

WILLIAMS COLLEGE

Faculty Handbook

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For more information, contact the Office of the Dean of the Faculty at 413-597-4351

SECTION I. COLLEGE AND FACULTY GOVERNANCE AND ADMINISTRATION

Section I-A: The Board of Trustees, the President, and Other Senior Administrators

The Board of Trustees

The "President and Trustees" constitute the ultimate corporate authority responsible before the law for the College's policies and programs (*Laws of Williams College*, p.1). The number of Trustees at present is twenty-three, including the President, who is a member of the Board throughout his or her service as President.

A current Trustee serves as the chair, the presiding officer of the Board, and the President is an *ex officio* member of all its committees. The Board meets quarterly: October, January, April, and June.

The current Trustees are identified in on the Trustee Webpage, located on the President's Office homepage.

The President

Reporting to the Board as the senior executive officer of the College is the President, who is also a member and the presiding officer of the faculty of the College. Reporting directly to the President are the Dean of the Faculty, the Provost, the Dean of the College, the Vice President for Campus Life, the Vice President for Finance and Administration, the Vice President for College Relations, the Vice President of Institutional Diversity and Equity, the Chief Investment Officer, the Chief Communications Officer, the Assistant to the President for Public Affairs, and the Assistant to the President and Secretary of the College. The President is a member of the Committee on Appointments and Promotions, the Committee on Educational Affairs, and the Curricular Planning Committee.

Administrators Reporting Directly to the President

The Dean of the Faculty

The Dean of the Faculty is responsible for the faculty and curriculum at the College and is available to consult with members of the faculty on all issues of concern to them. The Dean is responsible for the recruitment, appointment, and promotion of faculty and for the policies and procedures affecting all academic departments. The Dean oversees the annual budgets of the academic departments and programs; assists with curricular and faculty development; serves as *ex officio* member and executive secretary of the Committee on Appointments and Promotions, and as a voting member of the Curricular Planning Committee; and, in consultation with the Faculty Steering Committee, makes recommendations on the membership of committees to the President. The Dean of the Faculty oversees the Center for Foreign Languages, Literatures and Cultures, the Oakley Center for the Humanities and Social Sciences, the Center for Environmental Studies, the Williams-Exeter Programme at Oxford University, Williams-Mystic Program, and Athletics. The Dean also works closely with the Office of the Provost on budgetary and compensation matters. In addition, concerns about professional conduct of faculty members are the responsibility of the Dean of the Faculty. The Dean is assisted by two Associate Deans of the Faculty, an Assistant Dean of the Faculty, a Faculty Information Systems Administrator, and an Executive Assistant.

The Provost

The Provost is responsible for allocating College resources, strategic planning, and overseeing Admission, the Science Center, Financial Aid, Information Technology, the Libraries, the Williams College Museum of Art, Institutional Research, and the Zilkha Center for Environmental Initiatives. The Provost chairs the Committee on Admission and Financial Aid, and is an *ex officio* member of Appointments and Promotions, Priorities and Resources, and the Curricular Planning Committee. He or she is assisted by the Associate Provost.

The Dean of the College

The Dean of the College has primary responsibility for several areas of student life, including academic and personal advising. Reporting to the Dean is the Senior Associate Dean, the Director of Sexual Assault Prevention and Response, the Director of Parent and Family Programs, the Registrar, the Director of Accessible Education, The Director of Quantitative Skills Programs and Peer Academic Support, the Director of the Writing Programs, the Director of Fellowships, and the Director of International Education and Study Away. The Dean serves as an *ex officio* member of the Committees on Educational Affairs, Academic Standing, the Discipline Committee, and the Honor System Committee. He or she collaborates closely with the Vice President for Campus Life and the Vice President of Institutional Diversity and Equity.

The Vice President for Finance and Administration

The Vice President for Finance and Administration is responsible for financial reporting, budget preparation, debt financing, treasury, risk management and other administrative operations. The Vice President oversees several administrative offices including: the Controller's Office, Facilities, Design and Construction, Human Resources, the Budget Office, Real Estate, Risk Management, Safety and Environmental Compliance, Planned Giving Administration, Printing Services, the Children's Center and the College Counsel. The Vice President serves on the Committees on Priorities and Resources and Admission and Financial Aid.

The Vice President for Campus Life

The Vice President for Campus Life has primary responsibility for non-academic, student-oriented operations and services, including: the Campus Safety and Security Office, the Center for Learning in Action, the Chaplains' Office, Dining Services (Student Dining Services, the Faculty Club and Catering Services, Vending, Laundry Services), Health Services, Psychological Counseling Services, and the Office of Student Life (student housing, upper class residential life programming, student involvement and activities, the Conference Office, Mail Room). The Vice President also serves on campus committees, including the Committee on Priorities and Resources.

The Vice President for College Relations

The Vice President for College Relations oversees programs designed to maintain alumni engagement with the College and programs focused on securing investment in College priorities by individuals, foundations, corporations, and government. The Office of College Relations includes Alumni Relations, Development, the Career Center, and Advancement Information Services. The Vice President serves as an *ex officio* member of the Committee on Priorities and Resources and the Committee on Admission and Financial Aid.

The Vice President for Institutional Diversity and Equity

The Vice President for Institutional Diversity and Equity oversees the College diversity, equity, and inclusion activities and initiatives (including the Davis Center and Office of Special Academic Programs) and serves as the key institutional voice on related issues with campus and alumni constituencies. The Vice President leads the development and implementation of College policies related to diversity, equity, and inclusion and charges the Diversity Action Research Team, Committee on Diversity and Community and, in consultation with the President, the Affirmative Action Advisory Committee. The Vice President collaborates closely with the Dean of the Faculty, Dean of the College, and Vice President for Campus Life and works with departments and offices on the recruitment and retention of faculty, staff, and students of diverse backgrounds. The Vice President is the College affirmative action officer and works with campus stakeholders to resolve grievances. The Vice President serves on campus committees, including the Committee on Admission and Financial Aid.

The Chief Investment Officer

The Chief Investment Officer is responsible for prudent oversight and management of the College endowment, which consists of the Investment Pool and Planned Giving assets. The CIO works with the Investment Committee of the Board of Trustees and the President of the College. The CIO develops and recommends an asset allocation

policy for approval by the Investment Committee. The policy portfolio establishes the long term expected return and risk of the endowment; the CIO and the eight member investment office team then implement the asset allocation policy by selecting and actively monitoring investment managers.

The Chief Communication Officer

The Chief Communications Officer is responsible for strategic planning and execution of the college's primary internal and external communications, with oversight of media relations, the college's website and magazines, social media, videography, and sports information. The CCO supports the president and senior officers in their communications and manages the Office of Communications. The CCO collaborates with admission and the Office of College Relations in meeting communication needs for two key external audiences – prospective students and alumni/families. The CCO is an *ex officio* member of the Committee on Admission and Financial Aid.

The Assistant to the President and Secretary of the Board of Trustees

The Assistant to the President and Secretary of the Board of Trustees serves as the primary staff liaison to the Board of Trustees, organizes college officers' collaborative work, and manages the team that oversees the daily operations of the president's office. As the Secretary of the College, he/she maintains various college records, including the corporate seal and associated documents.

Section I-B: The Faculty

Voting Membership

The voting membership of the faculty consists of all Professors, Associate Professors, Assistant Professors, and Senior Lecturers, as well as those Lecturers and Instructors who hold full-time appointments. Faculty holding part-time appointments may vote only if they have been notified by the Dean of the Faculty that they have met the requirements to be voting members (see Section II-J: Policies Governing Part-time Faculty). Faculty holding appointments called "Visiting" do not vote. All voting members in the professorial ranks who do not hold major administrative appointments are eligible to be elected to those standing committees with elected faculty membership, according to the rank and divisional categories prescribed for those committees.

Faculty Meetings

Faculty meetings are generally held one Wednesday a month during the academic year at 4:00 p.m. in Room 3, Griffin Hall. In addition to the faculty, representatives of several administrative offices attend these meetings, as do student representatives of the College Council, *The Williams Record*, and student members of those committees having business at the meetings. The formal power to convene faculty meetings is vested in the President and the Faculty Steering Committee, who jointly set the agenda for meetings, including regular reports from committees. The President normally presides over the meeting and is assisted by the Dean of the Faculty, who presides in the President's absence, and by the Secretary. Materials relating to the agenda are sent to the faculty prior to each meeting, and summaries of actions taken are sent subsequently. At each meeting there is a question period during which members of the faculty are invited to address to the officers of administration and chairs of standing committees questions and comments about matters pertaining to their respective spheres of responsibility. Full minutes of each meeting are circulated to all department chairs and may be consulted by any voting member of the faculty.

Undergraduate Divisions, Departments, and Programs

With respect to instructional matters, the faculty is organized by divisions and departments, as well as by programs that sponsor non-departmental or interdisciplinary majors or coordinate other special courses of instruction, as follows:

Division I (*Languages and the Arts*)

Art History
Art Studio
Asian Studies
Classics
English
German-Russian
Music
Romance Languages
Theatre

Division II (*Social Studies*)

Anthropology/Sociology
Economics
History
History of Science
Philosophy
Political Science
Psychology

Religion

Division III (*Science and Mathematics*)

Astronomy & Astrophysics

Biology

Chemistry

Computer Science

Geosciences

Mathematics and Statistics

Physics

Interdepartmental Programs

Africana Studies

American Studies

Arabic Studies

Biochemistry & Molecular Biology

Bioinformatics, Genomics & Proteomics

Cognitive Science

Comparative Literature

Environmental Studies

Experimental & Cross-Disciplinary Studies

Global Studies

Jewish Studies

Justice and Law

Latina/o Studies

Leadership Studies

Maritime Studies

Materials Science

Neuroscience

Performance Studies

Political Economy

Program in Teaching

Public Health

Science & Technology Studies

Women's, Gender, and Sexuality Studies

(See Section II-F: Departmental Governance and Section II-F: Program Governance.)

Physical Education

Off-Campus Programs

Williams-Mystic Program in American Maritime Studies

Williams College sponsors, in cooperation with Mystic Seaport, a one-semester interdisciplinary maritime studies program which includes credit for one winter study and credit for intensive writing. Courses are taught as part of the College's off-campus program in Mystic, Connecticut. Students apply for either the fall or the spring semester and take four of five courses offered. Original research papers are required in history, science, and policy. Students also take part in a noncredit maritime skills class of their choice, choosing from celestial navigation, sailing, music of the sea, ship smithing, and the outdoor demonstration squad. Students live in cooperative houses at Mystic Seaport and participate in field seminars to the Pacific Coast (California in the fall; Pacific Northwest in the spring), and to the

Mississippi delta, as well as an 11-day offshore trip as part of their coursework. Interested students may obtain further information and an application through the Dean's Office. An open house is held biannually in April and November. A personal interview is required. Admission is competitive. Students must meet Williams College and Williams-Mystic application deadlines.

Williams-Exeter Programme at Oxford University

Williams College offers a year-long program of studies at Oxford University in co-operation with Exeter College (founded in 1314), one of the constituent colleges of the University. Williams students will be enrolled as Visiting Students at Exeter and as such will be undergraduate members of the University, eligible for access to virtually all of its facilities, libraries, and resources. As Visiting Students in Oxford, students admitted to the Programme will be fully integrated into the intellectual and social life of one of the world's great universities.

Although students in the Programme will be members of Exeter College, entitled to make full use of Exeter facilities (including the College Library), dine regularly in Hall, and join all College clubs and organizations on the same terms as other undergraduates at Exeter, students will reside in Ephraim Williams House, a compound of four buildings owned by Williams College, roughly 1.4 miles north of the city center. Up to six students from Exeter College will normally reside in Ephraim Williams House each year, responsible for helping to integrate Williams students into the life of the College and the University. A resident director (and member of the Williams Faculty) administers Ephraim Williams House, oversees the academic program, and serves as both the primary academic and personal advisor to Williams students in Oxford.

Students enrolled in the Oxford Programme must enroll for the full academic year, which consists of three academic terms, each of which includes eight full weeks of instruction: MICHAELMAS TERM (early October to early December), HILARY TERM (mid-January to mid-March), and TRINITY TERM (late April to late June). Students are expected to be in residence to write their first tutorial papers before the eight weeks of instruction begins and to remain in residence during the week after the term ends in order to sit their final examinations. Between the three terms there are two intervening four-five week vacations, during which students may be expected to continue reading as preparation for their upcoming tutorials.

Graduate Programs

Center for Development Economics

The College's Center for Development Economics offers a one-year program in economic analysis and quantitative techniques leading to the degree of Master of Arts in Policy Economics. The program is designed for economists from developing countries who are already embarked on professional careers in public agencies.

Graduate Program in Art History

In cooperation with the Sterling and Francine Clark Art Institute, Williams offers a two-year course of study leading to the degree of Master of Arts in the History of Art.

Section I-C: Faculty Committees and Panels

Committees and panels composed largely of faculty (and, in some cases, staff and/or students) carry a considerable share of the responsibility for creating and implementing College policies. These committees and panels are listed below, arranged by the content of their work: faculty appointments and promotions, faculty governance, intellectual life and the curriculum, institutional policy and resources, student life and academic standing.

There are also two different types of committees listed below: standing and non-standing. Standing faculty committees are permanent committees created by a vote of the faculty. Change in their composition or charge requires faculty approval. Faculty are either elected or appointed to standing faculty committees. Non-standing committees are less permanent and can be created without a vote of the faculty.

Each spring faculty are asked to indicate their preferences for assignments to committees. The President, acting through the Dean of the Faculty and in consultation with the Faculty Steering Committee, appoints faculty to non-elective committees. The at-large members of the Faculty Compensation Committee, however, are appointed directly by the Faculty Steering Committee.

The group composition of each committee is indicated by the three numbers that appear after the title: the first represents the number of faculty; the second the number of staff and ex officio administrators, the third the number of student members. *Ex officio* members, unless otherwise indicated, are voting members. (See *Voting Membership* for eligibility information.)

Committees Dealing with Faculty Appointments and Promotions

Committee on Appointments and Promotions (CAP) (3-3-0)

Faculty Interviewing Panel (9-0-0)

Faculty Review Panel (12-0-0)

Committees Dealing with Faculty Governance

Faculty Steering Committee (FSC) (6-0-0)

Committees Dealing with Intellectual Life and the Curriculum

Bronfman Advisory Committee for Jewish Cultural and Academic Events

Chapin Library Committee (3-2-0)

Committee on Educational Affairs (CEA) (7-5-6)

Curricular Planning Committee (CPC) (6-3-0)

Dively Committee for Human Sexuality and Diversity

Faculty Lecture Series Committee (3-0-0)

Honorary Degrees Committee (3-2-4 and Trustees)

Information Technology Committee (ITC) (4-5-3)

Lecture Committee (4-0-4)

Library Committee (3-4-3)

Winter Study Program Committee (5-1-4)

Committees Dealing with Institutional Policy and Resources

Advisory Committee on Shareholder Responsibility (ACSR) (2-2-2 and Alumni)

Calendar and Schedule Committee (3-2-3)

Campus Environmental Advisory Committee (CEAC) (4-3-6)

College and Community Advisory Committee (3-5-3)

Committee on Admission and Financial Aid (CAFA) (4-10-0)

Committee on Diversity and Community (CDC) (8-2-8)

Committee on Priorities and Resources (CPR) (4-4-3)

Faculty Compensation Committee (FCC) (8 to 10-0-0)

Science Executive Committee (11 to 13-0-0)

Committees Dealing with Student Life and Academic Standing

Committee on Undergraduate Life (CUL) (5-3-6)

Athletics Committee (6-0-0)

Committee on Academic Standing (CAS) (6-4-0)

Honor System Committee (4-1-8)

Discipline Committee (8-1-8)

Section I-D: Administrative Advisory Groups

Administrative advisory groups are created by the President to advise the President or the senior staff on various administrative tasks, as described below. In addition, many academic departments have their own advisory committees and every interdepartmental program has its own advisory committee, as do the graduate programs and the various centers (e.g., Development Economics; Environmental Studies; Foreign Languages, Literatures and Cultures). Either the President, the Dean of the Faculty, or the department or program chair appoints the members, depending on the nature of the advisory committee.

The President's Senior Staff

The President's Senior Staff meets weekly to advise the President on matters of general institutional policy. In addition to the President, who chairs the meetings, the senior staff includes the Dean of the College, the Dean of the Faculty, the Provost, Vice President for Finance & Administration and Treasurer, the Vice President for Institutional Diversity and Equity, the Vice President for Alumni Relations and Development, the Chief Investment Officer, the Chief Communications Officer, and the Assistant to the President and Secretary of the College.

The Committee on Admission and Financial Aid (CAFA)

CAFA advises the Provost on financial aid policy, admissions research, and the development of admissions strategies. The Provost chairs the Committee, whose other members include the Dean and the Associate Dean of the College, the Associate Dean for Academic Programs and Registrar, the Director of Admission, the Director of Financial Aid, the Associate Provost, the Vice President for Institutional Diversity and Equity, the Chief Communications Officer, the Vice President for College Relations, the Director of Institutional Research, and four faculty members appointed by the Provost in consultation with the Faculty Steering Committee.

The Advisory Committee on Shareholder Responsibility (ACSR)

The Advisory Committee on Shareholder Responsibility advises the Finance Committee of the Board of Trustees on matters pertaining to the College as a stockholder. Chaired by one of its faculty members, the Committee consists of two students, two faculty, two alumni, the Vice President for Finance & Administration and Treasurer, the Provost, and the Chief Investment Officer. Student members are elected by the student body at large; faculty and alumni members are appointed by the President.

The Affirmative Action Advisory Committee

See Section II-R: Equal Opportunity and Affirmative Action.

***Ad Hoc* Committees**

In addition, *ad hoc* committees are sometimes appointed for specific terms and purposes by the President, or the Dean of the Faculty. Recent examples include the Winter Study Review Committee, the *Ad Hoc* Committee on Pedagogy and its Evaluation, and the *Ad Hoc* Committee on Program Administration. The President or Dean of the Faculty normally seeks the advice of the Steering Committee in establishing an *ad hoc* committee and in choosing its faculty members.

Finally, many academic departments have their own departmental committees and each interdepartmental program has its own program advisory committee.

Section I-E: Procedures for Amending and Revising the *Faculty Handbook*

(Adopted July 1, 2016)

The Dean of the Faculty and the Faculty Steering Committee carry primary responsibility for maintaining the *Faculty Handbook* and ensuring that its provisions and policies are clearly stated, legal, and current. On July 1 of each academic year, the Dean of the Faculty and the Faculty Steering Committee will publish the most current and updated version of the *Faculty Handbook* and distribute it to all departments and programs. In addition, the Faculty Steering Committee will make an electronic version available through the Dean of the Faculty.

Faculty committees or any member of the faculty can request revisions or amendments to the *Faculty Handbook* via petition to the Faculty Steering Committee. Members of the College administration and the Board of Trustees can also move to amend the *Faculty Handbook* via petition to the Dean of the Faculty. Upon receipt of any petitions, the Dean of the Faculty will consult with the Steering Committee.

The Dean of the Faculty and the Faculty Steering Committee may jointly propose simple (editorial or technical) revisions to the *Handbook*. These proposals will be circulated in the Faculty Bulletin for review by the faculty. Members may *move* to have any simple revision addressed under the substantive revision process described below. All unopposed simple changes will be considered approved.

For substantive revisions, the Dean of the Faculty and the Faculty Steering Committee will first consult with the relevant faculty committees and/or administrative offices, and then present the proposed changes to the full faculty. In most cases a faculty vote and/or approval by the Board of Trustees will be required for substantive revisions or amendments to the *Faculty Handbook*.

Once approved, all revisions or amendments to the *Faculty Handbook* will become effective on July 1 of each academic year, and are not retroactive unless mandated by faculty vote or Board approval. An additional vote by the faculty and/or approval of the Board of Trustees is required to make revisions effective before July 1.¹ Each publication of the *Handbook* is accompanied by a revision history that outlines the changes made from the previous version of the *Faculty Handbook*.

¹ If the faculty and/or the Board of Trustees approve the immediate adoption of revisions or amendments to the *Faculty Handbook*, the Dean of the Faculty and the Faculty Steering Committee will update and then publish the new complete handbook.

SECTION II. FACULTY POLICIES AND PROGRAMS

Section II-A: Introduction

This section of the *Faculty Handbook* sets forth the terms and policies governing the hiring and promotion of faculty; the duties of faculty members and their responsibilities to their departments and to the College as a whole; the criteria and procedures by which they are evaluated; the governance of departments and programs; the support available for research (leaves and funding); policies and procedures regarding such matters as nepotism, affirmative action, discrimination (including sexual harassment); and the procedures by which individuals may seek remedy for alleged grievances. Many of these policies and procedures are based on the guidelines presented in the 2006 edition of the AAUP's *Policy Documents and Reports*, although they adhere precisely to them only where indicated. Policies and procedures specific to faculty in the Department of Physical Education are shown in Section II-B: Faculty Titles and in Section II-P: Physical Education.

Members of the faculty should feel free to consult any of the following for advice on the faculty policies and programs discussed in this section: The Dean of the Faculty, the divisional representative on the Committee on Appointments and Promotions (CAP), or the department chair. If the CAP representative happens to be the department chair, the individual may approach any other member of the Committee.

Section II-B: Faculty Titles and Ranks

For the employee benefits attached to the ranks defined below see the **Faculty Benefits and Services** section of this handbook and, for those on part-time appointments, see Section II-J: Policies Governing Part-time Faculty and Section III-P: Part-time Faculty Benefits.

Emeritus

The honorary title of *Emeritus* is normally bestowed upon retirement. It requires an affirmative vote by the Board of Trustees.

The Professorial Ranks in Academic Departments and Programs

Assistant Professor

Full-time tenure eligible members of the faculty are initially appointed to the rank of Assistant Professor via a national search process. The first appointment is normally for a term of three years, with the possibility of reappointment for a second term of up to four years. While the reappointment and promotion schedules may vary according to an individual's prior experience, the reappointment decision is normally made in the third year in rank, and the tenure decision in the sixth year in rank. Following a positive tenure decision, therefore, promotion to the rank of Associate Professor with tenure normally occurs at the completion of the individual's sixth year as Assistant Professor. An individual who is not granted tenure may serve out the remainder of his or her second term contract as Assistant Professor.

Associate Professor

Members of the faculty at the Associate Professor level hold tenure. There is no fixed term of service at this rank. An associate professor review process is conducted by the department or program, and presented to the CAP, during the fourth and sixth years in rank, and each year thereafter if necessary. The CAP ordinarily considers promoting associate professors to full professor status after six years in rank. (See Section II-M: Evaluation of Associate Professor and Promotion to Full Professor).

Professor

The rank of full Professor is granted to tenured members of the faculty with significant experience and a strong record of achievement in teaching, scholarship, and service to the College. There is no fixed term of service at the rank of Professor.

Non-Professorial Academic Ranks

a. Instructor

This title is held by those who are responsible for the laboratories or discussion sections of large courses, or the drill sections of language courses, but have not yet completed six years of satisfactory service in that capacity. These appointments are normally for up to one year and carry the possibility of renewal but no eligibility for tenure. Instructors whose contracts are renewed after six years of service are reappointed at the rank of Lecturer.

b. Lecturer

This title is held mainly by those who teach courses of their own, but whose appointment has taken place through means other than a national search, or by those who handle the laboratories or discussion sections of large courses or the drill sections of language courses and have completed six years of satisfactory service as an Instructor. The position carries the possibility of renewal but no eligibility for tenure. The title of Lecturer is also held by administrative officers and professional staff who carry out some teaching duties. Their teaching appointments are for stated periods of time with the possibility of renewal but no possibility for tenure.

c. Senior Lecturer

The promotion of Lecturers to the rank of Senior Lecturer is infrequent. Departments may recommend for such promotions only those who are exceptionally distinguished teachers, or those who are effective teachers and who also bring to the College significant accomplishment in their fields. Eligibility for this position normally requires having completed two three-year contracts as a Lecturer. Senior Lecturers carry an annual teaching load that ranges between .5 and .9 FTE. They are appointed for a period of five years, with the possibility of renewal but no possibility for tenure.

d. Fellows

Gaius Charles Bolin Dissertation Fellowship

In 1985, Williams College established the Gaius Charles Bolin Fellowships to promote diversity on college faculties by encouraging able minority students to complete the doctoral degree and to pursue careers in college teaching. The Bolin Fellows spend two years in residence at Williams as members of a department or program. They devote the bulk of their time to the completion of dissertation work while teaching just one course during each academic year. Named in honor of its first black graduate, who was admitted to Williams in 1885, the Bolin Fellowships are awarded to graduate students from underrepresented groups who are working toward the Ph.D. These positions are not restricted to any particular field.

Mellon Postdoctoral Fellowship in the Humanities and Social Sciences

This program is funded by a grant from the Andrew W. Mellon Foundation, which started in 1998-99. One new fellow is appointed each year. The disciplinary focus varies and each fellow serves for two years, such that there are typically two Mellon postdoctoral fellows on the faculty at any given time. They teach one course each semester. The goals of this program are to enrich the curriculum, to complement faculty expertise in a long-lasting way, and to provide the fellows with guidance in their development as teachers and scholars.

Appointments in Physical Education

a. Lecturer

Lecturers are appointed for one- to three-year terms with the possibility of renewal but no eligibility for promotion to assistant professor unless by means of a national search. This title is held mainly by those who hold head coaching positions, or by those with significant assistant coaching responsibility or other athletic programming roles, including the teaching of PE classes. For those holding three-year contracts, reappointment decisions are made in the fall of the third contract year. Lecturers in the Department of Physical Education must serve for at least three years at an average FTE of 0.5 or more before becoming voting members of the faculty.

b. Assistant Professor

Faculty in the Department of Physical Education are appointed to the rank of Assistant Professor either as an initial appointment or as a promotion from the rank of Lecturer following a national search. In the fall of a faculty member's third year as an Assistant Professor, a decision will be made whether to reappoint him or her to a second three-year term. If the decision is positive, the assistant professor will, in the fall of his or her sixth year in rank, become eligible for reappointment to a five-year term. A Master's degree is normally required for promotion to a 5-year term. Once promoted, Assistant Professors on five-year terms hold the most senior rank in the Department of Physical Education, and though these are not tenured positions, further reappointments for terms of five years may take place thereafter. All assistant professors in PE are voting members of the faculty.

Part-time Appointments

(See discussion in Section II-J: Policies Governing Part-time Faculty)

Visiting Appointments

Titles are preceded by the term "Visiting" when the holder of the title is on leave from another institution or has completed his or her graduate course work and is not affiliated with another institution. Visitors may be appointed for terms ranging from one semester to three years.

Adjunct Appointments

Titles are preceded by the term "adjunct" when the holder maintains a close association with the College, as, for example, by serving in a consulting or advisory capacity, or teaching for the Winter Study Program.

Other Appointments

Artist-in-Residence

The title of Artist-in-Residence is held by writers and professionals in the performing and visual arts who are appointed to meet curricular and co-curricular needs in literature and the arts for a stated period of time. These appointments sometimes carry the possibility of renewal but do not carry eligibility for tenure. Benefits, if any, are negotiated with the department chair or appropriate administrator in consultation with the Dean of the Faculty

Research Associate or Research Scientist

From time to time, and in response to a departmental recommendation, the Dean of the Faculty will appoint a local or visiting scholar or scientist to the position of Research Associate or Research Scientist. These short term (one semester to one year) appointments carry with them no compensation, and it is understood that arrangements for the use of office or laboratory space, instrumentation, equipment, administrative services and the like will be made through the chair of the department concerned and continued thereafter at the convenience of department and College. Though these appointments are renewable, there is a strong presumption against extending them for more than five years. The College will defray no legal costs and accept no liability for damages in connection with any legal action arising from the individual's research, publications, or other professional activities.

Section II-C: Academic Faculty Appointments, Reappointments, and Promotions

In making its appointments, reappointments and promotions, Williams College, in compliance with state and federal law, does not discriminate in admission, employment, or administration of its programs and activities on the basis of sex, sexual orientation, gender identity, gender expression, national or ethnic origin, race, color, religion or creed, age, or disability. It does not consider other factors unrelated to the educational objectives of the College (see Section II-D: Appointment Appeals). Nor does it discriminate on those grounds in determining salaries, fringe benefits, or any other terms, conditions, or privileges of employment.

Initial recommendations concerning appointments, reappointments, and promotions normally come from the departments. The Committee on Appointments and Promotions (CAP) considers the recommendations of the departments and transmits its own recommendations to the President, who in turn makes recommendations to the Board of Trustees for final action. (On the authorization and filling of new positions see Section II-M: Departmental Governance.) The CAP reviews the performance and progress of each non-tenured faculty member each fall, whether or not a reappointment decision is pending, when it considers the annual staffing reports submitted by the departments. The role of the CAP is an active one; it does not simply "register" departmental recommendations. Members of the faculty are encouraged to keep their personnel files in their departments and in the Office of the Dean of the Faculty up-to-date with respect to both their extramural professional activities and their College responsibilities. The Dean of the Faculty circulates a form each year to assist the faculty in keeping these data current.

The criteria by which the CAP judges a candidate for reappointment or promotion in the professorial ranks are the following: (1) above all, interest in and talent for sound and effective teaching of undergraduates and promise of continuing growth in ability to do so; (2) demonstrated capacity to contribute to the arts or to scholarship in the appropriate field and a perception of its relation to liberal learning; (3) significant usefulness and contribution to the College community - student advising, committee service, and so forth. Given the shifting needs of the College and the differing circumstances of departments, no precise "weights" can be attached to each of these three areas. Of the three, however, it may be said that the first two are of central importance, and exceptional strength in both is usually a requirement for appointment to tenure. (See also: Section II-L: Evaluation of Teaching, Scholarship, and Community Service and Section II-J: Policies Governing Part-time Faculty)

The decision on whether to recommend promotion to tenure for a faculty member is a comparative and prospective one. There is no presumption in favor of reappointment with continuous tenure; recommendations must be seen as part of the College's effort to identify and retain the best-qualified faculty within its means. The decision reflects a comprehensive judgment about past performance and future potential based on the particular combination of strengths demonstrated by the individual in relation to the College's needs.

Quite apart from the merits of individual candidates, decisions affecting tenure are subject to such structural considerations as the College's future curricular needs, including the requirements of special strengths within a field and shifts in student interests, the number and age of tenured professors already in the department, the overall demand for staff in the College's total program, and budgetary considerations. The College does not, however, have a tenure quota, and structural considerations are rarely the overriding factor in a negative tenure decision. Still, the standard of evaluation for teaching, scholarship, and service does become stricter when structural factors do not favor appointment to tenure. Should it become clear at any point in the career of a non-tenured faculty member that a stricter standard will most likely need to be applied, the faculty member's yearly letter of evaluation will include a statement to that effect. For these reasons, as well as those noted in the paragraph above, a decision not to make an appointment to tenure in a particular case should not necessarily be taken to reflect a negative judgment of an individual's performance.

The Dean of the Faculty and the elected members of the CAP hold an extended meeting with all second-year assistant professors to discuss matters related to the reappointment and promotion process. Non-tenured faculty members are also welcome at any time to discuss with their department chair or the Dean of the Faculty matters related to the College's reappointment and promotion policies and procedures.

Promotion from associate professor to full professor also depends on an assessment of teaching effectiveness, scholarly achievement, and contribution to the needs of the College. The home department or program submits an interim progress report to the CAP during the associate professor's fourth year in rank, and then a promotion-to-full report during the sixth year in rank, and then each year thereafter if necessary (See Section II-M: Evaluation of Associate Professors and Promotion to Full Professor).

Tenure Review Process

(Adopted July 1, 2016)

Once the academic unit(s) submits the evaluation report(s) to the CAP, the CAP creates a redacted version to provide to the candidate undergoing the tenure review.¹

This version should be as close as possible to the original report. However, any confidential information, such as information that identifies individuals within the department or program, or comparisons with other identifiable faculty members at Williams or elsewhere, is removed. In addition, any information identifying outside reviewers or information that could be used to infer the identities of the outside reviewers is also removed. However, the typical and, circumstances permitting, most desirable form of redaction is to remove merely those details (name, institutional affiliation, etc.) that identify those quoted, while preserving the substantive remarks verbatim. If a letter or letters from faculty on leave are appended to the end of the department/program report, the import of those letters, if it diverges from that of the rest of the report, will be conveyed in a synopsis incorporated into the redacted version of the report, in a manner that does not divulge the identities of the letter writers.

This redacted version does not explicitly state the unit's recommendation for or against tenure, nor does it convey the academic unit(s) vote or degree of consensus. However, the redaction should not obscure other arguments, evaluative statements, or judgments made in the report.

Copies of the redacted report should go to all senior faculty who participated in the tenure decision via the unit(s) deliberations or via a letter submitted because they were on leave and/or unable to attend the deliberations, so that they are aware of exactly what has been shared with the faculty member.

Senior faculty in the faculty member's department or program may advise the faculty member as they determine whether to respond to the academic unit's narrative; however, they should not discuss the department/program deliberations or the outside review letters. They should err on the side of confidentiality until they see the redacted version of the report, and they know exactly what information has been shared with the faculty member.

The CAP provides the redacted version to the candidate undergoing the tenure review. The candidate then has the option of responding in writing to the CAP, within two weeks from the date the redacted version was provided to the candidate. It is emphasized that a response is purely optional and the existence of this option does not imply an expectation for a response. Should the candidate choose to respond, this response should be limited to addressing any perceived factual errors or omissions, perceived procedural issues, or perceived interpretive issues relating to the

¹ *Academic unit(s) refers to all departments, programs, and/or evaluation committees that formally reviewed the tenure candidate and made recommendations to the CAP, recognizing that in the case of joint appointments there might be more than one unit and more than one report.*

candidate's field(s). The response should neither reiterate nor reframe the candidate's previously submitted self-evaluation. The candidate's response is read only by the CAP, in tandem with the academic unit's narrative.

The CAP has the option of requesting clarifications and/or additional information from the academic unit(s) and/or the candidate. The CAP also has the option of meeting with the academic unit(s) and/or the candidate separately.

Section II-D: Reconsideration and Appeal of Academic Faculty Reappointment and Promotion Decisions

Notice of non-reappointment at the end of a specified term of probationary appointment is not to be confused with termination for cause (on which, see Section II-V: Termination for Cause and Section VII-C: Guidelines for a Formal Hearing on Dismissal or Suspension). In case of termination for cause the College can rightly be required to justify its decision. In the case of non-reappointment no such burden of proof exists, and the College is to be "accorded the widest latitude consistent with academic freedom, equal opportunity, and the standards of fairness" in discharging its responsibility "to recruit and retain the best qualified faculty within its goals and means."¹

Of necessity, the judgments affecting reappointment and/or promotion to tenure decisions are in some degree comparative and prospective. It is clearly not possible to specify in advance the full range of considerations that may be relevant to particular cases (see Section II-C: Faculty Appointments). Nor is it always in the interest of the individual concerned to have the reasons for a decision not to reappoint or promote specified in writing after the event.² The College recognizes, nonetheless, that despite every effort to reach its reappointment and/or promotion to tenure decisions equitably and judiciously, cases of improper consideration, or of inadequate consideration, as discussed below, may conceivably occur.

The term 'improper consideration' refers henceforth to considerations in violation of either (a) academic freedom or (b) College policies stipulating that appointments, reappointments, and promotion be made without discrimination "on the basis of race, color, sex, national origin, religion, age, disability, marital status, sexual orientation, gender identity or expression, ancestry or military service" or "other factors unrelated to the educational objectives of the College" (see Section II-C: Faculty Appointments; the definition of "improper consideration" is modeled on the AAUP's "Recommended Institutional Regulations on Academic Freedom and Tenure," Regulations 10, Policy Documents and Reports, 2006 ed., p. 28). The phrase "other factors unrelated to the educational objectives of the College" is not, of course, intended to exclude from consideration either illegal behavior or behavior adversely affecting the discharge of professional duties. It is, rather, to reaffirm the exclusion from consideration of personal styles of life or dispositions not eventuating in such behavior.

The term 'inadequate consideration' refers to procedural rather than substantive issues: Was the decision conscientiously arrived at? Was all available evidence bearing on the relevant performance of the candidate considered? Was there adequate deliberation by the department or program and by the CAP over the import of the evidence in the light of the relevant standards? Were irrelevant and inappropriate standards excluded from consideration? Was the decision a *bona fide* exercise of professional academic judgment? These are the kinds of questions suggested by the standard 'inadequate consideration.' (AAUP "Statement on Procedural Standards" (p. 20))

For those extraordinary cases when the faculty member who has been denied reappointment and/or promotion to tenure believes that improper and/or inadequate consideration may have occurred, the College has established the following special review procedures.

Request for Reconsideration

A decision not to reappoint and/or promote to tenure is normally communicated orally to the faculty member by the department or program chair or the Dean of the Faculty. That notification is in every case confirmed in writing by the Dean of the Faculty in a letter (hereafter referred to as the "Notification Letter"), which should be mailed within

¹ AAUP "Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments," Policy Documents Reports, 2006 ed., p. 18.

² *Ibid.*, pp. 18-19.

two business days of the oral communication.

The faculty member may request to meet with the Dean of the Faculty to discuss the reasons for the negative decision. This meeting normally occurs shortly after the notification, but should occur no more than one month after the notification. The faculty member may bring another Williams College faculty member to the meeting, as long as that person was not involved in the decision-making process. The additional person is not there to advocate or to engage the Dean directly, but rather to serve as a listener, to help the faculty member recall the conversation. In addition to explaining the reasons for the decision, the Dean of the Faculty will inform the faculty member that an explanatory letter detailing the reasons for denial (hereafter referred to as the "CAP Explanatory Letter") will be prepared by the Dean at the request of the faculty member.

