepared applications far enough in advance to allow at least two weeks for cases requiring expedited review (see below) and four to eight weeks for cases requiring full review (see below). **The IRB does not meet during summer months; applications for research that will take place during the summer should be filed before May 1 if they require expedited review, and before April 15 if they require full review.**

A description of procedures for submitting proposals to the IRB, as well as the required application forms are available on the [IRB’s web page](#). Investigators must submit the completed application with details about the proposed research, including the scholarly rationale for the project, its potential risks and benefits, an outline of research procedures, procedures for informed consent, and measures for protecting privacy and confidentiality. All applicable documentation requested in the checklist for supporting materials—such as survey instruments, consent forms, and associated grant applications—must be included with the application.

A research project submitted to the IRB will be assessed at one of three levels of review: (1) The IRB may deem it *exempt* from further IRB review; (2) the IRB may deem it qualified for *expedited* review (that is, review by a subcommittee of the whole committee); or (3) the IRB may determine that the application requires *full IRB review* at a meeting of the entire committee.

When reviewing applications to determine the appropriate level of review as well as to determine whether the researcher’s procedures adequately protect the participants in the research, the IRB considers the following questions (among others):

- Are the risks to subjects reasonable in relation to anticipated benefits to subjects (if any) and/or others? Are the risks reasonable and in relation to the importance of the knowledge that may be expected to result?
- Does the research involve the collection of data or recording of behavior which, *if known outside the research context*, could reasonably place subjects at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, or reputation?
- Does the research involve prisoners, pregnant women, seriously ill, or mentally or cognitively compromised adults as subjects?
- Does the research involve deception, and if there is deception, when and how will subjects be debriefed?
- How will the researcher secure the informed consent from the subjects?
- Are any of the subjects of the research under 18 years of age?
- Is participation in the research potentially distressing to subjects? Might participation cause psychological or social harm? Has the researcher designed adequate measures for minimizing these risks and for addressing them, should they occur?

When proposals are reviewed by the IRB, three outcomes are possible: (1) a protocol may be approved with no further action from the investigator; (2) a protocol may be approved contingent on additional conditions determined by the IRB; and (3) a protocol may be denied approval by the IRB, in which case the research cannot be initiated by the investigator. The IRB provides the reasons for the denial in writing. The investigator then can respond either in writing or in person at the next meeting of the IRB.

IRB approval is typically in effect for one year. During that period, investigators must request approval from the IRB for any modifications to the project, except those necessary to eliminate apparent immediate hazards to subjects. Typical modifications include both minor revisions (e.g., changes in contact information on consent forms, additions or deletions of staff, additions or deletions of questions in a survey) and substantive revisions (e.g., changes to the recruitment plan, adding a research site, or changing the principal investigator). Any unanticipated problems involving risks to subjects or others must be promptly reported to the IRB. *If the investigator wishes to continue the research beyond the approval expiration date, he or she must re-submit the proposal and a progress report to the IRB for a continuation of the approval.*

STUDENT RESEARCH POLICY AND FACULTY SPONSORS

Student research that involves human subjects—whether carried out at Swarthmore or carried out elsewhere but supported by funds provided by Swarthmore—*must* be sponsored by a Swarthmore faculty member. Students must receive IRB approval for such research if they have responsibility for the project in their capacity as a Swarthmore student. IRB approval is necessary regardless of the location of the project and regardless of whether or not the student will earn academic credit.

A student's IRB applications must be reviewed and signed by the faculty sponsor before it is submitted to the IRB. In signing, the faculty sponsor takes responsibility for a proposal being ready for the committee's attention, for monitoring the conduct of the research, and for assuring that ethical procedures are followed. For international projects, the student and his or her sponsor

must also comply with applicable local rules, including local laws and regulations and the requirements of a hosting institution such as a local university. (See [OHRP's website](#) for more information.)

REGULATIONS AND RESOURCES

The IRB's review of applications is guided by the ethical principles outlined in the [Belmont Report](#) and procedures described in the [Code of Federal Regulations 45 CFR, Subtitle A, Part 46, Protection of Human Subjects](#), as most recently amended. We encourage applicants to familiarize themselves with these documents, as well as with the ethical standards of their disciplines.

We further encourage researchers, including student researchers, to complete human subjects protection training, either through the [Collaborative Institutional Training Initiative \(CITI\)](#) or through one offered by the professional association of their discipline (if applicable).

Instructions for accessing the online CITI training are on the IRB website:
(<http://www.swarthmore.edu/institutional-review-board>),

Another helpful tool to determine how a research project will be assessed by the IRB is the [Human Subject Regulations Decision Charts](#) provided by the Office for Human Research Protections.

9. GRANT PROPOSAL ASSISTANCE

Sponsored Programs (SP) and Institutional Relations (IR) provide support to faculty and staff seeking external funding from foundations, corporations, and government sources for individual faculty initiatives and larger-scale institutional projects, respectively. The offices work closely with the Provost and Dean of the Faculty to help faculty members secure funds for research and scholarship, sabbatical leave, and special collaborative initiatives.

All faculty submitting letters of intent (LOIs) and proposals to external agencies are required, at a minimum, to notify SP and IR staff of their plans. The College is required to maintain an accurate representation of the full scope of scholarly activities in which faculty are engaged. This notification requirement also applies to faculty submitting individual fellowships and applications not requiring an institutional signature. Individual applications might also benefit from SP and IR staff assistance.

LOIs to external agencies should be submitted for review to Sponsored Programs of Institutional Relations at least two weeks before the LOI deadline. It will be determined on a case-by-case basis if the LOI needs to be routed for internal approval with additional stakeholders. Approval may be required if the LOI involves a full, detailed budget; resource or research compliance implications; collaboration; and/or a signature from an Authorized Organizational Representative (AOR) or Signing Official (SO).

Any proposal involving the use of College resources (facilities, equipment, personnel, leave replacement, ITS services, cost-sharing, etc.) or the College's name, Tax ID, or other

institutional identifiers must be approved by the College before submission to ensure that the College, its faculty, and staff can assume the responsibilities, obligations, and risks involved.

The successful submission of a proposal and its subsequent implementation is the shared responsibility of the faculty or staff principal investigator (PI) and grants office, and participating College staff. The faculty or staff member leading an externally sponsored project must ensure adherence to agreed-upon budgets, activities, and timelines as described in the proposal and agreement with the funder. The PI must also abide by regulations regarding responsible and ethical conduct of research (RCR), non-discrimination, sexual harassment (Title IX), human subjects (IRB), animal subjects (IACUC), recombinant DNA research (IBC), financial conflict of interest (FCOI), intellectual property (IP), international travel, export controls, guidelines for programs involving minors, and other compliance responsibilities.

Staff in SP and IR can assist with pre-award and non-financial post-award responsibilities. Support available to faculty and staff grant seekers includes: identifying funding sources; strategizing approaches to funding organizations; reviewing proposal drafts; directing PIs to appropriate internal and external authorities for pre-award and post-award compliance; sending deadline reminders for narrative and financial reports; and requesting external approval for changes in a project's scope of work, budget, or duration. Other College staff can also assist with pre-award and post-award responsibilities.

For more information on grant proposal assistance, please see the [Sponsored Programs Web site](#).

10. RESEARCH SUPPORT

a. Internal Research Support

Swarthmore College maintains a limited Research Fund for the support of research activities by its full-time and regular part-time faculty in the ranks of Professor, Associate Professor, Assistant Professor or Instructor. Regular part-time members of the faculty are eligible for reimbursement on a pro-rated basis according to the degree of employment. Instructional Staff at the ranks of Lecturer, Lab or Language Lecturer, or Lab or Language Instructor are generally not considered eligible for research support funds; individuals in these ranks may be considered on an ad-hoc basis upon the recommendation of their chair.

The following types of expenditure are normally subsidized by the Fund:

1. The cost of secretarial assistance for the preparation of lengthy manuscripts such as dissertations and books (not textbooks whose only claim to originality is pedagogic). Where the dissertation is in fulfillment of degree requirements, the subsidy will not exceed one year's grant. Articles, reviews, and papers, which are to be submitted for publication, are rightfully a departmental matter and secretarial assistance will be found within the department. If the secretarial load is too great for the department, then outside secretarial assistance should be sought through Office Services or other typists. Charges for such service will be borne by the department involved.

2. The cost of equipment and supplies for research, which cannot properly be charged to a department. The equipment should be procured in accordance with the [Colleges procurement policies](#) and only after securing the required approvals; the equipment becomes the property of the College, and books and microfilm should be deposited with the library.
3. The stipends of research assistants. Requests for such assistance should be made only when a project has reached a state where such employment will clearly be fruitful. The employment of undergraduates, either during the college year or during the summer, is of educational value, and requests for such assistance receive particular consideration. Current Swarthmore College student-employment policies will normally be used.
4. Travel expenses essential to a research project, excepting those expenses more appropriately covered by the College's scholarly conference travel fund. (The Research Support Fund does not normally reimburse basic travel or living expenses incurred in an extended change of residence for research purposes during a leave.)
5. Grants in aid of publication. Page charges and aid towards publication of a book or monograph will be considered in this category.
6. Expenses in duplicating research literature from sources outside the College will be considered. However, when duplication is performed on College equipment, the charges are to be met by the individual departments in the manner of secretarial assistance as set forth in Section 1.

In 1998 the COFP decided that the Provost's Office should deal with faculty requests for research support. Members of the faculty who wish to make use of the Research Fund should address a written request to the Provost, giving a description of the research project, including its plans for publication, and estimated costs, and stating the academic year (September 1 to August 31) for which funding is requested. The Provost will then consider the request, consulting when it seems necessary with the applicant, the applicant's department chair, department members and others. Faculty members are asked to keep in mind the following points:

1. The possibilities of support from an outside source should be explored before making an application to the Provost. Faculty contemplating applying for such outside grants must consult with the Sponsored Programs and/or the Institutional Relations Offices for information and assistance. See the policies set out in the [Grant Proposal Assistance section](#) above.
2. The usual limit for each request has been set at \$1,800, although circumstances may justify an exception. However, in planning a research project that will cover more than one year, a faculty member may apply for a grant covering two years of expenditure of not more than \$3,600, provided such a grant will better facilitate the accomplishment of the research goals. (Faculty members may not apply for funds to be counted against previous years.) This means that the faculty can apply for funds for the current year and also the following year in such a case. He or she would then have to wait for two years before reapplying again.

3. Applicants should submit their requests for funds as far in advance of the date of their expected need as possible. Applications will be considered twice each year, in October and March. The Provost's Office sends out calls for proposals in September and January for the October and March deadlines.
4. Faculty are strongly encouraged to use the grant funds within the allotted time period so that unused portions of grants will not remain indefinitely on the books.
5. Recipients are asked to acknowledge the Swarthmore College Research Fund in publications assisted by Fund expenditures and to send a citation of the publication to the Provost.
6. In the event that the Research Support Fund contains insufficient funds to cover the total amount of approved requests in a given year, the Provost will take into account the total amount of funds awarded to an individual by the Research Support Fund over the past five years. Preference will be given to those who have received smaller total awards.

(Revised by Research Support Committee, 13 February 1992; announced at faculty meeting, 20 February 1992; further revised by COFP in 1998.)

b. External Grants Recognition and Acknowledgement Program

Beginning with the 2021-2022 academic year, the College will provide an infusion of research funding equivalent to 7.5% of the awarded indirect costs on all new external grants. The intent of this program is to reward and incentivize faculty research by providing a program similar to indirect cost recovery offered by other institutions. This program, focused on grants that require budgeted indirect costs, will provide supplemental funding to the principal investigators for the purchase and maintenance of equipment, travel, and other research expenses.

Eligibility: All externally awarded grants that include awarded indirect costs are eligible. Grants without awarded indirect costs are not eligible for this program.

Amount: Up to 7.5% of the awarded indirect costs on the external grants will be transferred to the researcher into their individual research fund. In the case of PIs who are not eligible for faculty research funding, an alternate restricted fund will be used. The 7.5% will be calculated based on the awarded indirect costs at the time of the award, according to official award documents received by the College.

Timing and location of transfer: These funds will be disbursed when the College receives official notification of the grant funding and will be calculated according to the indirect costs awarded at that time. The funds will be transferred to the PI's research or other restricted fund. In the case of grants that have co-PIs, the 7.5% will be split evenly between the researchers, unless otherwise requested.

11. APPOINTMENT OF FACULTY ADMINISTRATORS

Department chairs are appointed by the President, on the recommendation of the Provost, who consults extensively with members of the department. Seniority is one consideration, but not

determinative. A chair usually serves five years, though shorter terms are possible. A term may be renewed, but the norm is for the chair to rotate.

The Provost is appointed by the President, on the recommendation of a special search committee identified by the Committee on Faculty Procedures; COFP members may not constitute a majority of the search committee. The form of the committee's recommendation to the President (e.g., whether to rank top candidates) is at the discretion of the committee. The Provost is appointed for five years and may be reappointed once, for a maximum of five years, following either an internal review or a search. When reappointment of an incumbent Provost is under consideration, the COFP will appoint a search committee, a majority of which may not be current COFP members. The search committee may conduct an internal review to determine whether a full search is warranted. Searches are usually restricted to the tenured faculty but may be national if circumstances warrant.

The Associate Deans of the Faculty are appointed by the Provost on the recommendation of an ad hoc committee chosen by the Committee on Faculty Procedures. The appointments are for three years after which a new search is undertaken, although the committee may choose to recommend renewal.

12. ACCESSIBILITY OF INFORMATION ON CAMPUS

Accessible Course Materials, Media and Websites

To ensure that all have an equal opportunity to learn, work, and thrive in this community, we must provide electronic information and technologies that do not present barriers. Ensuring equal and effective access to electronic and information technology is the responsibility of all College administrators, faculty, and staff.

We are committed to making reasonable accommodations in order to provide students with disabilities an equal opportunity to participate in courses, programs, and activities. This policy is in accordance with federal and state laws including the Americans with Disabilities Act of 1990 (ADA), as amended, and Section 504 of the Rehabilitation Act of 1973.

With respect to course materials our goal is that all material be shared in a format that enables as many students as possible to access it. Whenever we become aware of a particular need, the course material must be made accessible. If for any reason, we are unable to do this we must provide a means of equally effective alternative access.

When considering the purchase of electronic resources, or software, please consult with ITS early in the process. They can help in evaluating the accessibility of the software and review security and integration with campus systems. For assistance with ensuring your course materials are accessible, or if you have questions about this policy, please contact accessibility@swarthmore.edu.

For technical assistance preparing accessible documents and course articles, contact the Accessibility Team at accessibility@swarthmore.edu. Faculty, staff, students and alumni may also use the Sensus Access document conversion service free-of-charge. To access the service,

visit <http://www.swarthmore.edu/academic-advising-support/convert-inaccessible-course-material>. For help locating captioned videos, contact the User Technology Support Specialist in McCabe Library.

For more information on resources to support students with disabilities, visit: <https://www.swarthmore.edu/academic-advising-support/faculty-and-staff-resources-to-support-students-disabilities>

II-D. THE LANG CENTER FOR CIVIC AND SOCIAL RESPONSIBILITY

The Eugene M. Lang Center for Civic and Social Responsibility, physically located at 3-5 Whittier Place, was created to support the College's long-stated objective to "help its students realize their fullest intellectual and personal potential combined with a deep sense of ethical and social concern." The Center serves as a home base for many activities and programs that connect campus constituencies (faculty, staff, and students) with communities in the U.S. and abroad through service, advocacy, social innovation, and Engaged Scholarship: teaching and research that connects the classroom and curriculum to local and global communities, helping scholars to become reflective practitioners in the public interest. The Lang Center and the College have been recognized nationally for our efforts and commitments to social responsibility, most recently in 2015 by receiving Carnegie Classification for Community Engagement—in areas of both Curricular Engagement and Outreach and Partnerships—and by placement on The President's Higher Education Community Service Honor Roll, the highest federal recognition an institution can receive for its commitment to service-learning and civic engagement.

Faculty are encouraged to access the Center's resources, such as classroom space, funds for teaching, research, and collaborative projects, staff support, and the Visiting Lang Professorship. Our undergraduate Lang Center Associates may also be available for assistance with research and projects in areas related to their interests and strengths. See the Lang Center website for further details about all of these resources, and for information about finding and forming mutually beneficial community partnerships

Space: Meeting rooms are available at the Center for classes, committees, conferences, and receptions. Reservations are required. The Center remains open until midnight Sunday-Thursday, by request on weekends, and encourages all of its constituencies to use its library, computers, and available spaces for studying, collaborations, and informal meetings.

Funding: Faculty may apply for curriculum development funds to generate or revise courses that include a focus on social responsibility, especially in ways that meaningfully connect students to communities through collaborative action or research. These funds are available on a rolling basis, with applications accepted throughout the year (see website for details). Generally they cover expenses such as materials and transportation, although in circumstances that demand an extraordinary amount of faculty preparation and activity, modest summer stipends may be available. Faculty members, along with students and staff, are also eligible to apply for "Swarthmore Foundation" funds, given in small grants to support Engaged Scholarship, community service and projects with social impact. We are especially eager to fund student-faculty collaborations in such instances when student summer research and community

engagement can contribute to faculty research or other commitments that relate broadly to the Lang Center's core principles: justice, ethics, equity, social amelioration, arts for social change, and citizenship broadly construed.

The Eugene M. Lang Visiting Professorship for Issues of Social Change: Faculty and departments are encouraged to nominate candidates for a visiting professorship coordinated by the Center which invites faculty, activists, or public figures distinguished by their engagement with social justice, civil liberties, human rights and democracy to spend a year on campus. Lang Visiting Professors teach one course per semester, give public lectures, advise students individually, and generally offer stimulating, new perspectives to the intellectual and activist life of the campus. The Center provides logistical and administrative support for the visiting professor, while a department or program provides the academic and social home. A call for nominations is issued during the fall semester, although inquiries and suggestions are welcome year round given the complexities of coordinating the schedules of potential guests' schedules.

Partnerships & Membership Organizations: The Lang Center represents the College in partnerships with community organizations that share our mission, and also with national organizations devoted to education for responsible citizenship. For instance, the Center represents the College as a founding member of Project Pericles, a national organization founded (in 2001) by Eugene Lang '38. Project Pericles encourages and facilitates its member institutions' commitments to promote citizenship, education (including social responsibility and active participation) as essential parts of their academic programs. Swarthmore also belongs to Campus Compact, a national organization devoted to community service, civic engagement and service-learning in higher education. Finally, the College participates (through the Lang Center) in Imagining America, a consortium of colleges and universities committed to public scholarship and practice in the arts, humanities, and design.. The Lang Center can fund faculty interested in attending Imagining America's annual and regional conferences.

Staff Support: Lang Center staff members can provide a wealth of information about Engaged Scholarship, which includes teaching and research oriented toward issues of public importance. Lang Center staff are eager to consult about pedagogical methods and "best practices" relating to community-based learning, which can involve collaborative projects with community partners, or "experiential learning," which can involve as little as a few off-campus engagements or as much as an international travel-based course attachment. Staff members can also help interested faculty to develop a community-based component for existing classes, to find appropriate community collaborators for purposes of teaching, research, and to arrange the necessary transportation. The Lang Center web page houses an innovative Civic Engagement Mapping tool, with which faculty and staff members interested in different civic engagement issues and community partnerships can find each other, learn more about each other's partnerships, and begin the process of collaboration.

Please see the [Lang Center's webpage](#) at for additional details.

II-E. MISCELLANEOUS

1. PURCHASING

The Business Office staff administers the purchase-to-pay process on behalf of the College. Budget authority is granted by the Provost's Office to representatives, mostly Department Chairs of a particular department's ORG or financial managers of a restricted fund. Those individuals are charged with the responsibility of conforming spending to the annual budget. Any anticipated departure from the unit's budget must be discussed with the Provost's Office before financial commitments have been made.

The College has a central Purchasing area as part of its Business Office that can assist departments with the selection of a new vendor(s), reviewing contracts from vendors, or preparing request for proposals (RFPs). Departmental invoices are sent directly to departments for approval and then should be forwarded to the Business Office accounts payable staff for payment. Further details of purchasing and payment procedures may be obtained from the Business Office website.

College administration assembles the elements of the annual budget well in advance of the new fiscal year, and therefore it is essential, that instructional staff members who wish to request the purchase of equipment or capital improvements, or to increase staff personnel, discuss these matters early in the budget process with the appropriate administrative officers.

Members of the instructional staff who incur out-of-pocket expenses should submit their requests for reimbursement, together with the appropriate evidence of expenditure (original receipts) to the appropriate budget manager for approval. Expense reimbursement requests that will be drawn against the departmental budgets should be signed by the Department Chair; those to be drawn against budgets in the Provost's area such as for recruitment of new faculty or honors examiners, should be sent to the Provost's Office for signature and forwarding to the Business Office. Upon processing, these reimbursements are disbursed to faculty and staff via direct deposit. The College also has a Purchasing Card system that faculty and staff may apply for upon approval of the Provost's Office.

2. DEPARTMENTAL VISITING SPEAKER EXPENSES

Members of the instructional staff and administration will be reimbursed for reasonable out-of-pocket expenses incurred for housing, meals, and transportation of visiting speakers, honors examiners, or candidates for appointments. Requests for reimbursement on forms available from department offices, together with appropriate evidence of expenditure (original receipts), should be submitted to the Provost's Office for approval.

Note that for non-resident aliens, payment of honorariums or other compensation are subject to IRS and/or state withholding requirements, for further information please contact the Business Office.