The faculty member has two weeks after meeting with the Dean to request the CAP Explanatory Letter. Possible reasons why a faculty member might want to decline the CAP Explanatory Letter are outlined in "Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments," Policy Documents Reports, 2006 ed., p. 18. However, in order to move forward with a request for reconsideration or an appeal the faculty member must have the CAP Explanatory Letter.

The CAP Explanatory Letter should be issued as expeditiously as possible but no later than four weeks after the request, and should outline in detail the reasons for the non-reappointment and/or denial of promotion to tenure. One copy of this confidential letter is distributed to the faculty member and one copy is kept on file in the Dean of the Faculty's Office. The faculty member may share the letter with whomever she or he chooses.

The faculty member may also request to receive a redacted version of the department or program evaluation report³ that was submitted to the CAP. If the faculty member requests the report, the chair of the department or program that submitted the report, working in conjunction with the senior staff of the department or program, the Dean of the Faculty and the CAP, creates the redacted version. This version should be as close as possible to the original report. However, any confidential information, such as information that identifies individuals within the department or program, or comparisons with other identifiable faculty members at Williams or elsewhere, is removed. In addition, any information identifying outside reviewers or information that could be used to infer the identities of the outside reviewers is also removed. However, the typical and, circumstances permitting, most desirable form of redaction is to remove merely those details (name, institutional affiliation, etc.) that identify those quoted, while preserving the substantive remarks verbatim. If a letter or letters from faculty on leave are appended to the end of the department/program report, the import of those letters, if it diverges from that of the rest of the report, will be conveyed in a synopsis incorporated into the redacted version of the report, in a manner that does not divulge the identities of the letter writers.

The faculty member has two weeks after meeting with the Dean of the Faculty to request the redacted department/program report. The redacted report should be provided within four weeks of its request. A copy of that report should go to all senior faculty in the department or program, so that they are aware of exactly what has been shared with the faculty member.

Senior faculty in the faculty member's department or program may advise the faculty member as she or he determines whether to appeal; however, they should not discuss the department/program deliberations or the outside

³ *Evaluative reports are prepared by senior staff in departments, programs and sometimes evaluation committees, the members of which do not come from any single department or program. In this document, this third possibility is intended to be included when reference is made to the reports produced by departments and/or programs. In the event there is more than one report (as there is, for example, in some cases of joint appointments), references in this document to a single report are intended to encompass all of the reports.*

review letters. They should err on the side of confidentiality until they see the redacted version of the report, and they know exactly what information has been shared with the faculty member.

Should the faculty member believe that the decision not to reappoint and/or promote to tenure resulted from improper consideration (as defined above), and/or inadequate consideration (as defined above) under the relevant standards of the College, the faculty member may ask the CAP through the Dean of the Faculty for reconsideration of the decision. The request for reconsideration must be made in writing no later than one month following the date on the CAP Explanatory Letter. That request must specify the factors that the faculty member believes warrant such a reconsideration. The decision by the CAP whether to reconsider must be communicated in writing to the faculty member by the Dean of the Faculty within six weeks of the receipt of the request.

If a reconsideration is granted, then the CAP will deliberate, taking into account the letter from the faculty member requesting reconsideration. These deliberations should be concluded and the result thereof communicated in writing to the faculty member by the Dean of the Faculty within three months of receipt by the Dean of the Faculty of the letter requesting reconsideration.

Appeal Procedures

Should a reconsideration not be granted or should the reconsideration result in a confirmation of the decision not to reappoint and/or promote to tenure, the faculty member may, within one month of being so informed by the Dean of the Faculty, petition in writing the Chair of Faculty Steering Committee to initiate a review of the decision. The petition must specify the respect(s) in which the petitioner believes consideration to have been improper, inadequate, or both. It must also state that the petitioner understands that in order to discharge its responsibilities, the Review Committee (see below) must have access to whatever information the College weighed in reaching that decision.

Within two weeks of receipt of the petition, the Chair of the Faculty Steering Committee, in consultation with the other members of the Faculty Steering Committee, will appoint a Review Committee consisting of a chair and four additional members chosen from the Faculty Steering Committee and the Faculty Review Panel in such a way that at least one, and at most two, are non-tenured members of the faculty and at least one is a member of the Faculty Steering Committee. No member of the Faculty Steering Committee or Faculty Review Panel who has participated in making the decision being appealed, or who is a member of the petitioner's department or program, shall serve on the Review Committee. Similarly, should the Chair of the Faculty Steering Committee have participated in that decision or be a member of the petitioner's department or program, his or her function for the particular case shall be discharged by a member of the Faculty Steering Committee not so involved. That member will be designated by the remaining members of the Faculty Steering Committee.

Should these or other constraints make it impossible for the Faculty Steering Committee to appoint a full Review Committee, it may select members from previous Faculty Steering Committees or Faculty Review Panels. At the time the Review Committee is to be constituted, the petitioner and the Dean of the Faculty may express concerns about potential conflicts of interest for any of the candidates on the Faculty Steering Committee and/or the Faculty Review Panel. In addition, the Chair of the Faculty Steering Committee will ask candidates under consideration for the Review Committee whether there are any reasons they might not be able to render a fair judgment. The Faculty Steering Committee will consider this information when forming the Review Committee.

Once constituted, the Review Committee will meet with the Chair of the Faculty Steering Committee, the Dean of the Faculty or his/her delegate, the College Counsel, the Vice President for Institutional Diversity and Equity and/or the Associate Dean for Institutional Diversity and Equity to clarify the mandate of the committee, the definitions and general considerations that constitute claims of inadequate and/or improper consideration. The Review

Committee will then review the petition to determine whether it establishes a *prima facie* case⁴ for improper and/or inadequate consideration. If the Review Committee concludes that the petition fails to do so, the Review Committee will report its conclusion in writing to the petitioner, the President, the Dean of the Faculty, and the Chair of the Faculty Steering Committee, and no further proceedings will occur. If the Review Committee determines that the petition does establish a *prima facie* case for improper and/or inadequate consideration, the committee will then proceed with an investigation in private.

In the investigation, the Review Committee will have access to any and all documentation related to the case and have the right to interview all individuals who have or are reasonably likely to have relevant information.⁵ If the petitioner so desires, the Review Committee will meet with the petitioner. Other parties with evidence relevant to the petition may request to meet with the committee, and the committee will do its best to obtain all pertinent testimony. In all cases involving an allegation of improper consideration, any faculty or staff member who has been charged with improper behavior will be notified of the allegations and have the opportunity to respond thereto. The Review Committee will resolve, by majority vote if necessary, any issues relating to procedural matters or to its ultimate findings.

The Review Committee will complete its investigation as expeditiously as possible but no later than four months from the date of its having been constituted. In pursuing its investigation and making its findings, the Review Committee will not substitute its own judgment on the substantive merits of the case for the judgment of those who made the original decision.⁶ Nor will it concern itself with the possibility that others might have arrived at a different judgment. Rather, its responsibility is only to investigate, depending on the allegations in the petition, whether the decision not to reappoint and/or promote to tenure resulted from improper consideration or inadequate consideration under the relevant standards of the College.

In extraordinary circumstances, the Review Committee may request of the Faculty Steering Committee an extension of its deadline. Should the CAP or the Review Committee be unable to meet a given deadline, the petitioner will be formally notified of the reason for the delay.

Upon completion of the Review Committee's investigation, the following procedures are activated:

The Review Committee reports its findings in writing, with recommendations concerning further procedures, and with the petitioner's petition appended, to the petitioner, the President, the Dean of the Faculty and the Chair of the Faculty Steering Committee. When the Review Committee determines that there was improper consideration, the report is also sent to the Vice President for Institutional Diversity and Equity.

Should the Review Committee find by clear and convincing evidence⁷ that there was improper and/or inadequate consideration, it will specify the respect(s) in which it believes the consideration to have been improper and/or inadequate; specify the evidence supporting the Review Committee's findings; and call upon the President to initiate reconsideration of the decision by the department or program concerned and/or by the CAP, depending on the

⁴ A "prima facie" case means that the allegations set forth in the petition, if ultimately proven to be true, would support a finding of inadequate and/or improper consideration.

⁵ All persons who are asked to provide information in connection with the work of the Review Committee are expected to cooperate promptly and fully and to provide any relevant information in a manner that is open, honest and complete. They are expected to speak candidly concerning any matters that may pertain to the claim of inadequate and/or improper consideration, and they must treat all aspects of the process as strictly confidential.

⁶ AAUP, 2006, p.20.

⁷ 'Clear and convincing evidence' means evidence that is positive, precise and explicit. It means evidence that makes the proposition at issue substantially more likely than not to be true. It requires greater certainty than is required to satisfy a 'preponderance of the evidence' standard, but not the level of certainty required to satisfy a 'beyond a reasonable doubt' standard.

findings. The President will respond within three weeks, explaining in writing to the petitioner and to the chair of the Review Committee how the case will be resolved. If the President finds the report to be unsatisfactory or incomplete s/he may send it back to the Review Committee and request that the inadequacies be addressed.

Before a reconsideration occurs, if one is called for at this final stage, the Dean of the Faculty will communicate to the relevant parties, such as the CAP and/or the department or program, aspects of the case that were found to be improper and/or inadequate, to afford these groups every opportunity to correct the problems for the reconsideration at hand and for the future. If so requested by the Review Committee, the President may ask the Vice President for Institutional Diversity and Equity to participate in the reconsideration, either by meeting with the CAP and/or the department or program, or in some other way, as is appropriate.

In the case of a reconsideration, the reconsideration will be completed within three months of the date on which the President received the final Review Committee report. If the department or program involved is required to rewrite its report, that report is then forwarded to the CAP, which makes the ultimate determination of whether to uphold the denial of reappointment or promotion.

At the conclusion of a reconsideration, the Dean of the Faculty will inform the petitioner of the result in writing.

The procedures outlined above exhaust the provisions for appeal within the governing structure of the College. Upon completion of this procedure, no further appeal may be initiated within the College.

Section II-E: Faculty Salaries

Procedures for Determining Salaries

In April the President recommends salaries for individual faculty members to the Board of Trustees. Salary recommendations are based on the College's goals of 1) recruiting and retaining an excellent faculty, 2) recognizing exceptional merit, and 3) maintaining equity in salaries both within and between different faculty cohorts. The criteria on which merit recommendations are based are the same as those used in determining reappointment and promotion: teaching effectiveness, scholarly activity, and contribution to the operation of the College in such areas as committee work, advising, and departmental duties.

Because the College attempts to make clear to Assistant Professors its evaluation of their work through annual feedback based on Department reports to the CAP, Assistant Professors may receive equity salary adjustments, but do not ordinarily receive merit adjustments.

Salaries for the following academic year are communicated by letter each May to continuing members of the faculty. Non-tenured members of the faculty should feel free to discuss their salary situation with either their department chair or the Dean of the Faculty; tenured faculty should see the Dean of the Faculty.

Timing of Salary Payments

The College schedules its bi-weekly payroll over a twelve-month period beginning July 1 previous to the teaching year and ending on June 30. Thus faculty members are in effect paid in advance during the months of July and August, and those faculty whose contracts expire, or who resign at the end of the academic year, are paid in full with the last salary payment in June of that year. Those who resign from the College during the summer months will return any salary payments received during July or August. Faculty who hold visiting one-semester appointments are normally paid from September through December for first semester appointments, and February through May for second-semester appointments.

Section II-F: Academic Department Governance

Department Chairs

Department chairs are appointed by the President after consultation with the members of the department. There is no fixed term of service. Department chairs bear the final responsibility for most matters pertaining to departmental governance and planning, though in several departments, depending on their size and structure, some of these responsibilities may be delegated to committees or to individual faculty members. Chairs are responsible, for example, for the preparation and submission of the annual staffing report; the annual budget requests; the scheduling of classes; the preparation of the course package for the Committee on Educational Affairs; consultation with the President, Provost, and Dean of the Faculty regarding salaries for non-tenured members of the department; arranging for the evaluation of teaching and scholarship; the orderly timing of leaves of absence in order to maintain continuity in the curriculum; negotiations with program chairs regarding the teaching of faculty members in interdepartmental programs; the hiring of new faculty; advising non-tenured faculty and communicating to them the views of the tenured members of the department regarding their progress.

Each department works out its own modes of operation but should be guided by certain general principles. The smooth and effective functioning of academic departments depends upon the achievement of broadly shared perceptions of departmental goals and upon the cooperation of all department members, non-tenured as well as tenured. Agreement about goals and cooperation in their implementation are to be achieved through regular department meetings and continuing discussion among the members of the department. Departmental traditions for making decisions and resolving disagreements vary, and no one procedure could possibly cover the wide range of cases that may arise. Some matters are best left to the discretion of the chair, whereas others, such as those involving the interests of all department members (as described in the following paragraph), should be resolved through consultation, consensus, or majority vote.

Just as department members are expected to assist the chair in carrying forward the activities of the department, so chairs are expected to seek the views of all their colleagues, non-tenured as well as tenured, in decisions regarding such curricular matters as the department's requirements for the major and the content of courses required for the major, especially in multi-sectional courses. They should also be consulted about the procedures the department will use in the evaluation of teaching. Non-tenured members also have a role in the search for new members of the department, although the precise role varies from department to department (see Filling Positions below).

Consultation of this sort may not result in total agreement among a group of colleagues, but frank and full discussion, especially where there are important disagreements, will surely enhance the overall sense of involvement in department policies and of responsibility for their implementation.

Annual CAP Memorandum

Part I: Staffing Information and Requests for New Appointments

In April, the chair submits to the Dean of the Faculty Part I of the annual CAP memorandum. The memorandum should include the names of members of the department not returning in the following year or other terminations; a table of staffing projections covering a period of five years; anticipated leaves; an allocation-of-time report; and any new appointments proposed for the following two years, along with the reasons which recommend them. Those reasons should include a careful analysis of the departmental and (if relevant) program needs for the requested position, with regard to such matters as the field of specialization, the future need of the College for that specific field, and the age structure and percentage of tenured faculty in the department. The memorandum should also include a table summarizing the department's contributions to interdepartmental programs, and any other matters the chair wishes to bring to the attention of the CAP. On the basis of the memorandum, the CAP will, in late June or early July, act upon departments' requests for new appointments. If the department wishes to bring forward new

arguments for increased staffing, it may do so in Part II of the annual memorandum, and the CAP will act on those requests in December.

Part II: Personnel Information and Evaluation

Every autumn, the chair should prepare Part II of the annual memorandum to the CAP in response to the Dean of the Faculty's annual request for personnel information and evaluation. Prior to the preparation of that memorandum, the chair should meet with the tenured members of the department. (Once approved for tenure by the Board of Trustees, faculty members shall begin immediately to participate in the work of tenured faculty, including participation in tenure decisions. A newly tenured faculty member shall not, however, take part in tenure decisions or appeals concerning colleagues considered for tenure in the same academic year.) Where pertinent, the chair must seek the views of the chairs of related interdepartmental programs, in order to evaluate the accomplishments and the promise of all the non-tenured members of the department. Senior faculty members on leave must either participate fully in the evaluation process of all candidates for reappointment and promotion in that year, or submit a letter evaluating the work of each candidate. Such a letter shall specify what materials the author has considered in preparing the letter. (See Section II-L: Evaluation of Teaching, Scholarship, and Community Service for policies and guidelines.) The memorandum that the chair finally writes should reflect fully and fairly the opinions of all the tenured members of the department. To this end the chair should circulate a draft among the tenured members of the department and incorporate appropriate revisions in the text. The final version submitted to the CAP should be initialed by all the tenured members of the department who participated fully in the discussions leading to that final version. When the memorandum includes a recommendation concerning the renewal, reappointment, or promotion of a non-tenured person, the CAP should be provided with a full statement of the grounds and of the evidence on which the recommendation, whether positive or negative, is being made. This statement should include an explanation of the procedures by which teaching, scholarship, and service to the College and department were evaluated. It should also include an analysis of departmental and institutional needs, including (where relevant) program needs in relation to the individual under consideration.

While final recommendations to the President and Trustees regarding reappointments and promotions are the responsibility of the CAP, that Committee takes into account the department's prior annual staffing reports as well as its recommendation. Individual tenured members of the department or the CAP may on occasion differ with the final recommendation, and a high degree of confidentiality must be assured to the views of individuals who participated in the recommendations, whether at the departmental level or within the CAP. The College, in turn, treats the annual staffing reports as confidential documents.

Authorization for New Positions

The annual personnel memorandum's projections and recommendations about future staffing involve judgments at the departmental and at the College level concerning matters of educational policy. When a member of a department retires, leaves the College, or goes on leave, it should not be assumed that the department will be authorized to seek a replacement. The termination of an appointment may be the occasion for a reorientation of the fields offered by a department or program; it can also be the occasion for reallocating personnel positions from one department to another. Authorization for new appointments, therefore, must be sought afresh both at the time of the submission of the annual memorandum and throughout the year as openings become available. When seeking such authorization, the chair should explain why a new person is needed: whether because of enrollment or a need to cover a particular field, or to fulfill obligations to a program.

Filling Positions

Once the CAP has authorized a department or program to seek new staff, the chair, in close association with tenured and with non-tenured colleagues and, where appropriate, with colleagues in related units, should work to develop a large and varied pool of qualified candidates. The CAP will not authorize the offer of an appointment until it is satisfied that the hiring unit's recruitment of candidates is consonant with the College's affirmative action goals and

commitments. Job descriptions of anticipated openings should be sent to the Vice President for Institutional Diversity and Equity and the Dean of the Faculty in the late summer. The openings should be described as "anticipated" until such time as the CAP authorizes them. The Vice President for Institutional Diversity and Equity advertises all openings in a composite list in *The Chronicle of Higher Education* and other relevant publications in the fall. It is also customary in almost all fields to advertise in one or more professional journals or newsletters. In any case, the existence of a vacancy should be given widespread publicity. The chair should also seek the help of the Office of Institutional Diversity and Equity and appropriate members of the faculty and administration in getting names of candidates from underrepresented groups who might not otherwise be known. The chair is responsible for keeping a record containing the names of all job applicants, their gender and minority status (if known), the date the application was received, the dates of all actions taken, and the nature of those actions. In those years when the unit is conducting a search, the chair submits a preliminary and final "Academic Appointments Record Form."

These policies apply to both tenure-track and non-tenure-track positions, although in the case of the latter, if the department or program agrees that an exception should be made (for example, where there is an urgent need to fill an unanticipated and immediate vacancy, or where an existing visitor might add to the diversity of the department and/or be the most desirable choice) the chair should consult the Dean of the Faculty.

For all searches it is important that hiring unit chairs assure that both tenured and non-tenured colleagues are given appropriate opportunities to participate in the screening of dossiers of candidates. This has been accomplished in a variety of ways, including the establishment of screening committees. The exact form is best left to the determination of individual units.

For tenure-track searches, a trip to a professional meeting or to some fairly large academic center can help to reduce the number of candidates to a manageable list through preliminary interviews; in some cases it is useful to bring nearby candidates here for preliminary interviews that do not yet involve the CAP. Eventually, the hiring unit will wish to concentrate its attention on perhaps three or four candidates for a single position and will wish to bring them to Williamstown to meet the members of the unit and the CAP. Prior to or at the time of these visits, the chair should send copies of the *Faculty Handbook*, and the "Statement of Employee Benefits" to the candidates. The visits should afford the hiring unit the opportunity to evaluate the qualifications of the candidate, and the candidate the opportunity to become familiar with the College and with Williamstown. It is important that the candidates meet both the tenured and non-tenured members of the unit, students, and, where appropriate, the chairs of relevant interdepartmental programs or other departments. Whether or not a candidate should give a paper or some other formal presentation is a matter for each unit to decide; such presentations are common.

After the visit of a number of candidates, and after consulting with the students who met them and, where appropriate, the relevant chair(s) of other units, the hiring unit should rank them and decide whether to recommend that an offer be made. In some units all regular members are involved in the ranking. In other units, this ranking is done by the members of the search committee, which might include faculty affiliated with that unit. In some cases (particularly when the position is a tenured one) the tenured members alone do the ranking, but only after consulting with the non-tenured members. The chair should communicate the recommendation to the CAP. Prior to forwarding the recommendation to hire, the chair should make sure that all members of the unit are aware of the nature of the recommendation. Since the CAP's judgments are sometimes at variance with those of the unit, it is important that consultation between the hiring unit and the Committee take place at an early stage before any offers are extended.

In the case of non-tenure-track positions, the CAP interview is waived and the hiring unit is asked to bring candidates to campus in sequence until a suitable candidate is found. When a suitable candidate is found, the chair will make a recommendation to the CAP.

Once the CAP has approved the recommendation, a copy of the letters of offer and acceptance should be sent to the

Dean of the Faculty, who will use those letters as the basis for official action by the Trustees. Letters of appointment for employment that is less than full-time should contain the precise fraction of part-time effort that is expected of the appointee and upon which his or her salary will be based. Similarly, letters of appointment for those with the designation "Part-time" or "Visiting" in their titles should, after consultation with the Dean of the Faculty, specify any employee benefits being offered in addition to those legally mandated. Chairs should stay in touch with newly appointed members of the faculty and should provide help in making arrangements for housing, moving, ordering books, and planning courses.

Program Staffing

Given that most faculty appointments and FTE allocations are made to departments rather than programs, departmental contributions are essential to the staffing of program courses. Departments contribute FTE fractions to interdepartmental programs to help staff courses that carry only a program prefix. Departments also contribute cross-listed courses, some of which may be required by the program, although the majority are electives. The FTE contributed and the enrollments generated by both kinds of courses are normally credited to the department rather than the program.

The College expects that department and program chairs will work out mutually agreeable allocations of faculty time that will allow for the staffing of courses both within the department and its major and within a program's concentration or major. The intersecting concerns of departments and programs include not only FTE allocations and course offerings but also decisions about new appointments and the evaluation of faculty contributions to programs. Regular consultation between department and program chairs is essential to addressing the concerns and meeting the needs of each. Should serious obstacles arise in the negotiating process, the chairs should bring their difficulties to the Dean of the Faculty and the CAP.

The CAP considers the needs and concerns of both departments and programs during its decision-making processes. Part I of the department's annual memorandum to the CAP should take into account the non-departmental obligations that the department has incurred or will incur, according to the process described in the section on Academic Program Governance. It should also include a table that summarizes the department's contributions to interdepartmental programs over the last five years. Part II of the memorandum should report on the contributions department members have made to the functioning of any of the interdepartmental programs and should include any evaluations submitted by program chairs (see Section II-G: Academic Program Governance).

Communication Between Departments and Non-tenured Faculty

It is in the interest of the College and all members of the faculty that there be open and productive communication between the chairs and non-tenured colleagues in their departments. The purpose of such communication is at least twofold: to help non-tenured faculty realize their full potential as teachers and scholars, and to keep them apprised of the judgments being made of their work. Departments follow different schedules in such matters as reviewing scholarship, interviewing students, visiting classes, and assessing changing departmental needs. Given this necessary flexibility, however, it is clear that non-tenured faculty should feel free to ask for information or advice when it is needed, recognizing that answers simply may not be available at that time. Given the comparative and prospective nature of the decisions involved and the variety of factors bearing upon them, it is not possible for a department to convey a faculty member's prospects for renewal, reappointment or promotion with any certainty. Nevertheless, if information becomes available that in the judgment of the tenured members of a department has a strongly adverse effect on someone's prospects for renewal, reappointment or promotion, the chair should communicate it at that time.

The following procedures are intended to speak to the need of non-tenured faculty members for clear and regular guidance. They apply to all faculty whose appointments carry eligibility for tenure, but who have yet to receive a tenure decision. See Annual Reviews below, which also applies to non-visiting part-time faculty.

Job Candidates

Candidates being interviewed for appointment are provided by the department chair with a general overview of procedures concerning reappointment, promotion, and tenure. This overview includes any considerations that may be relevant to the position, including structural matters related to institutional needs (see Section II-C: Faculty Appointments). The letter of appointment should make specific reference to those sections of the *Faculty Handbook* that describe the standards and procedures the College employs in decisions affecting reappointment and tenure (principally Section II-C: Faculty Appointments and Section II-L: Non-tenured Faculty Evaluation).

First-Year Faculty

At the beginning of the academic year, the department chair takes special care in advising new faculty members in the ways of the department and College. The Dean of the Faculty and other administrators meet with new members of the faculty on more than one occasion to talk about the conditions of work at the College and about the procedures and criteria governing reappointment and promotion decisions. But there are other matters that are best discussed at the departmental level: work loads, the advising of majors, forms of syllabi, the management of tests and assignment of paper topics, grading standards, routines of department governance, and so on. Chairs cannot assume that new members of the faculty, coming as they do from a variety of academic backgrounds, know the standards and traditions of the College. Tactful guidance, therefore, can be of great assistance in making them feel a part of their department and of the College.

The department chair informs new faculty that the chair, in consultation with other senior faculty in the department, prepares yearly reports to the CAP that include evaluations of non-tenured faculty in the department. New faculty are provided by the chair with a list of methods used by the department to evaluate teaching, scholarship, and other contributions to the College and department.

Annual Reviews

For First-Year Faculty

Towards the end of his or her First-Year at the College, each non-tenured faculty member whose appointment carries eligibility for tenure meets with the department chair. The purpose of the meeting is to review the non-tenured member's work, to discuss any questions that he or she may have regarding the College or department, and to give whatever help or advice the chair can provide. The chair and the non-tenured member notify the Dean of the Faculty when the meeting has taken place.

For Other Continuing Faculty in Non-decision Years

During those years during which no reappointment or promotion decision is to be made, the chair sends to the non-tenured faculty member, prior to the beginning of the spring semester, a letter summarizing, in a manner substantially congruent with the assessments conveyed in the department's staffing report, the department's judgments regarding his or her performance as a teacher, scholar, and member of the College community. A copy of the letter is also sent to the Dean of the Faculty for review. Within one month of receipt of the letter (except where complicated by a leave), the chair meets with each non-tenured member whose appointment carries eligibility for tenure and with each part-time faculty member who holds a continuing appointment to review the department's judgments and to discuss the contents of the letter and any questions which either the chair or the non-tenured member wishes to raise. The chair and the non-tenured member notify the Dean of the Faculty when the meeting has taken place. Non-tenured members are welcome to respond in writing if they wish to do so, either to the chair's letter or to matters raised in the discussion, sending copies to the chair and the Dean of the Faculty.

For Continuing Faculty In Decision Years

In the spring semester prior to a renewal, reappointment, or tenure decision, the department chair requests of the candidate, in writing, any information or material that might be relevant to the decision, and at the same time

indicates to the candidate what relevant information is currently available to the department. Non-tenured faculty are encouraged both to submit regular reports to the department chair to ensure that such information is kept up-to-date and to provide the department with their own commentary on the materials on file.

Immediately following a renewal, reappointment, or promotion decision by the CAP, the chair or the Dean of the Faculty notifies the non-tenured faculty member of the decision. Both stand ready to discuss the decision with the non-tenured member.

Prior to the beginning of the spring semester, the chair sends to each non-tenured faculty member who has been renewed or reappointed to another term of non-tenured service a letter summarizing, in a manner substantially congruent with the department's staffing report, the department's judgments regarding his or her progress as a teacher, scholar, and member of the college community. The letter also indicates any judgment conveyed by the CAP to the department. Should it have become clear during the reappointment process that structural considerations (see Section II-C: Faculty Appointments) will most likely require a stricter standard to be applied when that faculty member will be evaluated for tenure, the yearly letter should include a statement to that effect. A copy of this letter is sent to the Dean of the Faculty for review. If, in the judgment of the CAP, the letter does not represent the situation appropriately, the Dean of the Faculty, after consulting with the department chair, will meet with the faculty member to clarify the structural considerations.

Within one month of the receipt of this letter (except where complicated by a leave), the chair meets with the non-tenured member to convey a full account of the factors that contributed to the decision and to discuss and expand upon the contents of the letter. The chair and the non-tenured member notify the Dean of the Faculty when the meeting has taken place. Non-tenured members are welcome to respond in writing if they wish to do so, either to the chair's letter or to matters raised in the discussion, sending copies to the chair and the Dean of the Faculty.

Consultation

Since renewals, reappointments, and promotions are collegial decisions in which the CAP plays a crucial role, non-tenured faculty members should feel free to consult with the Dean of the Faculty regarding their performance and progress as teachers, scholars, and members of the College community as seen from the perspective of the CAP. They may also initiate such discussions with divisional CAP representatives. It should be understood that the CAP may not be able to offer any particular information beyond the departmental judgments but that a broader College-wide viewpoint may sometimes be helpful.

Section II-G: Academic Program Governance

The Responsibilities of Program Chairs

The chairs of interdepartmental programs are appointed by the President in consultation with the Dean of the Faculty. There is no fixed term of service. Each program has an advisory committee, whose members are appointed by the Dean of the Faculty after consultation with the program chair. The committee advises the chair on such matters as curricular planning; the staffing of required and elective courses; outside speakers; library acquisitions; program activities and projects; and the methods to be used in evaluating the teaching of non-tenured faculty. These methods should be in compliance with faculty legislation on such matters and are subject to review by the Dean of the Faculty.

Program chairs bear the final responsibility for most matters pertaining to program governance and planning, although some of these responsibilities may be delegated to the advisory committee or to individual faculty members. Chairs are responsible, for example, for the preparation and submission of the annual program report; the annual budget requests; the scheduling of classes that carry only a program prefix; the preparation of the course package for the Committee on Educational Affairs; arranging for the evaluation of the teaching of courses that carry the program prefix only and are not cross-listed in departments; negotiations with department chairs regarding the staffing needs of the program; and meeting with departments' job candidates who have an interest in contributing to the program.

The College expects that department and program chairs will work out mutually agreeable allocations of faculty time that will allow for the staffing of the courses in both the department and the programs to which the department contributes. The procedures set forth in the following section are intended to facilitate the needed cooperation.

Annual Program Report

In April, the chair should submit to the Dean of the Faculty the yearly program report in response to the CAP's annual staffing memorandum. In preparing the report, the chair should consult with members of the advisory committee and with the chairs of those departments that have been making some contribution to the program, taking into account relevant staffing projections (including leaves, anticipated openings, and departures).

FTE Requests for Required Courses

To ensure coverage of required courses that carry only a program prefix, the CAP asks that every program chair, after consulting with the relevant department chairs, submit to those chairs and to the CAP a written request that the departments involved commit themselves to contributing up to a specific number of FTE's over a three-year period. Department chairs will respond to the request in Part I of their annual staffing report, and the CAP, during the annual staffing allocation process, will take into account the contributions to which the departments have committed themselves.

Cross-listed Required Courses

To ensure coverage of required courses that are cross-listed in departments, the CAP asks that the program chair (again, after consulting with relevant department chairs) convey to the CAP, in the annual report, any anticipated difficulties in staffing such courses over at least a three-year period. Department chairs are requested to do the same. The CAP will also consider these anticipated difficulties during the allocation process.

Elective Offerings and the Overall Curriculum

The annual program report should include a review of any significant changes (actual or anticipated) in the program's elective offerings and the reasons behind them.

Summary Tables

The chair is responsible for filling out two summary tables appended to the report: Table I, *Staffing for Required Courses*; and Table II, *Number of Elective Courses*.

The Evaluation of Contributions to Programs

The program chair should report in writing to the chairs of the home departments on the performance of non-tenured faculty members who teach in the program. The report should be submitted to the relevant department chair by early September.

Non-tenured Faculty Who Teach Courses That Carry Only a Program Prefix

The procedures for the evaluation of non-tenured faculty (including part-time continuing faculty) who teach courses that carry only a program prefix are modeled on those used in departments' Evaluation of the Teaching of Non-tenured Faculty. They include the analysis of Student Course Survey (SCS) results in courses that carry only a program prefix, printouts of which will be sent to the program and the department chair; a report on the opinions of individual students, gathered according to the methods chosen by the program advisory committee; and class visits, if the non-tenured faculty member and the program chair both agree to them. The assessment should also include any other relevant information, such as scholarly accomplishments in the discipline, arranging for outside speakers, advising students, supervising honors theses, and other contributions to the program. These full-scale evaluations are required only in those years when the faculty member is due for a renewal, reappoint, or tenure decision. They may occur at other times upon the mutual agreement of the chair and the non-tenured faculty member.

Non-tenured Faculty Who Teach Cross-listed Courses

The evaluation reports on non-tenured faculty who teach cross-listed courses should comment on the importance of the non-tenured faculty member's curricular contributions and, depending on the level of participation and the information available, on any other relevant matters. The faculty member may wish to send a copy of the SCS results for the cross-listed courses to the program chair. The gathering of individual student opinion and/or class visits may take place upon the mutual agreement of the faculty member and the program chair. These evaluations are required only in those years when the faculty member is due for a renewal, reappointment, or tenure decision.

Outside Reviews of Scholarship for Non-Tenured Faculty Who Teach in Programs

Non-tenured faculty members who contribute to inter-departmental programs may request to have included in their tenure review an outside evaluation of their scholarship in the field represented by the program. If so requested, the program chair will normally solicit two such outside reviews. One of the reviewers shall be drawn from a list suggested by the candidate, the other from a list drawn up by the program chair in consultation with the tenured members of the program's advisory committee. The department chair may also be consulted.

How best to include these outside appraisals in the tenure report that the department submits to the CAP should be decided by the program chair in consultation with the department chair. The same outside review(s) may serve a dual function, providing an assessment of the candidate's scholarship for both the department and the program, if the candidate and both chairs agree to this.

In all other respects, the procedures governing this process shall be the same as those described under Section II-L: Evaluation of Scholarship.

The Communication of Evaluations to the Faculty Member

For faculty with a departmental home, the program chair sends a written report to the department chair in the early fall of the year in which the faculty member is up for a renewal, reappointment, or tenure decision. The department chair incorporates this report into Part II of the department's annual report. The report is also summarized in the annual letter to the faculty member, except in those cases when a tenure decision is involved. If class visits are used,

the required letter on the visit should be sent to the faculty member, with a copy to the program chair, as close to the time of the visit as possible. For those few faculty members whose appointment is entirely or primarily in a program rather than a department, the mode of communication is the same as for departments.

Section II-H: Faculty Affiliation to Departments or Programs

Williams College recognizes the growth in the interdisciplinary training and interests of its faculty. As a result, the following language is designed to clarify the affiliation between a faculty member and a unit other than their home unit, in cases where a *joint appointment* is not made. This clarification is designed to help the faculty member, the home unit, and the affiliated unit understand their respective responsibilities and define expectations so that interdisciplinary interactions can be freely and productively pursued.

Tenure-track and tenured faculty, as well as other faculty with continuing appointments, may become affiliated with a unit (a department or program) other than their home unit. The precise nature of affiliation might differ somewhat from unit to unit. In all cases where affiliation differs from that below, departments and programs will create language describing the nature of affiliation as it applies to that unit, which will be reviewed by the CAP. It is expected that such language conform in spirit to the definitions given below.

Affiliation is characterized by full curricular participation in both the home unit and the unit of affiliation, and is based on areas of academic and/or artistic expertise. "Full curricular participation" means, foremost, that appropriate courses offered by affiliated faculty are cross-listed on an equal footing with courses offered by members of the department or program with which a person is affiliated, fulfilling requirements as required courses and electives on the same basis. Affiliated faculty participate in discussions of curriculum and curriculum reform. When students' honors thesis projects and independent studies intersect with their academic and/or artistic expertise, affiliated faculty are invited to share in advising and evaluating students' work.

Affiliated faculty are invited to participate in general meetings of an affiliated unit. Affiliated faculty are not, however, full voting members of the unit with which they affiliate. Nor should an invitation to attend meetings be construed as an expectation that affiliated faculty attend *all* meetings, given the multiple demands on faculty time. Affiliated faculty may be invited to serve on one or more department/program committees of an affiliated unit, where their expertise might be particularly relevant (e.g., on faculty search committees hiring in a related field) and would then be full voting members of said committees, as well as in the final, related votes of the affiliated unit. Affiliated faculty serve as full voting members on any program advisory committees to which they are appointed.

Affiliated faculty may request letters evaluating their curricular and service contributions in the affiliated unit, which are then appended to the annual staffing report, and/or to their three-year reappointment, tenure, and/or associate professor reviews by their home unit. Chairs of affiliated units consider such requests as a part of the annual staffing review process, with the usual participation of all senior members of the department or program, and the accompanying expectation of thoroughness and fairness.

Affiliation is facilitated through the Dean of the Faculty. Faculty members interested in affiliating with a unit approach the Dean of the Faculty, who then notifies the chair of the unit of proposed affiliation. The request for affiliation is considered by the tenured and tenure eligible faculty of the unit in question, and decided upon according to the usual practice of that unit in faculty searches, whether that be a vote or a consensual process. The chair then notifies the Dean of the Faculty, either welcoming the affiliated faculty or explaining the department/program's rationale for declining affiliation.

In the event that the faculty member wants to dissolve the affiliation with the secondary unit, the faculty member should inform the Dean of the Faculty, who will notify the chair of that unit. After an initial period of seven years, and every seven years thereafter, the unit of affiliation will convene a special meeting of its senior faculty (or the senior members of an advisory committee) to reassess the affiliation, then making a recommendation to the Dean of the Faculty to reaffirm or dissolve the affiliation based on the affiliated faculty member's curricular and service contributions to the unit.

Section II-I: Faculty Teaching Duties and Related Responsibilities

Teaching Duties Full-time

Full-time faculty are expected to teach the equivalent of four courses a year, in addition to a Winter Study course every other year. This guideline may be modified by individual departments, which may add to the considerations for determining an individual's teaching load such matters as administrative responsibilities, supervision of independent study and theses, laboratory work, and supervision of musical or theatrical performing groups and musical performances (see Released Time Policy below). In all cases, however, a full-time faculty member must teach at least one course each semester, and may not teach more than three courses in a single semester, except in extraordinary circumstances (see Teaching Overloads below). Teaching responsibilities during a year in which a faculty member has a one-semester leave are spelled out in Section II-N: Professional Leave.