See <http://www.swarthmore.edu/business-office/policies> for additional reimbursement and expenditure guidelines.

3. TRAVEL GUIDELINES AND STANDARD PROCEDURES

For travel guidelines, including a list of reimbursable travel expenses, substantiation of business travel expenses, use of travel agencies, payment of travel expenses, obtaining a Purchasing Card (PCard), travel advances, van rentals, and lodging and meal costs, employees should consult the policies detailed on the following Business Office webpage:
<http://www.swarthmore.edu/business-office/policies>.

4. SCHEDULING EVENTS

Events Calendar

Swarthmore faculty, staff, and students may book a campus event and display that event on the [campus calendar](#) using [Swat Central](#), the College's centralized space reservation system. Listed events may be viewed by clicking the 'Calendar' link at the top corner of any page of the College's website. Events are listed daily, weekly and monthly.

Space Requests

Most spaces (classrooms, meeting areas, athletic facilities, arts centers, etc.) on campus are scheduled through [Swat Central](#), which may be accessed with a Swarthmore User ID and password. For more information about events on campus, contact [Events Management](#) at 610-328-8355 or e-mail space@swarthmore.edu.

Social Center

The Tarble Social Center in Clothier Hall is designed for the social and recreational use of the students, employees, and guests of the College during the academic year. Three different facilities in Clothier Hall comprise the social center: Upper Tarble/Tarble All Campus Space, a large open room for receptions and college events on the second floor; the Essie Mae snack bar with foosball table and a lounge on ground level; and a game room and TV room on the lower level. Children who use the game room must be accompanied by an adult. Requests for use of Upper Tarble may be scheduled through [Swat Central](#).

5. COLLEGE SPACE RENTAL GUIDELINES

As a general rule, the buildings, facilities, and equipment belonging to Swarthmore College are reserved for the use of the institution's students, instructional staff, administration, and alumni, and are used only for purposes in keeping with the educational objectives of the College or for activities in keeping with normal college social life. For this reason, the College normally requires that all special events, speakers, concerts, recitals, and conferences be sponsored by a recognized student organization, by instructional staff members, or by the College itself.

The College recognizes, however, that occasions may arise when it can lend a substantial service to the local community or even to organizations outside the local community by making its facilities available. Permission will be granted, therefore, in cases where it is clear that the planned activity will not interfere with normal academic or social activity on the campus, and where the sponsoring group has agreed to undertake any incidental costs, such as parking, building supervision, etc., and supply a certificate of insurance. Requests for the use of College facilities by outside organizations must be submitted to the office of **Events Management** at 610-328-8355 or e-mail space@swarthmore.edu.

6. MOTOR VEHICLES

The roads on campus are private lanes maintained by the College for the convenience of its personnel, students, and visitors. Inasmuch as these roads are used for both pedestrian and vehicular traffic, it is necessary that all vehicles be operated at or below the posted 15 MPH speed limit and under control at all times. Driving or parking any vehicles, including scooters or motorcycles, on the grass or walks is not permitted. Swarthmore College instructional staff and staff may park in designated employee parking areas, according to permit color.

Given the limited number of parking spaces on campus and in order to assist Public Safety Officers in locating the owner of a vehicle, all vehicles except those which belong to visitors must be registered with the Department of Public Safety and display a valid Swarthmore College parking decal. Decals are issued by the Department free of charge to students, instructional staff, and staff. Members of the College community are expected to be aware of the specific traffic and parking regulations and of the procedures to be followed in cases of violations. Information may be obtained from the Department of Public Safety.

III. EMPLOYMENT AND COMPENSATION FOR INSTRUCTIONAL STAFF

III-A. EMPLOYMENT

1. APPOINTMENT PROCEDURES

The recruitment of new instructional staff members is the joint responsibility of the President, the Provost, and the Department Chairs, in consultation with department members. Recruiting may not begin until approval has been received from the Provost. The Provost or the Provost's representative interviews all candidates and has sole authority to negotiate salary, rank, duration of appointment, and other contractual arrangements. The letter of contract must be approved by the President and ratified by the Board of Managers before it becomes legally binding.

Negotiations looking to the possible appointment for the following fall of persons who are continuing instructional staff members of other institutions will be begun and completed as early as possible in the academic year. In order to help the College expedite its search and negotiation process, instructional staff members who are considering positions at other institutions are asked to inform the appropriate officers of the College at the earliest date of their possible or probable plans.

2. FURTHERING RACIAL AND ETHNIC DIVERSITY

Swarthmore College considers the recruitment and retention of a diverse faculty critical to furthering of the College's community and educational values. In acknowledgement of the endorsement by the faculty (6 February, 1998) to take necessary and appropriate steps to significantly recruit and retain diverse faculty within tenure-track positions across the college, the Associate Dean of the Faculty for Diversity, Recruitment, and Retention along with the Faculty Committee on Diversity and Excellence takes particular responsibility for

advancing diversity among the faculty through researching best practices and proposing and implementing programming in support of this goal.

3. NEW TENURE TRACK FACULTY APPOINTMENTS

Instructors and Assistant Professors in tenurable positions are normally appointed for periods not exceeding four years; until the appointee has served seven years, appointments are adjusted in length so as not to run beyond the end of the seven year period of probation. Associate Professors and Professors first appointed to the faculty at these ranks will be appointed for an initial period not exceeding six years. (Based on action of the faculty of 23 May 1973, and of the Board of Managers of 1 June 1973. See below, III-A-4.)

The College discontinued its anti-nepotism policy in 1968. (Adopted by the faculty, 24 May 1968; approved by the Board of Managers, 7 June 1968.) For matters of Equal Opportunity see Section II-A-1 of this handbook.

4. RENEWAL OF TENURE TRACK FACULTY APPOINTMENTS

Instructors and Assistant Professors on the tenure track will be notified in writing, as to whether or not they will be reappointed by February 15 whenever possible and by no later than May 1 of the third year of their appointment. In extraordinary circumstances in which it is not feasible to observe the stated deadlines for notice about renewal of appointment the reasons why it is not feasible will be fully explained to the appointee by the applicable date; and in no case will final notification occur later than March 1 of the last year of an appointment. (Adopted by the faculty, 18 May 1971; amended by the faculty, 15 February 1984, and by the Board of Managers, 24 February 1984.)

Procedures covering renewal of appointments of part-time faculty are described below under "Part-time and Temporary Appointments."

5. REVIEW OF APPOINTMENT RENEWAL DECISIONS

In accordance with College policies on academic freedom and fair employment practices, the central considerations in the renewal of academic appointments of faculty members normally are professional performance in teaching and scholarship. For full-time head coaches, members of the athletics faculty, the central considerations are professional performance in coaching and teaching. For instructional staff such as laboratory and language instructors and lecturers, the central consideration is professional performance in teaching. Other contributions to the program and functioning and common life of the institution may also be taken into account together with the College's staffing needs, including such factors as curricular and enrollment patterns and the distribution of seniority and academic ranks in the faculty. Further relevant considerations appear in the College's regulations on Tenure and on Termination of Appointments.

The judgments entering reappointment decisions are necessarily comparative and prospective to some extent, and it is not possible to specify in advance the full range of considerations that may be relevant to particular cases. The College recognizes that, despite every effort to

reach its reappointment decisions judiciously, cases of apparent or actual departure from policy may occur, and for such extraordinary cases it has established the following special procedures for assurance of appropriate consideration and protection of academic freedom.

A faculty member or other instructional staff receiving written notice of a decision of non-renewal of appointment will on request be advised orally in appropriate detail of the grounds that contributed to the decision. If the instructional staff member believes the decision was based on inadequate consideration under the relevant standards of the College or was improper in that in the absence of sufficient other reasons a violation of academic freedom played a role in the decision not to reappoint, that individual may ask the President for a reconsideration of the decision by those agencies which participated in it. Except in extraordinary circumstances, the request for reconsideration must be made within 45 days of written notification of nonrenewal of appointment. If this process either fails to resolve the issue or is deemed by the President and the instructional staff member to be inappropriate, the individual may request a written statement in appropriate detail of the grounds for not reappointing, provided that the request is made within 15 days of notification of the outcome of the reconsideration or the decision of the President and the instructional staff member that such reconsideration is inappropriate. Before providing such a written statement, an officer of the College shall first counsel with the instructional staff member about the possibly adverse consequences of a written statement.

If a written statement is provided and the instructional staff member then believes the decision to have resulted from inadequate or improper consideration for the reasons stated in the preceding paragraph, the instructional staff member may ask the President in writing to arrange for a review of the decision, stipulating the respects in which consideration is alleged to have been inadequate or improper. Except in extraordinary circumstances, the request for a review of the decision must be made within 30 days of the receipt of the written statement of the grounds for not reappointing. Such a review will be conducted by the non-administrative members of the Advisory Committee on Promotion and Tenure who did not participate in the original decision. If that Committee participated in the original decision the review will be conducted by a special advisory committee of three or five faculty members, of whom a majority shall be tenured, appointed by the elected members of the Committee on Faculty Procedures.

The reviewing committee will seek to determine whether there are sufficient grounds for the instructional staff member's allegation. The burden of proof will rest on the instructional staff member. The Committee will not substitute its judgment on the merits for that of those who made the original decision. The Committee will proceed informally and in private as it deems best, resolving by majority vote if necessary any issues relating to procedure or to its ultimate findings, with provision for minority reports. If the Committee finds a prima facie case of improper consideration as defined above, it shall then proceed with a formal hearing as described in the *Handbook for Instructional Staff* under "Termination of Appointments," but the burden of proof will continue to rest with the instructional staff member. In all other cases the Committee will report its findings, with or without recommendations concerning further procedures, to the President and the instructional staff member. In the light of the Committee's findings the President may, and if the Committee so recommends then will,

provide for reconsideration by those agencies of the College that participated in the original decision and for such further reconsideration as he or she may deem appropriate. In due course the President shall forward the materials of the case, with a personal recommendation, to the Board of Managers, whose decision will be final. (Adopted by the faculty, 28 May 1974, and approved by the Board of Managers, 31 May 1974. Amended and approved by the faculty, 29 November 1990.)

6. PROMOTIONS

Appointment for a specified term of years at a specified rank and salary does not preclude advancement during that term. The status of any person on a term appointment will be reviewed prior to the date upon which it expires. Salaries are normally reviewed at more frequent intervals. Each appointee will be informed in writing of any change in rank no later than March 15. Faculty will be notified of changes in annual base salaries no later than June 1, unless unavoidable budget procedures forbid, for changes to take effect the following September. (Based on College regulations dating from the 1950s. Salary notification date amended and approved by the Faculty 12 May 1995 and 2 February 2018.)

7. TENURE

Swarthmore College makes provision for appointment to the Faculty with continuous tenure in order to protect the freedom and integrity of teaching and learning, foster scholarship in a context of personal and professional development, and recognize the special responsibility for the institution's work and welfare implicit in continuing membership of the faculty. Tenure entails a decision by the College, within a limited period following initial appointment, about each appointee's continuing membership of the faculty. It thereby helps to ensure careful appraisal of professional performance, consideration of prospects of individual development, and protection of opportunities for change in program and renewal of faculty composition through the process of selection for reappointment with continuous tenure. These bases and consequences of tenure imply that professional excellence is a necessary but not always sufficient ground for its attainment.

Eligibility and Notice

Under the by-laws of Swarthmore College, reappointment with continuous tenure depends upon approval by the Board of Managers and notification by the President of the College. According to joint Board-Faculty regulations, the President's recommendation to the Board about reappointment with tenure is preceded by a departmental evaluation and review by the Advisory Committee on Promotion and Tenure.

Full-time Assistant Professors, Associate Professors, and Professors of Swarthmore College are eligible for consideration for continuous tenure as follows: Faculty members first appointed at the ranks of Instructor or Assistant Professor may attain tenure by reappointment beyond the seventh year of service. Notification about such reappointment will be given in writing not later than May 1 of the sixth year of service. Instructors are normally appointed for terms of one year. Assistant Professors and Associate Professors on reappointment short of tenure are normally appointed for terms not exceeding four years.

Such appointments are adjusted in length so as not to run beyond the seventh year. In exceptional circumstances resulting from uncertainties about the future structure of a department or the academic program of the College, the period of service before tenure may be extended to eight years or nine years by agreement between the College and the faculty member no later than May 1 of the fifth year of service, and in all such cases written notification about reappointment with continuous tenure will be provided by May 1 of the penultimate year before continuous tenure would occur.

Associate Professors and Professors first appointed to the faculty at these ranks are appointed for an initial period not exceeding six years. Notice in writing about reappointment will be given not later than May 1 one year before the expiration of the initial appointment.

In all cases regular leaves of absence count as part of the period of service before tenure.

A faculty member may be promoted in rank at any time during a term appointment without effect on tenure status, and reappointment with continuous tenure may occur without promotion in rank.

Considerations in Reappointment with Continuous Tenure

The decision to grant tenure to a faculty member is one of the most important decisions made by the College. It has three general characteristics. It is fundamentally a forward-looking decision in which judgments about the future needs of the College and the future performance of the individual are emphasized. It is also a comparative decision in which evaluation for tenure is regarded as part of an effort to identify the best person available for the position, with no governing presumption in favor of reappointment with continuous tenure. It is ultimately an integral decision about performance and potentiality, in which a comprehensive judgment is likely to amount to more than simple addition of separate, specific aspects of performance, despite its dependence upon their appraisal.

The principal criteria in decisions about reappointment with continuous tenure are teaching and scholarship. Other contributions to the College community and, where relevant to the College's purposes, service in the larger community will also be considered. Balance in the composition of the department concerned and of the faculty at large, as well as preservation of flexibility in the educational program of the College, are important considerations.

An individual's promise as a teacher is judged in the light of demonstrated ability to teach, including the ability to inspire students to acquire knowledge and to think critically as well as the ability to convey knowledge clearly and cogently based on mastery of the subject. Promise as a scholar is evaluated in terms of an individual's potential contribution to the creation of new knowledge or to the reorganization in creative ways of existing information. Scholarship will be considered in the light of publications, effective research, or other activities (such as professional consulting and advising) that contribute to the advancement of knowledge. In considering teaching and scholarship together, strong teaching is regarded as the first responsibility of the College; but strong teaching is not to be equated with popularity, nor is it regarded as probable in the absence of strong scholarship. Service to the institution, to the College or larger community, or to society directly is considered as an

extension of professional responsibility to the conditions and consequences of teaching and learning and may be taken into account as it pertains to the purposes and program of the College.

The need for the College to maintain an appropriate balance and distribution of range of experience, ranks and fields of specialization within departments and the faculty at large, as well as room for change and development in departmental and College programs, may affect a faculty member's prospects for continuous tenure apart from the evaluation of individual performance and promise. The College tries to anticipate such problems (which are partly concomitants of tenure) as far in advance as possible and to inform potentially affected individuals of them promptly, but in any case the implications of such structural factors apparent at the time of decision about reappointment with tenure are important. (Adopted by the faculty 23 May 1973; approved by the Board of Managers, 1 June 1973. See also faculty minutes of 12 May 1976. Amended by the faculty 15 February 1984. Amended by the Board 25 February 1984.)

Exceptions to term lengths because of parenting responsibilities

A tenure-track faculty member may postpone the third-year reappointment and/or tenure review in response to the interruptions to a career occasioned while at Swarthmore by maternity, the birth of a child to the individual's spouse or same-sex partner, or the adoption of a child under five years of age. Each occasion, even if a maternity or parental leave is not taken (see section III.B.5.a), shall entitle the faculty member to postpone a review by one year, but not more than two years in total may be taken before the tenure decision. Notice of intention to defer a review must be given to the department chair and the Provost by April 1 of the academic year in which the review would otherwise occur. One or two years of postponement shall not prompt an increased expectation of achievement for the review, which will accord with the normal standards for the third-year and tenure reviews respectively. (Approved by the Faculty, May 4, 2006. Amended by the Faculty, November 10, 2023)

Considerations in a Tenured Appointment for the President of the College

1. An incoming Swarthmore president who has been subjected to tenure review and awarded tenure previously should be considered for a tenured professorship at the College.
2. Typically, the professorship should be in an existing academic department. However, in cases in which a candidate is an outstanding leader and scholar but would have no natural departmental home, the appointment can be as "Distinguished Professor" in the relevant division.
3. Should the College appoint a non-academic as president, that individual should not be awarded a professorship.
4. The awarding of a tenured faculty position should be subject to appropriate institutional review prior to the appointment. The procedure to be followed is that the presidential search committee will initiate a process by which all finalists for the College presidency with appropriate academic qualifications will be reviewed by the Committee on Promotion and

Tenure (CPT), to assure that the scholarly standards the College uses to judge faculty will be applied to the incoming president. The CPT will not solicit information from outside scholars, former colleagues, or former students. Instead, the CPT will review the candidates' scholarship itself, with input from the relevant department(s). The process is to be initiated in a timely enough fashion that the CPT will actually be able to complete a thoughtful review.

5. The CPT's evaluations of finalists should be conducted so that when an offer is made, the question of tenure will already be resolved.

6. The appointment of a president as a tenured member of a department should not be counted when it comes to the awarding of new tenure lines to departments. This is especially true while the person is president but should continue to be the case when the presidency ends, in the event that the former president remains at the College. That said, it seems likely that were an ex-president to remain in a department for an extended period of time, a point would be reached at which the matter of how that person came to join the department would no longer be especially relevant, and current curricular need would dominate decisions about awarding of new faculty slots. Thus, a firm rule on this matter fails to capture the complexity that would enter into actual decisions about new faculty positions. Instead the College should rely on the judgment of the CEP and the provost, in consultation with the faculty, as to whether a point has been reached at which the fact that a faculty member is a former president is no longer relevant to position allocations.

(Adopted by the Faculty 14 November 2014; approved by the Board of Managers 6 December 2014.)

Considerations in a Tenured Appointment to the Faculty

1. A candidate for appointment to the Swarthmore faculty who has been subjected to tenure review and awarded tenure previously or who has been awarded an equivalent of tenure (e.g., in countries without a tenure-system) may be considered for a tenured appointment at the College.

2. The awarding of a tenured faculty position should be subject to appropriate institutional review by the Committee on Promotion and Tenure prior to the appointment. Typically, the department making the appointment would be expected to assemble a dossier that supplements the materials provided by the candidate during the job application process. The exact nature of the supplementary materials will be determined by the Committee on Promotion and Tenure, in consultation with the relevant department.

(Adopted by the Faculty 17 April 2015; approved by the Board of Managers 24 September 2016.)

8. THIRD YEAR REAPPOINTMENTS (OF TENURE-TRACK FACULTY)

Normally, members of the faculty appointed to positions usually on the tenure track are expected to undergo a comprehensive review of their performance during the third year of their appointment. Such a review and the ultimate decision to reappointment at this time commits the College to eventual consideration of the candidate for an appointment with

continuous tenure. As such, the third year review is particularly instrumental in reaching a detailed understanding of the candidate's strengths and weaknesses as a teacher and scholar. The third year review is not to be misunderstood as standing in the place of a tenure decision itself. However, since the third year review is considered to be a review in preparation of a subsequent tenure review, criteria in decisions about reappointment at this time should take into account those elements identified in the Handbook for Instructional Staff (Section III-A), though to a lesser extent than during a tenure review. More specifically, the criteria for consideration during a third year review should include an evaluation on an individual's promise as a teacher and scholar. A third year review is also an opportunity to evaluate a candidate's ability to function as a member of the department and College and their ability to effectively manage their responsibilities as a faculty member.

Eligibility

Instructors and Assistant Professors appointed to tenure track positions are expected to participate in a review during the third year of their appointment. Individuals entering a tenure-track position with substantial teaching experience and/or scholarship may elect to complete a third year review early so long as they have the support of both their department chair and the Provost.

Process and Outcomes

The outcome of these reviews are decided by the department, the Provost, and the President, and do not involve the college-wide Committee on Promotion and Tenure or the Board of Managers. At the end of the review process, the candidate will be invited to have a post-reappointment "feedback" conversation with the Provost to discuss the outcomes of the review. For reviews which result in a positive decision, the faculty member will be reappointed for three additional years (thus extending through the seventh), be eligible for a sabbatical in the fourth year, and be considered for tenure in the sixth year. Reviews which result in a decision of non-renewal of reappointment will follow procedures outlined in Section III-A.5 Review of Appointment Renewal Decisions of the *Handbook for Instructional Staff*.

9. ATHLETICS FACULTY

Full-time head coaches in the Department of Physical Education and Athletics are members of the Athletics Faculty. Their responsibilities include coaching intercollegiate sports, with attendant administrative work, e.g., in recruiting, and teaching classes in physical education. Except for a few grandfathered individuals, they are not eligible for tenure or promotion through academic ranks, but after completion of a second three-year term (normally following previous shorter appointments) and following review by the Committee on Promotion and Tenure, a member of the Athletics Faculty may be promoted to Senior Athletics Faculty. Members of the Athletics Faculty are not hired with the expectation that they do research and produce original scholarship and therefore are not entitled to regular sabbaticals, but the Department and the Provost make available appropriate funding for professional development, e.g., through attendance at conferences and sports clinics.