Winter and spring breaks excepted, all faculty members not on leave are expected to be in residence from the start of classes in early September through Commencement. Those who expect to be absent from campus during January or for more than five days during a semester should consult well in advance either with the appropriate committee, program, or department chair, or, in the case of chairs, with the Dean of the Faculty, to see whether they will be needed to fulfill their committee, departmental, or other administrative responsibilities. A faculty member who is unable to meet one or more classes should discuss the matter with his or her department chair to see whether any special arrangements should be made.

Reporting of Grades

In May 1976, the faculty passed the following resolution, which covers the responsibilities of all faculty members in reporting grades of students in their courses:

All grades in all courses (including theses and independent studies) are due in the Associate Dean for Student Services and Registrar's Office within four days after: (a) the final examination for courses with scheduled final examinations; (b) the last day of self-scheduled and take-home examinations for courses offering such options; (c) the last day of the examination period for courses with oral examinations; (d) the last day of classes for courses with none of the above.

Grades for students who have been granted an extension by the Dean of the College are due in the Associate Dean for Student Services and Registrar's Office four days after the extension date.

Released Time Policy

Full-time faculty are expected to teach the equivalent of four courses a year plus a Winter Study course every other year. The College, however, sometimes releases full-time faculty from one or more of their undergraduate course responsibilities to enable them to take on administrative or other specific College assignments, as stipulated below. The President may also at his or her discretion choose to grant course relief to individuals. The CAP in all such cases reduces the departmental FTE count by the appropriate fraction, enabling the department, when possible and appropriate, to replace the missing fraction.

Official releases from undergraduate teaching responsibilities are given, in varying amounts, for service as:

- a dean or provost
- an elected member of the CAP
- a member of the Faculty Interviewing Panel
- a chair of a department whose undergraduate teaching FTE is 12.0 or more; or
- a chair of a department or program with more than two assistant professors; or
- a chair of an interdepartmental program for two years, if in each of those two years there are a total of twenty or more junior and senior concentrators or majors

- a chair of the Committee on Educational Affairs, the Committee on Priorities and Resources, the Faculty Steering Committee, the Winter Study Committee, or the Science Executive Committee
- a director of the Center for Environmental Studies, the Center for Developmental Economics, or the Oakley Center for the Humanities and Social Sciences
- a Kenan Professor or a Gaudino Scholar
- a manager of certain technical support services
- a director of some co-curricular activities in the performing arts
- a leader of a special faculty seminar sponsored by the Oakley Center for the Humanities and Social Sciences
- a faculty member who is teaching graduate courses in the graduate programs in Art or Developmental Economics

Released time is to be distinguished from other arrangements that reduce one's teaching duties such as: a) a course-buy-back made possible by an outside grant; b) a course reduction to carry out special departmental responsibilities, in which case the chair authorizes the arrangement and the CAP does not replace the FTE fraction; c) a reduced teaching load with a pro-rated reduction in salary.

All questions concerning released time should be directed to the Dean of the Faculty.

Teaching Overloads

Faculty members may occasionally take on extra teaching responsibilities when illness, death, or disability prevent a colleague from meeting classes. Depending on the extent and duration of the additional responsibilities, the Provost may provide some additional compensation for the individual concerned. The extent and the form of such compensation depend upon individual circumstances.

Other Employment During the Academic Year

Additional teaching at other institutions is permitted at the discretion of the individual departments, and subject to approval by the Dean of the Faculty. Modest involvement in outside consulting and other similar remunerated activity is also permitted. Whenever such activity requires that the faculty member be absent from campus for the equivalent of more than eight weekdays per semester, permission of the Dean of the Faculty must be obtained. Individuals who are engaged in research under Federal grants or contracts and who also carry on other remunerated activities should discuss their situations with the Provost to ensure compliance with government regulations as well as College responsibilities.

Section II-J: Policies Governing Part-time Faculty

Faculty members holding instructional positions that involve less than full time teaching responsibilities fall into two main groups. Group I consists of those who are employed by the College on a full time basis, but whose teaching responsibilities constitute only part of their duties. Group II consists of those who are employed by the College on a part time basis and whose primary responsibilities are instructional. Each of these groups is further divided into the sub-categories listed below.

The policies governing the evaluation of teaching of continuing part-time faculty and the manner of conveying the assessment to the individual and the Committee on Appointments and Promotions (CAP) are the same as for full-time non-tenured faculty, unless the department requests and receives CAP approval for modifying them. The evaluation procedures should be adjusted, however, to reflect the amount of teaching being done.

All departmental recommendations to the CAP to renew the appointment of a part-time faculty member who contributes to a program must include a report from the program chair on that faculty member's contribution to the program. If the faculty member's appointment is entirely in a program, the assessment or recommendation to the CAP should come from the program chair.

Full-time Employees with Part-time Teaching Duties

Group I (a): Professorial Ranks

Positions falling into this subcategory carry professorial titles and are normally on the same promotion timetable as those holding full time instructional appointments. Their holders, therefore, while discharging some administrative as well as teaching duties, are eligible for appointment to tenure. The nature and extent of the teaching duties involved are determined by agreement between the President and the individuals and departments concerned. Eligibility for employee benefits is the same as for full-time instructional appointments.

Group I (b): Administrative and Professional Staff

Positions falling into this subcategory normally carry the title of Lecturer. Their holders are full-time administrative officers and professional staff who also carry out some teaching duties. Their teaching appointments are for stated periods of time with the possibility of renewal but no possibility for tenure. The nature and extent of the teaching duties involved are determined by agreement among the President, the individuals, and the departments concerned.

Eligibility for employee benefits is governed by the regulations described in the *Administrative Staff Handbook*, except for those who are continuing staff members of the academic department or program in which they teach. Their benefits, if they hold one to three-year appointments, are comparable to those for non-tenured faculty, with the exception of assistant professor leaves. If they have successfully completed at least eight years of service and hold five-year appointments, their benefits are comparable to those for tenured faculty, with the exception of sabbatical leaves. Those holding five-year appointments may apply, however, for leaves of absence. If approved, the College will provide either one semester's salary or the amount necessary to "top up" outside funding to the level of that salary. In reviewing such applications and in deciding whether to grant such leaves, the chair of the department and the CAP will weigh the contribution the proposed leave can be expected to make to the applicant's professional development and his or her potential for future service to the College.

Part-time Employees Whose Primary Responsibilities are Instructional

Group II (a): Professorial Ranks

Positions falling into this subcategory carry the title of Assistant Professor, Associate Professor, and Professor. The teaching duties attached to such positions are identical in nature with those attached to full-time instructional

appointments and salaries are calculated *pro rata*. Candidates for such positions are judged against a competitive field; they must meet the same criteria and be evaluated in accordance with the same procedures as those applicable to full-time appointments in the professorial ranks. The nature and extent of the teaching duties involved are determined by agreement between the President and the individuals and the departments concerned. Consideration for promotion in rank and promotion to tenure is the same as for full-time faculty in the professorial ranks. The period of time to be spent in a given rank or before a tenure decision must be made varies according to circumstances but is specified in each individual case at the time of appointment or reappointment. Holders of such appointments are entitled to request a change of their teaching fraction, but approval of that change is not automatic and may be affected by departmental or program needs. Decisions concerning such changes are to be made by the CAP, after recommendation from the department. The committee and advising work of faculty in such positions is expected to be roughly proportionate to the extent of their teaching duties. Eligibility for benefits is determined in accordance with the regulations governing Part-time Faculty Benefits in Section III-P

Group II (b): Senior Lecturers

The promotion of Lecturers to the rank of Senior Lecturer is infrequent. Departments may recommend for such promotions only those who are exceptionally distinguished teachers, or those who are effective teachers and who also bring to the College significant accomplishment in their fields. In addition, eligibility for this position normally requires having completed two three-year contracts as a Lecturer, with a yearly courseload averaging two courses or the equivalent. Senior Lecturers are appointed for a period of five years, with the possibility of renewal but no possibility for tenure. Senior Lecturer appointments carry a teaching load that ranges between .5 and .9 FTE annually. Appointment to such a position does not entail any presumption of eligibility for a regular professorial appointment should such an opening occur. Whenever possible, the College will notify Senior Lecturers of the renewal decision by December of the fourth year of their term.

Senior Lecturers are evaluated primarily on the basis of their records as exceptionally distinguished teachers or as effective teachers whose professional distinction is outstanding. Those whose exceptional strength is in teaching are not required to meet the same criteria for scholarship as faculty who are eligible for appointment to tenure, but they are expected to offer evidence of keeping up with or contributing to their fields. Noteworthy professional achievements will be recorded in the annual staffing report. The CAP expects routine comments on Senior Lecturers in the annual department staffing reports only during the first four years in rank, and then only if they haven't already served for six years as a Lecturer. Otherwise, the CAP expects routine comments on Senior Lecturers in the annual department staffing reports only in the fourth contract year, when a renewal decision is required. Senior Lecturers are voting members of the faculty and are expected to undertake a proportionate share in the normal committee work of department, program (where relevant), and College.

Senior Lecturers are eligible to apply for special leaves for a specific project upon promotion to this rank. The decision to award a special leave is made by the CAP and requires a recommendation from the department. One semester of a special leave can be taken with a semester's full salary pro-rated according to the person's average annual FTE during the preceding six years. During the academic year in which the special leave is taken, a senior lecturer's teaching responsibility during the semester in residence remains at half the normal year-long load. Or, such leaves may be extended, without pay, beyond one semester. At least six years must elapse between these special leaves. Eligibility for benefits is determined in accordance with the regulations governing Part-time Faculty Benefits in Section III-P.

Group II (c): Lecturers in the Academic Departments and Programs

The title of Lecturer is held mainly by those who teach courses of their own, but whose appointment has taken place through means other than a national search; or handle the laboratories or discussion sections of large courses, or the drill sessions of language courses, and have completed six years of satisfactory service as an Instructor. Candidates for the position of Lecturer are not required to meet the same criteria as those for regular appointments, and

appointment to such a position does not entail any presumption of eligibility for a regular professorial appointment should such an opening occur. The position carries the possibility of renewal but no eligibility for tenure.

Initial Lecturer contracts are normally for one-year. Lecturers who have completed four years of satisfactory service are eligible to be considered for a three-year appointment upon recommendation by the department to the CAP. These three-year appointments carry a minimum teaching load of one course, or the equivalent, annually. Wherever possible the College will notify Lecturers of the renewal decision by December of the second year of the contract.

The evaluation of Lecturers is based primarily on their talent for sound and effective teaching. Those on three-year appointments are expected to offer evidence of keeping up with or contributing to their fields, but they are not expected to meet the same criteria for scholarship that apply to regular faculty. Noteworthy professional achievements will be recorded in the annual staffing report. The CAP expects routine comments on Lecturers in the annual department staffing reports during the first four years in rank, and thereafter only in the second year of each three-year contract, when a renewal decision is required. Lecturers who currently hold a three-year term, and who, previous to their current term, had at least one three-year term averaging two courses or more per year, are voting members of the faculty. All Lecturers are entitled but not required to undertake a proportionate share in the normal committee work of department, program (where relevant), and College. Eligibility for benefits is determined in accordance with the regulations governing Part-time Faculty Benefits in Section III-P.

Group II (d): Instructors

The title of Instructor is held by those who handle the laboratories or discussion sections of large courses, or the drill sessions of language courses, and have not yet completed six years of satisfactory service in that capacity. These are appointments of up to one year with the possibility of renewal but no eligibility for tenure. Instructors whose contracts are renewed after six years of service are reappointed at the rank of Lecturer. Candidates for these positions are not required to meet the same criteria as those for regular appointments, and appointment to such a position does not entail any presumption of eligibility for a regular professorial appointment should such an opening occur. No committee work is involved. Instructors with part-time appointments are not voting members of the faculty. Eligibility for benefits is determined in accordance with the regulations governing Part-time Faculty Benefits in Section III-P.

Section II-K: Faculty Service to the College Community

In addition to teaching courses as outlined in previous sections, members of the faculty are expected to perform other duties that contribute to the governance and academic mission of the College community. Such contributions to the College and the faculty member's department or program are evaluated and play a role in decisions on reappointment, tenure, promotion, and salary determination. (See Section II-C: Faculty Appointments and Section II-L: Non-tenured Faculty Evaluation)

Community service can take many forms. At the department/program level it includes such things as advising majors and other students; serving on committees; screening, interviewing, and evaluating candidates for faculty appointments; and writing grants that address department/program needs. At the College-wide level it includes serving on faculty standing or *ad hoc* committees (the membership and responsibilities of which are spelled out in Section I-C: Faculty Committees and Panels); representing the College at alumni functions; and serving as a First-Year Advisor or as an advisor or mentor of other students and student groups. The academic advising of students is especially important in the context of the College's curriculum, which gives students a wide degree of latitude in their selection of courses. In order to contribute effectively to academic advising, faculty members are expected to be conversant with the structure of the overall curriculum and academic requirements of the College.

Although the College depends on faculty to participate in activities such as those described above and expects them to do so, non-tenured faculty members especially should avoid participating to such an extent that it interferes with their teaching and scholarly activities. As indicated in Section II-C: Faculty Appointments, the latter activities are of central importance in reappointment and promotion decisions. A non-tenured faculty member who, over time, takes on a reasonable share of collegial assignments should not hesitate to decline a request for additional service. Non-tenured faculty members in their first year of employment at the College are normally exempted from substantial service responsibilities.

While it is equally important for tenured faculty to continue to develop as teachers and scholars, they are also expected to undertake a reasonable share of responsibility for departmental and program activities and for divisional and College-wide committee assignments. Those responsible for making assignments, (principally the President, the Dean of the Faculty, the Steering Committee, and department chairs) endeavor to distribute assignments equitably over the years. It is understood that faculty members rotate in and out of exceptionally demanding department/program and College responsibilities and may need, on occasion, to take on or be relieved of heavy assignments.

Section II-L: Evaluation of Academic Faculty Teaching, Scholarship, and Service to the College Community

Evaluation of Teaching

The following means for the evaluation of teaching include both required procedures and procedures that provide departments with certain options. The evaluation procedures used within a department must in any case be uniform for all untenured department members within a given year. Decisions about which of the non-mandated procedures to use (if any) are made by each department following its usual modes of decision-making.

The Student Course Survey (SCS)

Use of the Student Course Survey (SCS) is required in all courses taught in the College. The SCS consists of a page of questions to which students give numerical ratings and a page inviting descriptive commentary ("blue sheets") primarily for the benefit of the instructor. The numerical ratings are computed by the Director of Institutional Research, who also produces detailed comparisons of individual results with divisional, departmental, course level, peer group and all College results. Each faculty member receives the analysis of his or her own results. Results for all departmental members are sent to the chair. Tenured members collectively make their own interpretations of the results of untenured members of their department. The data and the numerical comparisons for all faculty members are made available to the CAP. Untenured members may wish to share their "blue sheets" with chairs, but this is not required.

Procedures for Gathering Individual Student Opinion

Departments choose which procedure for gathering individual student opinion best suits their needs, so long as the same procedure is used for all untenured members in a given year. The alternatives are: a) interviews, b) letters, c) departmental questionnaire (administered in class or through the mail), or d) either b or c with follow-up interviews. (If interviews are chosen, see following protocols.) Whatever procedure is selected, it will have a standard format devised in consultation with the untenured members of the department.

Departments should make a good faith effort to gather at least ten individual student responses per year for each untenured member, with proportional adjustment for those teaching less than a full load. They should be gathered as late in the term as possible. In any event they should be completed in time for the results to be included in the next departmental staffing report.

The students selected should fairly reflect the range of the untenured member's experience during the academic year with majors and non-majors, large and small classes, lecture and discussion classes, and introductory versus advanced level classes. The grade of each respondent will be noted.

A good faith effort should be made to select roughly half the students from a list provided by the untenured faculty member; the rest will be chosen by the department.

The department should have a written record of each student's responses. All materials will be confidential.

Departments' evaluations of these responses will be communicated annually to untenured members by department chairs in accordance with existing procedures governing communication between departments and untenured faculty (see Section II-F: Departmental Governance: Communication).

Optional senior exit interviews or questionnaires and letters solicited from alumni or alumnae will be in addition to the minimum of ten timely student responses collected over the course of the year in which the classes being evaluated were taught.

Protocols for Conducting Interviews

- Students coming to an interview will have received either a letter of invitation explaining the purpose of the interview and the general areas to be reviewed or a copy of the questionnaire which the department uses.
- Only one student will be interviewed at a time. There will be no group interviews.
- Interviews will be conducted by one or more tenured members, two tenured members being the preferred number. The interviewer(s) will be any tenured member(s) of the department. If a department has only one or two senior members, the chair may request the Dean of the Faculty to assemble an advisory committee of tenured members from other departments to assist in these interviews.
- If possible, interviews pertaining to a given untenured member in a particular year will not all be conducted by the same person; as many tenured members of a department as possible are expected to take part over the course of the untenured members' years at the College.
- Students who have taken courses from more than one untenured instructor in a department can be asked to comment on each one of them. Comparative comments may be elicited. Students may be asked about all the courses they have taken from a given instructor, including those within the preceding year. Although all interviewers should raise the same questions, the departments' procedures should allow interviewers flexibility in pursuing issues raised by students' responses to specific questions.

Peer Reviews and Class Visits

Although no common form of direct faculty assessment has been mandated, each department is required in its annual staffing report to give an interpretation of all available data on the teaching effectiveness of its untenured members. Many departments maintain programs of class visits, and, in some, tenured and untenured faculty regularly exchange visits to each other's classes. Other departments have opportunities for team-teaching or departmental colloquia in addition to regular opportunities for interaction at departmental meetings. By such means the departments have a context for interpreting student opinions.

Guidelines for Class Visits (for departments that have chosen this option):

- Visits for the purpose of evaluation may begin in either the first or second year of an assistant professor's time at Williams, continuing each semester until, but not including, the semester of the tenure decision.
- Each semester the chair should designate a tenured faculty member to visit each untenured faculty member's classes after consulting with the untenured member as to which tenured faculty member would be the most appropriate visitor in a given semester and which course would be the most appropriate to visit. The final decision on the visitor and the course to be visited should be the chair's.
- To the extent possible, different tenured members should visit each untenured member's classes in different semesters. That is, over time as many tenured faculty as possible should visit each untenured person's classes.
- Typically, tenured faculty visit two or three classes taught by the untenured faculty member. The untenured faculty member should suggest two or three classes, normally consecutive, which would be appropriate for the tenured faculty member to visit. Before the visits, the two should discuss the relation of the classes to the aims and structure of the course as a whole. Students should be told that the visits are a routine vehicle for evaluation and constructive feedback.
- The visitor should discuss his or her observations with the untenured faculty member after the set of visits. A written statement of the strengths and weaknesses of the classes observed and suggestions for improvement should be given to the untenured faculty member and to the chair.
- Departments' evaluations of classes visited during the year, based on visitors' written statements

and departments' discussion of them, will be communicated to untenured faculty members by department chairs in accordance with existing procedures governing communication between departments and untenured faculty (see Communication under Section II-F: Academic Department Governance).

The Evaluation of Scholarship

In the spring or early summer prior to a tenure decision, department chairs should solicit outside reviews of the candidate's scholarship (artistic work, performance ability, etc.) The purpose of the reviews is to provide high-quality, unbiased assessments of a candidate's scholarship, in order to give the tenured members of the department or program, as well as the CAP, a sense of how the scholarship measures up to the standards of the relevant discipline or disciplines. These reviews, along with any reviews that have appeared in professional or other publications, should be submitted to the CAP along with the department's recommendation and any interpretation it wishes to place on the reviews. Outside opinion is a supplement to, and in no sense a substitute for, the department's own careful appraisal of the work.

The department shall solicit four external reviews of the candidate's scholarship. One reviewer shall be chosen from a list of three to six potential reviewers submitted by the candidate to the Chair of the department; in submitting this list, the candidate shall specify what, if any, relationship he or she has had to each person on the list. The candidate should also inform the Chair if there are individuals who for personal or professional reasons might be unlikely to provide impartial, reliable review of the candidate's work. In order to assure that the credibility of the reviews is not undercut by a presumption of bias, dissertation and post-doctoral advisors should normally be excluded from the list. Prior to soliciting the reviewers, the Chair should submit to the Dean of the Faculty potential reviewers' names and institutions as well as their relationship to the faculty member, if any. In addition, the Chair should also send the untenured faculty member's recommendations, and, if relevant, the list of people the candidate does not want to serve as reviewers. The names of the reviewers should be kept confidential. The Dean of the Faculty may authorize more than one reviewer from the candidate's list if there are compelling reasons for doing so. The candidate is free to solicit supplemental letters from such colleagues independently, but the staffing report should distinguish clearly between the reviews solicited by the department and the letters solicited by the candidate. All outside reviewers will be asked to specify what, if any, relationship they have had to the candidate.

In his or her contacts with the reviewers the chair should remain neutral with regard to the department's own views of the candidate. The letters sent to reviewers should assure them that the College will make every effort consistent with state and federal law to keep their identities and opinions confidential. The letters should not ask for a recommendation regarding promotion. They should encourage the use of professional standards by, for example, asking for a comparison of the candidate's work with that of other scholars at similar stages of their careers, or by asking them to use the same standards they would use in deciding whether to recommend publication by a first-rate journal or university press. Copies of the letters of solicitation should be included in the tenure packet to be sent to the Dean of the Faculty.

The Dean of the Faculty should be notified when the review has been received so that a stipend can be sent to the reviewer. The standard stipend is \$150.00. If the chair feels that the amount of work is sufficiently great to merit a larger stipend, the matter should be discussed with the Dean of the Faculty.

The candidate shall submit by July 1 all materials to be assessed by outside reviewers. (For the convenience of the outside reviewers, a department may ask a candidate to submit a reasonable time in advance of this date any material that he or she has ready, and to supplement this with any additional material by July 1.) Additional material submitted after July 1, but by August 15, will be assessed by the department, but not in most cases by the outside reviewers. There is no guarantee that material submitted after August 15 will be assessed, but candidates may present their departments and the CAP at any time with evidence of any changes in the status of their work.

The Evaluation of Community Service

(see also Section II-K: Community Service)

The contributions of faculty members in carrying out departmental, program, and College activities are summarized and discussed in the yearly staffing report. The departmental activities to be considered include such things as the faculty member's contributions to advising majors and other students, recruitment activities, curricular development, co-curricular activities, scholarly projects involving colleagues, including the writing of grant proposals. The campus-wide activities to be considered include such things as First-Year Advising and participation on College committees, forums, and inter-departmental program advisory committees. The leadership potential or abilities of faculty members are also noted.

Faculty members are encouraged, when submitting this kind of information to department chairs, to provide more than a list of activities. The faculty member could elaborate, for instance, on what was accomplished on a departmental or College committee on which he or she served, or might mention miscellaneous activities of which the chair may be unaware (informal advising activities, meeting with prospective students, talks to alumni, and so forth). A faculty member is also welcome to ask his or her department chair to solicit a letter from the chair of a committee on which he or she has served. Such letters are appended to the annual staffing report.

Section II-M: Evaluation of Associate Professors and Promotion to Full Professor

The decision concerning promotion to full professor is made by the Committee on Appointments and Promotions with the guidance of a report from the full professors of the evaluating unit.¹ Associate professors are normally considered for promotion in the sixth year in rank as associate professor, though promotion to full may take place either earlier or later than the *end of the* sixth year. Early promotion is rare. If an evaluating unit wishes to recommend promotion before the sixth year, the Promotion to Full report should be filed early, in the year in which promotion is recommended to take place. In all other cases the report is written in the sixth year. Full professors on leave must either participate fully in the evaluation process of all associate professors or submit a letter evaluating the work of each candidate.

The evaluating unit will also file an interim report concerning the progress of the associate professor since tenure in the fall of the fourth year in rank.

The fundamental question to be answered in evaluating associate professors for promotion to full professor is: have they so far fulfilled the prediction of success in teaching, scholarship, and service that was made in granting them tenure? It will be important to consider whether the associate professor has maintained a record of pedagogical excellence and has continued to develop as a teacher; has remained active and productive as a scholar or artist, energetically and deeply committed to scholarly or artistic work; and has continued to contribute to the college community and to the profession. Most generally speaking, has the candidate been able to assume the responsibility that comes with tenure in an effective and professional manner?

The Interim Progress Report

In the fall of the fourth year in rank, the full professors of the evaluating unit write a progress report for consideration by the CAP. Full professors on leave must either participate fully in the evaluation process of all associate professors or submit a letter evaluating the work of each candidate. This review is analogous to the staffing report for an untenured faculty member in a no-decision year, and forms the basis for a letter, sent to the associate professor by the CAP, commenting on the progress to date. The associate professor submits a current CV, and a brief self-assessment, and the evaluating unit includes these materials as well as SCS results in their evaluation of the associate professor's progress. The interim progress report contains a description of the associate professor's teaching, scholarship and service since tenure and a brief assessment of this work by the full professors. The evaluating unit also, in consultation with the associate professor, solicits input concerning contributions to other academic units, and includes this information in their deliberations and in their report. Should an evaluating unit be considering a recommendation of promotion to full before the sixth year, it would be appropriate for the interim report to discuss this possibility.

The Promotion-to-Full-Professor Report

The Promotion to Full report is a systematic and serious assessment of each associate professor in his or her sixth year in rank, to be carried out by the full professors of the evaluating unit. Full professors on leave must either participate fully in the evaluation process of all associate professors or submit a letter evaluating the work of each candidate. The evaluating unit submits to the CAP a written evaluation of each associate professor's teaching, scholarship, and service as well as a clear account of how the evaluation was conducted. The material to be reviewed by the full professors includes but is not limited to a written self-evaluation by the associate professor, a current CV,

¹ The "evaluating unit" refers to the academic unit, or units, that evaluated the associate professor at the time of tenure. If this unit was an evaluation committee, the Dean of the Faculty, in consultation with the CAP, will name an evaluation committee made up of full professors, which will conduct the evaluation of the associate professor. If a Chair of a relevant department or program is not a full professor, the Dean of the Faculty will designate a full professor to convene the full professors in that unit and coordinate the writing of the report.

SCS results, and, if relevant, reports on contributions to other departments or programs. The associate professor may submit additional materials, and the evaluating unit may request additional materials deemed helpful in providing a full assessment. The use of external evaluators of scholarship is rare. If external evaluators are used, they are selected in consultation with the associate professor and the full professors of the evaluating unit, and are approved by the Dean of the Faculty and the CAP.

The report includes a recommendation regarding the timing for the associate professor's promotion to full professor and sets forth explicitly the considerations and criteria on which the recommendation is based. When requested by the CAP or the evaluating unit, the full professors and the CAP will meet to discuss the case.

Years at Williams	Calendar
6th year	6th year in rank as Assistant Professor, with tenure decision in fall and promotion to Associate Professor on 7/1
7th year	1st year in rank as Associate Professor
8th year - normally on leave	2nd year in rank as Associate Professor
9th year	3rd year in rank as Associate Professor
10th year	4th year in rank as Associate Professor: interim progress report in fall
11th year	5th year in rank as Associate Professor
12th year - normally on leave	6th year in rank as Associate Professor: promotion-to-full-professor decision in January; promotion to Full Professor typically would occur on 7/1 ²

The decision by the CAP is communicated to the associate professor in writing. The CAP explains the reasons for its decision, and, when relevant, details the expectations to be fulfilled before promotion.

² If promotion does not take place in the sixth year, the evaluating unit writes an update in each successive year until promotion takes place. This update provides commentary on the progress made in the intervening year.

Section II-N: Faculty Leaves of Absence for Professional Work

Leaves of absence for professional work are of four kinds:

- sabbatical leaves for tenured faculty
- assistant professor leaves
- special leaves with salary
- leaves without salary

All decisions with respect to the granting and duration of such leaves are made by the CAP after recommendation from the department. It is expected that faculty members of whatever rank will be in residence and teaching no fewer than three consecutive years (six semesters) between non-disability leaves of any kind. No leave may exceed four consecutive semesters except in extraordinary circumstances. For information regarding paid sick leaves, maternity and parental leaves, or for information regarding unpaid leaves for illness or child care, see Section II-S: Leaves of Absence for Personal Reasons.

Sabbatical Leaves for Tenured Faculty

The College offers two basic options in its sabbatical leave program for tenured faculty. Tenured faculty may apply either for a full sabbatical or for a mini-sabbatical. Tenured faculty are eligible for a full sabbatical after completing six consecutive years of teaching, which normally includes three Winter Study offerings. Under this option the faculty member may choose either a year of leave at 3/4 salary or a semester leave at full salary. The mini-sabbatical option permits half of such a leave to be taken after three years. More specifically, under this option, tenured faculty may apply after six consecutive semesters of teaching, which normally include one or two Winter Study offerings, for a semester leave at 3/4 salary.

Although eligibility for sabbatical leave commences only upon entry into the tenured ranks, up to six consecutive semesters of teaching immediately prior to that date may be credited toward either a mini-sabbatical or a full sabbatical leave. This means that associate professors may be eligible for a mini-sabbatical immediately upon entering the tenured ranks or very soon thereafter, and that they will in some cases be eligible for a full sabbatical after six consecutive semesters of teaching in the tenured ranks.

The six-semester or six-year rule does not apply if a faculty member defers or advances a leave at the request of the College, and doing so has no effect on the faculty member's eligibility for his or her next leave, which shall be calculated according to the original schedule. If a faculty member defers a leave for personal convenience, the additional semesters of active service can be banked to advance a subsequent full sabbatical (i.e., before six years have elapsed). They might alternatively be used to advance a subsequent mini-sabbatical (i.e., before six semesters have elapsed), but only at the convenience of the department or program and with the prior approval of the Dean of the Faculty and the CAP.

Tenured faculty may request to extend a mini-sabbatical for up to three additional semesters, or a one-year leave for up to two additional semesters. The request should be made to the department chair, who shall forward it to the CAP, along with the department's recommendation. The CAP should receive both the request and the recommendation at least nine months in advance of the beginning of the semester to be affected by the extension. The additional semesters are without salary. The timing of sabbatical leaves and unpaid leaves of absence, or the granting of their extension, will depend to some extent upon the needs and convenience of departments and programs.

Tenured faculty are eligible to apply to the CAP for a supplemental sabbatical salary grant. These grants support projects for professional development while on leave, including research, writing, or activities designed to strengthen subsequent teaching or scholarship. Grants will provide either 1/4 salary or the amount necessary to bring 3/4 salary plus any outside grant or other outside remuneration to the level of the academic year salary, whichever is

less. Indeed, the College expects tenured faculty to seek external grant funding prior to applying for a supplemental sabbatical salary grant. Applications for these grants are due in December of the academic year prior to the leave year.

The College's sabbatical leave program is intended to provide opportunities for continued professional growth for the benefit of both the faculty member and the institution. Faculty members are therefore normally expected to return to the College for at least one year after a mini-sabbatical and for at least two years after a full sabbatical.

Assistant Professor Leaves

Williams has a program of leaves for assistant professors in the academic departments and programs that provides two semesters of paid professional leave before the tenure decision. A third semester of leave, unpaid, is also possible. By policy, the salary for a 12-month leave is set at 75%, although there is a supplemental salary grant program that provides 100% salary for the year when outside funding is not available. (Please note that the supplemental salary grant program requires its own application, distinct from the Assistant Professor Leave proposal described below.)

Eligibility for an Assistant Professor Leave is restricted to assistant professors who have been reappointed to a four-year second term or whose initial appointments were for a term of more than three years. Leaves are most often granted in the first year of the second-term assistant professor appointment (usually an individual's fourth year at the college). Such leaves may also be granted in the fifth year, should the individual so choose and the department recommend. Assistant professor leaves do not stop the tenure clock and may not be used to fulfill the requirements for an advanced degree.

Proposals for an Assistant Professor Leave in the following academic year should be submitted to the home department or program chair by the first Wednesday after Labor Day. The chair will forward those proposals to the CAP along with the department's or program's recommendation.

The college expects those seeking an assistant professor leave to apply for grant funds available from sources outside Williams. Therefore, Assistant Professor Leave proposals should be prepared in a form suitable for submission to outside funding agencies and should include a project description four to five pages long, as well as a list of those agencies being approached for support. When outside funding is available, the specific nature of the college's support should be discussed with the associate provost in advance of the leave. Please note that the combination of college salary support and outside support may not exceed 100% pay for any given leave period.

As noted above, assistant professors may apply to extend a two-semester paid leave for one additional unpaid semester, subject to the approval of the CAP. If such an extension is granted, the tenure decision is still made at the normal time; i.e., the tenure clock is not stopped.

Special Leaves with Salary

Some faculty members not in the professorial ranks are eligible to apply for special paid leaves. They include: faculty in Physical Education who hold five-year appointments (see Section II-P: Terms of Service for Faculty in the Dept. of Physical Education); Senior Lecturers (see Senior Lecturers); certain Lecturers who are full-time employees (see Administrative & Professional Staff). Applications for all such leaves must be accompanied by a description of a project designed to contribute to the applicant's professional development. The application should be made to the department chair, who shall forward it to the CAP along with the department's recommendation. In reaching its decision the CAP will consider the quality of the project and the needs and the convenience of the department or program in which the person teaches.

Leaves of Absence Without Salary

Faculty in the professorial ranks who are not on sabbatical leave, as well as Senior Lecturers and Lecturers may, after six consecutive semesters of teaching, apply for a leave of absence without salary. The request should be made to the department chair, who shall forward it to the CAP along with the department's recommendation. The granting or denial of the request will depend to some extent on the needs and convenience of the department or program in which the person teaches. Leave of absence without salary are most often granted in combination with a full sabbatical, mini-sabbatical, or Assistant Professor Leave, to extend a paid leave by one or two semesters.

Changes of Leave

Orderly planning of department and program staffing requires certainty about leaves for individual faculty. Once an individual has requested and been granted a leave, whether paid or unpaid, for a specific period, the individual may not unilaterally decide to forego the leave and return to regular teaching. The rescinding of an already granted leave, since it would have an impact on the size of the faculty, requires the approval of the CAP. Faculty contemplating a leave, especially one which may be dependent upon outside funding, should be aware of this rule when making their plans and applying for leave. Specific situations should be discussed with the Dean of the Faculty.

Leaves and Teaching Responsibilities

The College's normal teaching load is the equivalent of four courses a year, in addition to a Winter Study course every other year. If faculty members take one semester leaves, their teaching responsibility during their semesters in residence is half the normal year-long load. That is, if in one year a person who has a one-semester leave teaches two courses and no Winter Study, in the next such year he or she should teach Winter Study in addition to the regular semester duties. In the case of full-year sabbatical leaves, the usual pattern of four courses a year, normally with a Winter Study course every other year, will resume upon the faculty member's return.

Benefits During Leaves

In many instances faculty on leave continue to receive College employee benefits. Eligibility for benefits while on leave is described below.

Faculty members on paid assistant professor leaves and paid full sabbaticals or mini-sabbaticals will get full benefit coverage, excepting TIAA-CREF and social security contributions which are adjusted to their leave or sabbatical salary. Benefits during unpaid leaves vary. The College will pay full disability insurance costs and its share of medical, dental, and life insurance premiums for faculty members on unpaid leaves who have no outside income. The faculty members must continue to pay their own shares of these premiums. The College will also pay disability insurance and its share of medical, dental, and life insurance premiums for faculty members who have outside income from a grant, employer or other source that will not pay benefits, unless the outside source provides salary that could provide funds beyond the faculty member's normal salary to pay the cost of these benefits. The College will not, however, provide benefits for faculty members on unpaid leave who have outside income from a grant or employer that pays benefits. The grant or employer will be expected to assume the burden of the faculty member's employee benefits in this case.

The College will not make social security or TIAA-CREF contributions during unpaid leaves of any kind, since these benefits are tied to salary payments. In all cases, faculty members planning to take unpaid leaves should discuss their individual cases with the Provost to be sure employee benefits are being properly provided. The Payroll Office does not pay employee benefits except when the Provost has directed it to do so.

Section II-O: Faculty Research Support

Unless otherwise noted, the internal forms of research support described below apply to non-visiting academic faculty with appointments in the professorial ranks, and senior lecturers. Monetary research support is not available to faculty with visiting appointments unless special arrangements have been made with the Dean of the Faculty (see Section III-Q: Visiting Faculty Benefits).

External Sources of Funding

Faculty members are encouraged to seek outside funding in support of their research. Information concerning potential sources of funding is available at the offices of the Provost and the Dean of the Faculty.

The Provost's Office coordinates all financial aspects of grant proposals and can also provide the College-specific information and certifications required by many foundations and agencies. The Associate Provost, as Director of Grant Administration, should be consulted early in the process of formulating the financial and budget sections of proposals for outside funding.

The Director of Corporate and Foundation Relations (Office of College Relations) can provide information on funds available through private granting agencies as well as data on the majors and careers of graduates that some funding agencies request as part of the proposal project.

Research and Professional Travel Funding

Regular tenure and tenure track faculty plus senior lecturers in Divisions I and II are eligible to receive up to \$3,000 in research/travel funding annually. Research/travel funds may rollover if unspent, up to a maximum of \$6,500. Non-visiting Lecturers will receive travel funding in the amount of \$1,500 annually.

Regular tenure and tenure track faculty plus senior lecturers in Division III are eligible to receive up to \$2,100 annually under similar conditions to those listed above. Research/travel funds may rollover if unspent, up to a maximum of \$3,500. Non-visiting lecturers will receive travel funding in the amount of \$1,500 annually. Division III faculty may also apply for additional research funding through the Science Executive Committee (AKA the Division III Research Funding Committee).