Members of the Athletics Faculty are entitled to attend and vote at Faculty meetings and are part of the pool from which the Committee on Faculty Procedures may appoint members to

standing College committees. They may vote for and serve on the COFP. They are not eligible to vote for or serve on the Council on Educational Policy (CEP), which deals with the academic program. (Faculty action, May 24, 2004)

10. ENDOWED PROFESSORSHIPS

The College has 40 endowed and named professorships which may be held by Swarthmore College faculty members. The appointments to these are made by the President on the recommendation of the Provost, based on her/his consultation with current holders of endowed professorships and with chairs of departments. All of the endowed professorships receive a stipend. The Eugene M. Lang Research Professorship carries with it a second semester of paid sabbatical leave. Three of the endowed professorships, the Dorwin P. Cartwright Professorship in Social Theory and Social Action, the Eugene M. Lang Research Professorship, and the Stephen Lang Professorship of Performing Arts, rotate.

In addition, there are two professorships designated for visiting professors: the Julien and Virginia Cornell Visiting Professorship and the Eugene M. Lang Visiting Professorship.

11. CONCOMITANT EMPLOYMENT

Full-time membership of the faculty of Swarthmore College implies a full-time relation between the individual and the institution. The College should not be expected to make allowance for other forms of gainful employment except those occurring on an incidental basis in the form of complementary consulting and research undertaken in support of normal teaching and scholarship. It is expected that any gainful employment during the academic year will lack continuity or, if substantial, will be arranged only after consultation with the Department Chair and the Provost, so that appropriate changes can be made in the basic relationships, if called for.

Swarthmore College does not recommend that its faculty members undertake regular outside responsibilities during the academic year; individuals who wish to contract for such employment, for whatever reason, must consult with their Department Chair and the Provost prior to making their arrangements. Such activity is expected to consist of more than merely gainful employment and to contribute to the faculty member's professional development.

Similar considerations obtain with respect to non-remunerative outside activities. Faculty members, as citizens, are encouraged to engage in the civic and cultural life of the community; as professional men and women, they are encouraged to explore and pursue opportunities for professional development beyond the campus. When such activity may require prolonged or substantial absences from campus, however, the faculty member should consult with the Department Chair, and when appropriate, the Provost, before making commitments. (Adopted by the faculty, 18 May 1971; approved by the Board of Managers, 4 June 1971.)

12. SHARED POSITIONS

In circumstances judged by an academic department and the Provost and President to be especially beneficial to the educational and scholarly aims of the College, Swarthmore allows

creation of a shared position where each of two people sharing the position may be eligible for tenure. The two sharing a position need only be in the same department; they need not be in the same field. Nothing said here or below, however, requires that any department or the College must give equal consideration to candidates applying jointly for a position in comparison to those applying singly. The College does not now grant tenure to part-time faculty, moreover, and nothing said here or below should be construed as doing so or a move in that direction.

Because shared positions are still relatively new to Swarthmore, because the academic community generally has little long-term experience with shared positions, and because such positions present unusual advantages and disadvantages, each case that arises needs to be explored and determined individually. If a mutually agreeable arrangement can be made between individuals and the College to share a position, the shared position will be bound by a detailed and explicit contract tailor-made to that case, but consistent with the following considerations.

The terms of the contract will be dictated primarily by the needs of the department and the College. While the standards and needs of the College are always foremost in academic appointments, they carry a special weight in shared positions.

Ideally, neither of the two wishing to share a position will initially be a faculty member at the College. They will, instead, apply for a vacancy jointly. The option of a shared position will not be available in cases where one member of the faculty is already tenured at Swarthmore.²⁸ The College recognizes, however, that there will be occasions when a faculty member wishes to share his or her position with another and both the department and the Provost judge that it is in the interest of the department and the College to pursue the advisability of a shared position. This latter situation raises extremely complex and sensitive curricular, collegial, and evaluative matters.

Academic appointments are always initiated by an academic department and recommended by the department to the Provost and President. In no case, therefore, does any faculty member have the right to designate someone to share his or her position. Further, those tenured members of a department, meeting without the presence of the individual initiating the request, can deem such a shared position to be not in the department's interest; the Provost also may decide, in any particular case, not to transform a single-person position into a shared position. In either case, the matter is closed: the creation of the possibility of a shared position does not create a right to one.

The nature of a shared position when one member of the pair is already a Swarthmore faculty member is such that a full and open search for the best teacher and scholar with whom to share the position will not occur. It is therefore imperative not only that the person suggested to fill the other half of the position be subject to all the same procedures applicable to any candidate but that they be applied with special rigor, for, typically, there will be no

28. When both members are untenured, there is ample opportunity to evaluate each member at renewal and when a tenure decision must be made. Further, a department or the College is less likely to face pressure from untenured faculty than from tenured faculty to transform a position into a shared position.

comparative judgments possible. In such cases, the Provost will appoint a committee drawn from parallel faculties from other colleges and universities to assess the candidate and the department's recommendation in making its own recommendation to the Provost.

Once tenure is granted for both members, should either member thereafter be unable or unwilling to fulfill the obligations of the position, the other will be offered a non-shared tenured position within the department consistent with what he or she was hired to teach. If the remaining member is unwilling or unable to assume all duties and responsibilities of a non-shared position, tenure shall terminate for the remaining member and the position will be vacated and treated like any other vacated position. Because either or both members of a shared position may well occupy non-shared positions at the College at some future time, it is imperative at every stage of consideration that the department and the College be satisfied that each member is fully qualified for a non-shared position: neither the department nor the College can assume that any deficiencies in one member can be compensated for by the other or that deficiencies in coverage can be compensated for by the other.

The two members must be reviewed during the same year for tenure, even if that means extending (but not shortening) the normal probationary period to permit the more junior of the pair to have a normal probationary period.²⁹ The probationary period will be specified in the initial contract. At the time of making a shared position, and for consideration for renewal, tenure, and promotion the department and the College must ascertain to its complete satisfaction that each person sharing the position would, on his or her own, be fully qualified to assume a non-shared tenured position in the College. In evaluation for renewal, tenure or promotion, therefore, each member should be reviewed individually and evaluations and recommendations will be applied to each member individually. If either member is denied tenure, then neither member shall receive tenure, and the position will be vacated. Additionally, the members' effectiveness in the shared position will be reviewed in considering renewal and tenure. If this review is negative, then neither member shall receive tenure, however qualified as individuals. The position will then be vacated.

Those sharing a position will normally come up for renewal and tenure before they have taught as many courses as someone in a non-shared position. Further, someone who has been teaching part-time but then assumes a full-time non-shared position will typically wait longer to be considered for tenure than someone in a shared position. This can be defended on the grounds that those sharing a position are expected to give full-time attention to the College in ways in which a part-time person is not.³⁰

If for any reason one of the members of the shared position is not offered a renewal of contract or is unable or unwilling to continue the responsibilities of the position before tenure has been granted, the other member will not be reviewed, and the position will be vacated.

29. The probationary period may be extended to seven, eight or even nine years. (See III-A of The Handbook for Instructional Staff: TENURE.)

30. The Committee, however, is mindful that inequities may be created in this regard, and urges the Provost to bear this in mind in determining the probationary period of part-time faculty who become full-time.

While both members of a shared position must be reviewed for and receive tenure in the same year, they need not be reviewed for promotion at the same time. Depending on the subsequent record of scholarship and/or the actual division of teaching responsibilities, promotion to full Professor might appropriately come later for one member of a shared position.

The criteria for faculty evaluation stated in the *Handbook for Instructional Staff* shall apply to each faculty member sharing a position in the same manner as they do to all faculty members. Standards of teaching and scholarship must be met as if the members were not sharing a position. Only in evaluating contributions to the College will the department and Committee on Promotion and Tenure consider lessened formal responsibilities.

In the event that a department expands, there is no expectation that those sharing a position can move to two non-shared positions. If one wishes to apply for such a position, he or she may do so, but then neither member can be a party to any of the department's deliberations on the new appointment. In any case, an open and full search must be conducted, with special attention paid to avoiding even the appearance of anything less than an open and full search. In such cases, the Provost will appoint a committee drawn from parallel faculties from other colleges and universities as full participants and voting members of the search to guard against any danger in this regard.

Because the position is shared, normally both members will take leave at the same time. The two members will be eligible for a sabbatical leave after they have taught fifteen courses between them and after teaching six semesters. Only with the approval of the department and the Provost may members sharing a position take leaves at separate times and only if the member not on leave assumes all the duties and responsibilities, teaching and otherwise, of a non-shared position. Each may apply for various College fellowships; if receiving a fellowship, however, the amount will be one-half the notional total amount. Any fellowships received from other sources, of course, are wholly the individual's own.

Swarthmore College appoints and tenures people, not positions. A distinction can nevertheless be drawn between regulations applicable to persons and those applicable to the position they share, and the considerations that follow bear on this.

The two members will share the duties of the position as equally as possible. The teaching duties should be balanced so that in a three-year leave cycle each member will have taught either eight or seven courses, and every year each member will have taught at least two courses. The determination of teaching responsibilities will be made annually by the chair of the department and the Provost after the usual consultation with the faculty of the department, including the two sharing the position.

For the following purposes, each member shall be regarded as if he or she were not sharing a position. If additional teaching opportunities arise in a department, neither member can expect to be assigned extra teaching nor required to do extra teaching. For these purposes, each shall be regarded as if he or she were not sharing a position. The same is true of any employment outside the College: the same regulations and understandings apply to each as

they do to any faculty member. (See *Handbook for Instructional Staff* III-A-10: Concomitant Employment)

Other faculty duties – e.g., advising, committee assignments, departmental tasks--should also be equally divided. A major benefit of a shared position is that both members are likely to contribute more than their individual share to the daily life of the College, so that the department and the Provost should make sure that their formal obligations are strictly proportional to what is expected of someone with a non-shared position.

Those sharing a position will, within the department, share one vote. In all other cases, including faculty meetings and committees, each will have a full vote.

Members sharing a position cannot expect to have separate offices or laboratories. Members may not expect to avail themselves of secretarial, photocopying and related College support in excess of their amount of teaching in any given semester. Approximate portions will be set by the department chair.

The salaries for each member will be set individually according to the usual procedures. The salary for each will be a percentage of a notional full salary equal to a percentage of the faculty member's teaching responsibilities for that academic year. Notional salaries of each will keep pace with the salaries of faculty of the same rank, experience, and accomplishments.

Each member of a shared position shall be eligible for at least 50% of the current maximum for faculty travel and faculty research funds and may each be eligible for 100% of these funds at the discretion of the Provost.

Each member sharing a position shall be entitled to one-half of the currently stated amount of the following benefits: retirement, disability, and the tuition grant benefit. Each is also entitled to regular health care benefits and the full employer contribution towards health care.

Nothing stated here precludes other contractual rights and responsibilities from being included in a specific contract, provided that they are consistent with the considerations set out above. Specific contractual rights and responsibilities will be determined by the Provost in consultation with the department chair and those sharing the position.

(Adopted by the faculty 1 May 1991; approved by the Board of Managers 4 May 1991; updated in November 2000.)

13. RESIGNATION

In the event that a faculty member decides to resign, the College recommends observance of the following procedures, combining as they do the accepted practices in academic institutions, professional ethics, legal requirements, and common courtesy.

Since the resignation of a faculty member may require recruitment of a successor or some other substantial personnel adjustment, those who intend to leave the College are asked to

inform their chairs or the Provost at the earliest possible date. This becomes especially important after January 1. Immediately after negotiations with another institution are final, the resigning faculty member should submit a formal letter of resignation to the Provost so that official acknowledgment may be made a matter of record.

Resignation of a faculty member after May 1 places the College in an exceedingly awkward position, for it is very difficult to find a qualified replacement. Most institutions of higher learning, including Swarthmore, have joined in an informal understanding that after May 1 a faculty member is bound to honor the contract for the forthcoming academic year unless an emergency makes an exception mandatory. A faculty member who is approached by another institution, with an offer he or she feels compelled to consider, should immediately notify the Department Chair and the Provost before any further negotiations occur. (Adopted by the faculty, 25 May 1971; approved by the Board of Managers, 4 June 1971.)

Except by agreement with the College, a faculty member will not, during an academic year, leave an appointed position in order to accept employment elsewhere. (Based on faculty action of 31 May 1961.)

14. TERMINATION OF APPOINTMENTS

Termination of a tenured appointment, or of a term appointment before its expiration, occurs only for adequate cause. An appointment may be terminated following written notice from the President in the event that (1) such action is necessitated by bona fide financial stringency, (2) the appointee's services are no longer required because a fundamental change in the curriculum has eliminated the work the appointee was employed to do, 3) mental or physical incapacity seriously impairs the present and prospective performance of the appointee's duties, or 4) the appointee is charged with serious shortcomings.

In the termination of an appointment pursuant to (1) or (2) above, the affected instructional staff member may, on request filed within thirty days of receipt of notice, have a review of the issues by a committee of four to six faculty members, of whom a majority shall be tenured, appointed by the elected faculty members of the Committee on Faculty Procedures and, ultimately, by the Board of Managers acting initially through its Academic Affairs Committee; but formal rules of procedure will not apply. In such terminations the College will endeavor to give at least twelve months' notice and, failing that, will pay severance salary for twelve months from the date of notice or until such time within that period as the instructional staff member obtains employment at equivalent compensation. The College will recognize, other things being equal, a priority on the part of tenured faculty members, and the released instructional staff member's position as defined by that instructional staff member's incumbency will not be filled by a replacement within a period of three years unless the released instructional staff member has been offered reappointment and a reasonable time within which to accept or decline it. In terminations pursuant to 2) above, the College will make every effort to place the affected instructional staff member in another position for which that instructional staff member is qualified, bearing in mind its own financial requirements and the equities affecting other members of the instructional staff and staff.

Termination of an appointment pursuant to 3) above will be based upon clear and convincing evidence, including medical evidence, which will, if the affected instructional staff member so requests within 30 days of receipt of notice, be considered by a committee of four to six faculty members, of whom a majority shall be tenured, appointed by the elected faculty members of the Committee on Faculty Procedures, before a final decision is made by the Board of Managers on the recommendation of the President of the College. In cases of mental or physical incapacity the College will follow its normal sick-leave policy and attempt to establish insured total disability. If, however, the incapacitated instructional staff member is unable to make use of this benefit, the College may terminate the appointment with twelve months' salary (including the six-month period of sick leave) in lieu of notice.

The foregoing grounds for termination will not be used to abridge an instructional staff member's academic freedom. If in a review as provided for above an affected faculty member sustains a prima facie case of violation of academic freedom as the ground for termination, then the procedures set forth below for dismissal will apply.

The meaning of 4) "serious shortcomings" cannot be rendered comprehensively and precisely, and all persons associated with the College must rely for protection of academic freedom on the procedures set forth below as well as on substantive criteria. But among the serious shortcomings that can lead to termination are (a) incompetence or dishonesty in teaching or scholarship; (b) substantial and manifest neglect of teaching or of other institutional duties; and (c) conduct that significantly impairs a person's professional performance or fulfillment of obligations to the College. Termination of a tenured or term appointment for serious shortcomings, designated "dismissal," will not be used to restrain an instructional staff member's academic freedom. The following procedural regulations bearing on dismissal under (4) above are based on those recommended by the American Association of University Professors in its Statement of 1972, with certain exceptions and amendments appropriate to Swarthmore's size, traditions, and organization.

- a. Dismissal will be preceded by discussion between the instructional staff member and one or more appropriate administrative officers of the College to explore settlement of the case short of formal dismissal. Failing resolution of the case in this way, the initiation of dismissal proceedings will be considered informally in the Committee on Promotion and Tenure in its advisory capacity. If, following these explorations, the President determines that dismissal proceedings are indicated, the President or the President's appropriate delegate will inform the instructional staff member in writing of the proposed dismissal and the reasons therefore, framed with reasonable particularity, and of arrangements for a proceeding, no sooner than 20 days from the date of receipt of notice, to determine whether the instructional staff member should be dismissed.
- b. Any such instructional staff member who desires a hearing shall so indicate and shall respond in writing, to the alleged reasons for dismissal, not less than one week before the start of the proceedings.
- c. If the instructional staff member waives a hearing but denies in writing the reasons given for dismissal or asserts that they do not support a finding of adequate cause, then

the proceeding provided for below will be held to evaluate all available evidence and to make recommendations based upon it in the record considered as a whole.

- d. Suspension of the instructional staff member before a final decision will occur only if warranted by unusual circumstances, primarily for the prevention of harm to individuals. Should suspension occur on the authority of the President, normally after consultation with the Committee on Promotion and Tenure, it will be with pay and will not be considered prejudicial to the instructional staff member's case.
- e. The proceeding will be conducted by a special committee of from four to six members of the faculty, of whom a majority shall be tenured, appointed by the elected members of the Committee on Faculty Procedures. Faculty members are expected to decline appointment to the committee if they deem themselves disqualified for bias or interest. Following appointment of the committee, the instructional staff member and the College administration will each have a maximum of two peremptory challenges, and, if such challenges are exercised, the elected Committee on Faculty Procedures will appoint replacements sufficient in number to restore the committee at least to the stipulated minimum size.
- f. The proceedings before the special committee will be in private unless the instructional staff member requests otherwise, and unless, following consultation with the College administration, the Committee concurs in this request. At the request of the instructional staff member or the College administration, or at the Committee's option, a representative of the national office of the American Association of University Professors or the American Council of Education, or both, will be invited to attend the proceedings to observe. Except for such simple, functional announcements as may be required concerning the time of the hearing and similar matters, public statements and publicity about the case by either the instructional staff member or officers of the College are to be avoided, at least until a final decision has been reached in the case; indeed this admonition applies to all interested parties and observers, and the parties to the proceeding and members of the Committee are expected to implement it as fully as possible for the welfare of both the instructional staff member and the College.
- g. The Committee will proceed by considering the College administration's statement of reasons for dismissal and the instructional staff member's response pursuant to the following provisions.
 - i. The proceedings will have the general character of a hearing, but the Committee need not adhere to strict rules of legal evidence and may admit any evidence of probative value for the issues involved.
 - ii. A stenographic record of the proceedings will be taken of which a transcript will be made available to the parties on request and without charge to the instructional staff member.
 - iii. The Committee's findings and recommendations will be based solely on the record, considered as a whole.

- iv. The burden of proof will rest upon the College administration.
- v. The instructional staff member will be permitted counsel and an academic advisor of his or her choosing. A representative of the College administration as well as counsel for the College may also attend the hearings.
- vi. The Committee shall have the power to conduct the proceedings in an orderly manner, and as necessary will endeavor to secure the presentation of evidence and attendance of witnesses concerning facts in dispute.
- vii. The Committee and the instructional staff member shall have the assistance of the College administration in securing the attendance of witnesses.
- viii. The instructional staff member and the College administration will have the right within reasonable limits to call witnesses and to confront and question all witnesses who testify orally. If special circumstances preclude the availability of a witness or in the Committee's judgment the advisability of direct testimony by a witness whose statement the Committee concludes should be admitted in the interest of justice, then the identity of the witness and the content of the witness's statement will be made known to both parties and included in the record; in such circumstances the Committee may in its discretion provide for interrogatories.
- ix. The Committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made. Subject to these safeguards, statements may when appropriate be taken outside the hearings so long as they are reported promptly and included in the record or as exhibits to the record. If the instructional staff member's professional competence is in question, the testimony will include that of qualified teachers and scholars in the instructional staff member's field at Swarthmore College or at other institutions or both.
- h. The special committee will reach its decision in conference following opportunity for the parties or their representatives to summarize orally before it and to submit written briefs. The Committee's decision will include explicit findings on each of the grounds given for dismissal as well as a summary recommendation for or against dismissal, and each party will receive promptly a copy of the decision and of the record of the hearing. If the committee finds adequate cause for dismissal, the President will so advise the Board of Managers and, at the instructional staff member's request, transmit the record of the case to the Board for review; but the President has the discretion, in the light of the evidence, to recommend retention of the instructional staff member.
- i. If the Committee finds that adequate cause for dismissal has not been established and the President rejects the report, the President shall state the reasons and provide opportunity for response therefore from the instructional staff member and the Committee before transmitting the materials of the case to the Board of Managers. In this case the Committee will reconsider, taking into account the President's reasons and receiving new testimony and evidence if necessary, including testimony by the instructional staff member at the instructional staff member's option.

- j. Review of the case by the Board of Managers will occur in the Academic Affairs Committee unless the Chairman of the Board appoints an ad hoc committee of the Board for that purpose. The review will be based on the record with opportunity for argument, oral or written or both, by the instructional staff member and the College administration and a representative of each. Neither the President nor the President's representative shall participate as a member of the Board in the Board's review and final decision. The Committee of the Board of Managers will recommend to the Board in writing either:
 - i. that the instructional staff member be retained, or
 - ii. that the instructional staff member be dismissed, or
 - ii. that the case be referred to the special hearing committee of the faculty for further proceedings or advice on specific issues.
- k. In any case, the written recommendations of the Managers' committee will be filed with the Board of Managers, the President, the faculty member, and the special hearing committee constituted under Paragraph 5 above. The Board of Managers as a whole will make the final decision with full access to all materials of the case, including those, if any, that may result from a recommendation based on 10 (c) above.
- l. If the appointment is terminated, the instructional staff member will receive salary in accordance with the College's stated schedule for notice of renewal or non-renewal of appointments or, if tenured, for at least one year from the date of dismissal or until such time within one year as the instructional staff member obtains employment at equivalent compensation. This provision will not apply in the case of a finding that dismissal is justified on grounds involving moral turpitude or flagrantly unprofessional conduct, in which case the Board of Managers will determine with the advice of the special hearing committee what payments, if any, are to be made after the effective date of dismissal, taking into consideration the length and quality of the instructional staff member's service to the College. (Adopted by the Faculty, 16 May 1974; approved by the Board of Managers, 31 May 1974.)

15. TEMPORARY APPOINTMENTS (LEAVE REPLACEMENT AND OTHER NON-CONTINUING APPOINTMENTS)

Temporary, non-tenure track appointments of Faculty and other Instructional Staff are considered terminal and non-renewable beyond the period set out in the official letter of confirmation at the time of offer of employment, unless a further appointment is offered in writing. If consideration is being given to further appointment, agreed-upon review procedures should be carried out during the fall semester of the final year, with a view to communicating a decision by Feb. 15, if that is possible.

16. PART-TIME AND TEMPORARY FACULTY APPOINTMENTS³¹

31. This section is based on the "Report of the Ad Hoc Committee on Part-time Faculty"; it has been occasionally emended to keep with current practice. It was prepared by Provost Harold Pagliaro and the

a. Regular Part-time Faculty

i. Definition

A regular part-time faculty member holds an appointment in one of the four regular academic ranks – Instructor, Assistant Professor, Associate Professor, or Professor – and has full responsibility for his or her teaching assignment. The credentials of regular part-time faculty members are expected to be the same as those of full-time faculty.

In order to be eligible for regular part-time faculty status the individual must (1) be teaching at least half-time at Swarthmore, (2) be willing to undertake the usual extra-classroom work (including both scholarly activity and other institutional responsibilities) of full-time members, *pro-rata*, (3) have his or her principal employment at Swarthmore College, and (4) be in a position to anticipate continued employment at the College, both in that the College has indicated that such an expectation is not unreasonable and in the sense that the individual member accepts such a prospect.

ii. Conditions of Employment

a) Appointment Procedures

Regular part-time faculty members shall normally be appointed for periods of one to five years. Their appointments may be renewed, provided that a review of their work and the needs of the College indicate the appropriateness of such renewal. Notification of non-reappointment during the initial year shall be given in writing not later than March 1 of that year; thereafter, notification will be given in writing by November 15 of the final year of the appointment. Regular part-time faculty members are not eligible for tenure.

Normal faculty evaluation procedures will be followed to determine reappointments.

b) Salary

Each year the full-time equivalent faculty salary of regular part-time faculty members will be used as the basis for computing the following year's salary in order to assure appropriate comparisons and contrasts with the salaries of full-time peers.

c) Benefits

See below for an explanation of benefits for part-time faculty.

Division Chairs, with the assistance of Phyllis Teitelbaum, the Equal Opportunity Officer, in 1976-78. It was presented to Department Chairs in May 1978 and was found acceptable by the Board of Managers, 20 May 1978, as a “working policy document until conditions might require review.” It was reviewed and revised by the Provost and COFP in 2005-06 and the revision passed by the faculty in May of 2006.

In addition to the benefits noted there, regular part-time faculty are also eligible for research support, for travel to meetings of professional societies, and for the Tuition Grant Program, but such benefits may be pro-rated according to the degree of employment as set forth in each benefit program. Regular part-time members of the faculty are eligible for leaves of absence with the same frequency and on the same terms as full-time faculty members, except that College financial support for leaves of absence will be in proportion to degree of employment (i.e., to the portion of a full-time teaching assignment performed by the individual in the three academic years immediately preceding the leave of absence).

d) Promotion

Regular part-time faculty shall be eligible for promotion on the same basis as full-time members of the faculty.

b. Other Part-time Faculty

In addition to regular part-time faculty the College employs academics with full credentials, or those directly on their way to full credentials, who teach part-time as leave replacements or who supplement the curriculum with a unit or two of teaching - for a single year or semester, or at more or less irregular intervals. See below for an explanation of benefits for part-time faculty.

c. Explanation of Benefits for Part-time Faculty

Part-time faculty are eligible for benefits according to the College's benefits policies for all employees. Some benefits become available when part-time employment is at least half-time; additional benefits become available when part-time employment is at least .75. Because faculty have responsibilities beyond those indicated by the teaching course load, a three course load (or its equivalent in the sciences) is considered to be .75 employment for the purpose of benefits eligibility. Full details about the benefits available are available from the Department of Human Resources.

d. Review of Procedures for Part-time Faculty

Regular part-time faculty, as well as certain of the part-time faculty under II above (not including leave replacements) are with Swarthmore's full-time faculty covered by procedures defined in the *Handbook for Instructional Staff*, Section III-A-5: Review of Appointment Renewal Decisions, in cases of non-renewal of appointments. They also have available to them the standard instructional staff grievance procedure.

The College wishes to provide part-time faculty with access to its procedures for review in a fair and open way. On the other hand, the College does not accept the notion that a faculty member who has completed a short-term terminal appointment, one explicitly identified in writing as a short-term appointment (for example, the appointment of a leave replacement), should be considered eligible for review of non-

renewal under *Handbook for Instructional Staff*, Section III-A-5: Review of Appointment Renewal Decisions.

17. LABORATORY INSTRUCTORS, LANGUAGE INSTRUCTORS, AND LECTURERS

a. Definition

A Laboratory Instructor or Language Instructor serves as an assistant to one or more regular faculty members who shall have full responsibility for all courses in which the Laboratory or Language Instructor participates. According to the needs of the various departments, Laboratory or Language Instructors can be expected to assume the following responsibilities: teaching drill sections; assisting in laboratories; grading notebooks, papers and examinations; giving occasional lectures to classes. In all cases the faculty member teaching the course will be responsible for the evaluation of the student that will be recorded in the transcript. A Lecturer may also fulfill such responsibilities, but in addition may teach laboratory sections with considerable independence or give presentation classes in a language, even determining grades.

b. Conditions of Employment

i. Appointment Procedures

Laboratory and Language Instructors and Lecturers shall be appointed for an initial period of not more than one year; depending on the prospect of continuing need, subsequent appointments may be made for between one and a maximum of five years; a one-year appointment may follow a longer appointment. Laboratory and Language Instructors and Lecturers are not eligible for tenure. Notification of renewal or nonrenewal during the initial year and thereafter shall be given in writing not later than three weeks following the close of enrollment in the year ending any appointment. Normal procedures for evaluating teaching will be followed to determine reappointments. The Provost's annual memorandum to departments on review of faculty up for reappointment and promotion will include a description of procedures for the review of Laboratory and Language Instructors and Lecturers.

ii. Salary

The letter of initial appointment or of renewal will state the minimum teaching assignment and salary for the Laboratory or Language Instructor's or Lecturer's employment during the year of appointment. If more duties are added thereafter, salary will be adjusted upward accordingly. Letters of appointment covering a two-year period or longer will be supplemented by annual letters issued by June 1 of the academic year preceding the second year and the third year of the appointment, stating minimum teaching assignment and salary for the coming year. Laboratory and Language Instructors and Lecturers will be given an annual salary review.

iii. Benefits

Laboratory and Language Instructors and Lecturers are eligible for benefits according to the College's benefits policies for all employees. These vary only with the degree to which an employee is part-time: some benefits become available when part-time employment is at least half-time; additional benefits become available when part-time employment is at least .75. Full details about the benefits available are available from the Department of Human Resources. As with Faculty, family leave, e.g., for maternity, may be defined to conform to semester-long needs. Laboratory and Language Instructors and Lecturers are eligible for staff development funds administered through the Human Resources department every other year in funding administered by the Provost's Office to support attendance at professional meetings.

iv. Professional Status

Employment as a Laboratory or Language Instructor or Lecturer does not imply preferential treatment for openings in the department at the faculty level, although properly qualified Laboratory or Language Instructors or Lecturers may apply for these appointments and will be given full consideration for them. Qualified Laboratory or Language Instructors or Lecturers may take on additional responsibilities, including occasional work with appropriate additional pay beyond the level of their appointment, if such a need arises in a department. This occasional combination of assignments does not imply a change in status.

v. Review Procedures for Laboratory Instructors, Language Instructors, and Lecturers

Laboratory and Language Instructors and Lecturers are with Swarthmore's full-time faculty covered by procedures defined in the *Handbook for Instructional Staff*, Section III-A-5: Review of Appointment Renewal Decisions, in cases of non-renewal of appointments. They also have available to them the standard instructional staff grievance procedure.

The College wishes to provide part-time Laboratory and Language Instructors and Lecturers with access to its procedures for review in a fair and open way. On the other hand, the College does not accept the notion that a Laboratory or Language Instructor or Lecturer who has completed a short-term terminal appointment, one explicitly identified in writing as a short-term appointment (for example, the appointment of a leave replacement), should be considered eligible for review of non-renewal under *Handbook for Instructional Staff*, Section III-A-5: Review of Appointment Renewal Decisions.

18. RETIREMENT

The College accepts as applicable to Faculty members as of 1 January 1994, the new federal law that lifts all mandatory retirement. Faculty members are eligible to participate in the Voluntary Transition Plan for Tenured Faculty as described in Section III B.

Faculty who are about to retire, or who have already done so, and who plan to continue professional projects may request approval to identify themselves as a “Senior Research Scholar, Swarthmore College” for a three-year term. Request for this designation may be made by letter to the Provost. A term may also be renewed following a brief report of accomplishments and future plans. This title will not carry financial benefits or special services or office space beyond what is already provided for emeritus faculty. The College will continue, however, to offer assistance to those who wish to apply for external grants or need help in their administration. All retired faculty may seek guidance and assistance from the Office of Sponsored Programs (OSP). The OSP will only be able to provide assistance when they do not have competing responsibilities to current instructional staff. Retired faculty may also continue to spend down any existing research funds, endowed chair funds, or travel funds for a period of up to five years after retirement, or until these funds are depleted, whichever occurs first.

19. STAFF HIRING WITHIN THE FAMILY

Swarthmore College does not deny employment in staff positions because of family relationships. However, it is the policy of the College to discourage the hiring of relatives within the same department. While exceptions may be made to this policy, these exceptions should be made only with the permission of the Vice President of Human Resources or the Provost. Where relatives are working in the same department, one shall not be in a supervisory relationship to the other.

When an employee is currently working in a highly confidential job (in areas such as human resources, the business office, or as a confidential assistant), and a relative of that employee applies for a position with the College, even in a different department, this should be brought to the attention of the Vice President of Human Resources or the Provost prior to considering the application. (If the employee is not in a highly confidential job but the relative is applying for such a position, then the same review process will apply.)

III-B. COMPENSATION

1. CHECKING PAYROLL INFORMATION AND BENEFITS

The Human Resources Department offers a Web-based service to employees called “mySwarthmore.” This is a secure Web site that allows employees to review their Human Resources and Payroll records at their convenience. Employees can check their pay stubs, review benefits, and print a copy of a W-2 form, etc. In order to use the Web site, employees need their network username and password.

2. PERIOD AND FREQUENCY OF SALARY PAYMENTS

Members of the instructional staff receive their salaries in twelve equal payments on the 15th day of each month, August through July. Checks will normally be deposited in an account of the employee’s choosing or are distributed from the Payroll Office. Instructional staff members appointed on a semester-by-semester basis are usually paid in four equal installments.

3. PAYROLL DEDUCTIONS

a. Income Tax Deductions

The College is required by federal and state law to deduct personal income taxes from each salary check. Swarthmore College also makes deductions for Pennsylvania's State Income Tax, Swarthmore Local Services Tax, Philadelphia Wage Tax (if applicable), Pennsylvania Local Earned Income Tax (if applicable), and Pennsylvania Unemployment Tax. Before the first check can be issued it is therefore necessary for the employee to fill out a Federal Income Tax Withholding Certificate (Form W-4) and a PA Earned Income Tax form with the Provost Office. If you reside in Maryland, New Jersey or Virginia, you can have your home state tax withheld, rather than PA tax. There are two additional forms that must be completed as well, in order for this to happen.

b. Social Security Deductions

All employees of the College are covered by the Social Security Act and are entitled to the retirements provided under that Act. A percentage of the employee's income is deducted by the College and paid to the government as a wage tax, and an equal amount is paid by the College as a payroll tax. Please visit the Social Security website at www.ssa.org to review eligibility and benefits. International visitors here on work visas should contact the Payroll Office regarding possible exemption from these taxes.

c. Insurance Premium Deductions

In addition to Federal Income Taxes and Social Security payments, the College will collect contributions for premium payments for various insurance and retirement programs via payroll deduction/reduction. Participation in these programs is sometimes voluntary, sometimes mandatory (see descriptions of each in other sections of this *Handbook*), but in any case the employee must make all arrangements concerning them at the Human Resources Department. New employees are *required* to attend a Benefits Orientation in order to enroll in benefits

d. Other Payroll Deductions

In addition to deductions for statutory taxes and required and voluntary staff benefit programs sponsored by the College, the Payroll Office makes deductions for rental payments on College housing and for mortgages owned by the College and for other recognized judgments or legally imposed levies and garnishments.

4. RELEASE OF SALARY INFORMATION

The College does not release any information about the salaries of individual employees to outside agencies, except at the written request of the employee involved or when required by law. The College does, however, give general information about the faculty salary structure to such organizations as the American Association of University Professors and the United States Office of Education. Early in the spring term each year, the Provost gives a report to the Faculty about the salary structure, including average salary for each rank and for the faculty as a whole.

5. LEAVES OF ABSENCE

These policies apply to all full-time regular employees and all part-time employees who work at least half-time for their department. Except as otherwise required by law, leaves of absence are a discretionary privilege extended by the College only in situations in which they are fully justified.

a. Sick Leave (Including Medical Conditions Related to Pregnancy)

In the event that a benefits-eligible instructional staff member (.5 FTE or greater) is unable to perform his or her duties because of a disability, it is the policy of the College to ensure that full salary will continue for a period of up to six months. If the disability continues beyond a six month period, a full time benefits-eligible instructional staff member (.75 FTE or greater) is eligible to receive benefits from the College's Long Term Disability (LTD) plan equal to 60% of salary. In order to receive the long-term disability benefits, an instructional staff member must have completed one year of service or have been covered by a prior employer. Notice of coverage by a prior employer must be shown to Human Resources during the benefits enrollment at the start of employment.

In the case of medical conditions related to pregnancy, it is generally expected that new mothers will need 6-8 weeks of leave postpartum, as determined by the woman's physician. (New parents are also eligible for parental leave in addition to the expected 6 - 8 week postpartum leave; see paragraph (b) below. Parental leave may be taken in addition to leave for medical conditions related to pregnancy). Any such situation involving a person on a term appointment in the ranks of Professor, Associate Professor, Assistant Professor, or Instructor will be handled as an individual case. Paid sick leave time under this policy will be counted toward any leave as provided by the College's Family and Medical Leave policy described under "Family and Medical Leave" in the next major section below. Absences of three months or more are normally taken by instructional staff members as a one-semester leave. If this conflicts with a sabbatical leave, the sabbatical can be postponed. Leave of three months or more can also stop the tenure clock during its duration at the option of the faculty member.

The College will secure the employee's position, or one comparable, for the period of leave. In the case of an untenured faculty member, tenure and re-appointment decisions may, at the request of the individual faculty member, be delayed by one year.

b. Parental Leave

Upon the first day of employment with Swarthmore College, all instructional staff members are eligible for 8 weeks of paid parental leave to care for a newborn or newly adopted child. This leave must be taken within the first six months of the birth or adoption placement and must be negotiated with the Provost's Office. It is normally taken as a one-course reduction in the teaching load. Parental leave benefits may be granted only once in any 12 month period.

c. Personal Leave

The College recognizes that personal circumstances may develop, requiring time off beyond that available as paid leave. An employee may request an unpaid leave of absence of up to six months for personal reasons. Personal leaves are granted only for compelling reasons.

A member of the Provost's Office and the employee's Department Chair will review each request individually. Under consideration will be: (1) the purpose of the leave; (2) the employee's responsibilities and length of service with the College; (3) the potential disruptive impact on the department and the College; and (4) experience gained from past similar circumstances.

Personal leave may be granted only in those situations in which it is justified, with or without pay, as a discretionary privilege granted by the College.

Employees who are granted a leave of absence without pay for personal reasons may continue to be enrolled in the College's Group Health Plan, but may be required to contribute the full cost of the insurance premiums.

The College will reinstate the employee to the position previously held. However, if it becomes necessary to fill the position on a permanent basis, the College may terminate the leave of absence and ask the employee to return to work. If the employee is unable to return, the position will be filled and, upon the termination of the original period of the leave of absence, the College will attempt to reinstate the employee to a position of like status and pay.

d. Leave for a Death in the Family

Swarthmore provides paid leave to attend the funeral and deal with other aspects of the death of a family member. For immediate family, defined as spouse or domestic partner, child, parent, sister, brother, grandparent, or grandchild, an employee may take up to five consecutive working days. One day of paid leave is provided for other close relatives, defined as step-parent, step-sibling, mother-in-law, father-in-law, sister-in-law, brother-in-law, son in-law, daughter in-law, aunt, uncle, niece, and nephew.

Certification of the death, such as a death certificate or a published death notice, may be required before funeral leave pay will be authorized.

e. Jury Duty

Swarthmore recognizes that employees have a civic responsibility to serve on a jury or testify as a witness in a case related to their employment at Swarthmore. In such instances, the College ensures compensation while the employee is away from work. Subpoenaed testimony in a civil or criminal case in which the employee is not a litigant, will be paid at the employee's normal rate of pay up to a maximum of three days per 12-month period.

An employee will receive a regular Swarthmore paycheck while on approved jury duty, but then may not also keep compensation from the court. Checks received from the court for jury service, except mileage, parking, or food reimbursements, should be endorsed to Swarthmore and turned in to the Business Office.

Several counties have begun Juror Donation Programs. These programs offer jurors the opportunity to donate their jury duty service and travel compensation to a charitable organization. If offered this option by the clerk of the court, a Swarthmore employee should inform the clerk that (s)he works for a non-profit organization and that the donation is not an option for employee or employer.

Occasionally, an employee's call to jury duty may have an adverse effect on the efficiency of the department. In such cases, the employee and the Department Chair may want to discuss the situation to see if requesting a postponement to a more convenient time would be appropriate.

f. Leaves for Military Reserve Duty

Swarthmore respects an individual's decision to serve and protect our country. If an employee leaves a position in order to enter active duty in the Armed Forces, voluntarily or involuntarily, (s)he is entitled to return to that civilian position after discharge or release from active duty if the basic eligibility criteria of the Uniformed Services Reemployment Rights Act (USERRA) are met. Please contact Human Resources for additional information or review the College's policy on leaves related to Military Duty (<http://www.swarthmore.edu/human-resources/chapter-5-unpaid-leave-programs#military>).

6. FAMILY AND MEDICAL LEAVE

Family & Medical Leaves

The Family and Medical Leave Act (FMLA) was enacted to provide job security for individuals who need time off from work to deal with a serious illness or to care for a family member with a serious illness or to accommodate the birth, adoption, or foster care placement of a child. FMLA protects your employment for 12 weeks of leave in any 12 month (rolling) period, measured from the time the employee uses any FMLA leave. Leave time granted under FMLA will not be used in performance actions related to attendance concerns.

In accordance with the National Defense Authorization Act for 2008 and 2010 (NDAA) up to 26 weeks of FMLA leave in a 12 month period is also granted to a spouse, son, daughter, parent or next of kin for either the care of an active duty, reservist or veteran service member who has sustained a serious injury or illness in the line of duty in the Armed Forces or for a qualifying exigency arising out of their being on active duty or being called to active duty status in support of a contingency operation of the Armed Forces. For further information regarding your rights and obligations under NDAA contact the HR department at ext. 8397.

In order to be covered by FMLA, a serious health condition is defined as a physical or mental illness or injury of three consecutive calendar days that requires either:

- in patient care in a hospital, hospice, or residential care facility, or
- continuing treatment by a health care provider

A family member, as defined by FMLA is:

- the employee's spouse or domestic partner

- the employee's parent
- employee's child (biological child, adopted child, step-child, or legal ward), and less than 18 years of age, or incapable of self-care due to a mental or physical disability
- a member of the Armed Services or a veteran who is the staff member's spouse, son, daughter, parent or next of kin

To be eligible for FMLA, you must have worked for Swarthmore for at least one year and worked at least 1,250 hours in the past 12 months. You must request FMLA leave at least 30 days in advance if the reason for the leave is foreseeable. You must also provide appropriate certification of the need for such a leave.

Using FMLA Leave

Time off under FMLA may be taken as a continuous leave, as an intermittent leave, or as a reduced work schedule as long as the need to do so is appropriately documented. Each type of usage is counted toward the 12 week total.

The college will make every effort to hold your position while you are on an approved leave of absence. If there is a necessity to fill your position, your department will make a comparable position available upon your return. A comparable position is defined as:

- the same rate of pay
- the same pay grade
- the same or a similar position classification
- the same or similar working hours

Supervisors can modify your specific duties or assignments and can change work schedules, including days worked to meet the operating needs of the department.

If you are on an approved FMLA leave, Swarthmore will continue to cover its portion of your health care costs during the period of leave, up to a total of 12 weeks, or 26 weeks for the care or support of a member of the Armed Services or veteran, in any 12-month period. You will continue to be responsible for paying your portion of the premium cost, which is deducted from your paycheck automatically while you are being paid accrued leave. But if any part of your FMLA leave will be unpaid, you will need to make arrangements with the Human Resources Office to pay for your premium charges.

If you cannot return and are not eligible for additional leave, your employment will end on the last day of your approved FMLA leave.

7. GROUP LIFE INSURANCE PLAN

All benefits-eligible employees (.5 FTE or greater) are eligible to participate in the College Group Life Insurance Plan on the first day of the month that coincides with or next follows the date the employee enters this classification.

The amount of coverage for an employee is equal to one and a half times their annual salary. The dollar amount is rounded to the next higher \$1,000 increment; there is a \$200,000 maximum benefit.