Full professors who have been appointed to named chairs are provided with \$3,000 (and in some cases more, depending on terms attached to the particular chair) in addition to their \$1,500 divisional research funds to cover the cost of attending professional meetings, books, equipment, and research supplies. Unused named chair funds may rollover from one year to the next.

Regular faculty in the department of physical education are provided each year with an allotment of up to \$1,500 to cover the cost of attending professional meetings or for use on other professional development opportunities.

In general, research funds can be used flexibly to offset expenses directly related to research pursuits. Research funds cannot be used to pay for personal items and/or non-business related services at home or away. For travel, allowable expenses include transportation costs from Williamstown to the site of the meeting, automobile mileage (at the current allowable rate per mile), tourist airfare, and round trip mileage from Williamstown to the airport. Local transportation costs within the city in which the conference is held, parking costs, and food and lodging are also allowable. Receipts must be provided before reimbursement can occur. There are no per diems. Detailed guidelines for travel and business expenses are published by the Office of the Controller.

Oakley Center for the Humanities and Social Sciences

The Oakley Center for the Humanities and Social Sciences provides support for faculty research, development, and

renewal and is especially committed to facilitating intellectual exchange and collaboration among faculty members whose research and teaching cross or elude disciplinary boundaries. Located in Makepeace House, the Center provides a meeting place and sponsors various forums where faculty from all three divisions and interested staff can discuss, among themselves and with invited guests, their research interests or issues of common intellectual concern in the humanities and social sciences. In addition to sponsoring conferences, colloquia, various ad hoc activities initiated by faculty and staff, and several events for the entire Williams and Williamstown community, the Center sponsors faculty seminars, oversees symposia conducted by invited guests, and maintains a program for Fellows.

Semester- and year-long faculty seminars are initiated by interested members of the faculty and receive organizational and some financial support from the Center. Application to conduct a seminar is normally made in the spring of the previous years. Symposia, providing opportunities for faculty and staff to discuss the work of invited guests, are held throughout the year and are arranged by the Center's Director normally at the request of individual members of the faculty or staff.

Resident Fellows (about eight each semester) enjoy an office at the Center, receive some financial support for their research, and meet regularly but informally to share their work in progress. Three Resident Fellows whose research projects touch on political leadership, public service, and the arts are designated Lehman Fellows each year and receive additional financial support. Resident Fellowships are awarded competitively to Williams faculty members on leave, and research proposals are submitted each spring semester for the following year. Emeriti faculty, distinguished visiting faculty, and faculty on leave from neighboring colleges occasionally participate in the Resident Fellows Program. In conjunction with the Clark Art Institute, the Center annually awards one competitive external fellowship to a scholar in the humanities, drawn from an international pool of applicants, whose work takes an interdisciplinary approach to some aspect of the visual. The Clark-Oakley fellow is in residence for either a semester or a year, and takes part in the activities of both the Center and the Clark's research and academic programs. Each semester a Ruchman Fellow and an outstanding Williams senior working on a thesis or comparable project in the humanities or social sciences, joins the Resident Fellows in their regular meetings and participates in other Center activities. The two Ruchman Fellows are selected from the candidates put forward by each department the previous spring.

The Center is run by the Director (a faculty member appointed by the President, normally for a term of three years) and the Assistant to the Director. An advisory committee, composed of the Dean of the Faculty and four faculty members from Divisions I and II, assists the Director in approving faculty seminars, selecting Resident and Ruchman Fellows, and reviewing the Center's programs.

Section II-P: Terms of Service for Faculty in the Department of Physical Education

Department Governance

The Director of Athletics (AD) holds the rank of assistant professor and serves as the chair of the Department of Physical Education, reporting to the Dean of the Faculty. The AD bears final responsibility for most matters pertaining to departmental governance and planning, including, for example, the overall coordination of intercollegiate athletic programs, intramural and club sports, physical education classes, fitness and recreation programs, and sports medicine; the oversight of all College-owned athletic facilities; the hiring of new faculty and other PE personnel; the evaluation of faculty and staff performance and progress; the preparation and submission of the annual staffing report and the annual budget requests; and compliance with NCAA, NESCAC, and other athletic conference standards, as relevant. The AD is assisted in these tasks by the associate and assistant athletic director(s) and the Senior Woman Administrator (SWA). Individual faculty members serve to coordinate the intramural, club sports, and PE programs.

Appointments, Reappointments and Promotions

The policies and procedures pertaining to appointments, reappointments and promotions in the Department of Physical Education adhere to the same principles of non-discrimination outlined in Section II-C: Faculty Appointments regarding academic faculty. Likewise, the initial recommendations regarding appointments, reappointments and promotions are made by the department and then considered in turn by the CAP and the President, whose further recommendations are ultimately acted upon by the Board of Trustees. In several other respects, however, the terms of service for faculty in the Department of Physical Education are necessarily different from those that apply to academic faculty.

Faculty members in the Department of Physical Education are appointed to the ranks of lecturer or assistant professor with one-, three-, or five-year contracts. Those with five-year contracts are the senior members of the department; all others are junior.

Lecturers are appointed for one-year terms or three-year terms with the possibility of renewal. There is no eligibility for promotion to assistant professor unless by means of a national search. This title is held mainly by those who hold head coaching positions, or by those with significant assistant coaching responsibility or other athletic programming roles, including the teaching of PE classes. For those holding three-year contracts, renewal decisions normally are made in the fall of the third contract year. The CAP expects routine comments on Lecturers in the annual department staffing reports during the first four years in rank, and thereafter only in the third year of each three-year contract, when a renewal decision is required. Lecturers in the Department of Physical Education must serve for at least three years at an average FTE of 0.5 or more before becoming voting members of the faculty.

Faculty in the Department of Physical Education are appointed to the rank of assistant professor either as an initial appointment or as a promotion from the rank of lecturer following a national search. Normally in the fall of a faculty member's third year as an assistant professor, a decision will be made whether to reappoint him or her to a second three-year term. If the decision is positive, the assistant professor will, in the fall of his or her sixth year in rank, become eligible for reappointment to a five-year term. A Master's degree is required for promotion to a 5-year term, except in exceptional circumstances. Once promoted, assistant professors on five-year terms hold the most senior rank in the Department of Physical Education, and though these are term appointments and not tenured positions, further reappointments for terms of five years may take place thereafter. All assistant professors in PE are voting members of the faculty.

The criteria by which the CAP judges a PE faculty candidate for reappointment or promotion are the following:

1. above all, a strong interest in and talent for excellent teaching of undergraduates both in individual physical skill and, where appropriate, collective team development, and the promise of continuing

- growth in teaching/coaching ability;
- 2. demonstrated ability to provide participating students, whether in PE classes or on intercollegiate teams, with a positive and engaging learning experience;
- 3. demonstrated ability to attract excellent student-athletes who will flourish within the context of this academically rigorous institution - thus, a demonstrated commitment to the goals and values of the College;
- 4. continued professional development appropriate to their duties;
- 5. a demonstrated understanding of the importance of sportsmanship and his or her role as a leader on the team and within the athletic community; and
- 6. significant contribution to the College community - student advising, committee service, and so forth.

Also, candidates for promotion to a five-year term will be expected to have completed a Master's degree, except in exceptional circumstances.

The Evaluation of PE Faculty

Faculty evaluation is conducted each year in the fall semester as part of the annual staffing report process. The department submits to the CAP a report on the performance and progress of each junior faculty member (excepting those in their first year) regardless of whether or not a reappointment or promotion decision is pending. In addition, reports on the performance and progress of senior faculty members are submitted in the fourth contract year and as needed in other years if there are special areas of concern.

All senior members of the department who are not on leave are expected to participate in the evaluation of the junior faculty and to contribute to the production of the annual staffing report, including for junior faculty eligible for initial promotion to a five-year contract. The senior faculty are expected to initial the final report prepared by the department chair as testimony that it reflects their opinions fully and fairly.

For senior faculty reappointments, the staffing report is prepared and signed only by the chair, the associate athletic directors and the SWA. When these individuals are due for their own reappointment reviews, the staffing report is prepared only by the chair. When the chair comes due for reappointment, the dean of the faculty prepares the staffing report.

Areas of responsibility subject to evaluation include head coaching assignments, assistant coaching or junior varsity coaching, teaching of PE classes, professional development and administrative duties.

Head Coaching

Varsity team players fill out Student Athlete Evaluation (SAE) forms for their coaches at the end of every season. In addition, each junior faculty member's coaching (practice and games) is observed by a senior faculty member in each year of the first three-year contract and in each of the first two years of the second three-year contract. In each of those years, the senior faculty member discusses his or her observations with the junior faculty member and conveys the substance of those observations in writing to the chair. Interviews with players who have been coached by junior faculty members are conducted as well, by senior faculty members in each year of the first three-year contract and in each of the first two years of the second three-year contract, typically at the end of the relevant season and no later than the end of the academic year. The number of students selected should not be less than six and an effort should be made to interview a meaningful cross-section of students coached by the junior faculty member. The interviews should be conducted, when possible, by two senior members of the department. A written account of those interviews will be submitted to the chair by the end of the academic year. Other guidelines for conducting student interviews are described in Section II-L: Non-tenured Faculty Evaluation.

The procedures for the evaluation of senior PE faculty as head coaches are similar. Interviews with at least three players who have been coached by senior faculty members are conducted by the department chair or an associate AD in the third year of the contract, and in other years as well if there is a perceived need to do so. Written accounts of those interviews are kept by the chair.

Assistant Varsity/Junior Varsity Coaching

PE faculty members are asked to reflect on their experiences as assistant head coaches and as junior varsity coaches in the self-evaluations that they submit to the department in the year prior to each reappointment review. The emphasis of these reflections should be on experience and performance over time, rather than just in the year that the self-evaluation is written. In addition, within the context of the annual evaluation process, senior faculty members who serve as head coaches will provide insight into the performance of their junior colleagues who serve under them as assistant head coaches or as junior varsity coaches. Junior faculty members who serve as head coaches are not asked to evaluate the performance of other faculty members, junior or senior, who serve with them as an assistant head coaches or junior varsity coaches.

Physical Education Teaching

Students fill out SCS forms at the end of any PE quarters taught by all faculty members. Also, the department's PE coordinator or another senior faculty member observes each junior faculty member's physical education instruction at least once per semester in each year of the first three-year contract and in each of the first two years of the second three-year contract. For senior faculty members, the PE coordinator observes physical education instruction at least once during the third year of each five-year contract. The PE coordinator conveys the substance of his or her observations in writing to the chair of the department.

Professional Development

In the spring semester of the year prior to a reappointment review, both junior and senior faculty members complete a self-evaluation and bring their curriculum vitae up-to-date. These documents provide candidates for reappointment and promotion with the opportunity not just to list chronologically their responsibilities and accomplishments, but to reflect on their professional development since being hired or since their last reappointment review. For example, the self-evaluation might chart the course of progress toward a Master's degree, or describe experience gained in a summer coaching workshop or prospect camp, or interpret SCS and SAE results. It might also describe the significance of any new published works or conference papers presented, or service to a professional organization or athletic conference. The self-evaluation and CV are submitted to the department chair by July 1 along with any letters the candidate may have solicited assessing his or her teaching or coaching performance.

The candidate may also request, if desired, that the department seek an opinion regarding his or her professional development or coaching ability from several external reviewers, typically opposing coaches from peer institutions. The faculty member submits a list of four peer coaches that he or she would like to have submit an external evaluation. The chair, associate ADs and the SWA select two of those names, and then add one additional coach of their choosing, provided that person has coached against Williams for the past four years.

The Evaluation of Administrative and Community Service

Just as in the academic departments, PE faculty are expected to contribute to the department and to the College in a variety of ways. In addition to the specific administrative responsibilities they hold within the department (e.g., PE coordinator, director of club sports, coordinator of intramural sports), they serve on committees, they advise students, they organize community service efforts, they meet with alumni, parents, and prospective students, and they help to organize co-curricular activities such as Wellness classes. These activities are summarized and discussed in the yearly staffing report. The leadership potential or abilities of faculty members are also noted. A faculty member is welcome to ask the department chair to solicit a letter from the chair of a College committee on which he or she has served. Such letters are appended to the annual staffing report.

Mandated Communications

The College mandates that junior faculty in the PE department receive specific and helpful feedback annually, not only on team performance at games, meets and competitions, but also on professional progress and development independent of team performance. To this end, a CAP-approved copy of the fall staffing report is sent as an annual letter from the department to each junior faculty member (excepting those in their first year). Ordinarily, the staffing reports are quoted verbatim in these letters, but in the event that comparison to another faculty member is made in the staffing report, or that other faculty are specifically identified, those sections are removed. Within one month of the letter being sent, the chair and faculty member meet to discuss the report and address any questions. The Dean of the Faculty asks to be notified when these meetings have taken place. A signature form is used for this purpose, copies of which are supplied by the Dean of the Faculty Office.

There is no fall staffing report for first-year PE faculty, as they are so new when those reports are generated, but the department chair and other senior faculty members serve as their advisors and work to orient them to the culture of the department and the College, and to let them know what the expectations are for advancement. The chair informs new PE faculty of the annual staffing report process and provides them—as well as all continuing faculty—with a statement of methods used by the department to evaluate coaching, teaching, professional development and other contributions to the College and department. Towards the end of the year, each first-year faculty member meets with the chair. The purpose of these meetings is to review the new faculty member's work, to discuss any questions that he or she may have regarding the College or department, and to supply whatever help or advice the chair can provide. The chair and the faculty member notify the Dean of the Faculty when the meeting has taken place using a signature form.

For senior faculty, no department letter is mandated following a reappointment review, but in the event that there are any significant concerns about the faculty member's progress or performance, the faculty member should receive a written statement addressing those concerns. In most cases, the chair and the faculty member meet in person, in lieu of a letter, to reflect on the faculty member's experience since his or her previous reappointment, including his or her satisfactions, frustrations, and hopes for the future. This meeting is also an opportunity to consider steps that might be taken to minimize those frustrations and maximize those satisfactions.

Reconsideration and Appeal of PE Faculty Reappointment and Promotion Decisions

The decision not to reappoint or promote a faculty member who has been on a one-year or a three-year term can be performance related or not. Structural considerations related to the athletic program and its future needs, to the budget, to overall department and College staffing, or other factors, might also come into play. The College has broad latitude in making these decisions and is to be "accorded the widest latitude consistent with academic freedom, equal opportunity, and the standards of fairness" in discharging its responsibility "to recruit and retain the best qualified faculty within its goals and means."

Failure to reappoint a faculty member who has been on a five-year term will occur only for adequate cause, such as: financial exigency, discontinuation of a program, reorganization of the Department, physical or mental incapacity on the part of the appointee, or serious shortcomings in the discharge of professional duties. A faculty member who is not to be reappointed at the completion of a five-year term will be informed of the decision prior to the end of the fourth year of that term.

A decision not to reappoint is normally communicated orally to the faculty member by the department chair or the Dean of the Faculty. That notification is in every case confirmed in writing by the Dean of the Faculty. A faculty member who believes that improper consideration (as defined in Section II-D: Appointment Appeals paragraph 3) contributed to the decision not to reappoint may invoke the review procedures stipulated in Section II-D: Appointment Appeals. A faculty member who believes that the decision not to reappoint was based on inadequate consideration under the relevant standards of the College (as defined in Section II-D: Appointment Appeals

paragraph 4) and whose current term of appointment is for three years or less, may similarly invoke the review procedures stipulated in Section II-D: Appointment Appeals. If, however, the faculty member's current term of appointment is for a period of five years, he or she is entitled to request reconsideration of the decision by the College in accordance with the following procedure and having first reviewed the reasons for that decision with the department chair and the Dean of the Faculty.

The request for reconsideration of the decision must be submitted in writing to the Dean of the Faculty within a period of two months following written notification of non-reappointment and must indicate the factors warranting such a reconsideration. The response will normally be given within a period of no longer than two months. Should the issue not be resolved through this informal process, a review panel will be constituted. It will consist of three members: one chosen by the department chair, one by the petitioner, and a third chosen by the two other members. All three members must have held full-time appointments from the Trustees for a period of no less than three years. In order to discharge its responsibilities, the review panel must have access to whatever information the College weighed in reaching its decision. Having reviewed that information it will within a period of two months report its findings in writing, with or without recommendations concerning further procedures, both to the President and the petitioner. Should it request the President to initiate formal reconsideration of the decision by the department and the CAP, it will indicate its reasons for so doing. Its recommendation will not be binding on the President, whose decision will be final.

The procedures outlined above exhaust the provisions for appeal within the governing structure of the College. No further appeal may be initiated within the College.

Benefits and Leave Policy for PE Faculty

Faculty members in the Department of Physical Education who hold positions as lecturers or assistant professors will, with the exception of assistant professor leaves, receive fringe benefits comparable to those received by members of the academic faculty at those ranks. Those holding five-year appointments in PE are also eligible for second mortgages in accordance with the policies outlined in Section III-G: Housing. They may also apply for leaves of absence at full pay for one semester or at three-quarters pay for an academic year. In reviewing such applications and in deciding whether or not to grant such leaves the chair of the department and the CAP will weigh the contribution the proposed leave can be expected to make to the applicant's professional development and his or her potential for future service to the College.

Section II-Q: Faculty Appointments and Conflict of Interest from Family and Other Special Personal Relationships

1. Family Relationships

The College has no so-called “anti-nepotism regulations” governing its faculty appointments and permits the employment of more than one member of a family. However, in order to ensure objectivity and impartiality in matters of personnel administration, the College does not permit a direct reporting relation that involves immediate family members (defined as parents, children, husbands and wives, brothers, and sisters; see also Other Special Personal Relationships below). In this matter it adheres to the policy statement, “Faculty Appointment and Family Relationship,” endorsed in 1971 by the American Association of University Professors and the Association of American Colleges. That statement recognizes “the propriety of institutional regulations which would set reasonable restrictions on an individual's capacity to function as judge or advocate in specific situations involving members of his or her immediate family.” It stipulates, therefore, that “family members should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families.” The College has adopted this same policy for other special personal relationships, as specified below.

The College endorses the above provisions with the following further specifications:

a. At the College-wide Level

No member of the Committee on Appointments and Promotions may participate in a Committee decision involving a direct benefit (as described above) to a member of his or her immediate family, or, if that immediate relative is an untenured member of the faculty, in any similar Committee decisions affecting the other non-tenured members in that relative's department. In addition, no executive officer shall make any decisions involving a direct benefit to an immediate family member employed at the College. Authority for such decisions shall be transferred instead to another executive officer at the direction of the President.

b. At the Departmental Level

No member of a department may participate in a departmental recommendation or decision involving a direct benefit to a member of his or her immediate family. In addition, no tenured member who has an immediate family member holding a non-tenured appointment in his or her department may participate in decisions or recommendations conferring direct benefits on, or withholding them from, other non-tenured members of that department. This last provision does not apply if the immediate family member holds a visiting appointment or an exclusively graduate teaching appointment, or is a Senior Lecturer or a Part-time Instructor, as described under groups II (b) and II (d) of the Policy Governing Part-time Faculty (see Section II-I). In such cases, however, decisions involving a direct benefit to an immediate family member must be delegated to or made in consultation with other tenured members of the department, or made in consultation with the Dean of the Faculty. In cases where both family members are full professors in the same department, it is permissible for one of them to chair the department, but all decisions involving a direct benefit to an immediate family member must be delegated in the manner described in the preceding sentence. In all other cases, persons with an immediate family member in the department do not normally serve as chair.

2. Other Special Personal Relationships

The policy described in the above paragraphs applies as well to other personal relationships that might similarly impinge on one's impartiality or might reasonably give the appearance of doing so. The College cannot define every such relationship, and nothing in this paragraph is meant to imply that friendships between tenured and non-tenured faculty necessarily or ordinarily raise issues of improper partiality, but the College does expect everyone to be sensitive to potential conflict of interest.

3. Other Matters relating to Conduct and Conflicts of Interest.

The College maintains an official Code of Conduct (see Section VII-E) as well as Conflict of Interest Disclosure Form which is to be completed and filed with the Office of the Dean of the Faculty by designated members of the faculty whose job responsibilities or relationships could give rise to conflicts of interest.

Section II-R: Equal Opportunity and Affirmative Action

Equal Opportunity Policy

Williams College provides equality of employment opportunity to all employees and applicants for employment. The Equal Employment Opportunity Policy applies throughout the College; all departments and employees are responsible for its implementation.

In order to provide equal employment and advancement opportunities for all individuals, employment decisions at the College will be based on qualifications and ability. Decisions regarding appointments, promotions, and conditions of employment comply with applicable federal or state law prohibiting discrimination based on race, color, sex, national origin, religion, age, disability, marital status, sexual orientation, gender identity or expression, ancestry, or military service.

The College will make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in undue hardship. Employees or applicants needing accommodation should contact the Office of Human Resources at extension 2681. This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, and access to benefits and training.

An employee who believes that he or she has been treated in a manner that violates the non-discrimination policies of the College and/or federal, state or local employment laws should discuss the matter with the *Dean of the Faculty, Dean of the College, Director of Human Resources, Assistant Director of Human Resources, the Vice President for Institutional Diversity and Equity, the Vice President for Finance & Administration and Treasurer, or other discrimination grievance advisers*. See also: Office of Institutional Diversity and Equity. These advisers and officers stand ready to explain the College's grievance procedures. Employees can raise concerns and make reports without fear of reprisal.

Affirmative Action Policy

Since adopting an affirmative action program in 1972, Williams has made a concerted effort to increase the representation of women and minorities among its faculty and staff. This program reflects the belief that a diverse faculty and staff are essential to our educational goals and is not intended merely to comply with government regulations. Designed to increase the proportion of women and members of minority groups within the various categories of employment at the College, the Williams affirmative action program specifies procedures and objectives for the appointment of new personnel. The program is reviewed periodically and revised as necessary.

The College ensures that recruitments are advertised in a manner consistent with the procedures outlined for affirmative action policies. The College is committed to making special efforts to actively seek women and minority candidates.

The President has overall responsibility for the successful implementation of the affirmative action policies and programs. The Vice President for Institutional Diversity and Equity is appointed by and reports to the President. This officer is responsible for evaluating and articulating the College's affirmative action policies, and for coordinating and monitoring the implementation of the affirmative action program. The Dean of the Faculty is responsible for implementing equal opportunity and affirmative action procedures for faculty. Along with the office of the Vice President for Institutional Diversity and Equity, the Dean of the Faculty works to ensure that full and fair consideration is given candidates in historically underrepresented groups for faculty positions at the College.

Affirmative Action Advisory Committee: The Committee consists of ten members: five of whom are appointed by the President for overlapping two-year terms and include representatives from all employee groups, three from staff and two from faculty. Membership shall also reflect the sex, race and ethnic diversity of the College work force. The

Vice President and Associate Dean for Institutional Diversity and Equity, Dean of the Faculty, Director of Human Resources, and Assistant Director of Human Resources are *ex officio* voting members.

The Committee selects its own chair from among its membership, subject to the provision that the Vice President for Institutional Diversity and Equity is not eligible to serve in that capacity. The duties of the Committee include the following:

- assisting and advising the President and Vice President for Institutional Diversity and Equity in the implementation of the College's affirmative action policies and programs;
- serving in other capacities related to affirmative action as requested by the President;
- reviewing periodically the provisions and impact of the College's affirmative action program including employment goals and timetables, procedures followed, and results achieved; and
- proposing appropriate changes to the President.

Section II-S: Sexual Harassment Policy

Nothing in this policy statement should be taken to supersede the College's commitment to academic freedom, which it hereby re-affirms. The College follows the American Association of University Professors' "1970 Interpretive Comments" of the "1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive Comments," which state that "controversy is at the heart of ... free academic inquiry" but simultaneously "underscore the need for teachers to avoid persistently intruding material which has no relation to their subject" (AAUP Policy Documents and Reports, Ninth ed., 2001, p. 5).

Policies and procedures, approved by the Faculty on December 5, 1990 and by the Board of Trustees on January 19, 1991, effective as of May 6, 1991. See accompanying Non-Discrimination Policy and Grievance Procedures. Policies and Procedures are also available in the *Student Handbook*, the *Faculty Handbook*, the *Support Staff Handbook*, and the *Administrative Staff Handbook*.

A healthy and productive educational community is one in which students, faculty, and staff treat each other with mutual respect. Such a community requires an atmosphere free of discrimination. Williams College, in compliance with state and federal law, does not discriminate in admission, employment, or administration of its programs and activities on the basis of sex, sexual orientation, gender identity, gender expression, national or ethnic origin, race, color, religion or creed, age, or disability. Sexual harassment, a form of discrimination based on sex or sexual orientation, clearly endangers such an atmosphere and is not tolerated at Williams College. Behavior that constitutes sexual harassment is also prohibited by both state and federal law.

The College's definition of sexual harassment, which is based on the definition formulated by the federal Equal Employment Opportunity Commission and state legislation, is as follows:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- submission to such conduct is made either explicitly or implicitly as a term or condition of an individual's employment, instruction, or participation in other College activities, or
- submission to or rejection of such conduct by an individual is used as a basis for making academic, employment, or personnel decisions affecting that individual, or
- such conduct has the purpose or effect of unreasonably interfering with an individual's performance by creating an intimidating or hostile educational or working environment.

Sexual harassment breaches the trust that should exist among members of an educational community. Sexual harassment can have an impact on any member of the college community regardless of sex or sexual orientation. It can occur between people whether or not they are in a relationship where one has power over the other, or are of different sexes or gender identities. Victims can be anyone - students or members of the faculty or staff, superiors, subordinates, or peers. Sexual harassment can disturb the climate in classroom, residence, or workplace, and alter the course of one's education or career, presenting obstacles to the free and full development of an individual. It can, moreover, cause serious and lasting harm to an individual. The College is committed, therefore, to taking whatever action may be needed to prevent, correct, and, if necessary, discipline behavior that constitutes sexual harassment. Officers of the College and advisors who are conversant with the definitions of sexual harassment and the procedures the College uses to prevent and remedy discriminatory behavior are available to all members of the community for consultation. (See Section VII-A: Discrimination Grievance Procedures, Advising Procedure for definition of the officers and advisors.)

The term sexual harassment covers a broad range of behavior. Examples of the forms it can take include sexually offensive remarks or conduct; repeated or persistent remarks, jokes, or other actions that are demeaning to one's sex,

gender identity, gender expression, or sexual orientation; unwanted physical contact; requests or demands for sexual favors accompanied by implicitly or explicitly promised rewards or threatened punishment; attempted or completed physical sexual assault. Behavior that constitutes sexual harassment is actionable under the College's discrimination grievance procedures.

Sexual harassment may also be at issue in relationships that begin as consensual ones. Anyone in a position of institutional authority over other persons should be sensitive to the potential for coercion in sexual relationships that also involve professional relationships. These problematic relationships may involve persons in a position of authority over their institutional subordinates (e.g., tenured faculty and non-tenured faculty; administrators and staff), or they may involve those who teach and counsel students. Sexual harassment, when it exploits the authority the institution gives to its faculty and staff, or otherwise compromises the boundary between personal and professional roles, is an abuse of the power the College entrusts to its faculty and staff. Anyone who willingly enters into a sexual relationship is, of course, in some measure personally responsible for the consequences of having done so. In cases, however, where a sexual relationship between a faculty member and a student, or a supervisor and a subordinate, occurs during a period of instructional or supervisory responsibility, the person in the position of authority will be held accountable, by virtue of his or her professional responsibility, should a claim of sexual harassment be lodged against him or her. The recommendations and requirements described in sections 1 and 2 below are designed to protect the integrity of the College's instructional, counseling, and supervisory responsibilities by separating sexual relationships from professional ones where instruction or supervision is involved.

1. Potentially Coercive Relationships Between Students and Faculty or Staff

All faculty are in a position of power with regard to students; hence, sexual relationships between faculty and students are almost always inappropriate. Sexual relationships between faculty and students put claims of consent in question. It is difficult for a student to be certain of the motives of a member of the faculty. A person in a position of authority cannot be certain that the student's consent is genuine, rather than motivated by an unspoken fear of the consequences of not consenting. In addition, a sexual relationship with a student may raise questions of unfair academic advantage or of unwarranted negative evaluation. These questions may adversely affect the educational environment of other students as well as the student directly involved. Should any of these questions arise, sexual discrimination is at issue.

A sexual relationship between a faculty member and a student violates the College's Sexual Misconduct Policy when a faculty member has teaching, evaluative, formal advising, or supervisory responsibilities for that student, even if the parties involved view the relationship as consensual. A member of the faculty cannot initiate or agree to a relationship with a student with whom he or she has any teaching, evaluative, formal advising, or supervisory roles. To protect the integrity of the educational process, the College also requires a faculty member to refrain, except under unusual circumstances and with the permission of the appropriate executive officer¹, from taking on any teaching, evaluative, formal advising, or supervisory roles involving a student with whom he or she has had a sexual relationship in the past. If the College receives a complaint that a member of the faculty violated this policy, the College shall follow the procedures laid out in Appendix B of the *Faculty Handbook* to investigate and adjudicate this complaint. If the complaint is found to be valid, the faculty member will be subject to disciplinary action. A faculty member who has questions about this policy should consult the Dean of the Faculty.

2. Potentially Coercive Relationships Involving Faculty and/or Staff

A sexual relationship with a member of the faculty or staff for whom one has professional responsibilities may similarly put claims of consent into question or raise questions of unfair evaluation. To protect the integrity of the working relationships among employees, the College requires anyone in a position of authority a) to refrain from

¹ For the purposes of the discrimination grievance procedures, the executive officer for students is the Dean of the College; and for faculty, the Dean of the Faculty.

any supervisory, evaluative or counseling role involving a subordinate with whom he or she has had a sexual relationship in the past, unless the circumstances warrant a waiver. The College also requires a faculty or staff person b) to remove him or herself from any supervisory, evaluative, or counseling role involving a subordinate employee with whom he or she currently has a sexual relationship. The parties involved should consult with either party's executive officer or department chair/director concerning the need for a waiver or a removal. That person shall grant or deny the waiver or arrange for the removal, and the parties involved shall abide by the administrator's decision. A faculty or staff person who does not abide by rules (a) and (b) is at substantial risk under College policy to complaints of coercion, or of preferential or prejudicial treatment.² Should the complaint be found valid, the faculty or staff member will also be subject to disciplinary action.

Williams College takes seriously any allegation of sexual harassment and will investigate all such charges promptly. In deciding whether alleged conduct constitutes sexual harassment, and in determining the degree of seriousness of the harassment, the College will look at the record as a whole and at the totality of the circumstances, such as the nature of the sexual conduct and the context in which the alleged incidents occurred. The College's actions, which are designed primarily to remedy any harm done to those who have been subjected to sexual harassment and to protect other members of the community, may range from a warning to suspension or expulsion, when the offender is a student. When the offender is a faculty or staff member, the disciplinary action may range from a reprimand to non-reappointment or the initiation of proceedings for dismissal for cause. They may also include warnings regarding the consequences of future misconduct, removal from certain teaching, advising, or supervisory roles, and other restrictions on the person's professional role at the College. Students and employees who believe they have been sexually harassed may use the discrimination grievance procedures in the *Student Handbook*, *Faculty Handbook*, *Administrative Staff Handbook*, and *Support Staff Handbook*. Questions of confidentiality are addressed in the discrimination grievance procedures, Section II-T: Non-Discrimination Policy and Section VII-A: Discrimination Grievance Procedures).

(Revised July 31, 2015)

² Failure to abide by rules (a) and (b) may also subject a faculty or staff member to charges of conflict of interest. It should be noted that a removal policy is also in place for family and other special relationships (see [Conflict of Interest](#)).

Section II-T: Non-Discrimination Policy and Outline of Discrimination Grievance Procedures

Non-Discrimination Policy

Williams College, in compliance with state and federal law, does not discriminate in admission, employment, or administration of its programs and activities on the basis of race, color, sex, national origin, religion, age, disability, marital status, sexual orientation, gender identity or expression, ancestry, or military service. Any member of the College community who on any of these grounds feels discriminated against by another member of the community should take action. The complainant¹ should report the incident as soon as possible and preferably within a month of its occurrence, since prolonged delay may complicate the presentation of evidence in the grievance procedures. Complainants have, however, up to two years to report alleged discriminatory behavior, and even this period may be extended with the approval of the appropriate executive officer. Complainants are free to withdraw or proceed at any stage of the process. The College will treat the identity of the parties and the substance of the claims as confidential throughout, except as is reasonably necessary to carrying out the procedures and to ensuring the safety of everyone at the College. College policy explicitly prohibits retaliation, academic or otherwise, against employees or students for bringing complaints of discriminatory behavior.

Should the allegation of discriminatory behavior involve a faculty appointment renewal decision, the range of appropriate action and the type of further redress open to the complainant are those described in Section II-D: Appointment Appeals. Cases of sexual misconduct involving a student and a faculty or staff member are governed by the Sexual Misconduct Investigation and Adjudication Process in Section VII-B. In all other cases, the complainant should use the discrimination grievance procedures that are described in detail in Section VII-A: Discrimination Grievance Procedures. These procedures have four parts: advising, informal grievance, formal grievance, and appeal.

Outline of the Sequence of Options and Events in the Discrimination Grievance Procedures

Advising Procedure

The person who believes he or she may have been subjected to discriminatory behavior may but need not discuss the incident(s) with a College advisor. College advisors are also available to persons against whom a complaint has been filed.

Informal Procedure

- The person who believes he or she may have been subjected to discriminatory behavior may discuss the incident(s) with the appropriate administrator.
- The person may but need not file a complaint at the informal stage.
- To file a complaint the person submits a statement of allegations to his or her executive officer. The executive officers will then conduct an investigation and reach a finding. If they find the complaint unwarranted, the complainant may but need not request formal grievance proceedings. If the respondent is judged to have violated College policy, the executive officers attempt a resolution. Either party may refuse to accept the terms proposed.
- If both parties accept the terms, the resolution is successful and the case is settled. If the resolution fails, the complainant may ask for formal grievance proceedings or withdraw the complaint.
- If the complainant withdraws, the executive officers may decide to take action against the respondent on their own. The respondent may appeal the executive officers' decision.

¹ Throughout these procedures, a "complainant" is the person who has filed a complaint; the person against whom a complaint is filed is the "respondent."

Formal Procedure

- The grievance committee conducts a hearing and reaches a finding, reporting its finding and its recommendations to the executive officers, the complainant, and the respondent.
- The executive officers reach their own finding. If it differs from the committee's, they so inform the committee and provide it with an opportunity to reply.
- If the executive officers then find the respondent not to have violated the College's anti-discrimination policy, or if they find the evidence insufficient, the case is dismissed.
- If, on the other hand, the executive officers find that the respondent violated the College's policy, they will report their finding and the actions they propose to take to the committee, the complainant, and the respondent. The respondent may appeal their finding and their proposed actions.

Appeal Procedure

- The formal grievance proceedings constitute the complainant's appeal.
- The respondent may appeal at the conclusion of the informal proceedings if the complainant has withdrawn and the executive officers have proposed disciplinary action, or at the end of the formal grievance proceedings if the complainant has taken the complaint to a grievance committee.
- If the respondent is a student or staff member, the appeal will be heard by the President. If the respondent is a faculty member, the appeal will be heard by a faculty hearing committee.

Section II-U: Scientific Misconduct and Public Health Service Reporting Obligations

(See also Section VII-D: Safety and Public Health)

Definition and Procedures

Scientific misconduct is defined by the U.S. Public Health Service as "fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting or reporting research. It does not include honest error or honest differences in interpretations or judgments of data."

All allegations of scientific misconduct should be brought to the attention of the Provost of the College who will receive such allegations impartially and without prejudice. The Provost will protect, to the maximum extent possible, the privacy of those who in good faith report apparent misconduct. The Provost will initiate a process, which will consist of an initial inquiry, followed by an investigation if warranted.

The Inquiry

The Provost, in consultation with the Dean of the Faculty, will undertake an initial inquiry of any allegation of scientific misconduct, make a determination and report within sixty calendar days unless circumstances clearly warrant a longer period. The Provost will secure the expertise necessary and appropriate for conducting an authoritative and thorough evaluation of the relevant evidence, taking precautions against real or apparent conflicts of interest. The Provost will prepare a written report stating what evidence was reviewed, summarizing relevant interviews, and presenting the inquiry's conclusions. If an inquiry takes longer than sixty calendar days to complete, the report shall contain documentation of the reasons for exceeding the sixty-day period. The subject(s) of the inquiry will be provided with a copy of the report. The subject(s) may comment on the allegations and findings of the inquiry and these comments shall be made part of the record. The affected individual(s) will be afforded confidential treatment to the maximum extent possible.

Should the Provost conclude that further investigation is not warranted, detailed documentation of the inquiry shall be maintained for three years to permit later assessment of that conclusion. This documentation will be provided to authorized HHS personnel upon request.

Should the inquiry determine that the allegations are not confirmed, the Provost and the Committee will seek diligently to restore the reputations of the persons alleged to have engaged in misconduct and to protect the positions and reputations of those persons, who in good faith, made allegations.

If findings from the inquiry provide sufficient basis for conducting an investigation, the Provost shall undertake further investigation within thirty calendar days after the completion of the inquiry.

The Investigation

The investigation shall be conducted by the Provost and the Dean of the Faculty and three members of the faculty chosen by the Provost and the Dean in consultation with the Steering Committee, taking precautions against real or apparent conflicts of interest. The investigation normally will include examination of all documentation and interviews whenever possible with all individuals who have or might have information about the allegation, including accusers and accused. (A complete summary of each interview will be prepared for comment or revision by the interviewed party and the summary shall be included in the investigatory file. Respondent(s) comments will be part of the investigation record.) The committee shall secure the expertise necessary and appropriate for conducting an authoritative and thorough evaluation of the relevant evidence. Thorough documentation substantiating investigation findings shall be prepared and maintained.

The affected individual(s) will be afforded confidential treatment to the maximum extent possible. Should the

investigation determine that the allegations are not confirmed, the Provost and the Committee will seek diligently to restore the reputations of persons alleged to have engaged in misconduct and to protect the positions and reputations of those persons, who in good faith, made allegations.

Should the allegations of misconduct be substantiated, appropriate sanctions shall be imposed, following the procedures described in Section II-V: Termination for Cause or Section II-W: Sanction Procedures.

Faculty and appropriate administrative staff will be informed on an annual basis of these policies and procedures and the importance of compliance.

Public Health Service Reporting Obligations

In the case of projects funded through the Public Health Service (PHS), certain reporting obligations obtain. The Office of Scientific Integrity (OSI) of the PHS must be notified at any stage of either an inquiry or investigation of any immediate health hazard, need to protect federal funds or equipment, or need to protect the interests of persons involved in the inquiry or investigation (including those who have made or who are the subject of allegations, their associates, and investigators), or if it is probable that the alleged misconduct is about to be reported publicly. In addition, OSI must be notified within 24 hours after the institution receives any reasonable indication that a crime may have been committed. The Provost also shall notify OSI and explain the reasons for ending an inquiry early.

The decision by the Provost to proceed with an investigation shall be reported in writing to the OSI on or before the date of the start of the investigation; the notification must include the subject's name, the general nature of the allegations, and the PHS application or grant numbers involved.

The Provost shall inform the OSI of any inquiry or investigation developments including facts that may affect the government's disbursement or award of federal funds and shall take interim administrative measures, if necessary to protect federal funds. The Provost shall notify OSI and explain the reasons for ending an investigation early. The Provost shall also request an extension from OSI if the investigation cannot be completed within 120 calendar days, providing the OSI with an explanation for the delay, an interim progress report, and an estimated completion date.

The OSI shall be notified of the outcome of the investigation and provided with a detailed report covering investigation policies and procedures, sources of information, findings, the basis for findings, "the actual text or an accurate summary of the views of an individual(s) found to have engaged in misconduct", and sanctions imposed by the institution. The institution shall make available the documentation substantiating the findings.

Section II-V: Termination of Faculty Appointment for Cause

Termination of an appointment with continuous tenure, or of a non-tenured appointment before the end of the specified term, may be effected by the College upon due notice but only for adequate cause. The burden of proof that adequate cause exists rests with the College and shall be satisfied only by clear and convincing evidence¹ in the record considered as a whole.

Should the cause alleged be (a) *bona fide* financial exigency, (b) discontinuation of a program or department of instruction, or (c) mental or physical incapacity on the part of the appointee, the procedures followed will be those stipulated in Regulation 4 of the "Recommended Institutional Regulations on Academic Freedom and Tenure" formulated by the American Association of University Professors.² The Faculty Steering Committee will discharge the tasks allotted to the faculty committees mentioned in Regulation 4 items (c) and (d).

Should the cause alleged be that of serious shortcomings on the part of a faculty member in the discharge of his or her professional duties (termination thus constituting dismissal), the dismissal must be preceded by the following procedures: (1) discussions between the faculty member and the President of the College with the aim of arriving at a mutual settlement; (2) an informal inquiry by the Committee on Appointments and Promotions, which may, failing to effect an adjustment, determine whether in its opinion formal dismissal proceedings should be undertaken, without its opinion being binding upon the President; (3) a statement of charges, framed with reasonable particularity by the President.

NOTE: By federal law, cases involving charges of sexual misconduct are held to a preponderance of evidence standard. In such cases, if there is a question of the complainant in the original case being called as a witness, the Title IX Coordinator must also be brought in to provide alternative accommodations.

A dismissal (as defined above) will be preceded by a statement of reasons, and the faculty member concerned will have the right to be heard initially by a hearing committee that will consist of three members drawn from the Faculty Steering Committee and, if fewer than three members of that Committee are eligible, from the Faculty Review Panel. Any member of the Faculty Steering Committee or the Faculty Review Panel potentially affected by bias or interest may be deemed ineligible at the member's own initiative. Either of the two parties to the case may also request that a proposed member of the hearing committee be deemed ineligible because of potential bias or interest.³ In addition, each party may without stated cause exclude a maximum of one person otherwise eligible for the hearing committee. Should these or other constraints make it impossible to convene a full hearing committee, the Faculty Steering Committee may draw hearing committee members from previous Steering Committees or Faculty Review Panels.

The formal dismissal proceedings will follow a detailed set of guidelines, which are described in Section VII-C: Dismissal or Sanction Hearing Guidelines and are derived from Regulation 5.c.(1)-(16) and Regulation 6 of the "Recommended Institutional Regulations on Academic Freedom and Tenure" of the American Association of University Professors (*AAUP Policy Documents and Reports*, 2006 ed., pp. 26-27).

¹ 'Clear and convincing evidence' means evidence that is positive, precise and explicit. It means evidence that makes the proposition at issue substantially more likely than not to be true. It requires greater certainty than is required to satisfy a 'preponderance of the evidence' standard, but not the level of certainty required to satisfy a 'beyond a reasonable doubt' standard.

² See the AAUP's *Policy Documents and Reports*, 2006 ed., pp. 24-25.

³ In cases involving discrimination, persons who served on the formal Grievance Committee are ineligible for the Hearing Committee.

Section II-W: Procedures for Imposition of Sanctions on Faculty Other Than Dismissal

These procedures are modeled on Regulation 6, "Recommended Institutional Regulations" of the AAUP (AAUP Policy Documents and Reports, 2006 ed., p. 27).

Major Sanctions

NOTE: By federal law, cases involving charges of sexual misconduct are held to a preponderance of evidence standard. In such cases, if there is a question of the complainant in the original case being called as a witness, the Title IX Coordinator must also be brought in to provide alternative accommodations.

If the administration believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify the imposition of a major sanction such as suspension from service for a stated period, the administration may institute a proceeding to impose such a major sanction. The procedures for holding a formal hearing for a proposed major sanction and for constituting the hearing committee are described in Section II-V: Termination for Cause and Section VII-C: Dismissal or Sanction Hearing Guidelines.

Minor Sanctions

If the administration believes that the conduct of a faculty member may justify the imposition of a minor sanction, such as a reprimand, warning, or restriction for a limited period of time on the kinds of teaching and advising roles in which the faculty member may serve, the Dean of the Faculty will undertake an inquiry into the allegations giving rise to such a belief, unless the allegations involve discriminatory behavior. In the latter case, the Discrimination Grievance Procedures apply. In all other cases, should the Dean of the Faculty decide to proceed to the imposition of such a minor sanction, he or she will provide the faculty member with an opportunity to present a case against its imposition. The Dean of the Faculty will consider the matter further and report his or her finding and proposed sanction(s), if any, to the faculty member in writing and within one week of hearing the faculty member's case.

Appeal of Sanction

NOTE: By federal law, cases involving charges of sexual misconduct are held to a preponderance of evidence standard. In such cases, if there is a question of the complainant in the original case being called as a witness, the Title IX Coordinator must also be brought in to provide alternative accommodations.

Should the faculty member believe that the finding is unwarranted or that the sanction is unjust or that the sanction is major, and therefore should not be imposed without benefit of the type of procedures referred to in paragraph 1 above, he or she may appeal the Dean of the Faculty's¹ decision to a hearing committee.

- The hearing committee shall be appointed by the Faculty Steering Committee and shall consist of three members drawn from the Steering Committee or, in the case that fewer than three members of the Steering Committee are eligible, from the Faculty Review Panel.² Any member of the Steering Committee or the Faculty Review Panel potentially affected by bias or conflict of interest will be deemed ineligible for the hearing committee, either by the member's own initiative or at the request of either party to the case.
- Prior to the hearing, the committee will receive from the Dean of the Faculty a copy of the report of his or her finding(s) and proposed sanction(s). It will also receive, from the faculty member, a written statement of the grounds for the appeal.

¹ In cases involving discrimination, the phrase "the Dean of the Faculty," both here and in the paragraphs that follow, should be taken to mean "the executive officers."

² In cases involving discrimination, members of the Faculty Review Panel who served on the grievance committee are not eligible to serve on the hearing committee.

- The committee will proceed with its hearing informally and in private, keeping its proceedings confidential and resolving by majority vote, if necessary, any issues relating to procedural matters or to its ultimate findings.
- The hearing committee shall report its decision within two weeks of the termination of its hearings. Should it reject the grounds for the appeal it will so inform the faculty member in writing, with a copy forwarded to the Dean of the Faculty. Should it find the grounds for the appeal compelling, it will make a formal recommendation to the President.
- The President's resolution of the case shall be final, and he or she shall report the final resolution, in writing, to the hearing committee, the Dean of the Faculty, and the faculty member.

Section II-X: Intellectual Property Policy

(Adopted July 1, 2016)

I. Policy Overview and Definitions

Williams College is fully committed to encouraging and facilitating the intellectual and creative endeavors of its community of faculty, staff, and students, and recognizes that these endeavors lie at the core of the fundamental educational mission of the college. The college supports the wide dissemination of original work as it greatly contributes to society and to the body of common knowledge. This policy is meant to establish guidelines for the ownership of intellectual property. The purpose of this policy is to define appropriate rules and procedures, and to clarify and protect the rights of faculty, staff, students, and the college, with respect to intellectual property. In doing so, the college recognizes both legal principles and established traditions in higher education.

This policy applies to all full-time and part-time faculty, visiting faculty, staff, students, student employees, graduate students and postdoctoral fellows and any individual using college resources and facilities in the course of developing intellectual property (“IP”).

Scholarly work created by faculty or students is IP and as a matter of college policy is generally owned by the creator(s), with the college claiming no rights to it. *Scholarly work* is defined broadly to include pedagogical, literary, scientific and other creative work developed by faculty members and/or students (or staff members acting outside the scope of their employment). This includes:

- (1) work related to scholarship, such as books, journal articles, lab notebooks, inventions, advances, discoveries, software (including contributions to open source projects), research data sets and texts, creative works, artistic works in any medium (including, but not limited to, musical composition, choreography, visual art, scriptwriting, games, films, photographs).¹
- (2) work related to teaching, such as textbooks, lecture notes and other course notes (whether in summary or verbatim form, whether privately held by the faculty member or distributed to the class, whether paper or electronic), laboratory procedures, demonstration apparatus, examinations and quizzes, problem sets, syllabi, training materials, slides, videos, and Web sites developed for classes.

This means that the vast majority of scholarly work generated by faculty and/or students is IP that is owned exclusively by the creator(s). The creator(s) of scholarly work have the right to own the copyright and receive revenue as a result of their original work. Exceptions may arise in circumstances involving *identity interest*, *functional interest*, or *exceptional use of college resources*, as described below. IP created by college staff within the scope or course of their employment, on the other hand, is owned by the college.

The college has an ownership interest in IP if it involves (i) an *identity interest*, (ii) a *functional interest*, or (iii) *exceptional use of college resources*.

- (i) The college has an “**identity interest**” in works that are integral to the identity of the college or that reflect more directly on the identity of the college than on the identity of the individual(s) who create them. For example, the college has an *identity interest* in items disseminated by and for the college, such as college catalogs, institutional web pages, alumni bulletins, admissions brochures, and fundraising materials. An *identity interest* also occurs when there is a prominent use of the college’s name, or of any image, trademark or logo of the college (see the college’s communications web page for more information). Simply identifying the author of a work as a Williams professor would not be considered prominent use of

¹ Lists of examples, when used in this document, are not meant to be exhaustive.

the college's name. Faculty members who intend to utilize the college's identity in creating IP must discuss ownership of the IP as early as possible in the IP's development with the Provost. Determination of ownership must be reached prior to its distribution, publication or commercial exploitation.

- (ii) The college has a “**functional interest**” in works that are used to enhance the effective functioning of ongoing operations of the college, or in which the college has a contractual or legal obligation. For example, the college has a *functional interest* in administrative and personnel procedures, administrative data sets, procedural handbooks, committee reports, departmental records, products of institutional research, and software developed at the direction of the college. The college has a *functional interest* in IP created with Federal or other outside funds which carry an obligation that the college retain certain IP rights or assign them to another party outside the college. Certain collaborative agreements also require the college to negotiate IP rights with other entities, creating a *functional interest*. If the college has a functional interest, the IP is owned by the college.
- (iii) “**Exceptional use of college resources**” for faculty or student work means that the college has provided funding, facilities, or staff support of a degree or nature not typically made available. Ordinary use of desktop computers, resources in the college library, routine support from the Information Technology (OIT) staff, use of the animal care facility and its staff, or use of college office space does not constitute *exceptional use of college resources*. In addition, the college's provision of shared scientific equipment, standard labs and studios, funding of sabbatical leaves, and funding provided to support scholarly work (e.g., startup funds annual faculty development grants, ordinary access to DRFC funding, funding for undergraduate research assistants) are not considered to be *exceptional use of college resources*. In the instance that a faculty member expects to be provided, or the college expects to provide, exceptional support, a contractual agreement or formal determination should be reached in advance of such funding, fixing the extent, if any, of college ownership of IP that may result from the work (See Section III of this Policy).

II. Policy for Faculty, Staff, and Students

A. Faculty

Ownership of scholarly works created by members of the faculty and all the intellectual property rights associated with them remain with the creator(s) unless the college has an *identity or functional interest* or the work is created by, with, or through *exceptional use of college resources*.

If there is an *identity or functional interest* the college owns the rights to the IP. For instance, the college has a *functional interest* in faculty administrative work, such as committee reports and departmental or institutional records. When faculty members contribute to college publications such as the college catalog or Williams Alumni Magazine, the work is owned by the college because of the *identity and functional interest* in the work.

Faculty own the copyright of the assignments and syllabi they create. In the case of IP developed by multiple faculty, perhaps over many semesters, ownership follows US copyright law for multi-author documents and derivative works. While the IP ownership of work related to teaching rests with the faculty member, the college has a *functional interest* in its ongoing instructional operations. By teaching at the college, faculty members grant a non-exclusive perpetual license to the college to use and modify (but not publish or commercialize) assignments and syllabi they develop at the college though the IP continues to be owned by the faculty creator(s).

The college may have an ownership interest in common with the creator(s) in faculty work that involves *exceptional use of college resources*, including substantial use of other college employees. The ownership, use, and development of such IP will be governed by mutual agreement between the creator(s) and the college, or if an agreement cannot be reached between the creator(s) and the college, by a determination made under the procedures of Section III of this Policy.

B. Staff

The legal principle embodied in copyright law known as “work made for hire” provides that all work created by employees within the scope or course of their employment belongs to the employer. The college has both *functional and identity interests* in IP developed by staff members, and could not function if it had to negotiate the right to use work produced by individual staff members. Following standard employment practice, the college owns all IP developed by staff members within the scope or course of their employment. If an individual is hired as both a member of the staff and the faculty, the determination of IP rights depends upon the relation of the IP to the scope of employment of each job. IP that is created by members of the staff outside the scope or course of their employment is the property of the staff member. Staff members must discuss with their supervisor, in advance, any situations in which they intend to claim ownership of any IP that could be construed as being within the scope or course of their employment. The ownership, use, and development of such IP will be governed by mutual agreement between the creator(s) and the college, or if an agreement cannot be reached between the creator(s) and the college, by a determination made under the procedures of Section III of this Policy.

Although procedures or source codes in the area of information technology created by staff in the course of their employment by the college fall under the “work made for hire” doctrine and are owned by the college, the Chief Information Officer has the authority to determine when, and under what conditions, it would be beneficial for the college to share such intellectual property with other institutions or individuals or to participate in open source sharing.

When IP is created by staff members working directly with members of the faculty or with students, the college has an interest in the IP. For example, when a programmer in OIT develops software in collaboration with or at the request of a faculty member, the college owns the software written by the staff member. In all cases faculty members, staff members and students are expected to acknowledge assistance or co-authorship when appropriate.

C. Students

Ownership of scholarly works created by students in their capacity as students (as opposed to their capacity as college employees) and all the intellectual property rights associated with them remain with the creator(s) unless the college has an identity or functional interest, or the work is created by, with or through exceptional use of college resources, or the student is engaged in a faculty-supervised project leading to scholarly work (e.g. thesis, independent study, teaching or research assistantship), in which case the faculty member owns the student-created IP. Faculty members are expected to acknowledge assistance or co-authorship when appropriate. Students should be aware that course-related materials, syllabi, videos, assignments, examinations and other similar materials in their possession may include IP belonging to faculty members. Students who consider distributing such materials to others should be aware that they may not have property rights to the materials in their possession. Under no circumstances may a student use the IP of a faculty member, such as materials derived from lectures or other teaching materials, for commercial purposes.

Students who are employed by the college are subject to IP policies for staff (see Section II.B above). The college owns all rights to IP created by student employees within the scope or course of their employment unless the student is employed in a faculty-supervised project leading to scholarly work (as above), in which case the faculty member owns the student-created IP. Faculty members are expected to acknowledge assistance or co-authorship when appropriate.

D. Grants, Sponsored Works and Specially Funded Works

Some grants and contracts from government agencies or private sponsors contain provisions governing intellectual property and/or other rights to the property which obligate the grantee (the college) in some way. In such cases, the college will comply with such provisions, including taking or assigning ownership if required. The Provost’s Office will assure that the IP restrictions of the grantor are adhered to. Principal investigators are required to comply with

any such restrictions, including reporting requirements. The Provost's Office must be consulted in advance of any grant application with IP restrictions (see Section III.A).

III. Process for Determination of Ownership of Intellectual Property

In the vast majority of cases, application of the foregoing principles will be straightforward and there will be no question about who owns the rights to the IP. In such cases, the party with rights (a faculty member, staff member, student or the college) will decide the uses of the IP and will receive any income associated with it. All questions about whether a project involves exceptional use of college resources, or whether a functional or identity interest of the college may exist, should be referred to the Provost. The Provost in consultation with the creator(s) and appropriate college deans, vice presidents and supervisors will endeavor to reach an agreement with the creator(s) regarding the ownership, use and development of the IP. Agreements will be deposited with the Provost of the college according to the procedures established in Section VI.D. If no agreement is reached, the Provost will make a determination (See Section III.B).

A. Reporting

The uniform application of this Policy requires that the college be made aware of IP created by members of the college community with the use of college resources. Responsibility for reporting the creation of IP rests with the creator(s).

In cases where the IP is a *scholarly work* created by a faculty member, or a staff member outside the scope of his or her employment, and no *identity or functional interest* is involved, no reporting is required. Routine professional activities reports would suffice, and are typically submitted after the fact. *Scholarly work* created by students in their capacity as students need not be reported.

Certain cases must be addressed specifically to the Provost. Creator(s) should report, as soon as the situation is reasonably clear and before work is well underway, on the production or planned production of any IP that meets one or more of the following conditions:

1. The IP involves or has the potential for involving a functional or identity interest of the college.
2. Production of the IP involves or may involve exceptional use of college resources.
3. The IP is produced with Federal or other outside funds which impose ownership, reporting or other requirements on the college or the creator(s). In such cases, reporting may be required within specified time limits, which must be observed.
4. The IP is jointly created by faculty and staff.
5. The IP is created in a collaborative relationship with another entity requiring that entity's IP policies be reconciled with those of the college (see Section IV).
6. A creator intends to seek a patent on or otherwise commercialize the IP, in which case, the process of protection or commercialization may involve substantial cost and effort, and the creator(s) may wish the college to consider providing some or all of that support and share the net rewards, liabilities or risks with the college (see Section IV).
7. The creator is a staff member who intends to claim ownership of IP that could be construed as being within the scope or course of employment at the college.
8. A creator has any question about ownership or other rights in the IP.

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.

B. Determination process

When a report is required under Section III.A., and no agreement with the creator(s) is reached, the Provost, in consultation with the creator(s) and appropriate college deans, vice presidents and supervisors, shall make a determination whether the IP involves a *functional or identity interest*, whether its creation involves *exceptional use of college resources*, or whether the work is created within the scope or course of employment of a staff member at the college. The Provost shall make a determination of ownership of the IP and associated intellectual property rights, responsibilities, and use rights of the college and the creator(s), and, if appropriate, how the college will recoup its costs and share in financial gains from the IP. This determination should be made in a timely manner. In all cases, the Provost will be guided by the principles set forth in this Policy and the creator(s) will be given an opportunity to explain the situation or proposal and recommend terms for ownership, responsibilities, use rights, risks and financial arrangements.

C. Written Determination

The Provost's determination shall be made in writing, signed by the Provost. The determination shall contain provisions outlining the allocation of ownership, interests, use rights, responsibilities, risks, and a mechanism for the sharing of net proceeds, if any, and other rights between the creator(s) and the college. The Provost will cause the written determination, once made, to be delivered promptly to the creator(s). The determination, bearing the date on which it was delivered to the creator(s), shall be filed with and maintained by the Provost. The determination shall become final and shall be binding on the creator(s) and the college unless, within thirty (30) days of the date on which the Provost has delivered the determination to the creator(s), the creator(s) file a notice of appeal of the Provost's determination with the Dean of the Faculty.

D. Appeals

On receipt of a notice of appeal, an *ad hoc* committee of Williams faculty shall be formed by the Dean of the Faculty. It shall be comprised of one individual selected by the Provost, one individual selected by the creator(s), and one individual agreed to by the creator(s) and the Provost. In the event that the creator(s) and the Provost cannot agree, the third member will be appointed by the Dean of the Faculty. The committee shall review the Provost's determination, the positions of the Provost and the creator(s), and the relevant facts and circumstances surrounding the IP, and will make a written recommendation to the President not later than sixty (60) days following the date of receipt of the notice of appeal. The President, after review of the recommendation of the *ad hoc* committee, shall issue a determination within thirty (30) days of receipt of the *ad hoc* committee recommendation. The President's determination will be filed with the Provost, and a copy will be delivered to the creator(s). This determination of the President will be final and will be binding upon the college and the creator(s).

E. Time

The President, on application by either the Provost or the creator(s) or on the President's independent initiative, shall have the authority to modify the time requirements of this Section III for good cause.

F. President, Provost, or Dean of the Faculty as Creator

In the event that the President, the Provost, or the Dean of the Faculty is a creator or co-creator of IP as to which no agreement has been reached, and which requires a determination under this Section III, the process described in subsections A, B, C, D, and E of this Section III shall not apply as to that IP. The recommendation shall instead be made by the Chair of the Board of Trustees of the college. The Chair's recommendation shall be final and shall be binding upon the creator(s) and the college.

IV. Voluntary Transfer of Rights to the College

The process of protecting and/or commercializing IP often involves substantial cost and effort. The college anticipates that even when IP is clearly the property of individuals, some of those individuals may wish to transfer rights to the college in exchange for its help in developing, disseminating or protecting their creations. Requests by

members of the college community for such an exchange will be addressed on a case-by-case basis. As stated in Section III.A.6, if the creator(s) of IP wish to seek the college's help in pursuing patent protection and/or commercialization of their IP, they should inform the Provost as soon as it becomes reasonably clear that their work might be considered potentially patentable or marketable.

Before agreeing to take an ownership interest in any IP the college will, in consultation with the creator(s), evaluate the work as to its patentability and marketability, taking all precautions necessary to protect the creator(s). The Provost may propose an allocation of ownership, interests, use rights, responsibilities, risks, and a mechanism for the sharing of net proceeds, if any, and other rights between the creator(s) and the college. For example, a proposal might offer that once the invention is patented and licensed or otherwise commercially exploited, the college will first be reimbursed for any and all past or continuing expenses related to the invention's licensing and commercial development, after which the distribution of income shall be 50% to the college and 50% to the creator(s).

The college, in consultation with the creator(s), may choose to file for a patent itself, may enter into agreements with collaborative institutions and companies to further share the risk and the net rewards of patenting and commercialization or may offer to sell the invention outright to a third party.

V. Time Spent on IP Production Not for the College

Faculty members should be guided in accepting any outside employment by the Faculty Handbook statement regarding Faculty Teaching Duties and Related Responsibilities. Staff members should be guided by Williams' policies on conflict of interest and outside employment as outlined in the Employee Handbook.

VI. Application of this policy; Effective Date; Registry of Agreements and Determinations

A. Faculty and College Staff

This Intellectual Property Policy applies to and is binding upon members of the faculty and upon members of the college staff by reason of their employment at Williams College. Unless otherwise provided in writing, the terms, conditions, and provisions of this Intellectual Property Policy shall be deemed to survive termination of employment and shall continue to apply to any IP created, in whole or in part, by a member of the faculty or a member of the college staff while employed by the college. As used in this policy, the term "faculty" shall mean the professors, associate professors, assistant professors, instructors, lecturers, and the visiting professors of the college, and the term "college staff" shall mean the administrative officers and all non-faculty employees of the college.

B. Students

This Intellectual Property Policy applies to and is binding upon students as an element of the contract between the student and Williams College. Unless otherwise provided in writing, the terms, conditions, and provisions of this Intellectual Property Policy shall be deemed to survive the student's graduation or other termination of the contract between the student and Williams College and shall apply to any IP created, in whole or in part, by a student while enrolled at the college.

C. Effective Date

This Intellectual Property Policy became effective July 1, 2016. This policy shall apply to IP created, in whole or in part, by members of the Faculty, members of the college staff, and students on or after the date of adoption by the Board of Trustees.

D. Registry of Agreements and Determinations

The Provost shall maintain a registry of all agreements and final determinations pertaining to Intellectual Property to which this Policy applies. All agreements between creator(s) and the college pertaining to ownership, rights, duties, and obligations of each in IP to which this Policy applies and all final determinations made pursuant to Section III of this Policy shall be deposited in said registry and retained by the Provost.

SECTION III. FACULTY BENEFITS AND SERVICES

Section III-A: Introduction

Faculty benefits are described briefly in this section. More detailed descriptions of most of the benefits are provided to each member of the faculty by the Benefits Office at the time of hire. They are also updated and distributed periodically as required. The College reserves the right to modify, amend, or terminate any policy, practice, or benefit as conditions warrant.

Section III-B: Faculty Payroll Information

New faculty appointees will receive an offer letter from their department chair outlining the terms of the offer. The letter requests that the appointee sign and return the letter to the College in formal acceptance of the offer. The letter is retained in a confidential file in the Dean of the Faculty's office, and the Payroll Office is notified of the new appointment.

Upon notification, the Payroll Office and the Benefits Office send packets of materials to the newly appointed faculty member. Enclosed in the packets are appropriate employment and tax withholding forms, as well as material outlining the College's various insurance and pension programs.

The Employment Eligibility Verification form (I-9) and the Federal (W4) and Massachusetts State (M4) withholding tax forms must be completed and filed with the Payroll Office before the first paycheck can be issued. Deductions for withholding taxes, Social Security/Medicare (FICA), TIAA-CREF, insurance, College mortgage, College rental, and/or Credit Union will be made as appropriate.

Paychecks are issued biweekly. A complete summary of gross pay, withholdings, and net pay will be sent to faculty members each payday. Employees who wish to have their checks mailed to an address other than their home should inform the Dean of the Faculty's Office. Employees can request that part or all of their net pay be directly deposited to any bank(s) with a federal bank routing number that will accept ACH transfers each payday.

Section III-C: Williams College Group Insurance Plan

Introduction

This is a summary description of the benefits that make up the Williams College Group Insurance Plan (the "Plan"). This, together with the policies, certificates, and other materials from insurers, HMOs or other providers that are provided as separate documents, constitute the Summary Plan Description, as required by a federal law known as ERISA (the Employee Retirement Income Security Act of 1974), for your benefits under the Plan. The benefits offered under the plan are health, dental, supplemental life, dependent life, and supplemental long term disability insurance benefits for which the employee pays all or part of the cost; basic life, basic long term disability, and accidental death and dismemberment insurance benefits that are fully paid by the College, as well as an Employee Assistance Program that is fully paid by the College; and the Medical Expense Reimbursement Account (MERA) and Dependent Care Reimbursement Account (DCRA) that permit employees to pay certain expenses on a pre-tax basis.

Policies, certificates, and other detailed benefits descriptions are available without cost in the Benefits Office. The Benefits Office is located in the Office of Human Resources, 100 Spring Street, Second Floor, and can be reached at (413) 597-4355 or (413) 597-4478.

The Summary Plan Description describes only the major features of the Plan. In the event of any inconsistency between the Summary Plan Description and the legal plan documents of the Group Insurance Plan, the legal plan documents will govern.

Eligibility

Effective January 1, 2016 medical, dental, and life insurance benefits will be available to employees, their spouses, and their dependents. Proof of marriage will be required when enrolling spouses. The medical plans cover dependents until the end of the calendar month in which the child turns 26, regardless of IRS tax qualification status, student status, employment status, or marital status.

Faculty and Administrative Staff

Faculty and Administrative Staff members are eligible to participate in the Plan if they have a minimum of a half-time appointment per year.

Support Staff

Support Staff members are eligible to participate in the Plan if they are scheduled to work at least 1300 hours annually, and have an appointment of at least one year.

Temporary Employees

Temporary employees are not eligible to participate in the Plan.

Entry Date

Eligible faculty and staff will be covered immediately upon employment for all Plan benefits except long term disability insurance. There is a one-month service requirement (waiting period) for the basic and optional long term disability insurance coverage. This service requirement will be waived if the eligible employee provides evidence of similar coverage through the group long term disability benefit plan of his or her employer immediately preceding Williams College. This evidence must be submitted within the first month of employment at Williams College.

Open Enrollment Period

Most enrollment changes are permitted ONLY during the annual open enrollment period, which generally occurs in November and takes effect on the following January 1, the start of the new benefit plan year. (For some exceptions

to this rule, see Changes due to Change in Family Status and the accompanying discussion.) Employees who do not initiate a change during open enrollment for health, dental, or optional vision, (supplemental) life and long term disability insurance will automatically continue their coverage **as is** into the next plan year.

IMPORTANT NOTE: Employees MUST reestablish enrollment in DCRA and MERA each year during open enrollment. Thus, your DCRA and MERA coverage choices for one plan year will not automatically carry over into the next plan year. Increases in life insurance coverage are not permitted unless evidence of insurability is provided.

Permitted changes during open enrollment

The following changes are permitted during open enrollment, in addition to changes in life insurance coverage and electing to enroll in the Extended Outpatient Mental Health Benefit.

Health Insurance

1. Participants may choose a different health insurance option or discontinue health insurance coverage.
2. Participants may change the type of coverage, i.e., individual or family.
3. Eligible employees may initiate coverage.

Dental Insurance

1. Participants may change the type of coverage, i.e., individual or family, or they may discontinue dental insurance coverage.
2. Eligible employees may initiate coverage.

Optional Long Term Disability Insurance

1. Eligible employees may initiate coverage, subject to a one-year waiting period for any pre-existing condition.

Vision Insurance

1. Participants may change the type of coverage, i.e., individual or family, or they may discontinue vision insurance coverage.
2. Eligible employees may initiate coverage.

Permitted Changes After Open Enrollment

Changes Due to Change in Family Status

In addition to changes permitted during open enrollment, a participant may change **health, dental, vision, optional long term disability, Medical Expense Reimbursement Account (MERA), and/or Dependent Care Reimbursement Account (DCRA)** coverage during a plan year because of a change in family status. Generally, a participant may change his or her coverage if the change is ***on account of*** and ***corresponds with*** a change in family status that affects ***eligibility*** for coverage. Changes to optional long term disability coverage, however, may be made even if the change in family status does not affect eligibility for long term disability coverage. The participant must notify the Benefits Office within 31 days of the change in family status.

The following table summarizes the events that are known as "changes in family status" and shows the different types of coverage that may be changed for each change in family status. This table is only a summary, however. Whether a change to coverage can be made in any individual instance depends on the particular facts and circumstances of the employee's situation but the change must affect eligibility for the coverage under the plan for which the change is made.

This family status change ...	will generally allow a change in ...
Marriage	health, dental, healthcare flexible spending, dependent care flexible spending, optional Life, LTD, vision
death of a spouse	health, dental, healthcare flexible spending, dependent care flexible spending, optional Life, LTD, vision
divorce, legal separation, or annulment	health, dental, healthcare flexible spending, dependent care flexible spending, optional Life, LTD, vision
change in number of dependents (birth, adoption, placement for adoption, or death)	health, dental, healthcare flexible spending, dependent care flexible spending, optional Life, LTD, vision
change in employment status, such as <ul style="list-style-type: none"> • commencement or termination of employee's, spouse's, or dependent's job • employee, spouse, or dependent switches from part-time to full-time status or from full-time to part-time status 	health, dental, healthcare flexible spending, dependent care flexible spending, optional Life, LTD, vision
dependent satisfies or ceases to satisfy the requirements to be a dependent under the coverage	health, dental, dependent care flexible spending, optional Life, LTD, vision
change of residence	health, dental, dependent care flexible spending, optional Life, LTD, vision

Other Permitted Changes

Employees may also be able to make changes to their coverage elections in the following circumstances:

- The employee, employee's spouse, or employee's dependent elects COBRA continuation of health coverage.
- A judgment, decree or order resulting from a divorce, legal separation, annulment or change in custody requires the employee to include or permits the employee to remove a child from coverage.
- The employee, employee's spouse, or employee's dependent becomes enrolled or loses eligibility for coverage under Part A or B of Medicare.
- The employee takes leave under the Family and Medical Leave Act (FMLA).
- **Changes in Cost.** If the cost of coverage *significantly* increases or decreases during the year, an employee may make certain changes to the coverage he or she has elected. For example, if the cost of coverage that an employee has chosen significantly increases during the year, an employee may choose to (1) make an increase in his or her pre-tax contributions for that coverage, (2) drop that coverage and choose coverage under another Plan option, if any, that provides similar coverage, or (3) drop coverage altogether if no similar coverage exists. If the cost of an option that the employee has not chosen significantly decreases during the year, an employee may elect to enroll in that option during the year, including dropping his or her similar coverage that has not decreased in cost.
- **Changes in Coverage.** If coverage is significantly curtailed, an employee may drop that coverage and elect coverage under another option that provides similar coverage or to drop coverage if no similar coverage option is available. If the significant curtailment amounts to a complete loss of coverage, the employee may also drop coverage altogether if no other similar coverage is available. Further, if the Plan adds or significantly improves a benefit option during the year, an employee may drop his or her current coverage and elect to receive, on a prospective basis, coverage provided by the newly added or significantly improved option, so long as the newly added or significantly improved option provides similar coverage to the coverage that is dropped.

HMO Changes Due to a Temporary Change of Residence

Employees enrolled in an HMO and planning to reside temporarily beyond the local area are advised to consult with the Benefits Office prior to departing. They may need or want to change their health plan. If a change is required, the employee may be allowed to make the change at the time of the move rather than waiting until the next open enrollment period.

The allowable coverage changes described in this section are not intended to serve as a list of all permissible mid-year coverage changes. Please contact the Plan Administrator for more information.

Health Insurance Benefit

Options Available

Eligible faculty and staff may enroll in one of two health insurance options - a health maintenance organization (HMO) or one point of service (POS) plan. A third option, the preferred provider organization (PPO) option, is reserved for eligible faculty or staff residing outside of New England for three months or more. Each health plan option is fully insured by the carrier. Employees may elect either individual or family coverage. Plan summaries are available at <http://hr.williams.edu/benefits/medical-and-dental-group-plans>. Provider directories are available online at the Blue Cross Blue Shield of Massachusetts website or can be obtained from the Benefits Office.

This document does not provide a detailed description of the benefits offered under each health insurance option. The policies, certificates, and other material from the insurer that are separately provided to employees describe those benefits and include details on each option. Along with such material, provider lists or directories are supplied to employees at no charge. These materials are all available in the Benefits Office at no charge.

HMO Option

The HMO option is HMO Blue Value Plus New England. The plan typically pays only for care provided by or authorized by a primary care physician. These features generally result in lower premiums and lower participant out-of-pocket expenses than other types of health plans. Employees must select a primary care physician from among those affiliated with the HMO. HMO Blue Value Plus has their own list of affiliated providers and each may service slightly different geographic areas. The location of the employee's primary residence and his/her choice of primary care physician may determine the HMO choice. Once a Primary Care Physician has been obtained all care must generally take place in the state where the Primary Care Physician is located.

POS Options

The POS options is: Blue Choice Value Plus New England. A POS plan provides access to a network of providers (referred to as in-network or HMO care) plus self-referred services. In-network you receive a higher level of benefits. Self-referred services are subject to an annual deductible and coinsurance. When members self-refer under the Blue Choice Point of Service plan, there are calendar year deductibles of \$250 for an individual and \$500 for a family, then 20% co-insurance. The Out-of-Pocket maximum is \$5,000 per year for an individual and \$10,000 a year for a family. The Out-of-Pocket maximum includes the deductible, the co-insurance and certain copays. Be sure to see the plan summary for details. Members are strongly encouraged to seek referrals and use network providers.

The following table compares the deductible and coinsurance costs for the plan.

Self-Referral Features of the POS Options

Health Plan	Deductible	Coinsurance	Annual Out-of-Pocket Maximum (including coinsurance, deductible and certain copays)
Blue Choice Value Plus	\$250 individual \$500 family	20%	\$ 5,350 individual \$10,700 family

The freedom of choice offered by a POS plan generally results in higher premiums and higher out-of-pocket costs than the HMO options. A POS plan is recommended, and sometimes required, for an employee who resides outside the local area on a permanent or temporary basis.