Employees also have the option of purchasing supplemental life insurance, and can choose a level of coverage of up to 5 times their annual salary or \$750,000, whichever is less. A statement of health, also known as “Evidence of Insurability”, may be required at the time of application.

Current IRS tax regulations stipulate that an employee is liable for taxes on the cost of employer-paid life insurance with a death benefit in excess of \$50,000. It is considered taxable income. Accordingly, the College will report this information in Box 16 of form W2. Questions regarding tax liability can be directed to the Payroll Office.

At the time of enrollment, the employee designates the beneficiary (or beneficiaries), who may be changed at any time; forms for this purpose are available in the Human Resources Department.

Upon termination of employment or cessation of active service, Swarthmore College employees have the privilege of converting all or part of their life insurance under the group policy to an individual policy of life insurance.

More complete information regarding this benefit program is available in the Human Resources Department.

8. INSURED BENEFITS

Swarthmore offers an extensive range of healthcare and life insurance benefits, retirement options, educational assistance programs, and other programs and services to our staff and faculty. Because we want to attract and retain the highest quality staff, we are committed to providing a competitive benefit package. You are considered benefit eligible if you have a regular (not temporary) position of .5 FTE position or greater. (FTE stands for full time equivalency and refers to what percent of full time your position is. For example, if a normal work week is 40 hours, and your job is 20 hours per week, your FTE is .5). If you are unsure of your FTE status, please ask your supervisor or Human Resources. The Benefits Office in Human Resources is at your service if you have questions about the insured benefits mentioned in this chapter.

Swarthmore offers a wide range of benefit plans for benefit-eligible staff and their dependents, including:

- Health care coverage
- Domestic Partner Coverage
- Health Care and Dependent Care Spending Accounts
- Life Insurance
- Paid Time Off
- Salary Continuation Plan (Short Term Disability)
- Long Term Disability Plan

- Employee Assistance Program
- Retirement Plan
- Tuition Grant Program
- Tuition Reimbursement Program

All new benefit-eligible staff members should attend the regularly offered benefits orientation. It's a good opportunity for the Benefits Office to answer staff members' questions. Current supervisors or staff members who wish to "sit in" on orientation as a refresher program are encouraged to do so.

Benefits Guidebook at Swarthmore

Human Resources publishes a guidebook entitled Benefits Guidebook at Swarthmore. It is a companion piece to this handbook and is the primary resource for common questions about the benefits program. The benefits guide summarizes each of the benefit plans, including eligibility, dependents, enrollment plan options, costs, and how to file claims. New staff members receive a copy of benefits guide during the benefits orientation. A copy of this resource is also available from Human Resources Office.

The benefits guide is a general overview of benefit programs. More specific information is provided in a Summary Plan Description (SPD) for each benefit program; SPDs are included are available upon request from Human Resources and distributed annually. The SPDs are the actual plan document for each benefit program providing the official language that prevails if questions arise.

Continuing Benefits If Your Employment Status Changes

If your employment changes from a status where you have been eligible for benefits to a status where you are no longer eligible for benefits, you may be able to continue your health care coverage at your own cost under federal provisions known as COBRA. You may also be able to convert other insurance coverage to individual policies at your own cost. For more information, contact the Office of Human Resources.

Benefits Eligibility Date

Benefits eligibility is determined by date of hire or transfer into a permanent or limited term position with a .50 FTE or greater. If you are hired on the first day or business day of the month, benefits are effective immediately. Otherwise, benefits begin the first day of the following month.

9. MEDICARE INFORMATION

This information concerns federal legislation and regulations that relate to Swarthmore's medical plans' coordination of benefits with Medicare for active participants who are older than 65 years.

Persons affected by this legislation are:

- active employees age 65 or older, and

- active employees' eligible dependent spouses age 65 or older.

If an individual is affected by this legislation, while he or she remains covered as an active employee, or an eligible dependent of an active employee, coverage under a Swarthmore medical plan will continue. While an individual remains covered as an active employee in the plan, it is considered primary and pays claims first (before Medicare). Any remaining unpaid bills may be considered by Medicare for additional payment.

When an individual reaches age 65 and enrolls for Part A, he or she should discuss directly with the Social Security representative when to enroll for Part B. If an individual works beyond age 65, and defers enrollment for Medicare Part B, then when he or she does eventually retire, Swarthmore can supply a certification for the Social Security office so he or she may enroll for Part B during a special enrollment period and not have to pay any late enrollment surcharge. The laws pertaining to Medicare change frequently, so it is important to consult with the Social Security office directly about one's particular situation.

10. RETIREMENT PLANS

Swarthmore College provides for employees' retirement through a combination of Social Security and individual annuity or investment contracts. There is a wide variety of investment options available with Teachers Insurance and Annuity Association/ College Retirement Equity Fund (TIAA/CREF).

Swarthmore College Regular Retirement Plan

All regular full-time and part-time (half-time or more) employees are eligible to participate in the College Retirement Plan after completing one year of employment. The waiting period is waived, however, if a new employee currently owns an annuity contract under a 403(b) plan or a custodial account under a 403(b)(7) plan from a previous employer.

Basic Contributions

Participation in the plan is mandatory and contributions to the plan continue as long as an individual is actively employed by the College. Contributions to this basic portion of the Retirement Plan are calculated according to the following schedule:

The College contributes 10% of the base salary.

The employee contributes 5.5% of the base salary in excess of \$20,000.

Please note: The College is only able to contribute to the faculty member's retirement plan based upon that portion of the base salary paid through Swarthmore's payroll system. This means that if the faculty member is on a reduced salary during a sabbatical leave or has a reduced salary for other reasons (such as unpaid partial leave, an unpaid course reduction, etc.), the formula is applied to the reduced cash salary. If the faculty member receives funding from an external source, which makes up any portion of the difference between cash salary and the regular base salary, it will benefit him/her to make arrangements to have the grant paid through

the college system. Please consult the Provost's Office for details about making these arrangements.

The College offers a wide range of investment options through TIAA/CREF and Vanguard. Whichever investment option(s) an employee chooses, the contract belongs immediately to the employee. In other words, employees are 100% vested in these accounts on the date participation begins.

An employee's contributions are made on a before-tax basis through salary reduction from wages for remittance to the selected plan together with the College's portion. Under a salary reduction agreement, the portion of one's compensation contributed to the plan is not subject to current federal income tax. An employee's contributions, along with the College's contributions, will be taxed when retirement benefits are received. Generally upon retirement individuals will be in a lower tax bracket.

Withdrawals from this basic portion of the Retirement Plan are not permitted while individuals are actively employed. If one dies before retirement, the full current value of the accumulation becomes payable to the designated beneficiary or beneficiaries in accordance with various options.

The College will provide information on the various investment providers, but cannot advocate any specific course of action. Additional information and application forms for both investment providers are available from the Human Resources Department.

Additional Basic Contributions

Employees are not limited to the above percentage levels, but may contribute additional sums on a voluntary basis up to a legally allowed maximum. However, the College will not make any further contributions on an employee's behalf. Like basic contributions, additional contributions will be withheld from one's pay on a before-tax basis. All additional basic contributions are invested in the individual's account and are subject to the rules of the College's retirement plan.

11. SUPPLEMENTAL RETIREMENT PLAN

Employees may also elect to have a portion of their earnings, up to a legally allowed maximum, placed each year in a supplemental retirement account. Like basic and additional basic Retirement Plan contributions, supplemental contributions are not subject to federal taxation until such time as it is received as income.

An employee may be able to take an "early" withdrawal from his or her supplemental retirement account; however, certain restrictions may apply. Withdrawals made before attaining age 59 1/2 on accumulations from salary reduction contributions and accrued earnings are subject to a 10% penalty tax, in addition to regular income tax.

If supplemental contributions are invested with TIAA/CREF or Vanguard, an employee may borrow from his or her account. Supplemental contributions may also be eligible for hardship withdrawal (as defined by the IRS) regardless of which investment fund is selected. If one

wishes to make a hardship withdrawal, he or she may withdraw his or her contributions only; no earnings on contributions made after December 31, 1988 may be withdrawn. A 10% penalty tax may apply to certain withdrawals in addition to ordinary income tax. More information is available from the Human Resources Department.

12. VOLUNTARY TRANSITION PROGRAM FOR TENURED FACULTY

The Swarthmore College Voluntary Transition Program for Tenured Faculty (“Program”) is available for eligible tenured faculty members. A brief summary of the Program is provided below. **A full description of the Program is available by contacting the Provost’s office.** In the event of any unintended conflict between this summary document and the full description of the Program, the full description of the Program document will prevail. Questions regarding the Program and benefits should be directed to the Provost’s Office.

The Program is unfunded and has no trustee; all benefits under the Program are paid exclusively by the College from its general assets. The Program is effective as of January 22, 2018 for retirement dates effective on or after July 31, 2019.

Eligibility: You are eligible to participate in the Program only if you meet all of the following criteria. You must (1) be a tenured member of the faculty who has been a regular, full-time faculty member of Swarthmore College for at least ten years as of the date you elect to participate in the Program; (2) have attained age 60 as of your retirement date under the Program; and (3) have either reached the rank of Professor, or have been at the rank of Associate Professor for at least 12 years as of your retirement date under the Program.

Participation: To elect to participate in the Program, eligible faculty members must return a completed and signed *Election and General Release of Claims* form during the Election Period, which is typically between **June 1 and July 31** of any calendar year for a retirement date of either **July 31** or **December 31** (“Retirement Date”) in the next following calendar year. In addition, you must also sign and return an *Addendum to the Election and General Release of Claims* (“*Addendum*”) on your last day of employment to finalize your eligibility for Program benefits. The specific dates of the Election Period will be announced each year by the Provost.

Revocation Periods: You will have 7 days after you return the executed *Election and General Release of Claims* to revoke it by submitting a signed revocation notice to the Provost, if you choose to do so. After the expiration of the 7-day revocation period, the *Election and General Release of Claims* will become effective and irrevocable and you must retire on your Retirement Date. You will also have 7 days after you return the executed *Addendum* to revoke it by submitting a signed revocation notice to the Provost, if you choose to do so. After the expiration of the 7-day revocation period, the *Addendum* will become effective and irrevocable. If you do not sign the *Addendum* on your Retirement Date, you will still be required to retire from the College and relinquish tenure, but you will not receive the benefits under this Program.

You are under no obligation to participate, and no faculty member will be terminated or suffer any adverse employment consequence for choosing not to participate in this Program.

Tenure Status: If you elect to participate in this Program in any calendar year, you must retire from your tenured position with the College on your elected Retirement Date. Nothing in this Program will prevent you from entering into a non-tenured arrangement with the College to teach a stipulated course or courses at the regular, part-time rate per course, or to perform other assignments, studies or administrative functions for the College.

Program Benefits: If you are eligible and you choose to participate in the Program and satisfy all the conditions of the Program, you will be entitled to the following:

- If your Retirement Date under the Program occurs by the end of the academic year in which you will reach age 63, you will receive a single-sum cash payment in the amount equal to the difference in value between the College-wide average salary of a Full Professor and the College-wide average salary of an Assistant Professor (the “Differential”), multiplied by five. If you participate in the Program with a Retirement Date that occurs after the end of the academic year in which you reach age 63, you will receive a single-sum cash payment in the amount equal to the Differential multiplied by the lesser of four and the number of years that would bring you up to the age of 70. However, any tenured faculty member who does not meet the necessary years of service requirements for Program eligibility until after reaching age 63 will have a one-time 180-day opportunity, solely at the time of first becoming eligible for the Program, to retire with the maximum benefit, provided that he or she complies with the other requirements for participation in the Program.
- A seniority bonus of \$1,400 for each year of service as a full-time, regular faculty member at the College over the ten-year minimum for entry into the Program, up to a maximum of \$28,000. (This sum is to be periodically adjusted for inflation.) This payment will be reduced by one-sixth (1/6th) for each year that your Retirement Date is delayed after attaining age 63. However, any tenured faculty member who does not meet the necessary year of service requirements for Program eligibility until after reaching age 63 will have a one-time 180-day opportunity, solely at the time of first becoming eligible for the Program, to retire with an unreduced seniority bonus, provided that he or she complies with the other requirements for participation in the Program.
- A lump sum payment in lieu of the College’s contribution to the Swarthmore College 403(b) Retirement Plan (the “403(b) Plan”). This benefit will be calculated based on the present value of the benefit. You can request a copy of the Summary Plan Description from Human Resources to review the full amount of the contribution.
- Emeritus status with the College.
- Continuing College tuition grants, research support, and travel to meetings of learned society benefits until attainment of age 70.

In addition, as a retiree of the College, the College will provide Program participants, as they may wish, a mail address, library privileges, an email address, the administration of grants, and participation in convocations and academic processions. The College will also periodically arrange for financial counseling, through an independent financial consultant.

Forfeiture of Benefits Prior to Retirement Date: After you have made an election to participate, you may become ineligible to receive Program benefits if any of the following occurs:

- If you fail or refuse to timely execute and return the *Election and General Release of Claims*, or if you fail or refuse to timely execute and return the *Addendum* on your Retirement Date.
- If you revoke the *Election and General Release of Claims* or *Addendum* within the applicable 7-day revocation period.
- If your employment with the College is terminated by the College for cause for serious shortcomings prior to your Retirement Date. For this purpose, “serious shortcomings” shall have the same meaning as described in the policy on Termination of Appointments within the College’s Handbook for Instructional Staff.
- If you voluntarily terminate employment with the College prior to your Retirement Date.
- If you refuse to terminate your employment and/or relinquish your tenure with the College on your Retirement Date.
- If you violate any legal obligation you may owe to the College, including without limitation, any obligations regarding confidentiality or the return of property that belongs to the College on or prior to your Retirement Date.

Necessary Forms: The full description of the Program as well as all forms under the Program are available by contacting the Provost’s Office. Please direct questions about the Program and any related benefits to the Provost’s Office.

Amendment and Termination: The College reserves the right, at any time and from time to time, to amend or terminate the Program, in whole or in part, following consultation with the Faculty Staff Benefits Committee, the Committee on Faculty Procedures, and the appropriate committee(s) of the Board of Managers of the College.

Should the Program be changed significantly or terminated, any eligible faculty member who meets both of the following requirements will be permitted to use this Program, should they so desire, if the faculty member:

1. is eligible to make an election to participate under this Program during the academic year of the Program change; and
2. within the academic year of the Program change, provides the Provost with written notice of an intent to participate in this Program during one of the next three years. The faculty member must also complete and return the Election and General Release of Claims at least 12 months before their specified Retirement Date, and must also complete and return the Addendum on their specified Retirement Date.

13. LONG-TERM DISABILITY INSURANCE

Swarthmore College provides Long-Term Disability Insurance for periods of disability in excess of six consecutive months. Participation is limited to benefits-eligible faculty with a .75 FTE or greater status. As an eligible employee, coverage will begin on the first day of the month coincident with or next following an employee's date of hire, if one was covered under one's prior employer's LTD plan. Otherwise, coverage begins on the first day of the month following the completion of one year of continuous service.

The plan provides a monthly income benefit equal to 60% of an employee's monthly covered salary at the date of disability but not to exceed \$13,000 monthly. This amount will be offset by any benefits payable by Social Security and/or Worker's Compensation. In no event will the monthly income benefit be less than \$100. When an employee leaves the College because of a disability and is approved for LTD benefits, the employee's active status with the College is at an end. Termination of employment is effective with the date of LTD application approval, and all benefits are ended with the exception of health insurance, life insurance and pension. Health insurance is continued for a transitional period, and life insurance is continued during a waiver application process. If the application is accepted, life insurance continues as part of the LTD plan benefit. Employer contributions are made to the employee's pension plan as part of the LTD plan benefit once the employee has received disability benefits for six months.

More information concerning the College's LTD plan is available from the Human Resources Department.

14. EMPLOYEE WORKPLACE INJURIES

All employees of the College--faculty, staff and student workers--are covered under the College Workers Compensation Insurance for medical treatment for any injury incurred during the course of employment.

If an employee is injured while at work, it is the employee's responsibility to report the injury to the employee's supervisor immediately and to call Public Safety to initiate an incident report and/or medical treatment. Under state law, an employee may not be eligible for workers' compensation benefits if the illness or injury is not reported in a timely manner.

If an employee incurs a work-related injury, the College's insurance carrier will pay for medical treatment. In order to ensure that our carrier will pay for treatment, the employee must be treated by one of the College's designated panel of physicians and providers.

After 90 days, if an employee decides to receive treatment outside the panel, the employee must notify Human Resources within five (5) days or the College is relieved of its obligation to pay.

If an injury or sudden symptoms may be life-threatening, call ext. 8333 and Public Safety will dispatch appropriate emergency response, including off-campus services as needed (if 911 is called first, Public Safety should be contacted immediately afterward). Medical treatment is the priority and completing reports/documentation will follow as soon as is practical.

For other less urgent injuries, Public Safety will initiate an incident report, and arrange for transportation to one of the occupational health providers on the College's panel. They will provide the employee with an information sheet to sign, and a list of the College's panel of physicians and health care providers.

If an injury occurs while on College business off campus or traveling out of the area, the employee may secure initial assistance from a hospital, physician, or other health care provider. The employee must seek subsequent treatment from a panel provider for at least the first 90 days from the date of first treatment. Upon the employee's return, a report of the injury must be filed within one business day of returning to campus by contacting Public Safety; in addition, Human Resources must be contacted to arrange an appointment with a panel physician.

15. EMPLOYEE ASSISTANCE PROGRAM (CAREBRIDGE)

The College offers an Employee Assistance Plan (EAP) for all benefits-eligible employees (.5 FTE or greater). An EAP is designed to help employees and their covered dependents address personal issues. The College has contracted with Carebridge to provide referrals and assistance addressing childcare, eldercare, parenting, schooling, relocation, legal issues, consumer issues, retirement planning, financial planning and time management, and personal counseling. All benefits-eligible employees (.5 FTE or greater) may receive these counseling services free of charge. All services supplied are strictly confidential. More information concerning the Carebridge referral services is available through the Human Resources Department.

16. TUITION GRANT PROGRAM

The Tuition Grant Program is designed to assist Swarthmore College employees in providing for their children's educational needs while demonstrating Swarthmore's abiding belief in the value of higher education and the importance of dependent's having a choice as to where they will attend school.

Eligibility

Employee eligibility is as follows:

- Regular, benefits-eligible, full-time (defined as an FTE of at least .75) faculty and staff who have been regular full-time employees of the College for five years at the time their child begins the academic year at an accredited undergraduate college, university, junior college, or technical school.
- Regular, benefits-eligible, part-time (defined as an FTE of .5 - .74) faculty and staff whose principal employment is at Swarthmore College and who have been regular part-time employees of the College for five years at the time their child begins the academic year at an accredited undergraduate college, university, junior college, or technical school.

Child Eligibility is as follows:

- The legal dependent children (adopted, natural or step-children) of:

- eligible employees
- retired or permanently disabled employees who at the time of retirement or disablement had satisfied the employment requirement stated above, provided the children were in the ninth grade or beyond at the time of retirement or disability.
- deceased employees who die while actively employed by the college, and who at the time of death had satisfied the employment requirement stated above.
- employees on an approved leave from Swarthmore College, who at the time of such leave had satisfied the employment requirement stated above.
- The eligible child must be attending an accredited undergraduate college, university, junior college, or technical school on a full-time basis and be in good standing at their institution.

Service Credit

- Regular, benefits-eligible faculty and staff who have been re-hired by the College and who were eligible to receive benefits from the tuition grant program at the time they left the College are immediately eligible for the full-time or part-time benefit for which they had satisfied the employment requirement stated above. If the re-hire was not eligible at the time employment ended, service credit will be granted if the re-hired employee had less than a one year break in service.
- Regular, benefits-eligible faculty and staff who have been employed for less than five years with the College at the time their child enters college are eligible for the tuition grant benefit if their previous employer had a tuition benefit program and the employee was eligible to receive benefits from their previous employer's benefit program at the time the employee accepted employment with Swarthmore College.

Benefit

- Eligible full-time employees with a child enrolled full-time in an accredited college, university or technical school, may apply for a grant not to exceed 100% of the child's tuition and fees. The maximum grant for an eligible child of an eligible full-time employee is equal to 40% of Swarthmore's tuition and fees (excluding room and board) up to the 2022-2023 annual maximum benefit of \$23,731.
- Eligible part-time employees with a child enrolled full-time in an accredited college, university or technical school, may apply for a grant not to exceed 100% of the child's tuition and fees. The maximum grant for an eligible child of an eligible full-time employee is equal to 20% of Swarthmore's tuition and fees (excluding room and board) up to the 2022-2023 annual maximum benefit of \$11,866.
- Grants per eligible child shall be limited to the standard four years of undergraduate work at colleges, universities, or junior colleges (i.e., maximum of eight semesters or 12 quarters).
- The maximum grant award per Family will be equivalent to two children attending college for four years (i.e., for 16 semesters, 24 trimesters, or 32 quarters totals).
- Grants may be distributed among more than two children per Family, as long as the number of semesters/trimesters/quarters and the total dollar amount do not exceed the maximum grant award limit in dollars or number of semesters.