PPO Option

The PPO option is Blue Care Elect Preferred. In-network you receive a higher level of benefits. Preferred providers are available in Massachusetts and outside of Massachusetts. You can also choose non-preferred (out-of-network) providers, but out-of-pocket expenses are higher. When you choose a non-preferred provider, you must pay a calendar-year deductible for most out-of-network services. The following table illustrates the deductible and coinsurance cost for the PPO plan.

Out of Network Costs for PPO

Health Plan	Deductible	Coinsurance	Annual Out-of-Pocket Maximum (including coinsurance, deductible and certain copays)
Blue Care Elect Preferred	\$ 500 individual \$1000 family	20%	\$ 5,350 individual \$10,700 family

The benefits offered by a PPO plan generally result in higher premiums and higher out-of-pocket costs than the HMO options. A PPO plan is available, and sometimes required, for an employee who resides outside of New England for three months or more.

Health Insurance Costs

Faculty, Administrative and Support Staff can conveniently pay for their share of the health insurance benefit on a pre-tax basis by payroll deduction. (see Pre-tax Premium Payment Plan).

Appendix 1 is a comparison of health and dental costs for the most current year. The College continues to contribute approximately 75% of the average of the individual or family premiums weighted by participation, which results in the same College contribution for all employees choosing individual coverage and the same College contribution for all employees choosing family coverage. The College reserves the right to change, at any time, the percentage of its premium contribution.

Additional Health Insurance Information

Booklets containing more detail about each health plan's benefits and premium information are available without cost in the Benefits Office or online at http://hr.williams.edu/?page_id=131.

Below is the address of each health plan insurer:

Blue Cross Blue Shield of Massachusetts
Landmark Center
401 Park Drive
Boston, MA 02215-3326

Extended Outpatient Mental Health Benefit

Outpatient mental health benefits under the College's different health insurance options are limited. The College, therefore, offers the Extended Outpatient Mental Health Benefit for all eligible employees, spouses and dependents who are covered under a College health insurance plan.

After a participant exhausts the outpatient mental health benefits available under his or her health insurance the College will pay 50% of the next \$700 in outpatient mental health services received in that calendar year. The maximum annual reimbursement is \$350.

Some employees choose not to apply for outpatient mental health benefits available through their health plan. In this case, the employee must pay the first \$625 of outpatient mental health charges during a given year before being eligible for extended benefits. The initial request for reimbursement during a given year must include proof that the first \$625 has been paid, and bills for all subsequent charges. Requests for extended outpatient mental health benefits must be made within 18 months of the date of service.

The College reserves the right to change at any time the amount it will pay for extended outpatient mental health benefits.

How to Apply for Benefits

Requests for extended outpatient mental health benefits should be submitted to the Benefits Office. Employees must submit the Explanation of Benefits from the health insurance provider as proof that the health insurance outpatient mental health benefits provided by the employee's health plan have been exhausted and itemized paid receipts for the services in question.

Dental Insurance Benefit

This is a self-insured plan administered by Blue Cross Blue Shield of Massachusetts and pays for dental care provided by a Dental Blue network of dentists, and by non-network dentists in Massachusetts and out-of-state. Usually employees pay lower out-of-pocket expenses when they use Dental Blue network dentists, and higher out-of-pocket expenses when they use non-network dentists. Also, network dentists will bill Dental Blue for the patient. The patient generally will be required to file a claim for care provided by a non-network dentist.

There are maximum amounts that Dental Blue will pay for each specific dental service. The amounts are based on reasonable and customary charges by area dentists. Network dentists have agreed their charges will not exceed the Dental Blue maximums. However, depending on the service provided, payment by Dental Blue may be subject to deductibles and coinsurance. The maximum annual benefit for each covered person under this plan is \$2,000. Here is a summary of covered services:

Summary of Covered Dental Services

Dental Benefit	Participant Contribution
Preventive care (i.e. routine exams, cleanings, x-rays)	0% of covered services
Basic Restorative Care (i.e., extractions, fillings, root canals)	20% of covered services*
Major Restorative Care (i.e. crowns, dentures, bridges, and single tooth implants)	50% of covered services*
Orthodontia for covered family members under age 19	Plan pays 100% up to lifetime maximum (\$1500 per covered family member)

*Annual deductible must be met before benefit is paid: \$50 per person, maximum \$150 per family.

Dependent and Student Benefits for Dental Blue

When a dependent child marries or turns 23, coverage under his or her parent's family membership ends. A disabled child over age 23 may qualify for continued coverage under a family membership.

Dental Insurance Costs

Faculty, Administrative and Support Staff can conveniently pay for their share of the health insurance benefit on a pre-tax basis by payroll deduction. (see Pre-tax Premium Payment Plan).

Appendix 1 shows the costs for the most current year. The College pays 75% of the Dental Blue full individual or family premium; the employee pays 25%. The College reserves the right to change at any time the amount it will pay for the dental benefit.

Voluntary Vision Benefit

Eligible faculty and staff may enroll in the vision plan. The College does not make contributions on behalf of the employee. However, eligible Faculty, Administrative and Support Staff can conveniently pay for their share of the vision plan premiums on a pre-tax basis by payroll deduction.

Coverage Levels

Enrollment options include employee only, employee + 1 (or spouse), employee + children, and family.

Coverage Details

Vision Benefits	2016 The Standard Balance Care Vision III
Exam Frequency	Use medical plan for annual exams
Lenses	1 x 12 months
Frames	1 x 24 months
Single Vision Lens	Plan pays \$60
Bifocal	Plan pays \$80
Trifocal	Plan pays \$95
Progressive Lens	Plan pays \$100
Contacts: Elective	Plan pays \$160 (cannot do contacts, standard lenses & frames in same year)
Frames	Plan pays \$100

Vision Plan Costs

Faculty, Administrative and Support Staff can conveniently pay for their share of the vision insurance benefit on a pre-tax basis by payroll deduction. (see Pre-tax Premium Payment Plan).

Appendix 1 shows the costs for the most current year.

Healthcare Flexible Spending Account

The Healthcare FSA allows participants to pay for eligible medical expenses with pre-tax dollars through automatic payroll deduction. The College will credit the amount deducted from a participant's pay to a bookkeeping account, and the participant may draw on the account to reimburse himself or herself for eligible medical expenses. By using pre-tax dollars instead of after-tax dollars to pay for eligible medical expenses, participants lower their taxable income. This results in tax savings.

Participants can use Healthcare FSA to pay for medical expenses that may not be covered by insurance, such as co-payments for doctor's visits, insurance deductibles or elective procedures. Participants may also use the account to pay for such things as dental and orthodontia expenses, eyeglasses, contact lenses, prescription drugs, and certain over-the-counter drugs for which the participant obtains a prescription. The expenses may be for the participant, the participant's qualifying spouse, or participant's qualifying dependents as defined by the IRS. A list of some sample expenses the IRS considers qualifying expenses appears in Appendix 4.

Information about the Healthcare FSA including instructions for renewing your account or setting up a new account can be found here <http://hr.williams.edu/benefits/flexible-spending/>.

The IRS requires an annual enrollment for all Healthcare FSA accounts. On line enrollment must be completed by **December 10, 2014**. To participate, eligible faculty and staff must determine how much to elect to put in their account for the calendar year. The minimum election is \$100 and the maximum is \$2,550 (effective 1/1/14). This

total will be deducted in equal amounts twenty-four times each calendar year on a pre-tax basis.

The amount of the annual election must remain fixed for the entire plan year unless a participant has a change in family circumstances or other allowable change (see Benefit Changes Permitted in Addition to Changes Permitted at Open Enrollment).

An important point to remember: **Federal tax regulations require that if a participant does not use all of his or her annual election for qualifying expenses, the unused portion must be forfeited. Therefore, it is important that participants estimate their qualifying medical and dental expenses very carefully. Effective 1/1/2014, employers that offer Healthcare FSA programs have the option of allowing participants to roll over up to \$500 of unused funds at the end of the plan year. Williams had decided to amend our plan for 2014 which will allow carry over into 2015, and in future years.**

At any time during the year, a participant may receive reimbursement up to the maximum amount that the participant has chosen to contribute to his or her account for the year, minus any amounts that have already been reimbursed for the year. The participant may receive this maximum amount even if that is more than the amount that the participant has contributed for the year at the time that the participant seeks reimbursement. For example, assume that a participant chooses to contribute \$1,200 for the year (\$100 per month) to his or her account, has contributed \$500 through the end of May, and incurs a qualifying medical expense of \$800 in May. The participant may receive reimbursement for the entire \$800 expense even though there is only \$500 in the participant's account at the time. The participant could seek reimbursement for the remaining \$400 of other expenses (\$1,200 minus \$800) during the rest of the year. If a participant stops working at the College before the end of the year, the College will bear the loss resulting from any shortfall between the reimbursements paid to the participant and what the participant has contributed to his or her account for the part of the year that he or she worked at the College.

How to Apply for Benefits

When participants have a qualifying expense during the calendar year, they may use the PayFlex HealthHub Flex Card at the point of service or submit a claim form with a receipt reflecting the medical expense directly to PayFlex for reimbursement. Claims may be filed as often as the participant wishes and will be reimbursed by PayFlex. Claim forms are available in the PayFlex HealthHub website online Document Library <https://www.payflex.com/>. See also Benefits Claims Procedures.

In order for an expense to qualify for reimbursement from a given calendar year's contribution, it must be incurred during the same plan year. All claims for reimbursement must be submitted by March 31 of the year after the plan year ends. Receipts for a claims should be kept in case PayFlex requires them or the IRS.

If a participant leaves the College during the year, he or she has three months after the end of the calendar year to submit claims for expenses incurred before the date he or she left.

Dependent Care Reimbursement Account (DCRA)

The Dependent Care Reimbursement Account (DCRA) assists employees of Williams College in paying for work related dependent care expenses on a tax-free basis. The IRS requires an annual enrollment for all Healthcare FSA account. PayFlex online enrollment for the 2015 plan year must be completed by **December 5, 2014**.

Information about DCRA including instructions for renewing your account or setting up a new account can be found here <http://hr.williams.edu/benefits/flexible-spending/>.

Participants may elect to set aside from \$100 to \$5,000 from their annual salary to pay dependent care expenses that are necessary for the employee to work. The amount of salary put in a DCRA is excluded from gross taxable income for federal and state income and Social Security tax purposes. Participants may draw on their DCRA account for the

reimbursement of dependent care expenses throughout the calendar year. The expenses that may be reimbursed include expenses for services inside and outside the home, as well as expenses for services necessary for the care of both dependent children and dependent adults.

Visit <https://www.healthhub.com/ConsumerCenter/PlanningTools/EligibleExpenseItems.aspx> DCRA Qualifying Expenses for a list of examples of eligible expenses.

The amount of the annual DCRA election must remain fixed for the entire year unless a participant has a change in family circumstances or other allowable change (see Benefit Changes Permitted in Addition to Changes Permitted at Open Enrollment).

An important point to remember: Federal tax regulations require that if a participant's total annual reimbursements do not deplete his or her annual DCRA account, the balance or unused portion must be forfeited. Therefore, it is important that each participant estimate his/her qualifying annual dependent care expenses very carefully.

Expense Limits

There are limits on the amount of dependent care expenses that can be paid through the DCRA account. These limits apply to the expenses paid through this plan and the amount of any similar reimbursements or child care subsidies an employee's spouse receives from a similar account with his or her employer. The maximum limits differ for married people and for single people.

- The limit for single employees is the employee's annual salary or \$5,000, whichever is less.
- The limit for married employees who file a joint tax return is the employee's salary for the year, the spouse's salary for the year, or \$5,000, whichever of the three is less.
- The limit for employees who are married but file separate tax returns is the employee's salary for the year or \$2,500, whichever is less.

Important details about an individual's DCRA expense limits are available in the Benefits Office.

Comparison with Dependent Care Tax Credit

Some full-time Williams College employees may benefit from the federal dependent care income tax credit over the DCRA. Employees, especially those who are part-time, should compare the benefits of the DCRA with those of the federal dependent care income tax credit before enrolling in the DCRA. The tax credit applies to the same expenses as are eligible for reimbursement through the DCRA account. However, there are differences between the two tax benefits. Each individual's financial circumstance will dictate whether the dependent care tax credit is more beneficial than DCRA. These factors must be considered: (1) the amount of one's annual dependent care expenses, (2) the employee's (and spouse's) gross income, (3) current income and social security tax rates, and (4) state tax treatment of dependent care expenses. Employees who are unsure whether to use DCRA or claim the federal dependent care income tax credit should consult their tax advisors.

Required Tax Forms

Employees who have participated in the DCRA plan for a particular calendar year must file Form 2441 with their tax returns for that year. Further, employees are encouraged to keep on file Form W-10 (Dependent Care Provider's Identification and Certification).

How to Apply for Benefits

Claims may be filed as frequently as desired by using the PayFlex HealthHub Flex Card or submitting claim forms

directly to PayFlex. accompanied by receipts. The amount to be reimbursed is the lesser of the amount of the claim or the balance of the participant's account. Claim forms are available online [es.aspx](https://www.payflex.com/es.aspx).

See <https://www.payflex.com/> also Benefits Claims Procedures.

All claims for reimbursement must be submitted within three months of the end of the plan year (by March 31). If a participant leaves the College during the year, he or she also has three months after the end of the plan year (by March 31) to submit claims for DCRA expenses incurred before the date he or she has terminated employment.

Life Insurance and Accidental Death & Dismemberment Benefit (AD&D)

All eligible faculty and staff are automatically covered under the College's basic group life insurance and accidental death and dismemberment plan and may choose to be covered under the supplemental life insurance plan. To be covered, under the supplemental life insurance plan, employees must complete an enrollment form within 31 days of hire or eligibility, whichever comes later, although employees may enroll at a later time, with some restrictions. More information about this benefit may be obtained from the Benefits Office.

Life insurance for dependents is available only for those employees who choose supplemental life insurance for themselves.

Basic Life Insurance and Accidental Death and Dismemberment Benefits

The College pays the full cost for eligible employees' basic coverage, in the amount of \$50,000. The employee must complete an enrollment form designating a beneficiary. The basic coverage is not taxable.

An employee's basic coverage will be reduced to the following amounts on the July 1 which occurs on or next follows the date you attain:

Age	Amount of Life Insurance
65	\$41,000
70	\$27,000
75	\$18,000
80	\$13,500
85	\$10,500
90	\$ 8,500
95	\$ 6,000

Supplemental Life Insurance Plan

Faculty, Administrative and Support Staff wanting more than the basic life insurance coverage may purchase supplemental life insurance. Appendix 2 is a Supplemental Life Insurance Worksheet (PDF file) is a worksheet that may assist in determining the amount of life insurance one needs. The amount of supplemental life insurance must equal a whole multiple of the employee's salary, from one through five, with a maximum benefit of \$1,000,000.

Salary means:

- **Faculty:** contract salary plus salary supplement for department/program chairs
- **Administrative Staff:** contract salary
- **Support Staff:** base pay (overtime pay is excluded)

No medical evidence of insurability is required for supplemental life insurance requests equal to one, two, and three times an employee's salary, with a maximum benefit of \$300,000, as long as application is made within 31 days of

eligibility or hire, whichever comes later. Requests for supplemental coverage greater than \$300,000 or amounts equal to four or five times an employee's salary require evidence of insurability satisfactory to the insurance carrier, as does the entire amount of coverage if application is made more than 31 days after an employee's date of hire or eligibility.

The employee's optional life insurance amounts will be reduced by the following percentages on the July 1 which occurs on or next follows the date you attain age 65. Reductions beyond age 65 are calculated as an additional percentage of what was reduced at age 65.

Age	Reduction
65	18%
70	35%
75	35%
80	25%
85	25%
90	25%
95	25%

Supplemental Life Insurance Cost

The amount an employee pays for supplemental life insurance is based upon his or her age and will increase as the employee ages. Appendix 3 is a Cost Calculation Form (PDF file), which includes the rates for each age group. This form may be used to help calculate the monthly cost for the desired amount of supplemental life insurance. This premium will be deducted from the employee's pay on an after-tax basis. ***Because supplemental life insurance is a multiple of salary, the amount of coverage and the premium will change each July 1, when salaries change or when a salary status change occurs.***

Dependent Life Insurance

Life insurance for dependents is available only for those employees who choose supplemental life insurance for themselves. The premium will be deducted from the employee's pay on an after-tax basis.

Employees may cover their spouse or same-sex domestic partner for one of the following amounts, not to exceed 50% of the amount of supplemental life insurance on the employee: **\$10,000, \$20,000, \$30,000, \$40,000, or \$50,000.** Evidence of insurability satisfactory to the insurance carrier is not required if an employee wants to cover a spouse or same-sex domestic partner and applies for coverage within 31 days of the employee's date of hire or eligibility, whichever comes later. With some exceptions, evidence of insurability will be required if an employee wants to cover a spouse or same-sex domestic partner but application for coverage is made after the 31-day period.

The Cost Calculation Form (PDF file), in Appendix 3 may be used to help calculate the monthly cost for spouse/same-sex domestic partner life insurance. This cost is a function of the ***employee's age***, not the spouse/same-sex domestic partner's age.

Any Faculty, Administrative Staff or Support Staff member may also purchase dependent life insurance on their dependent child(ren) between the ages of 15 days and 23 years, although certain rules regarding financial support and schooling apply for dependents who are 19 or older. An employee may also be able to cover a disabled child who is 19 or older and is dependent on the employee for financial support. The amount of life insurance available is \$5,000 per dependent who is 6 months of age or older, and \$100 per dependent who is at least 15 days old but less than 6 months old.

Changing Life Insurance Coverage

Employees purchasing supplemental life insurance may, at any time, decrease or stop their coverage, by submitting their request in writing to the Benefits Office.

To increase supplemental life insurance coverage after the initial 31 days of eligibility, employees must provide evidence of insurability to the insurance company. Evidence of insurability will not be required in certain cases where an employee wants to add spousal coverage within 31 days after the birth of the employee's first child, and in certain cases where a spouse or dependent has lost other life insurance coverage provided by another employer. Requests for supplemental coverage greater than \$300,000 or amounts equal to four and five times an employee's salary require evidence of insurability satisfactory to the insurance carrier up to a maximum of \$1,000,000.

The Accelerated Death Benefit

The accelerated death benefit allows early payment of life insurance on a covered employee or dependent who is diagnosed as terminally ill with a life expectancy of 12 months or less. Details about the accelerated death benefit are available in the Benefits Office.

How to Apply for Life Insurance Benefits

To file a claim for life insurance benefits, the beneficiary should make a written request for benefits, accompanied by an original copy of the death certificate. This request should be forwarded to the Benefits Office as soon as reasonably possible. When a claim for supplemental life insurance is requested, the calculation will be made based upon the employee's salary when a leave of absence/sabbatical begins and does not incorporate any salary increases while on a leave of absence/sabbatical.

Converting Life Insurance

Employees may convert their group life insurance (not including AD&D) to a conversion policy within 31 days after termination of employment. Details are described in the Group Life Insurance Certificate. Employees can also contact the insurance carrier directly for more information.

Accidental Death and Dismemberment Benefits

Employees are automatically covered for up to \$50,000 of accidental death, dismemberment, and loss of sight benefits. An employee's AD&D coverage will be reduced to the following amounts on the July 1 which occurs on or next follows the date you attain:

Age	Amount of AD&D Coverage
65	\$41,000
70	\$27,000
75	\$18,000
80	\$13,500
85	\$10,500
90	\$ 8,500
95	\$ 6,000

Under AD&D coverage, an employee will receive a benefit if he or she suffers an accidental injury, where the injury or loss occurs within 365 days after the date of the accident. No benefit will be paid for a loss or injury caused by or contributed to by: sickness, disease, or medical treatment for sickness or disease; infection; war; an injury received while in the armed service of a country which is at war or engaged in armed conflict; any intentionally self-inflicted

injury, including a suicide attempt; taking drugs, unless they are administered by a licensed physician; or the injured person's intoxication.

Benefits include the following:

INJURY OR LOSS	BENEFIT
Loss of life	\$50,000
Loss of a hand	\$25,000
Loss of a foot	\$25,000
Loss of an eye	\$25,000
Loss of speech or hearing	\$25,000
Loss of thumb and index finger on either hand	\$12,500
Quadriplegia	\$50,000
Loss of movement of three limbs	\$37,500
Loss of movement of legs (paraplegia)	\$37,500
Loss of movement of both upper and lower limbs on one side of the body	\$25,000
Loss of movement of one limb	\$12,500
More than one of the above resulting from one accident	The lesser of \$50,000 or the sum of benefits payable for each loss

In certain situations, the above benefit will be increased if an employee sustains an injury or loss while riding in an automobile while wearing a seat belt or while riding in an automobile in which an air bag deploys.

For detailed information, see the Basic Life Group Benefit Plan Document (PDF file) and Supplemental Life Group Benefit Plan Document (PDF file)

Long Term Disability Insurance

All eligible faculty and staff are covered under the College's basic group long-term disability (LTD) insurance plan and may choose to be covered under the plan's supplemental option. Coverage under both the basic plan and the supplemental option is available after a one-month waiting period, beginning on the employee's service date. This waiting period may be waived if the employee submits proof that he or she was covered by a group LTD plan within the three months prior to employment at Williams. To be covered, employees must complete an enrollment form within 31 days of hire or eligibility, whichever comes later. Specific details about the LTD insurance plan may be found in the Long Term Disability Insurance Certificate.

Basic LTD Insurance

The College pays the full cost for an eligible employee's basic LTD coverage. This coverage will provide an employee who has been disabled for a period of 180 days¹ with 60% of his or her monthly base salary in effect at the onset of his or her disability, offset by payments from other sources described below. The maximum monthly benefit under the Basic LTD insurance is \$8,000 and the minimum monthly benefit is \$100. Because the College pays the premium for this portion of the coverage, the monthly benefit is considered taxable income.

There is a one-year waiting period for LTD benefits for pre-existing conditions. This means that no LTD benefit will be payable for any disability that is due to, is contributed to by, or results from a pre-existing condition unless that

¹ The College's Short-Term Disability policy provides benefits during the first 180 days of disability and is described in each of the Faculty, Administrative and Support Staff Handbooks.

disability *begins* after the employee has been insured under the LTD plan for one year.

Supplemental LTD Insurance

Eligible employees may elect to purchase supplemental LTD insurance either during their first 31 days of eligibility or during any annual open enrollment period, subject to a one-year waiting period for pre-existing conditions. Employees may also purchase supplemental coverage if they have a change in family circumstances or other allowable change (see Benefit Changes Permitted in Addition to Changes Permitted at Open Enrollment). Supplemental coverage increases the monthly benefit to 70% of salary in effect at the onset of the disability, offset by payments from other sources described below. The maximum monthly benefit under the supplemental plan, inclusive of the basic plan, is \$10,000. The employee pays the full cost of the supplemental insurance, and the cost is a function of the employee's salary. The employee's cost for supplemental long-term disability insurance will be calculated by the Benefits Office upon request. The premium is deducted from the employee's pay on an after-tax basis. Because the employee pays the full cost of the supplemental insurance on an after-tax basis, this portion of the monthly benefit is **not** considered taxable income when paid to the employee.

Duration of Benefits

If a participant becomes disabled prior to age 63, LTD benefits will be paid up until he or she reaches his or her Social Security Normal Retirement Age or for 42 months, whichever is greater. If a participant becomes disabled while age 63, LTD benefits will be paid up until he or she reaches his or her Social Security Normal Retirement Age or for 36 months, whichever is greater. If a participant becomes disabled at age 64, LTD benefits will be paid for 30 months; at age 65, for 24 months; at age 66, for 21 months; at age 67, for 18 months; at age 68, for 15 months; and at age 69 or older, for 12 months.

The LTD monthly benefit may increase to take into account cost of living increases.

Deductible Sources of Income

The amount of benefit payable under this plan during a period of disability will be reduced by any of the following sources of income paid to you for the same period: disability or impairment benefits you receive under workers' compensation, benefits from another disability insurance plan, and amounts that you, your spouse and children receive under Social Security. Please refer to the group insurance booklet for details on these and other deductible sources of income.

Pension Plan Contributions

Contributions to the core Retirement Income Plan ONLY will continue for the period of time you receive LTD benefits. Neither College nor employee contributions to the matching plan are permitted during a period of long-term disability.

Death Benefit

Should you die while receiving LTD benefits, a death benefit equal to three times your monthly disability payment will be paid to your eligible survivor.

Converting the LTD Policy

Employees may be eligible to convert their LTD coverage to another group LTD policy if the College's LTD coverage ends because, for example, an employee has terminated employment, and if the employee has been insured under the College's LTD plan for at least one year. Details are described in the Long Term Disability Certificate.

How to Apply for Benefits

Employees should contact the Benefits Office as soon as it may be reasonably determined that their disability will extend beyond 180 days. An application for benefits requires that information be provided by the College, the

employee, and the employee's physician(s). The application process can take 30-60 days and employees are encouraged to request the LTD application at the beginning of the fifth month of disability to ensure timely processing. Additional information about this process is available in the Benefits Office.

For detailed information, see the LTD Group Benefit Plan Document (PDF file)

Employee Assistance Program (EAP)

An Employee Assistance Program (EAP) provides confidential and voluntary counseling referral services free of charge to employees and members of their family household. The EAP does not share any information about employee's/family household member's involvement or use of services without the employee's/family household member's prior knowledge and written permission, except as may be required by law.

The College is concerned about the well-being of its employees and their family members and provides this voluntary program at no cost to you. However, you may be responsible for any costs outside the EAP sessions, such as for services by referred providers. Your EAP counselor will talk about these costs with you before outside services are used. Your health insurance plan may cover some or all of these expenses. When an employee or family member contacts the EAP, the EAP staff will help set up an appointment with a professional EAP counselor. A decision will be reached as to the best approach to resolve a particular problem. Many problems can be resolved or improved through short-term counseling. If necessary, recommendations for additional counseling may occur. The EAP can be reached by calling 1-800-828-6025, 24 hours a day, 7 days a week.

The EAP itself provides assessment and referral services and also short-term counseling. These services are available for personal problems and concerns such as domestic violence, eating disorders, anxiety or grief, marital relationships, parenting, stress, and work performance.
www.lifescopееap.com.

Benefits for Early Retirees and Retirees

Health and Dental Insurance

Eligible Faculty, Administrative and Support Staff whose combined age and years of service total 75 and who retire from Williams at age 58 or older may continue to participate in College health and dental insurance plans on the same basis as active employees until they reach age 65.

If, when the early retiree reaches age 65, his or her spouse is younger than 65, the spouse may continue coverage until he or she attains the age of 65, or for 10 years, whichever occurs first. The spouse must pay the full premium for this continued coverage.

Life Insurance

Eligible early retirees may continue basic and supplemental life insurance in force at the time of retirement until age 65. The College will continue to pay for the basic insurance of \$50,000 and the early retiree will continue to pay for supplemental life insurance. At 65 supplemental coverage stops and the basic coverage reduces to \$5,000. Details about benefits available to early retirees are described in the *Faculty Handbook*, the *Administrative Staff Handbook* and the *Support Staff Handbook*.

Extending Health-Related Benefits Under COBRA

This section contains important information about your right to COBRA continuation coverage, which is a temporary extension of coverage under the Williams College Group Insurance Plan. This section generally explains COBRA continuation coverage, when it may become available to you and your family, and what you need to do to protect the right to receive it. This section applies only to the following benefits: Health Insurance Benefit, Extended

Outpatient Mental Health Benefit, Dental Insurance Benefit, MERA, and Employee Assistance Program. For this section, each of these benefits will be referred to as the "plan."

The right to COBRA continuation coverage was created by a federal law, the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA). COBRA continuation coverage can become available to you when you would otherwise lose your group health coverage under the plan. It can also become available to other members of your family who are covered under the plan when they would otherwise lose their group health coverage.

What is COBRA Continuation Coverage?

COBRA continuation coverage is a continuation of plan coverage when coverage would otherwise end because of a life event known as a "qualifying event." Federal law requires that the plan give employees and their families the opportunity to elect COBRA continuation coverage when there is a "qualifying event." Specific qualifying events are listed later in this section. After a qualifying event, COBRA continuation coverage must be offered to each person who is a "qualified beneficiary." You, your spouse, and your dependent children could become qualified beneficiaries if coverage under the plan is lost because of the qualifying event. Under the plan, qualified beneficiaries who elect COBRA continuation coverage must pay for COBRA continuation coverage.

COBRA continuation coverage is the same coverage that the plan gives to other participants or beneficiaries under the plan who are not receiving continuation coverage. Each qualified beneficiary who elects continuation coverage will have the same rights under the plan as other participants or beneficiaries covered under the plan, including open enrollment and any special enrollment rights.

If you do not choose COBRA continuation coverage, your coverage under the plan will end with the date you would otherwise lose coverage.

If you are an employee, you will become a qualified beneficiary if you lose your coverage under the plan because either one of the following qualifying events happens:

- Your hours of employment are reduced, or
- Your employment ends for any reason other than your gross misconduct.

If you are the spouse of an employee, you will become a qualified beneficiary if you lose your coverage under the plan because any of the following qualifying events happens:

- Your spouse dies;
- Your spouse's hours of employment are reduced;
- Your spouse's employment ends for any reason other than his or her gross misconduct;
- Your spouse becomes entitled to Medicare benefits (under Part A, Part B, or both); or
- You become divorced or legally separated from your spouse.

Your dependent children will become qualified beneficiaries if they lose coverage under the plan because any of the following qualifying events happens:

- The parent-employee dies;
- The parent-employee's hours of employment are reduced;
- The parent-employee's employment ends for any reason other than his or her gross misconduct;
- The parent-employee becomes entitled to Medicare benefits (Part A, Part B, or both);
- The parents become divorced or legally separated; or
- The child stops being eligible for coverage under the plan as a "dependent child."

Sometimes, filing a proceeding in bankruptcy under title 11 of the United States Code can be a qualifying event. If a

proceeding in bankruptcy is filed with respect to the College, and that bankruptcy results in the loss of coverage of any retired employee covered under the plan, the retired employee will become a qualified beneficiary with respect to the bankruptcy. The retired employee's spouse, surviving spouse, and dependent children will also become qualified beneficiaries if bankruptcy results in the loss of their coverage under the plan.

When COBRA Coverage Is Available

The plan will offer COBRA continuation coverage to qualified beneficiaries only after the Plan Administrator has been notified that a qualifying event has occurred. When the qualifying event is the end of employment or reduction of hours of employment, death of the employee, commencement of a proceeding in bankruptcy with respect to the employer, or the employee's becoming entitled to Medicare benefits (under Part A, Part B, or both), the employer must notify the Plan Administrator of the qualifying event.

You Must Give Notice of Some Qualifying Events

For the other qualifying events (divorce or legal separation of the employee and spouse or a dependent child's losing eligibility for coverage as a dependent child), you must notify the Plan Administrator within 60 days after the qualifying event occurs. You must provide this notice in the manner specified below in "How to Provide Notices to the Plan Administrator."

How COBRA Coverage Is Provided

Once the Plan Administrator receives notice that a qualifying event has occurred, COBRA continuation coverage will be offered to each of the qualified beneficiaries. Each qualified beneficiary will have an independent right to elect COBRA continuation coverage. Covered employees may elect COBRA continuation coverage on behalf of their spouses, and parents may elect COBRA continuation coverage on behalf of their children.

How long COBRA Coverage Will Last

COBRA continuation coverage is a temporary continuation of coverage. When the qualifying event is the death of the employee, the employee's becoming entitled to Medicare benefits (under Part A, Part B, or both), your divorce or legal separation, or a dependent child's losing eligibility as a dependent child, COBRA continuation coverage lasts for up to a total of 36 months. When the qualifying event is the end of employment or reduction of the employee's hours of employment, and the employee became entitled to Medicare benefits less than 18 months before the qualifying event, COBRA continuation coverage for qualified beneficiaries other than the employee lasts until 36 months after the date of Medicare entitlement. For example, if a covered employee becomes entitled to Medicare 8 months before the date on which his employment terminates, COBRA continuation coverage for his spouse and children can last up to 36 months after the date of Medicare entitlement, which is equal to 28 months after the date of the qualifying event (36 months minus 8 months). Otherwise, when the qualifying event is the end of employment or reduction of the employee's hours of employment, COBRA continuation coverage generally lasts for only up to a total of 18 months.

There are two ways in which the 18-month period of COBRA continuation coverage can be extended:

- **Disability extension of 18-month period of continuation coverage**

If you or anyone who is a qualified beneficiary covered under the plan is determined by the Social Security Administration (SSA) to be disabled following an employee's termination of employment or reduction of hours and any qualified beneficiary notifies the Plan Administrator in a timely fashion, you and each qualified beneficiary may be entitled to receive up to an additional 11 months of COBRA continuation coverage, for a total maximum of 29 months. Each qualified beneficiary who has elected continuation coverage will be entitled to the 11-month disability extension if one of them is determined by SSA to be disabled. The disability would have to have started at some time before the 60th day of COBRA continuation coverage and must last at least until the first day of continuation coverage. You must notify the Plan Administrator of a disability in order to extend the period of continuation coverage. You must

notify the Plan Administrator of the disability within 60 days after the date of SSA's disability determination and before the date that the qualified beneficiary loses, or would lose, plan coverage as a result of a qualifying event. Failure to provide notice of a disability may affect the right to extend the period of COBRA continuation coverage. If the qualified beneficiary is determined by SSA to no longer be disabled, you must notify the Plan Administrator of that fact within 30 days after SSA's determination. You must provide the two notices described in this paragraph in the manner specified below in "How to Provide Notices to the Plan Administrator."

- **Second qualifying event extension of 18-month period of continuation coverage**

If your family experiences another qualifying event while receiving 18 months of COBRA continuation coverage, your spouse and dependent children in your family can get up to 18 additional months of COBRA continuation coverage, for a maximum of 36 months, if notice of the second qualifying event is properly given to the Plan Administrator. This extension may be available to the spouse and any dependent children receiving continuation coverage if the employee or former employee dies, becomes entitled to Medicare benefits (under Part A, Part B, or both), or gets divorced or legally separated, or if the dependent child stops being eligible under the plan as a dependent child, but only if the event would have caused the spouse or dependent child to lose coverage under the plan had the first qualifying event not occurred. In order to extend the period of COBRA continuation coverage, you must notify the Plan Administrator of a second qualifying event within 60 days after the later of the date the second qualifying event occurs or the date you would lose coverage on account of the qualifying event. Failure to provide notice of a second qualifying event may affect the right to extend the period of continuation coverage. You must provide this notice in the manner specified below in "How to Provide Notices to the Plan Administrator."

COBRA continuation coverage will be terminated before the end of the maximum period if:

- any required premium is not paid in full on time,
- a qualified beneficiary becomes covered, after electing COBRA continuation coverage, under another group health plan that does not impose any pre-existing condition exclusion for a pre-existing condition of the qualified beneficiary,
- a qualified beneficiary becomes entitled to Medicare benefits (under Part A, Part B, or both) after electing COBRA continuation coverage, or
- the College ceases to provide any group health plan for its employees.

Continuation coverage may also be terminated for any reason the plan would terminate coverage of a participant or beneficiary not receiving continuation coverage (such as fraud).

Electing COBRA continuation coverage

To elect continuation coverage, you must complete the election form that you will receive and furnish it according to the directions on the form. You have 60 days from the date you would lose coverage for one of the reasons described above or the date you are sent notice of your right to elect continuation coverage, whichever is later, to inform the Plan Administrator that you wish to continue coverage. Failure to return the election form within the 60-day period will be considered a waiver, and you will not be allowed to elect continuation coverage.

Each qualified beneficiary has a separate right to elect COBRA continuation coverage. For example, the employee's spouse may elect continuation coverage even if the employee does not. Continuation coverage may be elected for only one, several, or for all dependent children who are qualified beneficiaries. A parent may elect to continue coverage on behalf of any dependent children. The employee or the employee's spouse can elect continuation coverage on behalf of all of the qualified beneficiaries. In considering whether to elect COBRA continuation coverage, you should take into account that a failure to continue your group health coverage will affect your future rights under federal law. First, you can lose the right to avoid having pre-existing condition exclusions applied to

you by other group health plans if you have more than a 63-day gap in health coverage, and election of continuation coverage may help you not have such a gap. Second, you will lose the guaranteed right to purchase individual health insurance policies that do not impose such pre-existing condition exclusions if you do not get continuation coverage for the maximum time available to you. Finally, you should take into account that you have special enrollment rights under federal law. You have the right to request special enrollment in another group health plan for which you are otherwise eligible (such as a plan sponsored by your spouse's employer) within 30 days after your group health coverage ends because of the qualifying event listed above. You will also have the same special enrollment right at the end of continuation coverage if you get continuation coverage for the maximum time available to you.

How much does COBRA continuation coverage cost?

Generally, each qualified beneficiary will be required to pay the entire cost of COBRA continuation coverage. The amount a qualified beneficiary may be required to pay may not exceed 102 percent (or, in the case of an extension of continuation coverage due to a disability, 150 percent) of the cost to the plan (including both employer and employee contributions) for coverage of a similarly situated plan participant or beneficiary who is not receiving continuation coverage.

When and how must payment for COBRA continuation coverage be made?

- **First payment for continuation coverage**

If you elect continuation coverage, you do not have to send any payment with the election form. However, you must make your first payment for continuation coverage not later than 45 days after the date of your election. (This is the date the election notice is post-marked, if mailed.) If you do not make your first payment for continuation coverage in full within 45 days after the date of your election, you will lose all continuation coverage rights under the plan. You are responsible for making sure that the amount of your first payment is correct.

- **Periodic payments for continuation coverage**

After you make your first payment for continuation coverage, you will be required to make periodic payments for each subsequent coverage period. The periodic payments can be made on a monthly basis. If you make a periodic payment on or before the first day of the coverage period to which it applies, your coverage under the plan will continue for that coverage period without any break.