- No child may receive more than one grant at a time, and no Family may exceed the maximum grant limit in dollars or number of semesters, including when both parents are employees of the College.
- Grants are awarded each semester in accordance with the procedures outlined in the Tuition Grant Program
- You may wish to consult a tax advisor with respect to the taxability of tuition, scholarship and/or fellowship grants. Dependent tuition amounts granted may be treated as taxable income if the aggregate amounts of scholarships or fellowship amounts received by the recipient exceed tuition and fees (not including room and board) required for enrollment or attendance at the educational institution and fees, books, supplies, and equipment required for courses of instruction.
- Please note that because program requirements at universities, colleges, junior colleges, and technical schools vary, each institution and program will be evaluated by Human Resources to assess eligibility under the Tuition Grant program

Procedures

- Once each year eligible employees must complete a Tuition Grant Program Application, including documentation of prior employment service credit if applicable.
- Tuition Grant Program applications are available in the Human Resources Department or on the College website.
- Each semester, a copy of the institution's invoice must be submitted to Human Resources for review and processing
- Invoices for the Fall semester may be submitted starting the July preceding the fall academic term.
- If the eligible child changes schools during the year, a new application is required.
- Swarthmore College tuition grants shall be paid by Swarthmore College to the institution to which the eligible child is enrolled to be applied against their tuition and fee charges in accordance with the normal billing procedure of the institution. In no case will the grant be disbursed directly to the student or parent.

The College reserves the right to change or discontinue this program at any time.

17. DOMESTIC PARTNER BENEFIT POLICY

Swarthmore College has stated a commitment to the principles of equal employment opportunity for all qualified persons without discrimination. To further this commitment, and to recognize and support more equitably the variety of partnership and family compositions of our community members, the College has implemented a Domestic Partner Benefit Policy.

This Policy will provide the domestic partner of an employee of the College all benefits afforded to spouses of instructional staff and staff members as described in the College's Instructional Staff and Employee Handbooks.

To be eligible for these domestic partner benefits, the partner must fit certain criteria, as established by the College, and sign a form declaring that they are committed to a domestic partnership for mutual support and benefit. Interested employees may obtain a copy of this form and/or seek further guidance from the Human Resources Department.

18. MOVING EXPENSES

The College provides reimbursement for moving expenses incurred by new full-time appointees whose appointment is in the ranks of Professor, Associate Professor, Assistant Professor or Instructor.

To be eligible for relocation assistance, a new appointee must meet both the distance and time test. Distance Test: The employee or new hire must be relocating to a new job site that is at least 50 miles farther away from their home than their current or most recent work location. Time Test: The employee is expected to work full time at least 39 weeks during the first 12 months after relocation. (see [IRS Publication 521](#)). In addition, expenses are capped based on the distance of the move. Expenses incurred above the cap may be eligible for IRS deductions. For specific expense caps and additional information, please refer to the [Human Resources website](#) for the College's Relocation Assistance Policy.

Instructional staff appointees must submit a written request to the Provost's Office with copies of bills for moving expenses. Internal Revenue regulations now require that this reimbursement be reported as taxable income. Individuals should retain their receipts for their tax records, as this is a deductible expense.

19. TRAVEL TO MEETINGS OF LEARNED SOCIETIES

The College reimburses members of the faculty in the ranks of Professor, Associate Professor, Assistant Professor, and Instructor for a major part of the expenses incurred in attending meetings of learned or professional societies. The College thus encourages faculty members to take part in these professional meetings, and thereby to keep in touch with fellow scholars and with the most advanced thought in their individual fields.

Reimbursement for expenses incurred will be subject to the following regulations and limitations:

- a. Full-time members of the faculty have an annual allowance for travel to meetings of learned societies. The total reimbursement for two successive academic years will not exceed the sum of the two most recent consecutive academic years, except as noted in item c below. This will permit members of the faculty to accumulate two years' worth of funding and will, it is hoped, allow greater flexibility in travel plans. Full-time faculty members here on one-year appointments (visiting or otherwise) are

eligible for a maximum one year allowance plus extra reimbursement under Item 3. The limit will be reevaluated for increases and announced annually.

b. Reimbursable Expenses

i. Transportation

- Air travel, via less than first class except when less than first class accommodations are not reasonably available.
- Railway
- Private automobile, at a mileage rate consistent with IRS regulations
- Rental cars, only when public transportation is not available or adequate.

ii. Lodging, Meals, and Incidentals

Because of the wide variety of circumstances faced by a traveler, reasonable lodging expenses for the area will be reimbursed at cost on submission of hotel receipts. Meals and incidental such as tips, local phone calls, etc., will be reimbursed at cost. On unusually high claims for lodging and meals, the Provost and/or the Business Office may request a statement explaining the circumstances.

iii. Miscellaneous Expenses

Reimbursement will be made for registration at meetings and for reasonable taxi, toll, and parking fees.

iv. Required Receipts

Proper receipts are expected for the following: transportation (air or rail tickets, airport tax, and excess baggage charges), lodging, rental of automobiles and registration at meetings.

- c. A full-time faculty member presenting a paper at a meeting of a learned society or serving as an officer of a learned society may apply for reimbursement exceeding limitation 1. The Provost will review the application and make an award consistent with funds budgeted for this item. Only limited assistance will be possible. Awards in this category, if any, will be made at the end of the academic year.
- d. A Department Chair and up to one other designated member of the department who attend a meeting to interview candidates for a position in the department may be reimbursed in full with the prior approval of the Provost.

Travel expense forms are available from the Business Office's [Frequently Used Forms website](#). To request reimbursement, a Travel Expense Form and receipts documenting each expense should be submitted to the Provost's Office for approval.

Faculty members may obtain advances to cover travel expenses from the Business Office. Such advances can be requested, using the Travel Expense Form.

If a question arises as to the intent or application of these regulations, members of the faculty are urged to contact the Provost's Office as far in advance of the proposed trip as possible.

Such liability insurance as the College carries does not relieve individual drivers of liability for their personal negligence.

So long as a detailed expense account is filed with the College on the appropriate form, funds received as reimbursement for travel and living expenses need not be considered as income for Internal Revenue Service purposes. Neither, of course, should the individual deduct reimbursed expenses as "business expenses" on the 1040 form. Faculty members are urged, however, to keep copies of all expense accounts submitted to the College in the event that a subsequent income tax audit requires substantiation of reimbursed expenses.

IV. SERVICES AND FACILITIES

1. ALUMNI & PARENT ENGAGEMENT, OFFICE OF

The Office of Alumni & Parent Engagement acts as the communication channel between the College and its alumni, parents, and friends, facilitating engagement with the College and with each other. The program provides opportunities to continue intellectual relationships with the College, to build and maintain networks, and to support current students. The office's programs and activities include an annual Alumni Weekend in the spring, which draws approximately 1600 alumni and their families; off-campus gatherings across the U.S. and internationally; alumni travel tours; and varied engagement opportunities across the globe. Faculty members and senior staff frequently participate in these programs as speakers. The office gives staff support to groups such as the Alumni Council, the elected governing body of the Alumni Association.

2. CAMPUS AND COMMUNITY STORE

For the convenience of the Swarthmore campus community, the College owns and operates the Swarthmore Campus and Community Store, which is located at 4. South Chester Road, next to the Inn at Swarthmore. The Store carries required textbooks and supplies, a large selection of general interest and leisure reading materials, Swarthmore memorabilia, imprinted clothing, greeting cards, snacks, and room accessories. Special order services for books and supplies, and fax services are also available. A 10% discount is extended to instructional staff and staff on most items.

The Store will accept course materials orders at any time -- even after the semester has started -- but faculty are encouraged to place course materials orders as early as possible. When orders are placed in a timely fashion, the Store will be able to source the lowest price used and new copies to benefit our students. **PLEASE NOTE:** Course materials orders are processed in the order in which they are received at the Store. Course materials ordered late almost always result in offering only new books at full price. If the order is placed less than four weeks prior to the semester, faculty should be prepared to teach without those books for the first few days of classes.

3. COMMUNICATIONS, OFFICE OF

The Communications Office coordinates strategic communications efforts at the College, particularly those relating to admissions, advancement, the College's website, social media, and media relations. In collaboration with other College offices, including Information Technology Services, the Communications Office leads the development and implementation of an overall web strategy for Swarthmore. The office also lends advice and logistical support for film projects at Swarthmore.

Communications works with members of the College community to place stories about Swarthmore and its faculty and students in print and electronic media, responds to information requests, and helps reporters find Swarthmore sources for expert commentary. The office also helps students and faculty members publicize special events and provides general information to the public. In addition, it is responsible for producing and maintaining content for key areas of the Swarthmore web site, including the [homepage](#) and [news](#) site, as well as maintaining the [Campus Calendar](#) and [Classifieds](#) and producing [Sw@tNews](#), an e-newsletter distributed to alumni, parents, and the campus community.

Communications also creates a variety of printed communications for the campus community. The quarterly *Swarthmore College Bulletin* is an award-winning alumni magazine sent to all alumni, parents, faculty, staff, friends of the College, and members of the senior class. Communications provides editorial, photographic, graphic design, and print production services to administrative offices and academic departments and programs across campus.

Communications manages the College's primary social media platforms, including Facebook, YouTube, Twitter, and Instagram. The office also serves as a resource for community members who manage department social media sites.

Communications partners with the admissions and financial aid departments to develop and manage the production of communications in print, web, email, social media, as well as related to the campus visit experience, that speak to prospective students, their parents, and high school guidance counselors, among others. The goal is to raise awareness about Swarthmore College, communicate what distinguishes the College from other schools, and engage directly with prospective students.

In support of advancement, the office manages and supports all communications focused on the related goals of alumni engagement and raising philanthropic support for the College. This includes developing and implementing communications strategies, crafting proposals to donors, and overseeing the production of occasional videos, including an annual thank-you video to donors. The office also produces an annual calendar sent to all alumni.

4. ENROLLMENT IN COURSES

All persons employed full time by the College, all part-time (defined as at least one-half time) persons whose principal employment is with Swarthmore College and where there is reasonable expectation of continued, regular employment, and all persons who have retired from the College may enroll without charge for one course each semester for credit or audit, provided a suitable schedule can be arranged with the employing department and the academic department and the instructor of the course in question approve.

If the individual enrolls for two courses, the normal tuition charge or audit fee will be charged for the second course. A person enrolling for three or more courses will be considered a regular student and not an employee.

The spouse or partner of any eligible employee may enroll, without charge, for one course each semester for credit or audit, provided the academic department and the instructor of the course in question approve. If a spouse enrolls for two or more courses, the normal tuition or audit fee will be charged for the second and subsequent courses.

5. FOOD SERVICE

General

Instructional staff members who wish to have meals at Sharples may pay at the door or purchase a meal plan from the OneCard Office. The meal plan consists of a block of 10 or 20 meals, which means you would have 10 or 20 meals to use at any time the Dining Hall is open. You may also add account to your OneCard called Garnet Cash and a minimum of \$10.00 must be placed on the card. This Garnet Cash is used like cash, and may be used in Essie Mae's Snack Bar, Kohlberg and Science Center Coffee Bars, and Sharples Dining Hall. The balance is carried from one year to the next and can be refunded if requested when you are no longer affiliated with the College. Contact the OneCard Office at ext. 7362 to make arrangements for this card. For Dining Service hours, prices, and policies at Sharples, Essie Mae's Snack Bar (in Tarble), and the Kohlberg and Science Center Coffee Bars, please check at the individual eating locations or online at <http://www.swarthmore.edu/dining-services/dining-locations-hours-menus>.

Room Reservations

There are three private dining rooms available in Sharples Dining Hall. The rooms may be reserved through the centralized space reservation system. The rooms are on a first-come, first-serve basis. Room 4 is the largest of the three rooms and serves approximately 20-25. Rooms 208 and 209 are located on the upper level of Sharples Dining Hall and can accommodate 10-15 persons. Rooms 5 and 6 can accommodate 10-12 persons. For audio-visual equipment, please contact Media Services at ext. 6201.

Catering

Dining Services offers a wide range of catering services from coffee and tea set-ups to five course dinners. They offer professional, courteous service and are happy to help with catered events. Please call catering at ext. 8624 or e-mail *catering*, giving as much notice as possible for an event, but a minimum of at least 72 hours. To arrange space for an event, please check the centralized space reservation system for available space.

6. HEALTH SERVICES

Student Health and Wellness supports the health and well-being of every student, in keeping with the broader mission of facilitating a productive and rewarding college experience. Student Health & Wellness Services is located in the Worth Health Center. After hours on call is available when the Health and Wellness Center is closed. Appointments are available to visit a nurse practitioner, physician, registered dietician, violence prevention advocate, alcohol and

other drug counselor. Students experiencing true emergencies and/or severe medical issues should be evaluated and treated at a local hospital.

In the event of missed classes, activities, or assignments due to illness, students must give permission for the Health Center staff to be in touch with the relevant class dean, who will communicate with professors or other relevant community members. These communications indicate that the student is under the care of a medical professional and will be in touch once the student is ready to resume work or classes. Class deans can help students strategize ways to make up work and to approach faculty members or others about their situation. Visit the [Student Health and Wellness Center webpage](#) for more information.

7. HOUSING

a. Rentals

The College owns a number of houses and apartments, which are rented to full-time members of the faculty and as available, other members of the instructional staff. It is understood that renters will vacate College-owned housing upon retirement or departure from the College. Inquiries concerning the availability and assignment of College housing should be made at the Office of the Provost; inquiries concerning other matters (rent, garages, terms of lease, etc.) should be made at the office of the Associate Vice President for Sustainable Facilities Operation and Capital Planning.

Term of Rental. College apartments or houses are normally leased on a month to month basis. Members of the instructional staff living in College-owned apartments or houses who are permanently leaving College housing are expected to vacate no later than June 30. Occupants may terminate their leases in May if notice of termination is given by April 1. In all instances, occupants will be responsible for removing all debris and leaving the premises in good order for the next occupant. The regular monthly rental payments are deducted from salary checks. Beginning with new rental agreements that take effect on or after July, 2022, tenants in College-owned rental housing will be permitted to renew their annual lease for a total of eight consecutive years.

Any renter who wishes to sublet his/her College-owned apartment or house must receive prior permission from the Associate Vice President for Sustainable Facilities Operation and Capital Planning.

Utilities. Occupants of College houses are responsible for their own utility bills, including water. Each individual lease will specify arrangements for how utilities charges are handled for the property. In some cases utility bills will come directly from the utility companies; in other cases the College will submit bills on the basis of meter readings. Bills for utilities from the College should be paid at the Business Office.

Services. (1) Apartments: The College will take care of the grounds, including snow removal. If residents would like to make any changes to the landscape (planting or removing trees or shrubs, adding a flower bed or vegetable garden, etc.) approval must be given by the Director of Grounds. (2) Houses: The occupant will be responsible for such services as putting up and

taking down screens, snow removal, lawn care, etc. Borough regulations should be followed as they apply to recycling, snow removal, and keeping vines and brush clear from sidewalks. If residents would like to make any changes to the landscape (planting or removing trees or shrubs, adding a flower bed or vegetable garden, etc.) approval must be given by the Director of Grounds.

Occupants of both apartments and houses are responsible for such routine services as replacing light bulbs, waxing floors, replacing fuses, and servicing washing machines and other personally owned electrical appliances. The College will maintain the electrical, heating, and plumbing systems and make necessary repairs to the building. In case of needed service, call the Facilities Management Department. The College has maintenance personnel on duty from 7:00 a.m. until 5:30 p.m. during the academic year. Summer hours are from 7:00 a.m. until 3:30 p.m. They may be reached at x8280. In emergencies, a maintenance mechanic can be reached by calling the College operator. Normal maintenance problems should be reported during the period from 7:00 a.m. to 3:30 p.m. at Facilities Management (x8280).

Decorating. The College is responsible for the exterior painting and interior painting and papering of its properties. Exterior painting is planned on a six-year cycle, and interior painting and papering is planned on a six-to-seven-year cycle. An occupant who desires to proceed in decorating at personal expense must contact the Director of Maintenance and obtain approval.

Improvements. The College will pay for the cost of certain types of approved improvements to or within permanent College apartments or houses with the understanding that the monthly rent will be adjusted as appropriate. Modernization of kitchen and bathroom, purchase of storm windows, and other types of improvements are envisaged as distinct from normal repairs or replacement of roofs, floors, furnaces, screens, etc., and are subject to the limitations of the annual budget. Requests or proposals should be submitted directly to the Director of Maintenance.

Liability. The College cannot nor does it in any way intend to put aside its legal liability as owner of any of its property. College fire insurance, for example, protects College property but not property owned by occupants. College liability insurance also covers the interests of the College but does not cover the liability of occupants. In view of this situation, each tenant is required to carry a renter's policy for \$100,000 personal liability coverage and contents coverage of \$20,000 or an amount sufficient to replace the tenant's belongings, whichever is greater.

b. Home Purchase Assistance

The College Home Purchase Assistance program offers tenured and tenure-track faculty, other full-time faculty with three or more years remaining in their appointment, and regular part time faculty the opportunity for a ten-year forgivable home purchase assistance loan of up to \$45,000. This loan must go toward the down payment, closing costs, closing "points," or mortgage insurance premiums associated with the purchase of a home located either within the Wallingford-Swarthmore School District, or within one and one-half miles from any SEPTA Regional Rail station along the Media-Elwyn line, including Center City Philadelphia.

The faculty member must be a benefits eligible (.5 FTE or above) active employee of Swarthmore on the date of the closing for the purchase of the property. The property must be the faculty member's principal residence for the ten year period while the forgivable loan remains outstanding. Should the property cease to be the faculty member's principal residence during the ten-year period (except during approved sabbatical leaves), or should the faculty member cease to be employed by the College, the faculty member agrees to repay a prorated portion of the loan amount back to Swarthmore College within 12 months from the date of the changed status, based on the schedule listed below:

- After the first anniversary and before the second anniversary of the closing date:
 - 90% of the original value of the loan
- After the second anniversary and before the third anniversary of the closing date:
 - 80% of the original value of the loan
- After the third anniversary and before the fourth anniversary of the closing date:
 - 70% of the original value of the loan
- After fourth anniversary and before the fifth anniversary of the closing date:
 - 60% of the original value of the loan
- After the fifth anniversary and before the sixth anniversary of the closing date:
 - 50% of the original value of the loan
- After the sixth anniversary and before the seventh anniversary of the closing date:
 - 40% of the original value of the loan
- After the seventh anniversary and before the eighth anniversary of the closing date:
 - 30% of the original value of the loan
- After the eighth anniversary and before the ninth anniversary of closing date:
 - 20% of the original value of the loan
- After the ninth anniversary and before the tenth anniversary of closing date:
 - 10% of the original value of the loan

Mortgage loans are administered by our participating lender, Franklin Mint Federal Credit Union, and subject to its underwriting policies of the financial institution. This loan is taxable, and 1/10th of the loan amount will be added to the employee's W-2 at each anniversary date of the loan. This program is subject to available resources.

Forgivable home purchase assistance loans are limited to one loan per eligible employee during their employment at Swarthmore College. If two members of the same household are employed by Swarthmore College and eligible for the Home Purchase Assistance program, the College will issue only one loan per household. Faculty members on non-paid leave, regardless of the reason for the leave, are not eligible until they return to active paid employment status. Community members who currently have or previously have had a mortgage administered by the College will not be eligible for the Home Purchase Assistance program.

8. SWARTHMORE ONECARD

The Swarthmore OneCard Office provides each employee of the College with an identification card called the Swarthmore OneCard. The OneCard offers a variety of new and exciting features, such as a meal plan for dining for faculty and staff, cashless spending on campus, ticketless entry

to events, and keyless entry into buildings. These cards can usually constitute adequate identification for instructional staff members seeking admission to museums, libraries, research facilities, and attempting to obtain institutional discounts when traveling on College business. They may also be used for admission to College athletic contests or other special events where admission is restricted and identification necessary. Lost cards will be replaced by the Swarthmore OneCard Office. If you have any questions about how your OneCard works, please contact the OneCard Office by phone at x7362 or via email at onecard@swarthmore.edu.

9. INFORMATION TECHNOLOGY SERVICES

Information Technology Services (ITS) provides computer, and network, and telephone support and service to the Swarthmore community. The ITS website (<http://www.swarthmore.edu/its/>) provides documentation, a list of supported computer software, contact information for ITS staff, as well as news relevant to computing and technology at Swarthmore. The Help Desk (ext. 4357 or help@swarthmore.edu) answers questions, configures computers, and provides one-on-one assistance.

Academic Computing

Information Technology has full-time staff to assist with curricular and research computing issues. Instructional staff are encouraged to use their coordinators as consultants on issues related to technology planning, integration, or use.

Student computing clusters (Mac and Windows) are available throughout the dormitories and libraries. Computer classrooms are located in Kohlberg (the Language Resource Center), and Trotter 201. You may schedule computer classrooms with the regular classroom scheduling process through the Registrar, or through [Swat Central](#) for occasional use.

Academic Computing operates a Media Center for the College community. It contains facilities for slide and flatbed scanning, large format (poster) color printing, digital video editing, geographic information systems (GIS), 35mm film scanning, and 3D printing. Those who need to access the room after hours should contact Academic Computing and they can provide access to the facility via key or the College ID card.

Specialized software such as Mathematica, Photoshop, and SPSS are available in the computer labs and public computing clusters, and much of it is available for download from the [Software Installer webpage](#). Most of these have license managers to monitor the number of copies in use concurrently.

College services that are restricted to on-campus use, such as the specialized software, may be accessed using Swarthmore's VPN (Virtual Private Network) and others, such as mail and calendaring, are available from off-campus using a web browser.

Media Services

Media Services (ext. 6201 or e-mail avbox) supports the classrooms, many College events, and maintains the College's inventory of audio-visual equipment. Classrooms and facilities across

campus are equipped with digital projectors and sound systems for the presentation of a variety of media. Faculty, staff, and students may contact Media Services to reserve equipment, such as still and video cameras, portable projectors, screens, laptop computers, slide projectors, etc.

Media Services provides a wide range of services for instructional staff and administrators, including video and audio duplication, preparation of digital streaming media, instructional consultation, training and workshops, film projection, and event videography. Please note that some services are provided for a modest fee to recover costs.

Media Services is located in Beardsley 115. More information is available at the [Media Services webpage](#).

10. LANGUAGE RESOURCE CENTER

The Language Resource Center is a dynamic and flexible teaching and learning space on the third floor of Kohlberg Hall, primarily supporting the Departments of Modern Languages and Literatures and Film and Media Studies. The teaching space functions as an active learning classroom with the ability to group students and have them work with independent writing surfaces and monitors. Our mission is to provide a wide range of technological and traditional resources to enhance and promote the study of foreign language, literature, film, media and culture at Swarthmore College. These resources support Swarthmore's excellent foreign language program and enhance College goals directed at preparing students for engaging and contributing to a diverse and global environment. We encourage anyone interested to reach out and discuss their ideas with us. More information is available on the [Language Resource Center website](#).

11. LIBRARIES

The Swarthmore College Library supports the curricular and research needs of students, staff and instructional staff. The Library's extensive print and electronic holdings are accessible through the [McCabe Library website](#) and [Tripod](#), the shared library catalog of Bryn Mawr, Haverford, and Swarthmore Colleges.

The College Librarian directs the College Library, which includes the McCabe Library, the Cornell Sciences Library, and the Daniel Underhill Library for Music and Dance. There are also small collections of materials in the Black Cultural Center and the Beit Midrash. The development of library policies and strategic direction is primarily the responsibility of the department heads group, which includes those responsible for managing the major functional areas of the library and the branches. In addition, the Faculty Library Committee acts as an advisory committee to the College Librarian on matters of policy affecting the broader Swarthmore College community.

A librarian subject specialist is assigned to every department and program. These librarians can assist instructional staff with their own research, instruction for students in library research methods, acquisition of materials for the collection, as well as serving as a liaison between the department's instructional staff and the library. The current subject specialists are identified by

department and program on the library's Web page
<http://www.swarthmore.edu/libraries/research-support>.

The Library participates along with Bryn Mawr and Haverford Colleges in the Tri-College Library Consortium. This Consortium continues to find the most effective means of providing library collections and services across the three institutions. Its total collections, nearly 3 million volumes, are comparable to those of midsize research institutions.

Collection Development

Purpose of the Collection

The Library's collections first and foremost support undergraduate teaching and research. As such the collections reflect the scope of the curriculum past and present. The Library does purchase selected materials for faculty research, particularly when that research informs the curriculum. The Library takes pride in the breadth and depth of its collections and considers itself an "undergraduate research collection." The Library strives to meet a baseline level of support -- to provide faculty with access to the major database(s) in their field so that they may identify resources for their work. Our collections are strengthened by those at Bryn Mawr and Haverford, and supplemented by a comprehensive interlibrary loan program and on-site borrowing privileges with the University of Pennsylvania and many members of the PALCI consortium.

Role of the Instructional Staff in Collection Development

Instructional staff serve an essential role in the development of the library's collections. Instructional staff input is sought for the acquisition of new materials, as well as for the periodic de-accessioning of books, journals and other resources. Some departments designate an instructional staff library liaison who coordinates departmental requests. The Library strives to strengthen the Tri-College libraries' collection by coordinating purchases across the colleges.

The Tri-Colleges use an "approval program" to ensure that scholarly monographs are purchased in a timely manner, that there is minimal overlap in purchases, and that there is depth and breadth of collections across the three institutions. The program is based on profiles, which specify what subject areas are to be collected and what imprints the library wants to receive in particular subject areas. The library receives a publication alert (or slip) and makes decisions in consultation with their partners at Bryn Mawr and Haverford.

The Library also seeks input from faculty on potential expensive purchases such as databases and digital archives. Trials of these resources are run in both Fall and Spring terms and your liaison librarian will let you know about relevant trials. The trial databases are linked to comment forms and faculty input about the utility and quality of any particular resource weighs heavily in the overall decision to purchase.

Monographs and other onetime purchases

Instructional staff requests for monographs, films, audio recordings or other one time purchases should be sent to the subject specialist, submitted via the library's Web site using the "Suggest a Purchase" form, or e-mailed to the libraries *Bookorder* e-mail account. The library will generally purchase any individual publication, including audio-visual materials, which are requested by an instructional staff member.

The Library does not have an allocation formula for one-time purchases. This gives us the flexibility to order materials as needed. The approval plan allows us to acquire a large percentage academic press books issued in the U.S. as they are published. In addition our e-book programs allow us to make available many additional titles both within core collecting areas and outside (ex. business and management literature).

New faculty or faculty who are teaching in courses in new areas can work with the Library to build collections retrospectively. Typically, supplemental funding from the Provost's office is available for junior faculty. Since there is no formal mechanism for alerting the Library to new subject areas/courses that might entail considerable outlay of funds, the Library appreciates early notification and will work with faculty to ensure that adequate funds are available for purchases.

Occasionally instructional staff may have the opportunity to purchase library materials while overseas or at conferences. In order to be reimbursed for any purchases, the instructional staff member must get permission from the College Librarian before making these purchases. In general, materials acquired in this way should be of a sort that would be unavailable through normal channels or not easily obtained in the United States. Examples include exhibit catalogues from smaller foreign galleries, or locally distributed literary publications from third world countries. Instructional staff should be sure to search Tripod to check our holdings before making these purchases, and should keep all itemized receipts to submit to the library.

To view recently purchased materials, instructional staff can click on *New Books, Videos, Etc.* in Tripod.

Subscriptions to Journals and Series

Any new subscription for a journal, or monographic series requested by an instructional staff member must be recommended by the subject librarian and is contingent on final approval of the College Librarian. Requests should be sent to the librarian subject specialist who will bring it to the attention of the College. The Library tries to control costs for subscriptions and prefers not to duplicate journal content in both print and digital. The Library continues to migrate away from print subscriptions both to accommodate reader preferences and to save shelf space.

If available online, the Library will generally favor subscription to the digital copy of a journal over print. However, if the articles are not in the same format/structure as the traditional issue/article then, the Library generally continues to maintain subscriptions to the individual journals and periodicals.

Digital Resources: Databases and Archives

The Library will entertain requests from instructional staff for new digital resources including bibliographic databases, reference sources, and textual, numeric, sound, image or multimedia archives and collections. Requests for these resources should be forwarded to the librarian subject specialist. However, most of these purchases are made in coordination with Bryn Mawr and Haverford Colleges. The acquisition procedure can take much longer than other resource purchases since the licenses typically require negotiation and an extended period of evaluation and faculty are encouraged to participate in that process.

The Tri-College Electronic Resources Group meet 3 times/year in late summer, winter and late spring to determine what resources to trial for the following semester or summer. For Fall trials, request by July and for Spring trials, request by December. Instructional staff are welcome to use trial resources with their classes.

Support for teaching

Course Materials

NB: By Federal law, students with disabilities must be given "substantially equivalent ease of access" to **course materials**. To ensure equivalent access, any course materials such as articles, Word documents, Powerpoints and any other media that are posted in Moodle, on course websites or distributed in class need to be prepared as accessible documents. Doing so not only supports our students who use screen readers and other text-to-speech software, it also improves usability for all students across multiple platforms including smart phones, tablets and desktop devices. Additional information on reformatting materials can be found on the Academic Advising web site: <http://www.swarthmore.edu/academic-advising-support/accessible-course-materials>.

Course Reserves

The Library supports both hard copy and online reserves. The electronic reserve system primarily uses Moodle, though faculty may choose to put their syllabi and links to readings off of their own web pages. In general, electronic reserves should be used whenever possible to provide students easy access to course readings. The library provides reserve services for both general course reserves and honors course reserves. Hard copy (books, journal volumes, audio-visual materials) general reserves are kept behind the circulation desks at each library; honors reserve materials are typically on open shelves arranged by department and course number. The circulation period for each type of reserve differs. Details about the various branch library policies are on the library Web site at <http://www.swarthmore.edu/libraries/reserves-digital-services>. The library need not own the materials on reserve, if an instructional staff member can supply a personal copy. Specific procedures and forms for placing materials on reserve are given below.

Instructional staff are encouraged to submit lists of materials they wish to place on reserve as early as possible before the start of the new semester. At the beginning of semesters, reserve lists can take up to 1 week to process. After the first month of the semester, the library can usually process reserves within 3 days. For specific information about streaming audio and video, please

see the sections below. Reserve lists and questions about reserves may be submitted on paper or by e-mail to reserves@swarthmore.edu.

Electronic Reserves

Electronic reserves are managed through the College's Moodle system. Moodle provides a broad collection of web-based tools including online access to course readings. Training classes for these systems are held fairly frequently by ITS. There, one can learn how to build and manage an online course, as well as utilize the many tools each system has to offer. In addition, ITS and the library staff provide support year round.

The Library can assist instructional staff with placing electronic course readings on reserve by providing the following services:

- Scanning services to create electronic files to either be emailed to instructional staff or uploaded directly to Moodle, though many departments do their own scanning.
- Instruction on how to maintain a course and its reserves through Moodle.
- Assistance in copyright compliance. The Library will not seek permissions; however, it does have standard forms of inquiry for publishers and can assist with the location of the rights holders for materials. Note: all copyrighted course reserves must be password protected and display the copyright warning on the first page. For further information about copyright, please refer to that section of this handbook or the College's web page on copyright: <http://www.swarthmore.edu/libraries/copyright>.

Electronic files in a variety of formats, such as documents, illustrations, photographs, and audio files, can be uploaded onto a course and organized to best suit the needs of the course. Because of potential copyright issues, instructional staff are encouraged to make direct links to articles and book chapters that the Library subscribes to in digital format rather than place a PDF on their course site. Library staff are always willing to assist with negotiating the best way to make readings available.

Reserve List Archive

The Library maintains an ongoing collection of lists of items that have been placed on reserve since the Fall semester of 2008. Those lists are organized by department, and can be accessed on the [Reserves and Digital Services webpage](#). For lists from courses before Fall 2008, please contact the Circulation department.

Print Reserves

To expedite processing for any readings which instructional staff determine should be available in hardcopy, please provide the Library with a list of those readings and include: title, author, call number (if in the collection) and the number of copies needed for the class. At the beginning of each semester, reserve lists can take up to one week to process. After the first month of the semester, the library can usually process reserves within three days. Instructional staff are encouraged to submit lists as early as possible before the start of the new semester.

Reserve lists should be sent to *reserves@swarthmore.edu*. The Library will order any materials not in the collection, or where additional copies may be required. The rule of thumb is one copy per 20 students in a class. In an effort to help address financial difficulty of students, the Library makes an effort to acquire at least one copy of all required texts for courses. In addition, to facilitate timely availability of these materials, we ask that instructional staff alert the Library when they place their requests with the bookstore.

If materials are out of print, the Library will try to secure them from an o.p. bookseller, and if they are at Bryn Mawr or Haverford, temporarily use that copy. Instructional staff are always welcome to place personal copies of readings on reserve.

Honors Reserves

Honors reserve materials have limited loan periods (are considered active) only when the seminar is being taught and during the honors exam review period which extends from April 15 through the end of honors exams. Books may be transferred from any inactive honors shelf to any active seminar shelf or to general reserve. If the title is on a reserve list request, this will be adequate notification for the library to make such a transfer. Books that are transferred from an honors seminar (either active or inactive) to general reserve for the semester will be automatically returned to the original location at the end of the semester.

For any questions regarding reserve procedures, please contact:

- McCabe (humanities and social sciences) ext. 8480
- Cornell (science and engineering) ext. 8267
- Underhill (music and dance) ext. 8231

Streaming Media

Video

The Library subscribes to a growing number of streaming video services. These videos are all cataloged in Tripod. However, if you wish to stream a video not available through one of these services, the Library, Language Resource Center and ITS now offer a video streaming service for web-based delivery of media intended for educational use.

- We will prepare the work in a streaming format, and make the file accessible to students enrolled in the course through Moodle.
- All works are prepared in accordance with the College's Copyright Policy and the TEACH Act
- We will attempt to obtain permission from distributor of the work to stream the digitized version.
 - If permission is not granted, the digitized work will be removed from the streaming server immediately. Students will be able to view the work in its original format on reserve at the Library or Language Resource Center.
 - Should permission be granted at a price, we will make a decision to pay licensing fees dependent on various criteria such as cost, term of license, and potential uses beyond the current course.

- Requests to prepare media for streaming may be made only by instructors, for courses held in the current semester or following semester.
- We require a copy of the final course syllabus, on which the title of the work must appear.
- Works to be streamed must be owned by the Library or the Language Resource Center, and be used for a course-related purpose. If you would like to digitize material that is not owned by either the Library or Language Resource Center, please contact us and we will attempt to purchase it for our collection.
- At this time, only a very limited number of VHS tapes can be prepared for streaming. Please contact us if the title you would like streamed is only available on VHS and we will attempt to accommodate the request.
- We will not prepare for streaming third-party copies, recordings, or transfers, including rentals or personal recordings of television broadcasts.
- In order to prepare for streaming original footage created by faculty or students, we require written permission from the creator. If your original work requires editing, Media Services can assist.

Due to the steps involved in preparing the file, we request that all requests be made with 2 weeks advanced notice. In order to meet the needs of students, priority is given to courses with high enrollments.

If you are interested in using this service for your class, please contact the Language Resource Center (x8036).

Audio

Staff at Underhill Music and Dance Library are happy to work with faculty to provide access to streaming audio files. Additionally, Swarthmore subscribes to a number of streaming audio databases, including.

- [Naxos Music Library](#)
- [Naxos Music Library Jazz](#)
- [Smithsonian Global Sounds](#)
- [Database of Recorded American Music](#)

An updated list of audio resources is included on the [Underhill web page](#). For further information, please contact the Music and Dance Librarian, (x8231).

Digital Image Collections

The library supports the creation, cataloging and maintenance of digital image collections using a variety of software platforms. For example, if you have a collection of 35mm slides on the Crum Woods flora or images of Tibetan temples or Dadaist paintings that you want to share with students or colleagues, the library can help determine the best software platform for your needs, help with slide digitization and insure that the digital slides are archived.

Support for Teaching: Library Instruction

Library instruction develops students' research fluency with the discovery, evaluation and use of information in academic work as they progress through college, regardless of major. In

collaboration with faculty, librarians guide students in strengthening their students to reach higher level of research skills; to attain a sense of personal and social responsibility in the ethical use of information; and to improve their ability to apply knowledge to complex problems. Successful library instruction nurtures curiosity and exploration of the library and its resources while building research skills and awareness of the intellectual and social issues surrounding information. A range of options have proven successful, although new suggestions for library instruction, in light of pedagogical and technological changes, are welcome. Regardless of no “research” requirement in the curriculum, demand for instruction in library research continues to grow.

First Year Seminars

Freshman orientation provides only the most basic of introductions to library services. In First Year Seminars librarians foster students transition to the academic library by introducing the fundamentals of research.

Classroom Instruction

Usually connected with a specific research assignment, these sessions provide an introduction to core disciplinary resources, or specific strategies for searching particular databases and other higher-level research skills. For some assignments, it is desirable to have the librarian make multiple visits or to audit class.

Individual Consultations

Faculty encourage or require students to meet individually with a librarian during the process of completing an assignment. The method successfully meets the specific needs of students with varying degrees of facility with the research process.

Thesis and Capstone Assignments

For students beginning their senior research project, the library suggests a combination of a class visit, followed by scheduled individual appointments with the librarian.

Course Guides

Librarians can create library research course guides on broad topics and/or for specific assignments.

Exhibition Curation

The library gives priority to faculty/classes interested in curating an exhibition, either in McCabe Library atrium or one of the auxiliary spaces. The process provides students with an opportunity to further develop their information and visual literacies, as well as their knowledge of the subject content.

Research and Instruction Associates (RIAs)

RIAs are students who assist peers with finding and evaluating information. Using their expertise within their majors and knowledge gained from specialized workshops with librarians, RIAs are an excellent resource for getting started with research. Swarthmore students can meet with a RIA to clarify their research questions and identify high quality sources, including scholarly journals and monographs.

Swarthmore College Libraries Learning Outcomes

The Swarthmore College Libraries Learning Outcomes were developed in conversation with faculty across the disciplines.

Digital Scholarship

The Library is available for training and consultation for student and faculty research leveraging digital technologies and tools, including digital exhibits, text analysis and data visualization. Library staff work with faculty on projects at any stage, from conception to funding to data management. Depending on availability, the Library can also provide basic infrastructure, project management and/or development. Contact the Librarian for Digital Scholarship & Initiatives, for more information.

Support for Faculty Research

While faculty should be judicious in ordering materials in support of their own research, the library will occasionally order highly specialized materials, particularly one-time purchases, whose intended use is by a single faculty member. Many journals and databases are significantly less expensive for individual subscriptions, and the library will help instructional staff identify options for acquiring these resources for their own use. Research funds can be utilized for these purposes.

Interlibrary Loan

The library is able to meet faculty research demands through a tiered set of interlibrary loan and document delivery programs.

- **Tri-College Collections** – Materials are delivered from Bryn Mawr and Haverford Colleges two times/day and on weekends (once/day in the summer). Most materials are available to borrow. Rare materials are loaned at the discretion of the lending library, but must be used in-house.
- **PALCI E-ZBorrow** – As part of PALCI, a consortium of Pennsylvania academic libraries, faculty can search and submit requests for monographs through E-ZBorrow and most materials will be delivered within a week's time, though average fulfillment time is generally much shorter. Interlibrary loan requests which cannot be met locally are sent within 24 hours of receipt to other libraries. Limited to monographs, videos and sound recordings.
- **RAPID** – As part of PALCI and the Oberlin Group of Liberal Arts institution libraries, the library participates in expedited interlibrary loan of journal articles from members of those consortia and other participating libraries within 48 hours. Articles are generally delivered as PDF's.
- **RLG SHARES Program** – Through its membership in the Research Library Group SHARES program, the library has priority access to some of the top research

collections in the United States. All materials including microforms. Rare materials are loaned at the discretion of the lending library, but must be used in-house.

Other requests are handled through a variety of services including OCLC's Worldcat Resource Sharing system. If material has to be in hand in less than 48 hours, the library has access to a number of document delivery services. Instructional staff need not know what service to use. Just complete the form on the interlibrary loan page, and the library staff will determine the fastest route to get you materials. Most journal articles are delivered to the desktop as PDFs.

Using Other Libraries

Instructional staff also have borrowing privileges at the University of Pennsylvania and other PALCI member libraries. These libraries require a signed letter from the College Librarian, which verifies the faculty member's employment status. This letter is available from any staff member at the McCabe circulation desk. Instructional staff also have access to the libraries of any SHARES member, though they cannot borrow materials. Faculty who are intending to be working in other locations can apply for access to other libraries by contacting the College Librarian, who will try to obtain either access or borrowing privileges at another academic institution.

Research Dissemination and Archiving

As we continue to move into the digital age there is an ever-increasing need to gather, store, index, preserve, and provide access to the intellectual and cultural output of our institution. To address this need, the Library has developed an institutional repository to manage the long-term preservation of our community's resources and ensure continued access to those items. The data gathered in faculty research is often in digital formats: providing a long-term solution addressing the ephemeral nature of such digital objects allows the College community to more fully benefit from our own research. In addition to preserving and providing access to the traditional products of research such as preprints and data sets, our institutional repository offers a place to make other works digitally available, such as faculty performances, lectures, and campus events.

To insure ongoing access to your digital materials, please contact the Digital Initiatives Group at digitalinitiatives@swarthmore.edu.

Borrowing Policies

Item	Loan Period	Overdue Fines
stacks book	till February 15 of next year	no fines
reserve	1 day; longer w/staff permission	
video	7 days	
periodical	7 days	

interlibrary loan	varies	\$1 per day
recalled item	usually due 5 days after request for recall	Account is blocked until materials are returned

- Instructional staff may ask for extended due date for some items at time of check-out.
- Renewals for stack books can be done online after January 15; there are no limits on the number of renewals
- Blocked if account has more than 999 items checked out or there are fines in excess of \$999. Note: Though there are no fines associated with videos or periodicals, the library does bill for replacement of materials that are not returned or renewed.
- The College Librarian will get a list of blocked instructional staff in May in order to take further action.

Tri-College Borrowing

For most materials, the borrowing policies at both Bryn Mawr and Haverford mirror Swarthmore's own. However, there are some items, which may have different loan periods or restricted use. For access to these materials beyond what is allowed, please contact the Access and Lending Services Supervisor, ext. 8478.

Library Carrels

Both McCabe and Cornell libraries have a small number of carrels available for faculty use. The rooms are assigned by the College Librarian in the case of McCabe and by the Head of the Cornell Science Library for that space. Because of the limited number of carrels, faculty are usually asked to share with another colleague.

The Library and the Broader College Community

The Library Committee is a standing committee of the faculty. It seeks to have representative membership from the faculty, as well as student and staff representation. The Committee provides input and advises on library policies, which impact the broader Swarthmore community. In the past, it has served in an advisory capacity on issues such as the renovation of McCabe, the development of sustainable long-term budget models, and the revision of faculty and student borrowing policies.