- **Grace periods for periodic payments**

You will be given a grace period of 30 days after the first day of the coverage period to make each periodic payment. Your continuation coverage will be provided for each coverage period as long as payment for that coverage period is made before the end of the grace period for that payment. If you fail to make a periodic payment before the end of the grace period for that coverage period, you will lose all rights to continuation coverage under the plan.

How COBRA Applies to the Medical Expense Reimbursement Account (MERA)

COBRA permits you and other qualified beneficiaries to continue to participate in the MERA through the end of the calendar year after a qualifying event occurs *only if*, as of the date of the qualifying event, you are entitled to receive a MERA benefit during the remaining portion of the calendar year that is greater than the maximum amount (the COBRA premium) that the MERA would be permitted to require you to pay for the remaining portion of the calendar year. For example, assume you elect to deduct \$100 per month (\$1200 per year) under the MERA. Assume further that as the date of a qualifying event on May 31 you have submitted \$300 of reimbursable expenses. The MERA would be required to offer COBRA to you because your remaining annual maximum MERA benefit of \$900 (\$1200 - \$300) is greater than the \$714 (7 months x 1/12 of annual premium of \$1200 x 102%) charge permitted by COBRA for your MERA coverage for the remaining portion of the calendar year. If, instead, however, you had submitted \$1,000 of reimbursable expenses, you would not be entitled to elect COBRA for the MERA. Please contact the Plan Administrator for more information on how COBRA applies to the MERA.

How to Provide Notices to the Plan Administrator

You must provide notices to the Plan Administrator, in writing, in the following manner:

- **Who May Provide the Notice:** The covered employee, or anyone who is a qualified beneficiary with respect to the qualifying event, or a representative acting on behalf of the covered employee or the qualified beneficiary.
- **Send by mail or deliver the notice to:**
Williams College Office of Human Resources
100 Spring Street, Suite 201
Williamstown, MA 01267
(413) 597-4355
- **The notice must contain:**
 1. The name of the plan;
 2. The name of the employee covered by the plan, and the name of any spouse or dependent covered by the plan;
 3. The date of the qualifying event (or, if applicable, the date of: a second qualifying event, the SSA determination of disability, or the SSA determination of end of disability);
 4. The type of qualifying event (divorce, legal separation, dependent child's loss of eligibility) or second qualifying event (for example, death of former employee), or a statement that SSA has determined a certain individual to be disabled or no longer disabled;
 5. The current address of the covered employee and, if they have addresses different than the covered employee, the current addresses of the covered spouse and covered dependents; and
 6. The name and signature of the person providing the notice.

If you are notifying the Plan Administrator that SSA has determined an individual to be disabled, you must include with the notice a copy of the SSA's determination of disability.

Keep the Plan Informed of Address Changes

In order to protect your and your family's rights under COBRA, you should keep the Plan Administrator informed of any changes in your address and the addresses of family members. You should also keep a copy, for your records, of any notices you send to the Plan Administrator.

This SPD does not fully describe COBRA continuation coverage or other rights under the plan. More information about continuation coverage and your rights under the plan is available from the Plan Administrator. Additionally, for more information about your rights under COBRA, contact the U.S. Department of Labor's Employee Benefits Security Administration (EBSA) in your area or visit the EBSA website at www.dol.gov/ebsa. (Addresses and phone numbers of Regional and District EBSA Offices are available through EBSA's website.)

Although continuation coverage is not required to be offered under COBRA to employees' domestic partners, the College will provide continuation coverage similar to COBRA to employees' same-sex domestic partners. This continuation coverage will be under terms similar to those that apply under COBRA to a married employee's spouse. Please contact the Plan Administrator for more details.

USERRA Continuation of Health Coverage

A participant's right to continued participation in medical and dental plan options during leaves of absence for many types of military duty is protected by the Uniformed Services Employment and Reemployment Rights Act (USERRA). Under USERRA, if a participant is absent from work due to a period of active duty (or inactive duty training) in the military for less than 31 days, medical and dental plan participation will not be interrupted, although the participant will still be responsible for paying his or her share of plan premiums. If the absence is for more than 31 days, the participant may continue to maintain plan coverage for a period of up to 24 months by paying premiums

in the manner specified by the College. The Plan Administrator can provide more details about USERRA, including which other health benefits under the Plan USERRA may apply to.

USERRA continuation coverage is considered alternative coverage for purposes of COBRA. Therefore, if a participant elects USERRA continuation coverage, COBRA coverage will generally not be available.

Plan Administration Pre-tax Premium Payment Plan

Plan Sponsor, Plan Administrator and Agent for Service of Legal Process

Williams College, P.O. Box 458, Williamstown, MA, 01267, is the sponsor of the Williams College Group Insurance Plan, and the Vice President for Finance & Administration and Treasurer at Williams College is the Plan Administrator. The Vice President for Finance & Administration and Treasurer has designated the Director of Human Resources to be responsible for enrolling participants, forwarding Plan contributions to the insurance company(ies), and performing other administrative duties, including helping you with questions about Plan provisions, eligibility and participation.

The Plan Administrator may delegate any of its power and duties with respect to the Plan to one or more officers or other employees of the College. Any such delegation will be in writing.

Service of legal process may be made upon the Plan Administrator: Vice President for Finance & Administration and Treasurer, Williams College, P.O. Box 458, Williamstown, MA, 01267, 413-597-4421.

A major responsibility of the Plan Administrator is to make sure that Plan provisions are applied properly and equitably. If you feel that you have been treated unfairly or denied benefits improperly, you are encouraged to seek a review by the Plan Administrator. Any determination by the Plan Administrator concerning the Williams College Group Insurance Plan shall be final and conclusive on all persons, in the absence of clear and convincing evidence that the Plan Administrator acted arbitrarily and capriciously. Decisions by the Plan Administrator are subject to review by the President of the College to ensure that the Plan Administrator does not act arbitrarily or capriciously.

Qualified Medical Child Support Orders

A Qualified Medical Child Support Order (QMCSO) is a court order that generally requires one parent to provide a child with health insurance. If the Plan Administrator receives a QMCSO that relates to you, the Plan Administrator will contact you concerning the Plan's procedures for such an order. Participants and beneficiaries of the Plan can obtain a copy of these procedures, without charge, from the Plan Administrator.

Plan Records and Plan Year

Plan records are kept on file in the Benefits Office and are kept on a calendar year basis.

Plan Identification Numbers

Employer Identification Number: 04-2104847

Plan Number (assigned by the College): 501

Type of Plan and Administration

The Group Insurance Plan is a welfare benefit plan providing group health benefits, life insurance benefits, accidental death and dismemberment benefits, long term disability benefits, and dependent care benefits. Life insurance benefits, accidental death and dismemberment benefits, long term disability benefits, and insured health benefits are administered by insurers. Dental benefits, the Medical Expense Reimbursement Account, the Dependent Care Reimbursement Account, and the Employee Assistance Program are administered by third parties by contractual agreement. The Extended Outpatient Mental Health Benefit is administered by Williams College.

Certain benefits under the Plan are insured under one or more policies of insurance issued by Blue Cross and Blue Shield of Massachusetts, Inc., and The Principal Insurance Company.

Amendment and Termination of the Plan

While it is expected that the Williams College Group Insurance Plan will continue indefinitely, the College reserves the right to modify or discontinue the Plan at any time. Any amendment or termination of the Plan will not adversely affect any benefit provided by the Plan that is owed prior to such amendment or termination.

Certificates of Creditable Coverage Statement of ERISA Rights Benefits Claims Procedures

In compliance with federal law (the Health Insurance Portability and Accountability Act of 1996, or HIPAA), participants in group health plans, such as the medical plan options, are entitled to receive a Certificate of Creditable Coverage. This certificate is provided to participants automatically when coverage under group health plans ends. The certificate shows the length of the most recent period of a participant's coverage under the group health plan. This is the period of a participant's "creditable coverage." An individual may present this certificate to a new employer in order to reduce or eliminate the length of time that any pre-existing condition provision in a new health plan might apply to the individual. If an individual has not experienced a gap in health insurance coverage of 63 days or more, any pre-existing condition exclusion periods in the new health plan must generally be reduced by the number of days of creditable coverage.

Group health plan participants (or their dependents) may also receive a certificate if they request it within two years after the date that group health plan coverage ends. Individuals are not entitled to receive a Certificate of Creditable Coverage for certain types of coverage, including certain types of dental coverage. The Plan Administrator can provide more information on the certificate and how to obtain one.

Section III-D: Williams College Retirement Income Plan

Introduction

The Williams College Retirement Income Plan (the "Plan") is a "defined contribution" pension plan. A percentage of the participant's salary (the defined contribution) is put in an account designated for retirement income purposes. These contributions earn investment returns (see "Investment Options" immediately below). The total amount of accumulated contributions and earnings during the course of the participant's career largely determine the size of the participant's pension income. This summary is effective beginning July 1, 2007 for participant's employed on or after that date. All other participants should consult prior versions of this document.

Investment Options

Available investment options are those offered by the Teachers Insurance and Annuity Association (TIAA) and the College Retirement Equities Fund (CREF). Each participant decides how contributions made on his or her behalf are distributed among these investment options. The participant may change the allocation of participant and College contributions and their earnings at any time, subject to certain restrictions, by calling TIAA-CREF or online at www.TIAA-CREF.org. Details about each option are included in the TIAA-CREF enrollment packet as well as various TIAA-CREF brochures that are available in the Benefits Office.

Enrollment

To participate in the Plan an Eligible Employee must complete the necessary enrollment form(s) and return them to the College. An employee who has been notified that he or she is eligible to participate in the Plan but who fails to return the enrollment form(s) will be deemed to have waived all of his or her rights under the Plan except the right to enroll at a future date.

Eligibility and Credited Service

All employees other than students are eligible to participate in the Plan. Participation begins immediately following the one-year anniversary of an employee's date of hire if he or she worked at least 1,000 hours during that period. (Faculty who teach at least half-time are deemed to satisfy the 1,000-hour requirement.)¹ Otherwise, participation begins on the January 1 following any calendar year in which an employee satisfies the 1,000 hours requirement.

Even before an employee becomes a participant, he or she is eligible to make contributions to the plan (but is not eligible for college contributions until participation begins).

College and Participant Contributions

Contributions to the Plan consist of College core contributions, optional participant contributions that the College matches, and optional participant contributions that the College does not match. Contributions are a percentage of base earnings. Base earnings do not include summer pay for faculty, overtime pay or bonuses.

Both College and participant contributions and related earnings are tax-deferred. This means that contributions are not considered taxable income for federal and state purposes when made to the Plan, but that retirement income from the Plan is taxed when received.

Core contributions

The College contributes 6% of each Participant's base earnings up to the breakpoint and 9% of base earnings above the breakpoint, regardless of whether the participant contributes to the plan. The breakpoint is \$62,368 effective July 1, 2015, and changes each July 1 based on the amount that College salaries increase.

¹ In general, the time worked for other educational institutions counts towards satisfying the one-year requirement. Please contact the Benefits Office if you have any questions about your eligibility.

Example 1: Bi-Weekly-Paid Participant with Base Earnings Not Exceeding Breakpoint. In July 2015, the bi-weekly breakpoint is \$2,398.77 (\$62,368 divided by 26) for participants who are paid bi-weekly. A participant whose bi-weekly base earnings during July 2015 are \$2,398.77 will receive College core contributions of 6% of \$2,398.77, or \$143.93 on a bi-weekly basis.

Example 2: Bi-Weekly-Paid Participant with Base Earnings Exceeding Breakpoint: A participant whose bi-weekly base earnings are more than \$2,398.77 during July 2015 will receive College core contributions equal to 6% of the first \$2,398.77 of bi-weekly base earnings plus 9% of bi-weekly base earnings in excess of \$2,398.77. For example, a participant whose bi-weekly base earnings are \$2,600 during July 2015, will receive core contributions of \$162.04 on a bi-weekly basis (6% of \$2,398.77 + 9% of \$201.23).

Optional Participant Matched Contributions and Matching College Contributions

Participants may make optional matched contributions to the Plan of 1%, 2% or 3% of their base earnings. The College makes matching contributions equal to each Participant's optional matched contributions. A participant who elects to make maximum optional contributions of 3% will have total Plan contributions of 12% of base earnings up to the breakpoint and 15% of base earnings above the breakpoint. These contributions consist of College contributions of 9% on base earnings up to the breakpoint (6% core contributions plus 3% matching contributions) and College contributions of 12% on base earnings above the breakpoint (9% core contributions and 3% matching contributions), plus the Participant's 3% optional contributions.

Optional Participant Unmatched Contributions and Matching College Contributions

A Participant who makes the maximum 3% matched contribution to the Plan may also make optional unmatched contributions to the Plan. The combined limit on voluntary employee salary reduction, i.e., a combination of matched and optional unmatched contributions is \$17,500 in 2014. In addition, an employee who has reached age 50 by the end of a calendar year can make an additional contribution to the plan for that year. The amount of this additional contribution is \$5,500 in 2014.

A Participant who has not yet satisfied the one-year waiting period for plan participation, is nevertheless permitted to make unmatched contributions.

Optional contributions may be initiated or changed by completing a Salary Reduction Agreement available in the Benefits Office.

Rollovers

A Participant is permitted to "roll over" an existing IRA and/or account under a previous employer's plan into a Rollover Account under the Plan. A Rollover Account can be distributed at any time.

No current taxes are payable on such a rollover. However, rollovers must be made within a time limit provided by law. Therefore, as soon as you become an employee you should contact the Benefits Office to find out what procedures you should follow.

Retirement Annuities and Supplemental Retirement Annuities

A Participant's optional unmatched contributions must be allocated by the Participant to either a Retirement Annuity or Supplemental Retirement Annuity. A Retirement Annuity receives a higher interest rate under the TIAA Traditional Annuity. However, amounts allocated to a Supplemental Retirement Annuity can be immediately transferred from TIAA Traditional to CREF (or TIAA Real Estate) instead of over the 10-year period required by the Retirement Annuities. Also, amounts allocated to a Supplemental Retirement Annuity can be withdrawn from the Plan by the Participant for any reason after he or she attains age 59-1/2 (see Withdrawals Prior to Separation from Service below).

Leaves of Absence

During a paid leave of absence, both College and participant contributions continue to be made to the Plan based on salary paid during the leave. During an unpaid leave, no contributions are made. Contact the Benefits Office for an explanation of retirement contributions for someone receiving benefits under the College's Long Term Disability Plan.

Vesting

All contributions are fully vested for employees hired on or after July 1, 2002.

Withdrawals Prior to Separation from Service

In general, a Participant is not eligible to receive distributions from the Plan while actively employed by the College, unless permitted to do so under the terms of a partial or phased early retirement agreement or plan. Employees may, however, access funds prior to these terms in certain specific circumstances as outlined below.

Loans

A Participant may borrow against his or her Participant contributions, subject to certain restrictions, including minimum amounts. The maximum loan that can be outstanding at the time a loan is made shall be the lesser of 45% or \$50,000 of the Participant's total accumulation in his or her Participant Contribution Account (including earnings). Loans must be repaid in five years, or ten years if used to purchase a primary residence.

Hardship Withdrawals

One exception described above is that amounts allocated to a Supplemental Retirement Annuity can be withdrawn from the Plan for any reason after Participant attains age 59-1/2. Also, a Participant may elect to receive, while still working, after taking the full amount of any loans from the Plan (see above), the portion of his or her own contributions (exclusive of investment earnings) the amount necessary to satisfy an immediate and heavy financial "hardship." This means expenses arising from one of the following:

- Costs directly related to the purchase of the Participant's principal residence (excluding mortgage payments).
- Payments to prevent the eviction from or foreclosure upon the Participant's principal residence.
- Tuition payments for the next 12-months for college or postgraduate education for the Participant or his or her spouse, children or dependents.
- Medical expenses incurred by the Participant or his or her spouse, children or dependents.
- Funeral expenses for a family member.
- Expenses for repair of damage to the Participant's principal residence that would qualify for the casualty deduction.

A Participant cannot qualify for a hardship withdrawal unless he or she has taken the maximum loan available (see above). In general, a 10% penalty tax, in addition to ordinary income tax, will be assessed on the amount withdrawn if the participant has not reached 59-1/2.

A consequence of making a hardship withdrawal is that a Participant may not make contributions to the Plan for the 6-month period following the withdrawal.

Distributions After Separation from Service and Spousal Rights

Distribution Options

Retirement income options are those offered by TIAA-CREF and are described in TIAA-CREF booklets available in the Benefits Office or online at www.TIAA-CREF.org. If a Participant, however, is married at the time distributions begin, the presumptive form of distribution provides for an annuity for his or her life followed by a survivor benefit to the surviving spouse. In order to receive benefits in some other form that does not provide for this kind of spousal

protection, a Participant needs to provide the signed and notarized consent of his or her spouse. Once a Participant terminates employment, benefits must begin to be paid by April 1 of the calendar year following the calendar year in which he or she reaches age 70-1/2, except for pre-1987 contributions and related earnings, distribution of which can begin as late as age 75.

Lump Sum

Assuming a Participant receives spousal consent (to the extent applicable), distribution in a lump sum is generally permitted. However, a Participant is not permitted to withdraw all the amounts in his account attributable to College contributions until the Participant has attained age 59-1/2. The availability of lump sum payments is subject to TIAA-CREF's restriction that lump sum distributions of TIAA Traditional Annuity accumulations (not CREF accumulations) can only be made in substantially equal annual payments over a period of ten years. Any such amounts withdrawn before age 59-1/2 may be subject to a tax penalty.

Death Benefits Prior to Distribution

If a Participant dies prior to commencing distribution under the Plan, federal law requires that the beneficiary for at least 50 percent of the Participant's account be his or her surviving spouse, unless the Participant elects otherwise with the spouse's written consent. If a Participant elects to designate a non-spouse beneficiary prior to age 35, he or she needs to reaffirm that designation upon reaching age 35. The portion of a Participant's account that is not paid to his or her spouse will be paid to any other beneficiary designated by the Participant or to the Participant's estate if no other beneficiary is designated.

ERISA Rights

As a participant in the Plan, you are entitled to certain rights and protections under the Employee Retirement Income Security Act of 1974 ("ERISA"). ERISA provides that all plan participants shall be entitled to:

Receive Information about Your Plan and Benefits

- Examine, without charge, at the plan administrator's office and at other specified locations, all documents governing the plan, including insurance contracts, and a copy of the latest annual report (Form 5500 Series) filed by the Plan with the U.S. Department of Labor and available at the Public Disclosure Room of the Employee Benefits Security Administration.
- Obtain, upon written request to the Plan Administrator, copies of documents governing the plan, including insurance contracts and a copy of the latest annual report (Form 5500 Series) and updated Summary Plan Description. The administrator may make a reasonable charge for the copies.
- Receive a summary of the plan's annual financial report. The Plan Administrator is required by law to furnish each participant with a copy of his or her summary annual report.
- Obtain a statement from the Retirement Plan telling you whether you have a right to receive a pension at normal retirement age (age 65), and if so, what your benefits would be at normal retirement age if you stop working under the plan now. If you do not have a right to a pension, the statement will tell you how many more years you have to work to get a right to a pension. This statement must be requested in writing and is not required to be given more than once every 12 months. The Plan must provide the statement free of charge.

Prudent Action by Plan Fiduciaries

In addition to creating rights for plan participants, ERISA imposes duties on the people responsible for the operation of the employee benefit plan. The people who operate your plan, called "fiduciaries" of the plan, have a duty to do so prudently and in the interest of you and the other plan participants and beneficiaries. No one, including your employer or any other person, may fire you or otherwise discriminate against you in any way to prevent you from obtaining a pension or exercising your rights under ERISA.

Enforce Your Rights

If your claim for a pension or welfare benefit is denied or ignored, in whole or in part, you have a right to know why this was done, to obtain copies of documents relating to the decision without charge, and to appeal any denial, all within certain time schedules.

Under ERISA, there are steps that you can take to enforce the above rights. For instance, if you request a copy of the plan documents or latest annual report from the plan and do not receive them within 30 days, you may file suit in a federal court. In such a case, the court may require the Plan Administrator to send the materials and pay you up to \$110 a day until you receive the materials, unless the materials were not sent because of reasons beyond the control of the Plan Administrator. If you have a claim for benefits which is denied or ignored, in whole or in part, you may file suit in a state or a federal court. In addition, if you disagree with the plan's decision or lack thereof concerning the qualified status of a domestic relations order, you may file suit in a federal court.

If it should happen that the plan fiduciaries misuse the plan's money or if you are discriminated against for asserting your rights, you may seek assistance from the U.S. Department of Labor, or you may file suit in a federal court. The court will decide who should pay court costs and legal fees. If you are successful the court may order the person you have sued to pay these costs and fees. If you lose, the court may order you to pay these costs and fees; for example, if it finds that your claim is frivolous.

Assistance with Your Questions

If you have any questions about your plan, you should contact the Plan Administrator. If you have any questions about this statement or about your rights under ERISA, or if you need assistance in obtaining documents from the Plan Administrator, you should contact the nearest office of the Employee Benefits Security Administration, U.S. Department of Labor, listed in your telephone directory or the Division of Technical Assistance and Inquiries, Employee Benefits Security Administration, U.S. Department of Labor, 200 Constitution Avenue NW, Washington, DC 20210. You may also obtain certain publications about your rights and responsibilities under ERISA by calling the publications hotline of the Employee Benefits Security Administration.

Plan Administration

Plan Representative and Agent for Service of Legal Process

Williams College is the Plan sponsor for the College Retirement Income Plan and The Vice President for Finance & Administration and Treasurer at Williams College is the Plan representative for Williams College. Service of legal process may be made upon the Plan representative.

A major responsibility of the Plan representative is to make sure that Plan provisions are applied properly and equitably. If a participant feels that he or she has been treated unfairly or denied benefits improperly, the participant is encouraged to seek a review by the representative by filing a written claim with the Benefits Office. Any determination by the representative concerning the College Retirement Income Plan shall be final and conclusive on all persons, in the absence of clear and convincing evidence that the representative acted arbitrarily or capriciously. Decisions by the representative are subject to review by the President to insure that the representative did not act arbitrarily and capriciously.

Plan Records and Plan Year

Plan records are kept on file in the Benefits Office and are kept on a calendar year basis.

Plan Identification Numbers

Employer Identification Number: 04-2104847

Plan Number: 001

Plan Documents

This summary plan description describes only major features of the College Retirement Income Plan. In the event of any inconsistency between this summary plan description and other plan documents (including individual annuity contracts or certificates and TIAA-CREF booklets) those other Plan documents will govern. For more information about the College Retirement Income Plan, contact the Benefits Office.

Amendment and Termination of Program

While it is expected that College Retirement Income Plan will continue indefinitely, the College reserves the right to modify or discontinue the Plan at any time. Any amendment or termination of the Plan will not adversely affect any benefit provided by the Plan that is owed prior to such amendment or termination. The College will exercise good faith, apply standards of uniform application, and refrain from arbitrary action.

Because the College Retirement Income Plan is a defined contribution plan, it is not insured by the Pension Benefit Guaranty Corporation, the government agency that insures some types of pension benefits.

Section III-E: Benefits and Privileges for Retired Faculty

The privileges and benefits afforded retired faculty are outlined below. In an effort to assist members of the faculty with their retirement planning, those who are thinking about retiring are encouraged to meet with the Provost, Dean of the Faculty, and a member of the Benefits Office.

Retirement Planning

The date of normal retirement is 30 June of the calendar year in which one turns sixty-five, unless the birth date is on or after 1 July, in which case it is 30 June of the following year.

To assist faculty in their planning, the following table shows the age at which a person can retire with no reduction in Social Security benefits:

If you were born in	You will be age 62 in	Your age for full benefits is
1937 or earlier	1999 or earlier	65 years
1938	2000	65 years, 2 months
1939	2001	65 years, 4 months
1940	2002	65 years, 6 months
1941	2003	65 years, 8 months
1942	2004	65 years, 10 months
1943-54	2005-2016	66 years
1955	2017	66 years, 2 months
1956	2018	66 years, 4 months
1957	2019	66 years, 6 months
1958	2020	66 years, 8 months
1959	2021	66 years, 10 months
1960 or later	2022 or later	67 years

In addition, faculty should be aware that it is often possible to arrange for full or partial early retirement (at ages sixty-two, sixty-three, or sixty-four) on terms favorable to the faculty member. The Provost and Dean of the Faculty are willing to discuss these possibilities with any interested faculty member. Because of the complications of the income tax law regarding retirement contributions by the College, those considering early retirement are advised to discuss their interest with the Provost several years prior to the desired retirement date.

Retired faculty are issued ID cards providing access to the library and cultural and sporting events on campus. Retired faculty may attend faculty meetings where they may speak but not vote.

Retired faculty are eligible for temporary academic appointments to assist departments or programs in special circumstances. Such appointments are made upon department recommendation and require the approval of the Committee on Appointments and Promotions. Retired faculty continue to receive College publications and may participate in Convocation and Commencement ceremonies. They may also continue their membership in the Faculty Club and remain eligible to participate in the College tuition grant program.

Section III-F: Benefits for Early Faculty Retirees**Health and Dental Insurance**

Eligible faculty whose combined age and years of service total 75, and who retire from Williams at age 58 or older may continue to participate in College health and dental insurance plans until they reach age 65 on the same basis as active employees.

If, when the early retiree reaches the age 65, his or her spouse is younger than 65, the spouse may continue coverage until he or she attains the age of 65, or for 10 years, whichever occurs first. The spouse must pay the full premium for this continued coverage.

Life Insurance

Eligible early retirees may continue basic and supplemental life insurance in force at the time of retirement until age 65. The College will continue to pay for the basic insurance of \$50,000 and the early retiree will continue to pay for supplemental life insurance. At 65, supplemental coverage stops and the basic coverage reduces to \$5,000. In addition, a dependent child under age twenty-three may continue participation on the same basis so long as one parent is covered by the policy.

Section III-G: Faculty and Administrative Staff Housing

Allocation of College Rental Housing

The College owns a number of rental housing units in which many members of the faculty and administrative staff reside. The College makes these units available to assist faculty and administrative staff in finding accommodations in Williamstown, but makes no guarantee to provide rental housing to all who are eligible. The remainder of this section explains priorities, eligibility, and related procedures governing the use of College-owned rental housing.

To establish the order of selection, all faculty and administrative staff who have expressed an interest in College rental housing are divided into two groups, and a priority list is established within each group based on a point system. The two groups and the point system are described below.

Group 1

Group 1 is assigned rental housing first and consists of all Assistant Professors, Associate Professors in their first three years in rank, visiting faculty, and administrative staff members in their first three years with the exception of those who are already living in the Williamstown area when hired. Also excluded are faculty who own or have owned a house, while employed by the College, in a town eligible for the College housing policy.

Faculty in Group 1 who are on a tenure-eligible appointment are eligible to live in College rental housing through the end of the third year after the year in which they are granted tenure by the College. Faculty members denied tenure may live in College rental housing until their appointment expires. Academic faculty in Group 1 who are not on a tenure-eligible appointment are eligible to live in College rental housing through the end of their third year of employment at the College.

Group 1 faculty members in the Department of Physical Education, Athletics, Recreation, and Dance who are eligible to receive five-year appointments may live in College rental housing through the end of the third year after the year in which the Committee on Appointments and Promotions grants them their first five-year appointment, or up to nine years in total, whichever is less. Faculty members of this department not eligible for five-year appointments may live in College rental housing through the end of their third year of employment at the College.

Administrative Staff are eligible to live in College rental housing for three years from the date of hire until June 15 after their 3rd anniversary.

On rare occasions, individuals may be asked to move from a College-owned rental unit before they would choose to do so, for the convenience of the College and its programs. In these cases the College will attempt to minimize the disruption and expense of relocation.

Group 2

Group 2 consists of members of the faculty and administrative staff who would not normally be considered eligible for rental housing, including those whose eligibility has expired, those who have had a College mortgage, or those who lived in the Williamstown area at the time of appointment.

Faculty and administrative staff in Group 2 do not ordinarily reside in College rental housing for more than one year. During the spring of each year, houses and apartments of Group 2 renters will be included on lists of available units shown to people in Group 1. If a Group 1 person decides that he or she would like to rent a house or apartment occupied by a person in Group 2, the Group 2 occupant will be notified and will have to vacate by June 15. Between June 15 and July 30, if a Group 1 person decides that he or she would like to rent a house or apartment occupied by a person in Group 2, the Group 2 occupant will be notified and will have thirty days to vacate the rental unit. If by August 1st no one in Group 1 wishes to rent the house or apartment, the Group 2 occupant can stay in it until the

following June 15. The procedure outlined above will be repeated annually.

On rare occasions, individuals may be asked to move from a College-owned rental unit before they would choose to do so, for the convenience of the College and its programs. In these cases the College will attempt to minimize the disruption and expense of relocation.

Point System

Points are determined by rank or classification, service, and space need. Faculty and administrative staff members may pool their points if they wish to occupy a single housing unit. Employees with split faculty and administrative staff appointments will be assigned points as faculty if the larger fraction of their total appointment is faculty, and as administrative staff if the larger fraction is administrative staff. Part-time faculty and administrative staff receive points pro-rated on the basis of their fraction of full-time service.

Specific point allocations are as follows:

Faculty Rank	Points
Associate Professor	50
Visiting Distinguished Professor	50
Assistant Professor (second term)	30
Assistant Professor (first term)	15
Lecturer, Visiting Assistant Professor or all others	10
Instructor	5
Part-time Faculty	Pro-rated
Administrative Staff Classification	Points
1a, 1b, 2a	50
1c, 2b	30
2c	15
2d	10
All others	5
Part-time administrators	Pro-rated
Service	Points
Years in rank or classification at Williams (each)	5
Years in another rank at Williams (each)	2
Space Need	Points
First dependent (child or parent), or known pregnancy/adoption	15
Each dependent thereafter	5
Point Bonus	Points
Added points for those who are involuntarily and permanently displaced from a college housing unit.	30

The Service category allows for distinctions among faculty and staff within the same rank or classification. It should be noted that for the common cases of Assistant Professors who are serving three- or four-year terms the maximum points that can be accumulated in rank is fifteen or twenty, respectively, which is just the increment between ranks. Thus, when individuals are promoted, they lose no points, for the higher rank value reflects their service. The other item within this category gives some slight preference to the faculty member who has been at Williams for some years at a lower rank, as opposed to a counterpart who arrives at an already advanced rank. Thus, a second-term Assistant Professor beginning a fourth year at Williams has a slight advantage over someone just joining the faculty, but doing so at the same rank. Service at other institutions does not count towards time in grade at Williams.

The Space Need category establishes a criterion that is different in kind from that of rank or service. As larger families often need more living space than smaller ones, the addition of points for a faculty or staff member who has

children or dependent parents attempts to guarantee that large families have enough room. (It is to be remembered, however, that larger apartments and houses will normally have a higher rent.) It should be noted that points can be accumulated in this category only for children or dependent parents who reside with the faculty or administrative staff member for at least six months each year or for children at boarding school or college, who reside in College rental housing during school or college vacations.

The Real Estate Office assigns eligible faculty and administrative staff to College rental housing using the following process. In March of each year, the Real Estate Office will send a letter to all incoming faculty and administrative staff indicating that the College will begin to assign College rental housing. At the same time the Provost's Office will send a similar letter to all current faculty and administrative staff eligible to enter rental housing and a letter to those already assigned to College rental housing who may like to make a move within the existing stock of units. Those who are interested in entering or moving within College housing are asked to notify the Real Estate Office by early April.

The Real Estate Office then ranks all those replying using points determined by the Provost's Office as outlined above. Those on the list are notified by mail of their standing and provided with a list of available units, a brief description of each, availability date, and monthly rent. This information is also posted on the College website.

The selection process ensues, in order, with those having the most points choosing first. The details regarding the timing and order of the selection process are included in the mailing to all eligible faculty and staff, as well as to department chairs, before the process begins.

The selection process is conducted biannually, in the spring and again at the end of the first semester.

Since there are considerable pressures on this system, participants are urged to be decisive. The Real Estate Office will continually provide information on expected vacancies, and will provide full information as to number of rooms, rent charged, heating costs, garage space, and so on. Visits, of course, must be arranged with the present occupant. Particularly those low on the priority list are asked to exercise forbearance until it is clear that they have a reasonable expectation of being offered some unit. Faculty and administrative staff are encouraged to contact the Real Estate Office to gain access to the website to see the layout and particulars of specific units in order to speed the selection process.

Some further notes: non-tenure track faculty on terminal contracts are expected to vacate their unit by June 15, as are those in Group 2, as outlined above. All others leaving or moving within College rental housing must vacate their unit by June 30. The date of occupancy for new tenants is largely determined by required maintenance. Entering faculty may visit the College during the spring allocation procedure, but they should check with the Real Estate Office to make sure that their visit is not premature. Often, however, the department chair (or other colleagues) will have to act as an agent, at least in cases where the new member cannot make a quick decision on the basis of supplied descriptions of available houses or apartments.

On rare occasions, individuals may be asked to move from a College-owned rental unit before they would choose to do so, for the convenience of the College and its programs. In these cases the College will attempt to minimize the disruption and expense of relocation.

Rents of all College housing units are adjusted on July 1st of each year to reflect the fair market value in the Williamstown area.

Faculty members going on leave may give up their College rental housing and be included in Group 1 upon return, assuming they still meet the other eligibility criteria. Alternatively, they may hold on to the unit and sublet it by

themselves or through the College.

Lead Paint

The College is in the process of deleading its rental housing stock. Because the deleading process is disruptive, renters with children under six or who anticipate starting a family in the next year may want to take advantage of the annual lottery to select a unit that is already lead-free.

Subletting of College Rental Housing

Renters of College rental housing who are eligible for leave, for either the entire year or one semester, and who wish to sublet, have several options. They may sublet on their own to (a) housing-eligible Williams faculty or administrative staff (no students); (b) non-housing-eligible faculty or administrative staff with Real Estate Office approval; or (c) persons not employed by the College with Real Estate Office approval. In regular faculty housing, summer sublets to persons in the latter two categories (b and c) are not ordinarily approved, so that the housing unit will remain available to housing eligible faculty and staff. In housing occupied by commuting faculty, such sublets may be allowed, after consultation with the Real Estate Office.

If renters attempt to sublet on their own, and a sub-lessee is not found, they bear the burden of paying rent while away. Alternatively renters may ask the College to find a sub-lessee, with the College bearing the rent burden if no sub-lessee can be found. Renters may not, however, hold the College responsible for the rent unless they have informed the Real Estate Office of their intention to have the College handle the sublet by March 1 for the fall semester and September 1 for the spring semester.

For summer sublets, renters should notify the Real Estate Office of the name of the sub-lessee. Sometimes the hours kept and the noise made by summer sub-lessees in multi-family units have created problems for the full-time residents. Renters are asked to be sensitive to this issue. Should difficulties arise the College reserves the right to take whatever action is appropriate to correct the situation.

Faculty or administrative staff on terminal contracts who sublet an apartment from a renter who does not return to College rental housing are expected to vacate that unit by June 15, as are those in Group 2, as outlined above. All others who sublet an apartment from a renter who does not return to College rental housing may remain in that unit only until June 30th of that year and have no prior claim to the unit in the future. These individuals must enter the College rental housing assignment process in the spring like all other faculty and administrative staff.

When renters sublet on their own, they remain responsible to the College for any damage to a housing unit beyond normal wear and tear. Any liability for damages by the sub-lessee must therefore be settled between the sub-lessee and the primary renter. It is suggested that the renter require a deposit from the sub-lessee to cover possible damage to personal property, with the deposit to be returned upon satisfactory inspection. When renters ask the College to find a sub-lessee, any liability for damages to the housing unit by the sub-lessee will be settled between the sub-lessee and the College. The College will not, however, assume liability for damages to personal property left in the housing unit by the primary renter.

The College of necessity reserves the right to enter its properties without the tenant's permission in case of emergency.

Mortgage Benefit

Program

The College makes subsidized mortgages available to eligible faculty and administrative staff in order to assist them in acquiring homes in the Williamstown area. This benefit is intended to help these employees when first entering

the Williamstown area housing market.

The mortgage benefit is available for houses in Williamstown and in a "double ring" of surrounding towns. In Massachusetts: Adams, Cheshire, Clarksburg, Florida, Hancock, Lanesboro, New Ashford, North Adams, Pittsfield, Richmond, and Savoy; in Vermont: Bennington, Pownal, and Stamford; in New York: Berlin, Canaan, Grafton, Hoosick, New Lebanon, Petersburg, Poestenkill, Sand Lake, and Stephentown.

The maximum amount of financing available under this program is currently \$100,000. This benefit is available as a first or second mortgage only. Total indebtedness on the property may not exceed 100% of the purchase price or appraised value, whichever is the lower of the two. The interest rate will be established at the time the mortgage is approved and will be one-half the prevailing rate at the Williamstown Savings Bank for a 70%, fixed rate first mortgage of like term, but not less than a twenty-year term.

College mortgages will be approved for a maximum term of twenty-five years. The mortgage will be in effect until the borrower has reached the term of the loan or leaves the College for any reason, including retirement.

Only one College mortgage is available to each eligible employee during the course of employment at Williams, although that mortgage can be transferred to another property (see "Transferal" below). The College mortgage is intended to help finance a primary residence and cannot be used to finance the purchase of a second home or rental property. If land is purchased with a College mortgage, the parcel financed cannot exceed five acres without special permission, and a home for the borrower must be built on the parcel within two years of the purchase date. No dwelling in which two or more faculty or administrative staff members cohabit may be mortgaged through the College for more than the maximum amount of one full mortgage.