12. MAIL SERVICE

For the convenience of employees and students, the College maintains a central mailroom on the ground floor of Parrish Hall. Although this office is not a sub-station of the United States Postal Service, it does offer common postal services: it sells stamps, weighs and mails packages, receives and distributes regular mail, etc. Information is available for most USPS services. United Parcel Services are available for Departmental shipping; payment will be billed to the office from which the item originates.

Instructional staff members and students are assigned postal boxes by the mailroom staff, and distribution of “campus mail” and U.S. mail takes place throughout the day. For reasons of economy, employees sending communications within the College are asked to use the re-usable brown inter-office envelopes, which are available without charge, and in two sizes, from the Purchasing Office. When using re-usable brown interoffice envelope, please identify both the receiver and sender. The information about the sender will facilitate a timely return if the receiver is unavailable or cannot be identified.

In the interest of economy, employees are encouraged to use the online *Weekly Classifieds* for their communications to the College community. If a bulk mailing is necessary, employees should consult the mailroom supervisor well in advance and arrange details of distribution.

The mailroom has a postage meter and sealing machine for U. S. Postal Service mailings. Postage will be billed to the office from which the mail originates.

Mailing service is also available through the office for internal employee mailings as well as large volume outside bulk mailings; labels for instructional staff are available to departments upon request. The campus mailroom has a postage meter and automatic envelope-sealing machine, which may be used for bulk mailing.

The Office is equipped with a folding machine, cutting machine, and binding machine. Binding is available at a minimal fee per bound copy. The office also houses the central fax machine for the convenience of faculty to send and receive faxes.

13. OFFICE EQUIPMENT AND OFFICE MAINTENANCE

The College attempts to provide private office space for all full-time instructional staff members. The Facilities Management Department provides bookcases, a desk, desk chair, side chair, wastebasket and clothes tree. File cabinets, tables, additional chairs, desk lamps and other special equipment are charged to the instructional staff member’s department. Individuals who wish to furnish their offices with other equipment such as easy chairs and rugs must supply their own. Major repairs and routine maintenance are handled by the Facilities Management Department.

14. OFFICE SERVICES

The College maintains a central word processing and copy center located at 506 Fieldhouse Lane. Whenever possible, Office Services will also provide secretarial and data entry assistance in times of excessive workload.

The office handles volume copying when accompanied by a copy request via the online Swatxpress form or email sent to Officeservices@swarthmore.edu with photocopy instructions. The online photocopy request form may be accessed via the Internet by going to the [Office Services webpage](#) or by accessing the form on the Faculty/Staff Dashboard by clicking on Photocopies. Photocopying through this office is also available to budgeted student organizations with a copy request and at least 24 hours' notice. The office is also equipped with a color photocopier and can provide color prints for a small fee.

Instructional staff members are asked not to charge personal work; if it cannot be avoided cash payment must be made to Office Services for all such work. If instructional staff members should bring in work to be copied for outside organizations to which they belong, in any quantity, they are expected to inquire about a higher copying rate than pertains for strictly personal work. Personal copying charges are posted in Office Services or call ext. 8353 for more information.

15. PUBLIC SAFETY, DEPARTMENT OF

Officers of the Department of Public Safety at Swarthmore College are employed to protect persons and property, and to perform services related to this basic mission. Public Safety Officers are charged with giving priority to incidents resulting from actual or potential criminal activity, fire safety hazards, and other safety hazards, which immediately threaten life and limb.

Swarthmore College is located in the midst of one of the most rapidly growing areas of greater Philadelphia. More and more visitors are coming to the campus. The Department of Public Safety should be notified of persons on campus whose presence or actions are questionable or contrary to general College policies. Sometimes such people are members of the College community who are not known either to the persons who “called them in” or to the responding Public Safety Officer. Nevertheless, it is the officer’s duty to approach the person politely and ascertain who they are and why they are there. This policy pays off in the prevention of criminal and disorderly activity on campus by those people who are not members of the community. Students and employees can help by cooperating with Public Safety by reporting suspicious persons when seen and by showing College identification when requested.

Public Safety Officers have duties pertaining to the physical property of the College and report matters such as burned out lights or other noticeable physical damage. Public Safety Officers may at any time enter a building for the purpose of investigating unusual conditions, but should be accompanied by another person if it becomes necessary to enter a student’s room.

Communications assistance is provided by the College Communications Center located in the Benjamin West House. The Communications Center is staffed 24 hours per day throughout the year and is equipped with the central College telephone console. The center maintains 2-way radio communications with public safety and maintenance personnel on duty, and is the terminus of automatic intrusion and fire alarms located on campus. Routine requests for assistance after normal business hours should be directed to the Communications staff on duty by dialing “O” from on-campus phones or 610-328-8281 from off campus. Emergency situations - those presenting an immediate hazard to life, limb, or property - should be reported by using the **emergency number 610-328-8333**. Communications staff are instructed to answer this line no matter what else they may be doing. If a call on 8333 is not an emergency a caller will be politely requested to call back on one of the other phone numbers. The Swarthmore Borough Police also regularly patrol the campus roads.

Emergencies (Fire, Injury, Sudden Illness, Crime, etc.)

Call the Department of Public Safety at 610-328-8333. They will provide immediate assistance and direct outside emergency responders to the right location.

For further information on emergency procedures, fire alarm systems, and related information, please refer to the *Emergency Response Guide* at <http://www.swarthmore.edu/public-safety/emergency-response-guide>.

Theft

All thefts and cases of vandalism in buildings owned by the College (including employee homes) should be reported immediately to the Department of Public Safety through the Communications Center (610-328-8281). The Department of Public Safety has forms to be filled out and filed with the Borough Police in the event of theft. This procedure is necessary in order to cover insurance requirements and to expedite recovery of the stolen goods when possible.

Safewalk Service

By prior arrangement with the Department of Public Safety, escorts can be arranged between any two points on campus, including the railroad station, during the evening hours. Contact the Department of Public Safety at 610-328-8281.

House Watch

Instructional staff members planning to leave their homes unattended for extended periods (e.g., during vacations) may request special surveillance of their homes if they are on regular Department of Public Safety routes. Call the Department of Public Safety at 610-328-8281.

Weather Emergency Information

For information on snow/weather-related closings or partial closings, check the message at 610-328-8228. The College I.D. number for snow emergencies, as announced on KYW News Radio (1060 AM), is **1219**.

16. RECREATIONAL AND ATHLETIC FACILITIES

Outdoor Facilities

The outdoor athletic fields (including Cunningham fields and Mertz Lawn), Skallerup track, and both outdoor tennis court facilities are generally available throughout the year for use by the employees of the College, including their spouses or domestic partners and children, except when they are needed for physical education classes, team practices, or intercollegiate contests.

Indoor Facilities

Lamb-Miller Field House has a track (1/7 mile), basketball courts, and four indoor tennis courts, and indoor badminton courts. Tarble Pavilion gymnasium has badminton, basketball, and volleyball courts – primarily used for varsity athletic practices and intercollegiate competition. Generally, the indoor facilities are most used by student groups during weekday afternoons and on Saturday afternoons and some weekday evenings for “home” games. Ware swimming pool, located by the field house, is available for employees and their families at stated hours throughout the school year. Facility hours may be found on the athletics website.

The Mullan Tennis Center consists of three indoor tennis courts that are available to employees to reserve upon request. Hours for the indoor tennis facility vary throughout the year. The Matchbox Fitness Center provides 21,000 square feet of space to support Swarthmore's wellness and fitness needs. The three-floor facility features ultramodern equipment, as well as areas for free weights and cardio training. A college I.D. is required for entrance and patrons must complete an annual waiver and a Physical Activity Readiness Questionnaire (PAR-Q), accessible via mySwarthmore. The hours of operation are posted in the building and on the athletics website. College employees must accompany dependents to the Benjamin West House to obtain an I.D.

Athletic facilities hours are limited for the summer months.

Dressing Rooms

Employees wishing to use the field house or Matchbox may obtain lockers and locks in the Equipment Room #73 located in Tarble Pavilion. The employee locker rooms are equipped with toilet and shower facilities. Individual lockers and locks are assigned on a first-come-first-served basis. The department of athletics cannot be responsible for equipment, clothing, or valuables kept in lockers. Lockers are reassigned on an annual basis. Limited locker space is available in the swimming pool building; please contact the Aquatics Director for more information about access to locker facilities in the pool. Lockers are also available in the Matchbox Fitness Center, but personal locks are not permitted overnight. The College cannot be responsible for valuables, so locking one's locker is strongly recommended.

Equipment and Apparel

The department of athletics maintains a variety of athletic equipment for use by members of the college community. Basketballs and volleyballs may be obtained from the field house supervisor or from the equipment room. Smooth white-soled tennis shoes must be worn on all tennis courts. Only rubber soled flats, turf, or molded cleat shoes may be worn on the turf field and/or track.

17. STUDENT EMPLOYMENT OFFICE (SEO)

Swarthmore's student employment office – SEO – is available to help your department advertise vacant positions. The SEO can help facilitate hiring students; however, they do not place students or vet students for positions. Contact the SEO at seo@swarthmore.edu.

About students working on campus:

At the beginning of each semester, students who have work as part of their financial aid package, "work-aided students," are given hiring priority. This means, all technical skills being equal, a work-aided student would be offered a position prior to a student who is not work-aided. Once the hiring priority period has ended, any student eligible to work in the United States, whether financially aided or not, may be hired.

Students are able to work while classes are in session, during breaks, and during the summer as well. Already established (those previously categorized) vacant positions can be announced via

the [Reserved Student Digest \(RSD\)](#) or by contacting SEO. Positions appear in a student email digest and are posted in the “Classifieds” section (lower right corner) of The Dash. If the position offered has not been previously categorized then a job description must be provided to the Student Payroll Office for assignment of an appropriate wage category.

Payment of student wages:

All student employee wages are paid from a department’s budget. There is no separate budget or department subsidy for work-aided students. Each semester, details about the student timesheet and pay schedule are announced in an email and also updated on the [Student Employment Office website](#).

18. TELEPHONE SERVICE

Information Technology Services (ITS) provides telephone, computer, and network support and service to the Swarthmore community. Answers to many common telecommunications questions are provided in the [Telecommunications section of the ITS Web site](#). The Help Desk (ext. 4357 or e-mail *help*) will also respond to questions.

All faculty, instructional staff members, and administrative staff are provided with a telephone and a voice mail account. Unlimited on-campus calls and calls to immediately surrounding communities are provided as part of the basic telephone service. Measured calls to more distant communities as well as all long-distance calls are billed back to departments. ITS also supports use of Skype, Google, and Zoom for videoconferencing. More information can be found on the [Swarthmore College Knowledgebase](#).

A searchable campus telephone/e-mail directory is available from the [Campus Community Dash](#).

19. TRANSPORTATION

a. Student Council Vehicles

The College does not maintain motor vehicles, except for Student Council Vans, for the occasional use of employees. An instructional staff member who has need of a van in connection with teaching duties (e.g., a field trip for a small group) may request the use of a vehicle administered by the Student Council. There is a standard fee for usage, including gas mileage. For further information and to make reservations, interested instructional staff members should call the Student Council Van Coordinator. Employees who expect to drive a college-owned vehicle must have a driving record satisfactory to our insurance carrier. In addition, those planning to drive a college-owned/rented van must apply and be road-tested by Public Safety (process takes approximately 8-10 weeks). Contact the Department of Public Safety for details.

b. Haverford-Bryn Mawr Bus Service

The tri-college van service is coordinated by Bryn Mawr College (Security and Safety Office, telephone number 610-526-6504). Monday through Friday a van makes several daily trips to and from Haverford College, which connects with the bus, which more frequently operates between

Haverford and Bryn Mawr. The service is primarily for use by students taking courses at a neighboring institution, but instructional staff who have business in the Haverford-Bryn Mawr area are welcome to use it. There is no fare. The vehicle departs from the east end of Parrish Hall according to a schedule, which is posted near the east door.

A social shuttle bus is scheduled to run at regular hours on Friday and Saturday evenings and Sundays. The schedule is posted at the Dean's Office.

INDEX

A

ACADEMIC ACCOMMODATIONS FOR STUDENTS WITH DISABILITIES.....	72
<u>Academic Computing</u>	175
ACADEMIC FREEDOM AND RESPONSIBILITY	27
ACADEMIC MISCONDUCT	77
ACADEMIC PROGRAM.....	70
Access to and Release of Student Education Records.....	38
ACCESSIBILITY	123
ADMINISTRATIVE ORGANIZATION.....	21
ADVISING OF STUDENTS	70
<u>ALUMNI & PARENT ENGAGEMENT, OFFICE OF</u>	169
APPOINTMENT OF FACULTY ADMINISTRATORS	122
<u>APPOINTMENT PROCEDURES</u>	128
ASSESSMENT	90
ATHLETIC FACILITIES	189
<u>ATHLETICS FACULTY</u>	135

B

<u>BOOKSTORE</u>	169
BYLAWS OF THE CORPORATION.....	7

C

Challenge of Content of Student Records	41
<u>CHECKING PAYROLL INFORMATION AND BENEFITS</u>	150
CHILD AND ELDER CARE REFERRAL SERVICES.....	164
CLASS AND SEMINAR SIZE LIMITS	70
Classroom And Reserve Materials	51
COLLEGE CHARTER.....	6
COLLEGE SPACE RENTAL GUIDELINES	127
COMMITTEES OF THE FACULTY	105
COMMUNICATIONS, OFFICE OF	169
COMPENSATION.....	150
COMPREHENSIVES	86

<u>CONCOMITANT EMPLOYMENT</u>	136
Confidential Information	37
CONFIDENTIALITY OF RECORDS.....	31
CONVENTIONS OF THE COLLEGE COMMUNITY.....	27
COPYRIGHT POLICY.....	50
COURSE CONTENT AND FACULTY ATTENDANCE.....	76
CREDIT FOR STUDY ABROAD.....	83
CREDIT FOR WORK AT OTHER DOMESTIC INSTITUTIONS.....	83
CRITERIA FOR STUDENT ENROLLMENT IN COURSES AND SEMINARS	75

D

Death in the Family	153
DEGREE REQUIREMENTS.....	70
Directory Information	37
DISABILITY INSURANCE.....	163
Discipline	29
<u>DOMESTIC PARTNER BENEFIT POLICY</u>	166
DRUG-FREE CAMPUS POLICY.....	49

E

EDUCATIONAL PROGRAM AND DEGREE REQUIREMENTS.....	70
ELDER CARE REFERRAL SERVICES	164
Emergencies	188
<u>EMPLOYEE WORKPLACE INJURIES</u>	163
EMPLOYMENT	128
EMPLOYMENT AND COMPENSATION FOR INSTRUCTIONAL STAFF	128
<u>ENDOWED PROFESSORSHIPS</u>	136
<u>ENROLLMENT IN COURSES</u>	170
EXAMINATIONS	80
Extra-curricular Associations	28

F

<u>FACILITIES</u>	169
FACULTY	96
FACULTY MEETINGS	104
<u>FAMILY AND MEDICAL LEAVE</u>	154
<u>FOOD SERVICE</u>	171
Fraudulent Expression.....	43
<u>FURTHERING RACIAL AND ETHNIC DIVERSITY</u>	128

G

Grade Changes	83
GRADING.....	81
GRANT PROPOSAL ASSISTANCE.....	119

GRIEVANCE PROCEDURE	96
GROUP LIFE INSURANCE PLAN	155

H

Harassing Expression	43
Haverford-Bryn Mawr Bus Service	191
<u>HEALTH SERVICES</u>	171
HONORS PROGRAM	85
House Watch	189
<u>HOUSING</u>	172

I

Ideas and Information	32
Income tax deductions	151
INFORMATION TECHNOLOGY SERVICES	175
Information to Parents	39
<u>INJURIES</u>	163
Inspection of Education Records by Students	40
INSTRUCTIONAL STAFF, INCLUDING FACULTY	96
<u>Insurance premium deductions</u>	151
INSURED BENEFITS	156
INTELLECTUAL PROPERTY	56
Interdisciplinary Study Groups	88

J

<u>Jury Duty</u>	153
-------------------------------	-----

L

LABORATORY INSTRUCTORS, LANGUAGE INSTRUCTORS, AND LECTURERS	148
LANGUAGE INSTRUCTORS	148
<u>LANGUAGE RESOURCE CENTER</u>	176
Late Grades	82
Leave for a Death in the Family	153
LEAVE REPLACEMENT AND OTHER NON-CONTINUING APPOINTMENTS	145
LEAVES	107
Leaves for Military Reserve Duty	154
<u>LEAVES OF ABSENCE</u>	152
LECTURERS	148
<u>LIBRARIES</u>	176
LIFE INSURANCE	155
LONG-TERM DISABILITY INSURANCE	163

M

MAIL SERVICE	186
--------------------	-----

<u>Media Services</u>	175
<u>MEDICAL LEAVE</u>	154
MEDICARE INFORMATION	157
MEMBERSHIP IN THE FACULTY	24
Military Reserve Duty	154
Minors	88
MISCELLANEOUS	125
Mortgage Assistance	173
<u>MOTOR VEHICLES</u>	128
<u>MOVING EXPENSES</u>	167
<i>Multiple Copies for Classroom Use</i>	51

N

<u>NEW FACULTY APPOINTMENTS</u>	129
New Interdisciplinary Programs	86
New Majors	86
NOTICE OF NON-DISCRIMINATION AND EQUAL OPPORTUNITY	25

O

Off-Campus Freedom	29
OFFICE EQUIPMENT AND OFFICE MAINTENANCE	187
<u>OFFICE SERVICES</u>	187
<u>OTHER PART-TIME FACULTY</u>	147

P

<u>Parental Leave</u>	152
Parents, information to	39
<u>PART-TIME AND TEMPORARY FACULTY APPOINTMENTS</u>	145
<u>PAYROLL DEDUCTIONS</u>	151
<u>PERIOD AND FREQUENCY OF SALARY PAYMENTS</u>	150
<u>Personal Leave</u>	152
PET POLICY	50
PRESERVATION OF PRIVACY AND CONFIDENTIALITY OF RECORDS	31
<i>Print and Electronic Reserves</i>	52
PRIVACY	31
PROCEDURES OF THE FACULTY: FACULTY MEETINGS	104
PROHIBITED RELATIONSHIPS	47
PROHIBITION OF SEXUAL AND DISCRIMINATORY HARASSMENT	42
<u>PROMOTIONS</u>	131
Proposals for Interdisciplinary Study Groups	88
Proposals for New Majors, New Interdisciplinary Programs	86
PUBLIC SAFETY	188
PURCHASING	125

R

RECREATIONAL AND ATHLETIC FACILITIES	189
<u>REGULAR PART-TIME FACULTY</u>	146
RELEASE OF SALARY INFORMATION.....	151
<u>RENEWAL OF FACULTY APPOINTMENTS</u>	129
<u>Rentals</u>	172
RESEARCH INVOLVING HUMAN SUBJECTS.....	115
RESEARCH POLICY	108
RESEARCH SUPPORT	120
<u>RESIGNATION</u>	140
Restricted Information	38
<u>RETIREMENT</u>	149
<u>RETIREMENT PLANS</u>	158
<u>REVIEW OF APPOINTMENT RENEWAL DECISIONS</u>	129
RIGHTS AND RESPONSIBILITIES OF EXPRESSION	42

S

Safewalk Service	189
SALARY INFORMATION, RELEASE OF.....	151
<u>SALARY PAYMENTS</u>	150
Sanctions	36
SCHEDULING CONFLICTS BETWEEN ACADEMICS AND ATHLETICS	75
SCHEDULING EVENTS	127
Scholarly Use of Copyrighted Materials	54
SCIENTIFIC MISCONDUCT	112
<u>SERVICES AND FACILITIES</u>	169
<u>SHARED POSITIONS</u>	136
<u>Sick Leave (Including Medical Conditions Related to Pregnancy)</u>	152
SMOKE-FREE CAMPUS POLICY	50
Social Security Deductions	151
Software and Data Files	56
Special Areas of Privacy	35
<u>STAFF HIRING WITHIN THE FAMILY</u>	150
STUDENT ATTENDANCE	75
Student Council Vehicles	191
Student Education Records	36
<u>STUDENT EMPLOYMENT OFFICE (SEO)</u>	190
STUDENT ENROLLMENT IN COURSES AND SEMINARS	75
STUDY ABROAD.....	83
<u>SUPPLEMENTAL RETIREMENT PLAN</u>	159
SURVEYS AND QUESTIONNAIRES	41
SWARTHMORE CREDIT FOR STUDY ABROAD.....	83
SWARTHMORE ONECARD	174

T

TEACHING LOADS	106
TELEPHONE SERVICE	191
TEMPORARY APPOINTMENTS	145
<u>TENURE</u>	131
<u>TERMINATION OF APPOINTMENTS</u>	141
The Classroom	28
THE LANG CENTER FOR CIVIC AND SOCIAL RESPONSIBILITY	124
Theft	189
THIRD YEAR REAPPOINTMENTS	134
Threatening Expression	43
<u>TRANSPORTATION</u>	191
TRAVEL GUIDELINES AND STANDARD PROCEDURES	126
<u>TRAVEL TO MEETINGS OF LEARNED SOCIETIES</u>	167
<u>TUITION GRANT PROGRAM</u>	164

U

Uncivil and Demeaning Non-Harassing Expression	46
Use of Swarthmore's Name or Logo	62

V

Verification of the Authenticity of Requests for Information	31
VISITING SPEAKER EXPENSES	126
Visual Resources	54
VOLUNTARY TRANSITION PLAN FOR TENURED FACULTY	160

W

Waiver of Access to Recommendations	40
WEAPONS POLICY	50
Weather Emergency Information	189