The employee borrower must occupy the financed real estate as a primary residence except (a) for any period that the borrower is on an approved leave from the College, (b) for an aggregate of 150 days in any year (non-cumulative from year to year), and (c) for any period when construction or repair work makes occupancy of the home impractical.

Faculty Eligibility

Tenured faculty members with appointments at .75 FTE or greater are able to borrow up to the maximum amount of financing available at the time the initial mortgage is approved. Tenured faculty members with appointments of at least .5 but less than .75 FTE are able to borrow in proportion to the normal percentage of their full-time appointment.

Tenure track faculty who have not yet received tenure, with at least two years remaining on their contract and appointments at .75 FTE or greater, may borrow up to the maximum available at the time on a matching equity basis. Tenure track faculty with appointments of at least .5 but less than .75 FTE are able to borrow in proportion to the normal percentage of their full-time appointment, again, on a matching equity basis. Upon promotion to tenure, the maximum amount of financing available at the time the initial mortgage was approved becomes available without the matching equity restriction (see "Refinancing" below).

Faculty not holding tenured or tenure-track appointments are eligible to borrow as outlined below, and in proportion to the normal percentage of their full-time appointment.

Senior Lecturers with appointments at .5 FTE or greater may borrow on a matching-equity basis during their first six years of service. After that they may borrow up to the maximum amount available at the time the initial mortgage was approved without the matching equity restriction.

Faculty in the Department of Physical Education with two years remaining on a three-year contract may borrow up to the maximum available at the time on a matching equity basis. Upon promotion to a five-year appointment, faculty in the Department of Physical Education are eligible for the maximum amount available at the time the initial mortgage was approved without the matching equity restriction.

Artists-in-Residence with appointments at .75 FTE or greater may borrow on a matching-equity basis during their first six years of service. After that they may borrow up to the maximum amount available at the time the initial mortgage was approved without the matching equity restriction.

Lecturers and Instructors at .5 FTE or greater who have completed three years of satisfactory service are able to borrow in proportion to the percentage of full-time appointment on a matching equity basis. Those who simultaneously hold more than one part-time appointment are eligible for the proportional benefit based on the sum total of their FTE allotments.

Eligibility for part-time faculty who hold primary appointments as administrative staff is governed by the regulations for staff eligibility.

Staff Eligibility

All newly hired administrative staff who do not own a house in the defined College mortgage area are eligible, at any time during their first eight years of eligible employment at the College, for a College mortgage on a matching equity basis, up to the maximum amount of financing available at the time.

Transferral and Refinancing

Employees with College mortgages may transfer their mortgage if they sell their home in order to purchase another home in the defined College mortgage area. The borrower must bear all the expenses associated with transferring the mortgage. The amount available for transfer to the new property is limited to the balance remaining on the original mortgage, regardless of the maximum amount of financing available under this benefit at the time of the transfer.

The holder of a matching equity mortgage who has earned eligibility for a mortgage free of this restriction may increase the College mortgage. Borrowers may increase their mortgage up to the difference between the original amount borrowed and the mortgage limit prevailing at the time of the original mortgage. The original matching equity mortgage will be consolidated with the additional amount borrowed into a new mortgage bearing a composite, weighted interest rate.

Documents

The College's mortgage loan is contingent upon standard agreements as follows: a promissory note and mortgage; a life insurance proceeds agreement with the College in the amount of the loan, signed by the borrower and the life insurance beneficiary(ies); a wage-withholding agreement to allow mortgage payment deductions from paychecks; assignment of adequate insurance to Williams; and repurchase agreement on Williamstown area homes.

Rental Housing Overlap

College employees may not take out a College mortgage and remain in rental housing for more than three months. The three-month period is to allow for work on the purchased home before moving in. A six-month overlap is allowed for employees building a new home. The six-month overlap is calculated from the point at which 75% of the College mortgage has been drawn down, but no later than 12 months from the closing date of the mortgage. If additional time is needed in rental housing, the rent will increase by 10% to compensate the College for the subsidized mortgage rate.

Employees with College mortgages are not eligible to apply for College rental housing until the mortgage is paid off,

at which point they would be eligible under Group 2.

Those seeking more information should consult with the Mortgage Administrator in the office of the Vice President for Finance & Administration.

Pine Cobble Development

Eligible faculty and staff have the opportunity to purchase building lots from the College in the Pine Cobble subdivision for the construction of homes for their primary residence. Those eligible include non-visiting faculty of all ranks (as well as members of the staff as defined in the *Administrative Staff Handbook*) who do not already own a home in the Williamstown area and who have not purchased College land in the past.

The Pine Cobble subdivision, located in Williamstown within a few miles of the College campus, had sixty lots for sale at the initial offering in December 1991. It was designed under the principle of cluster zoning, which allows individual lot sizes to vary from the Williamstown Zoning Bylaw requirements in return for an equal or greater amount of open or public space.

The terms of purchase of a lot in the Pine Cobble subdivision allow the eligible faculty or staff member to purchase the land from the College without an initial cash outlay. At the time of resale of the property the employee pays the College for the land, including any appreciation in value. This arrangement allows the employee to defer the expense of the land purchase and provides for the sharing of the property's appreciation between the College and the employee. Purchase in the Pine Cobble subdivision has some attendant complexities related to tax issues, legal requirements and building restrictions. The importance of understanding these and other issues makes it essential for all employees who are interested in considering the purchase of a Pine Cobble lot to contact the Office of the Vice President for Finance & Administration for more detailed information.

Section III-H: Child Care

Children's Center

Williams College operates a center on the College campus for the early education and care of infants, toddlers, and preschoolers as well as after-school and summer programs for elementary aged children. The Center is located at 44 Whitman Street. Interested families are welcome to contact the Center at 413-597-4008. Information about the Center is also available at: Williams College Children's Center.

Although the Center is not exclusively for the children of College employees, priority for available slots is given in the following manner. The Center may also ask a family to delay enrollment in a desired classroom if their child is too close to the upper age limit of the desired classroom. For criteria below, the date on which the school receives a family's deposit will influence a child's place on the waitlist.

- College families already enrolled in the school have priority for both increasing the numbers of days their children attend (when new slots become available) and for bringing new siblings into the school.
- Ties for all College priority slots are resolved by giving priority to faculty and staff members who are employed full-time by the College.
- For purposes of infant enrollment (including infants in the Infant/Toddler room) regular faculty and staff have greater priority than short term employees such as fellows and visiting professors.
- For other classrooms, short-term employees have priority equal to other faculty and staff.
- Families of faculty, students, and staff have first priority followed by alumni of the College, followed by community members at large.
- Children of faculty, staff, and students of the College have priority for full-time slots.
- Children of faculty, staff, and students of the College have priority for part time slots over full-time slots for other constituents.
- The order of priority for part-time slots is three full-days followed by two full day slots followed by full week half day slots, either AM or PM, (half day for Pre-School only).
- Once families employed or schooled by the College have been offered slots, priority is given to College related and community families already enrolled in the school for both increasing the numbers of days their children attend (when new slots become available) and for bringing new siblings into the school. These constituents have the following order of priority: Alumni, community at large.

Babysitting Service

A network of students available to babysit for faculty and staff is maintained throughout the academic year. Information is distributed by regular mailings and "Daily Messages." For more information, contact the student coordinator directly (see Babysitting Service on the Office of Spouse/Partner Employment Counseling site).

Dependent Care Reimbursement Accounts

A Dependent Care Reimbursement Account provides an opportunity to pay for eligible dependent care expenses with pre-tax dollars through automatic payroll deduction. Employees with expenses for dependent care services should request further information and an application from the Benefits Office.

Section III-I: The College Tuition Grant Program

As part of the Williams College employee benefits package, eligible employees can receive tuition support for dependents to attend a college or university. This benefit is equal to the lesser of, the tuition amount at the college/university the employee's child is attending plus any fees normally covered under the Williams tuition amount or one half of Williams' tuition for 2016-2017, the maximum Tuition Grant Benefit amount will be \$25,745. If both parents work at the college, the benefit will apply to one parent.

If your dependent is planning on using the benefit during the 2016-2017 academic year either for the **FIRST TIME** or is **CURRENTLY** receiving the benefit and plans on continuing to utilize it, please complete the Annual Tuition Grant Benefit Request Form. If you have questions about this benefit, please call 597-4478 or e-mail kmaloney@williams.edu.

The Williams College Tuition Grant Plan Summary

Dependent children of benefit eligible faculty and staff at Williams College who are enrolled in accredited college programs leading to an academic degree (excluding secondary and graduate schools) are eligible for a grant that covers the tuition costs plus any fees normally covered under the Williams College tuition, up to an annual maximum dollar amount of one-half the prevailing tuition at Williams. The Tuition Grant Benefit is payable for a maximum of four years per dependent child.

The terms of the benefit are as follows:

- The employee must be benefit eligible in a regular faculty or staff position, and must have completed five years of full-time service at Williams. Faculty members with appointments other than full-time should refer to the *Faculty Handbook* for eligibility.
- The program covers children of retired, deceased, or disabled employees, subject to the five-year service requirement. If the spouse of a deceased employee remarries, the eligibility for the benefit will be reviewed.
- In order for the child to be considered a dependent of the eligible employee, the child must meet the "qualifying child" criteria established by the IRS. The tests to determine dependency are explained in the IRS' instructions for completing Form 1040 U.S. Individual Income Tax Return. The College reserves the right to request documentation of a child's dependency at any time.
- The Tuition Grant Program is not applicable to secondary or graduate schools.
- No more than four dependents per eligible employee family may use this benefit.
- The grant can be applied to tuition costs plus fees that are normally covered under Williams College tuition, for any accredited college program leading to an academic degree. An itemized bill will be required each semester from all state institutions to determine the amount of the tuition grant payment.

The five-year service requirement is counted from the employee's date of hire in a fully benefited eligible position. If the service requirement is satisfied after the dependent child has started a semester, the grant will be available at the start of the next academic period.

New regular faculty and staff hired into benefit eligible positions will be credited with years of service and be eligible for the Tuition Grant Program if their employer immediately prior to Williams College had a tuition support program for which the employee was eligible. The College will request verification of such a program by requiring a copy of the prior employer's policy statement describing details of the benefit.

Each spring the Office of Human Resources will send a memo to all employees reminding them of the benefit and request that employees who plan on using the benefit in the next academic year to indicate which school their

child(ren) will be attending by completing a form above.

Tuition checks are mailed by the Benefits Office directly to each college in early August for the fall semester and in December for the spring semester. If an institution operates on a trimester schedule, the third payment is sent in early March. The Benefits Office will notify the Bursar of dependent(s) who will attend Williams and the appropriate accounts will be credited. The employee should contact the benefits office if they resign from Williams after the tuition payment has been made.

Currently these grants are not considered taxable income for federal or state purposes. However, if there is a change in the tax laws, or a need to restructure the College's benefit package for any reason, the nature and applicability of this benefit will be reviewed, and upon approval of the Board of Trustees, may be changed. The College cannot, in any case, guarantee the after-tax value of the tuition grants.

To obtain further details of the College Tuition Grant Program or to apply for the benefit, faculty and staff members should contact the Office of Human Resources at 4478.

Section III-J: Reduced Fee Policy for Williams Courses

Full-time, non-visiting employees of the College and members of their immediate families are eligible to take courses at Williams at a reduced fee. The fee per course is one-third of the tuition cost of the course for a "Special Student" (non-matriculated), or one half of the tuition cost of the course for "Degree Candidates" (matriculated). Employees and their families are also welcome to audit Williams courses "at no cost" and such attendance is generally on a space-available basis with prior approval from the instructor. All inquiries should be directed to the Admission Office.

Section III-K: Athletic Facilities and Cultural Events

Faculty and their families are issued photo-identification cards at the Security Office. Faculty and their families may use the gym, squash and tennis courts, ice-skating, and indoor pool without charge. Days and times during which these facilities are available are announced in the College Weekly Calendar. The photo-identification cards may also be used to obtain free admission to College musical events, College athletic events, and to purchase tickets at student prices for theatrical events. Not included in this policy are student-run rock or jazz concerts, dance programs, outside theater companies, and some Cap and Bells productions.

The Taconic Golf Course is available to faculty at reduced rates on either a daily or a membership basis.

Section III-L: Moving Expense Reimbursement

New faculty and newly hired administrative staff may receive moving expense reimbursement in amounts determined based on distance from Williamstown. For faculty, the specific amount is set by the Dean of the Faculty at the time of the appointment. For administrative staff, Human Resources establishes the specific amount as part of the job offer.

Section III-M: College Cemetery

The college cemetery occupies one and a half acres near the northeastern corner of the campus, on ground set aside in the mid-1800s as a service to community members and as a way of acknowledging and honoring the college's history. Of the more than 300 stones and markers in the cemetery, the oldest marks the grave of Edward Lasell, the Valedictorian of the class of 1828 who later taught Chemistry at Williams. Those eligible for interment are the immediate lineal descendants of those currently interred there, trustees, the president, the treasurer, the college librarian, senior staff, and those with emeritus or retired status in any of the above categories; tenured faculty and faculty emeriti; and the spouses or domestic partners and unmarried children of all the above. Individual questions regarding eligibility will be determined by the President, whose decision will be final. As part of the college's commitment to the inclusion of a variety of religious traditions and practices, it has designated areas within the cemetery where the wishes of those who choose to be buried in accordance with the customs of particular religious traditions may be honored. Those who wish to be buried, or to have a family member buried, in accordance with the customs of a particular religious tradition should contact the chaplain to the college.

Section III-N: Summer Employment for Children of Faculty and Staff

Each summer the College has a limited number of on-campus summer jobs and accepts applications for work in various departments. Employment is limited to Williams students, defined as entering first years and rising sophomores, juniors and seniors. Priority in hiring will be given to those on Williams-based financial aid.

Section III-O: Williams College Employees Federal Credit Union - Beginning April 1, 2013 all accounts will merge to Greylock Federal Credit Union.

On Wednesday, March 13, 2013, at 3:45 p.m. a special meeting for members of the Williams College Employees Federal Credit Union was held at the Williams Inn, 1090 Main Street, Williamstown, MA, for the purpose of answering questions regarding a merger with the Greylock Federal Credit Union, 150 West Street, Pittsfield, MA. Peter LePage, Chairperson of the Board of Directors for WCEFCU opened the proceedings with an overview of the present financial situation and the reasons for pursuing a merger. After questions and comments the voting results were announced. From all ballots received the count was: 73 approved the merger; 61 opposed. A majority was noted and the merger became effective. Peter Miranti and Marilyn Sperling, representatives from Greylock Federal Credit Union, welcomed the present members of WCEFCU and offered a summary of services GFCU provides to its members and how the transition will proceed. Present at the meeting were 5 representatives from GFCU, 30 members of WCEFCU and 6 Board members from WCEFCU. The meeting was adjourned at 4:00 p.m. Again thank you for the many years of being a member of the Credit Union.

Greylock Federal Credit Union contact information:

Phone: 413-236-4000 / Toll Free: 1-800-207-5555 | Email: greylockws@greylock.org |
<https://www.greylock.org/> | ABA/Routing Number: 211885250

Section III-P: Employee Benefits for Part-time Faculty

All part-time faculty are covered by Social Security, worker's compensation, and unemployment insurance, as required by law. They are also covered by the College's general liability policy. Part-time faculty are entitled during their employment to library privileges, use of the athletic facilities, tickets for games and various other events on campus. Eligibility for other employee benefits varies depending upon type of appointment.

Part-time instructional appointments fall into two main groups (see Section II-J: Part-time Faculty). Group I consists of full-time employees with part-time teaching duties. The benefits for individuals in this group are based on their status as full-time employees. Group II consists of faculty who hold part-time appointments that are primarily instructional. Four sub-categories exist within this group and the benefits vary accordingly.

Professorial Ranks (II-a)

Individuals in this group hold regular faculty appointments with part-time teaching responsibilities and carry the titles of Professor, Associate Professor, or Assistant Professor.

Normally, medical and dental insurance, extended outpatient mental health coverage, and life insurance are available on the same terms as full-time appointments, as long as the appointment is half time or more.

Paid sick leave based on actual pay is also provided, as is maternity leave with release time and salary pro-rated to the annual FTE. Total disability insurance is available if the appointment is half-time or more. Unpaid leaves for illness or child care are available.

Individuals in Group II-a are eligible for College-owned rental housing. College second mortgages and College tuition grants are available as for full-time faculty, but the benefit is in proportion to the percentage of full-time appointment the individual has held in the six years preceding eligibility for the benefit. Tenured faculty in Group II-a are eligible for buildings lots, including the Pine Cobble development.

Tenured faculty in Group II-a are also eligible for sabbatical leaves on the same schedule as full-time faculty; the pay is pro-rated on the basis of the percentage of full-time appointment held for the preceding six years. Assistant professors are eligible to apply for assistant professor leave, with salary pro-rated. All faculty in Group II-a are eligible to apply for unpaid leaves, research support, and travel to professorial meetings on the same basis as full-time faculty (see Section II-N: Professional Leave and Section II-O: Research Support).

Senior Lecturers (II-b) and Part-time Lecturers (II-c)

Individuals holding appointment in Group II-b carry the title of Senior Lecturer; in Group II-c of Part-time Lecturer. Neither group is eligible for sabbatical leaves, but Senior Lecturers are eligible to apply for special paid leaves under the terms described in Section II-J: Part-time Faculty. Part-time Lecturers are eligible to apply for unpaid leaves (see Section II-N: Professional Leave).

Medical and dental insurance, extended outpatient mental health coverage, and life insurance are available for those holding appointments of one-half time or greater (see Section III-C: Group Insurance Plan).

Paid sick leave based on actual pay is available. Paid sick leave benefits for maternity leave are on the assumption of an eight-week disability in the absence of complications (see Section III-S: Personal Leave Faculty). Unpaid leaves for illness or child care are also available. Total disability insurance is available if the appointment is half-time or more.

Individuals in Group II-b and II-c are eligible for College-owned rental housing, as explained in Section III-G:

Housing. College second mortgages are available to those who have completed three years of satisfactory service as part-time lecturers; the benefit is in proportion to the percentage of full-time appointment, with a matching equity requirement. College tuition grants are available after five years of service.

Senior lecturers are eligible for monetary research support and travel funding for professional meetings on the same basis as faculty in the professorial ranks (see Section II-O: Research Support).

Part-time lecturers can apply to the Dean of the Faculty's office for up to \$1000 annually for travel to professional meetings.

Part-time Instructors (II-d)

Individuals holding appointments in this group carry the title of Part-time Instructor and are eligible for employee benefits as follows: Medical and dental insurance, extended outpatient mental health coverage, and life insurance are available for those holding appointments of one-half time or greater (see Section III-C: Group Insurance Plan).

Paid sick leave based on actual pay is available. Paid sick leave benefits for maternity leave are on the assumption of an eight-week disability in the absence of complications (see Section III-S: Personal Leave Faculty). Unpaid leaves for illness or child care are also available. Total disability insurance is available if the appointment is half-time or more.

Part-time instructors are eligible for College-owned rental housing and College second mortgages, as described in Section III-G: Housing. Part-time instructors are not eligible for College tuition grant benefits or leaves with pay. Part-time instructors can apply to the Dean of the Faculty's office for up to \$1000 annually for travel to professional meetings.

Section III-Q: Employee Benefits for Visiting Faculty

All visiting faculty members are covered by Social Security, workers' compensation, and unemployment insurance, as required by law. They are covered by the College's general liability policy. Visiting faculty are also entitled during their period of employment to library privileges, use of athletic facilities, tickets to games and various other events on campus.

For holders of appointments designated as "Visiting" and for those with another primary institutional affiliation, there is no eligibility for employee benefits other than the ones described above, unless other arrangements have been negotiated with the Dean of the Faculty and are spelled out in the letter of appointment or a collateral document. Normally such arrangements are made for individuals whose association with the College will be for more than one year, including those cases of joint appointment between Williams and another institution.

Section III-R: Family and Medical Leave of Absence Policy

All full and part-time employees who have been employed by the College for at least twelve months, not necessarily consecutively, and have worked a minimum of 1,250 hours during the immediately preceding twelve months are eligible for a leave of absence under this policy. For policy details please read below, visit this link for the Employee's Guide to FMLA from the US Department of Labor:

FMLA Employee Guide 2012.pdf

Policy Statement

In accordance with the Family and Medical Leave Act of 1993 (FMLA) the College will grant eligible employees up to twelve weeks of unpaid leave during any twelve-month period for any of the following reasons:

- to care for the employee's child within one year of birth, adoption, or the initiation of foster care;
- to care for a child, spouse, or parent with a serious health condition;
- because the employee's own serious health conditions makes the employee unable to perform his/her job; or
- for exigent services leave when the employee's spouse, child or parent is called up to or on active military service.

The Family and Medical Leave Act (FMLA) also provides 26 weeks of unpaid leave in a single 12 month period for an employee caring for a covered servicemember recovering from an illness or injury suffered in the line of duty while on active military duty, and who is the spouse, parent, child or next of kin of the covered servicemember.

Upon completion of FMLA leave, an employee generally will be reinstated to the position that the employee held when the leave commenced, or to a position with equivalent pay, benefits and other terms and conditions of employment. The employee's restoration rights are the same as they would have been if the employee had not been on leave. In the event that an employee's position would have been eliminated or the employee's employment terminated but for the leave, the employee does not have the right to be reinstated.

Definitions

- "12-Month Period" means a rolling 12-month period measured backward from the date leave is taken.
- "Spouse" means a husband or wife as defined or recognized under state law for purposes of marriage, including common law marriage and does not include unmarried domestic partners. If both spouses work for the College, their total leave in any 12-month period may be limited to an aggregate of 12 weeks if the leave is taken for either the birth or placement for adoption or foster care of a child or to care for a sick parent, or an aggregate of 26 weeks to care for a covered servicemember.
- "Child" means a child either under 18 years of age, or 18 years of age or older who is incapable of self-care because of a mental or physical disability. An employee's "child" is one for whom the employee has actual day-to-day responsibility for care and includes a biological, adopted, foster or step-child.
- "Parent" means a biological parent of an employee or an individual who stood in loco parentis to an employee when the employee was a son or daughter.
- "Covered Military Member" for purposes of Exigent Circumstances Leave means those members called or ordered to active duty as part of a contingency operation, who are retired members of the Regular Armed Forces, or members of the retired Reserve, the Ready Reserve, the Select Reserve, the Individual Ready Reserve, or the National Guard. It does not include members of the Regular Armed Forces.
- "Next of Kin" means the nearest blood relative other than a spouse, parent or child, with priority

given to blood relative who have been given legal custody, followed by brothers, sisters, grandparents, aunts and uncles, and first cousins. The servicemember also may designate the next of kin in advance.

- "Qualifying Exigencies" means (1) short-notice deployment; (2) attendance at military events and related activities; (3) childcare and school activities: where as a result of the military member's active duty or call to active duty status, the covered employee is required to arrange for alternative childcare arrangements, provide childcare on an urgent, immediate basis, enroll or transfer a child to a new school or daycare center, or attend meetings with staff at a school or daycare facility; (4) financial and legal arrangements: a covered employee may take leave to make financial or legal arrangements that address the covered military member's absence while on active duty or call to active duty status; (5) counseling; (6) rest and recuperation (for which an employee may use up to five (5) days of leave to spend with a covered service member for each instance of rest and recuperation during the period of deployment up to a maximum total of twelve (12) weeks); (7) post-deployment activities, including attendance at arrival ceremonies and reintegration briefings; and (8) additional activities, where the employer and employee agree to the leave.
- "Serious Health Condition" means an illness, injury, impairment, or a physical or mental condition that involves:
 - Inpatient care in a hospital, hospice or residential medical care facility; or
 - Any period of incapacity requiring absence from work for more than three calendar days AND that involves continuing treatment by a health care provider; or
 - Continuing treatment by a health care provider for a chronic or long-term health condition that is incurable or which, if left untreated, would likely result in a period of incapacity of more than three calendar days; or
 - Prenatal care by a health care provider.
- "Continuing Treatment" means:
 - Two or more visits to a health care provider within 30 days of the beginning of the period of incapacity; or
 - Two or more treatments by a health care practitioner on referral from, or under the direction of, a health care provider; or
 - A single visit to a health care provider that results in a regimen of continuing treatment; or
 - In the case of a serious, long-term or chronic condition or disability that cannot be cured, being under the continuing supervision of a health care provider by visiting the health care provider for the condition or disability at least two times per year.
- "Key employee" means:
 - Those employees who are among the highest paid ten percent of the employees of the worksite. The worksite is defined by all the employees employed by the company within a 75 mile radius.

Scheduling of Family and Medical Leave

Eligible employees may take a maximum of twelve weeks of leave during any twelve-month period. In all cases, the twelve-month period shall be measured from a "rolling" twelve-month period measured backward from the date an employee begins to use FMLA leave.

Family leave, i.e., leave for childbirth, adoption, or foster care must be taken and completed within one year of the birth, adoption, or the initiation of foster care. Such leave ordinarily must be taken all at once unless the employee's supervisor agrees to an alternative leave arrangement that satisfies the operational needs of the College.

Medical leave, i.e., leave for the serious health condition of an employee or the employee's relative, may be taken

whenever medically necessary. Depending on the circumstances, medical leave may be taken all at once or intermittently. However, if the employee's need for intermittent leave is foreseeable based on planned medical treatment, the employee must make a reasonable effort to schedule the treatment in a way that will minimize disruptions to the department's operations. The College may, with justifiable cause, ask an employee to modify his or her treatment schedule in order to better accommodate the department's needs and/or may require the employee to transfer temporarily to a position with equivalent pay and benefits that better accommodates recurring periods of leave.

Employee Notice Requirements

When the need for the requested leave is foreseeable or in the case where intermittent leave schedule is necessary for planned medical treatment, employees must provide as much prior notice as reasonably possible and make every effort to schedule the leave so as not to disrupt business operations.

Medical Certification Requirements

Any employee requesting a medical leave must provide a doctor's statement supporting the employee's need for leave within fifteen days after requesting leave. Employees should contact Human Resources as soon as their need for a medical leave is determined to obtain the College's Medical Certification form.

The College may require a second or third opinion (at its own expense).

A doctor's statement may be required periodically while an employee is on medical leave in order to certify the employee's continuing need for leave. A doctor's statement also may be required if an employee requests an extension of leave, or if there is a significant change in circumstances related to the employee's need for leave.

As a condition of returning to work, an employee who has been on medical leave must present a doctor's statement certifying that the employee is well enough to resume work. A medical certification also will be required in any case where an employee on FMLA leave represents that he or she is unable to return to work for medical reasons. (Note: If an employee fails to return from FMLA leave, the employer may seek reimbursement for any health insurance premiums that it paid during leave unless the employee cannot return for medical reasons or other circumstances beyond the employee's control.)

Status of Compensation and Benefits while on FMLA Leave

FMLA leave will be without pay except when an eligible employee uses accrued sick, vacation, personal, or short-term disability leaves to qualify for compensation during time away. Where employees have earned leave available, they are required to use it first to substitute for the unpaid leave.

The College will maintain an employee's health and dental insurance coverage for the duration of the employee's FMLA leave. The College will continue to pay its portion of the employee's health insurance premiums provided that the employee pays his or her contributory portion on a timely basis. Employees requesting leave should contact the Benefits Office to arrange an acceptable payment schedule.

The College will maintain and pay its portion of the premiums for other benefits during FMLA leave, including supplemental life and disability insurance, provided that the employee pays his or her contributory portion on a timely basis. (Note: Employers are not required to continue any benefits other than medical insurance during FMLA leave unless a lapse in coverage would jeopardize the resumption of such benefits at the conclusion of FMLA leave.)

Employees will not accrue paid leave, i.e., vacation leave, during FMLA leave. However, such leave periods will be treated as continued service for the purpose of calculating retirement plan vesting and eligibility.

Return to Work

- An employee on FMLA leave is expected to report periodically to the employee's supervisor on his or her status and intent to return to work.
- The College will make every effort to restore all employees on leave to their original or positions with equivalent pay, benefits, and other employment terms.
- If an employee fails to return to work on or before the previously agreed upon return to work date, he/she will be considered to have abandoned his/her job.
- Certain highly compensated or "key employees" may be denied restoration to their prior or equivalent position. Denial is based on the following conditions:
 - The denial is necessary to prevent substantial economic injury to the employer;
 - The employer has notified the employee of his/her "key" status as well as its decision to deny restoration should the leave take place or continue; and
 - The employee elects not to return to work after being notified of the employer's decision.

Section III-S: Faculty Paid Medical Leaves, Maternity Leaves, and Parental Leaves

During the first year of appointment, medical leave with full pay shall continue for six months from the commencement of a disability caused by illness or accident, or until the end of the term contract, whichever occurs sooner.

In subsequent years, medical leave with pay shall continue during disability for twelve months following the commencement of a disability caused by illness or accident, or until the end of a term contract, whichever occurs sooner, at the following rates: six months at full pay, followed by six months at 60%, medical documentation supporting the need for the leave must be provided to the Benefits Office.

Maternity Leave

Paid medical leave benefits for childbirth are based on the assumption of an eight-week disability in the absence of complications. This is consistent with federal guidelines and will be reviewed should those guidelines change.

The maternity leave policy for faculty at Williams on a non-visiting appointment provides alternatives to the disability arrangement described above. In order to accommodate the educational program of the College and to respond to the particular timing of the faculty's teaching responsibilities, faculty with such appointments have the option of being released from all or part of their teaching and administrative duties in the semester during or following the birth of a child. The maternity leave provides a full semester of leave at full pay, which includes one course release for parental leave (see below). Faculty members anticipating the birth of a child should discuss their leave plans with the Dean of the Faculty as soon as possible so that the range of options can be fully explored and arrangements approved.

Faculty Members anticipating the birth of a child should, as a first step, discuss their leave plans with the Dean of Faculty as soon as possible so that the range of options can be fully explored and arrangements approved. The general college rule that faculty members will be in residence and teaching for no less than three consecutive years (six semesters) between leaves of any kind (see Section II-N: Professional Leave) will be waived in order to grant a maternity leave, and the maternity leave will be considered equivalent to time in residence and teaching for the purpose of determining the timing of leaves.

Faculty Parental Leave

A non-visiting, benefit-eligible faculty member who becomes a parent of a newborn or adopted child under the age of 18 (or initiates foster care with the intention to adopt) while employed at the College is entitled to paid parental leave in the form of a one-course teaching reduction. The parental leave is available during the semester the child is born, adopted, or brought into foster care, or during the semester immediately following the birth, adoption, or initiation of foster care. The paid parental leave applies for each child born, adopted, or fostered with the intention to adopt.

In addition, parents who are not also eligible for the disability portion of maternity leave may elect to take a second course off at half pay to achieve one semester's leave at 3/4 salary for the semester. Parents who elect to take both courses off are also free of any administrative responsibilities, as would be the case if they were taking a sabbatical. Individuals taking a full semester of parental leave will be expected to teach their standard load during Winter Study and the non-leave semester.

Faculty Members anticipating becoming a parent should, as a first step, discuss their leave plans with the Dean of Faculty as soon as possible so that the range of options can be fully explored and arrangements approved. The general College rule that faculty members will be in residence and teaching for no less than three consecutive years (six semesters) between leaves of any kind (see Section II-N: Professional Leave) will be waived in order to grant a

parental leave, and the parental leave will be considered equivalent to time in residence and teaching for the purpose of determining the timing of leaves.

Medical Leave Options

There are three medical leave options available to faculty members: a) continue working on a normal basis except during a period of disability when the College medical leave policy applies; b) elect to work for the semester during or immediately following the period of disability on a part-time basis, with salary and medical leave benefits prorated accordingly; and c) request unpaid leave of absence. No matter which option is chosen, the College continues to provide medical insurance under the cost-sharing basis described.

If a faculty member suffers a significant loss of time due to illness prior to the tenure decision, he or she should discuss with the Dean of the Faculty the possibility of delaying the tenure decision and, if applicable, the reappointment decision. If a faculty member becomes ill during a sabbatical to the degree that, had he or she been scheduled to teach during that semester, he or she would have been entitled to a medical leave, the faculty member will be eligible to take a medical leave from the sabbatical (allowing them to receive compensatory sabbatical time to make up for the time lost to illness). Such claims will be reviewed by the Dean of the Faculty on the same basis as claims for medical leave from normal teaching duties.

Unpaid Leaves for Illness or Child Care

A faculty member may request a semester's unpaid leave of absence for reasons of illness or child care. Since the College may wish to staff the position with temporary or substitute help, leave requests should be made with as much notice as possible.

SECTION IV. FACULTY-STUDENT RELATIONS

Section IV-A: Advising Students

The advising and mentoring of students are considered to be integral and vital parts of a faculty member's duties as a teacher and member of the College community (see Section II-K: Service to the College Community and Section II-L: Non-tenured Faculty Evaluation. In fulfilling these duties, all teaching Faculty on regular, permanent appointments after their First-Year, will serve as First-Year academic advisors. The implementation of this policy will rest with the offices of the Dean of the Faculty and the Dean of the College. The advising and mentoring activities of faculty take a great many forms, both formal and informal. The more formalized ones are described here.

First-Year Student Advising

All faculty are expected to serve as academic advisors to first-year students; in addition some members of the professional staff choose to serve as well. The Associate Dean for Academic Programs (Dean's Office) assigns a group of up to four advisees to each faculty and staff advisor. Advisors are invited to review their advisees' application materials prior to meeting them in September, and they receive course registration, placement, and other relevant academic information for each of their advisees during First Days. The Dean's Office provides each advisor with a copy of the *Handbook for First-Year Advisors*, which thoroughly reviews the College's policies and opportunities for first-year students. Additional information on the registration process for first-year students is sent to academic advisors in April. Prior to arriving on campus in the fall, each first-year student has completed and submitted a course registration form. Once on campus, the student may make course changes after consulting with his or her advisor, particularly in light of the student's scores on placement tests and the Quantitative Studies test. All first-year student course changes must be approved by the academic advisor. After their initial meeting during First Days, academic advisors meet with their advisees during preregistration for second semester and during the spring preregistration for their sophomore courses. At all of these meetings, the advisor should discuss with each advisee the student's academic interests and goals, possible majors and plans to study away, and how these priorities relate to the Williams curriculum, including divisional requirements, prerequisites, programs, and majors. Issues such as work load, balance among types of courses, and balance between course work and extra-curricular activities, should also be discussed.

Special Advising

Certain faculty also serve as advisors to students on graduate schools, fellowships, and career opportunities. Some of these advisors are listed in the Catalog issue of the *Williams College Bulletin*. A list of departmental advisors for students considering graduate study appears in the *Williams College Guide to Graduate Study*, available from the Dean's Office.

Publications Useful in Advising Students

There are three publications which faculty members will find especially helpful in advising students. *The Williams College Bulletin*, course catalog issue, published yearly, describes in detail the academic programs and regulations of the College. *What's What*, also published yearly, contains pictures of each First-year Student, as well as pictures of many of the transfer and exchange students who entered Williams at that time. The *Williams College Student Handbook* discusses College rules and regulations that affect students, and discusses both curricular and extracurricular aspects of student life.

Section IV-B: Entertaining and Dining with Students

In order to encourage faculty members and students to see each other outside the classroom, faculty may take meals in the College's dining halls without charge. Faculty who would like to eat with students should feel free to take the initiative in going to the dining halls; they need not wait for an invitation from students. This program is exclusively for the purpose of encouraging contact with students. It may not be used to provide free meals for department meetings or for other groups of faculty.

There are also other funds available to support student-faculty interactions. Each department has a small budget to provide funds for faculty members wishing to entertain students. The department chair controls the disbursement of these funds. Faculty members can also apply to the CUL for additional funds for events beyond the traditional classroom context. Finally, advisors to first-year students have special funds to entertain their advisees available from the Dean of the College's Office.

SECTION V. FACILITIES AND SERVICES

Section V-A: The College Libraries

General Description

The Williams College Libraries consist of collections in the humanities and social sciences in **Sawyer Library**; the sciences and psychology in the **Schow Science Library**; Special Collections consists of the College Archives, featuring college history and special materials and the Chapin Library which contains important rare books, manuscripts and such collections as the Founding Documents.

The newly renovated and expanded Sawyer Library supports multiple activities including the main library holdings, a full array of library information and instructional services, a wide variety of individual and group study spaces, Special Collections, the Center for Educational Technology, faculty offices, and three registrar scheduled classrooms.

Collections

The Libraries' collections include more than:

- 993,243 books
- 763 print magazine and journal subscriptions
- 91,803 online journals
- 21,750 sound recordings
- 14,712 video recordings

While the collections focus on materials needed to support courses, they also contain books, ebooks, and magazines for leisure reading, music CDs, and feature films.

The Libraries' online collections include over 90,000 electronic journals, over 400,000 ebooks and government documents, indexes and databases, and reference materials. Most of the print and online collections, as well as some of the material held in the **Chapin Library**, described below, are listed in the online catalog (library.williams.edu). Online resources can be accessed anywhere on campus and users with a network login can use these resources off-campus by using the proxy server.

For links to search the catalog, online resources, and further information about the library see the Libraries' web site (library.williams.edu).

Borrowing

The Williams College ID serves as the library card for faculty and staff. Spouses and dependent children are also granted library borrowing privileges, and may obtain an ID through Campus Safety and Security. College employees and spouses may check out books and audiovisual materials; periodicals and reference materials must be used in the library. Dependent children may only check out book materials. Books may be renewed online, but are subject to recall after two weeks when needed by others and at any time when required for reserve. All borrowers are responsible for those items checked out to them; lost materials will be billed.

For more information on borrowing policies and loan periods see: library.williams.edu/policies/lending-policies.php

Borrowing from other Libraries

Through the Libraries' membership in Boston Library Consortium (BLC) college employees and spouses have access to approximately 25 million volumes available at larger research libraries and private colleges in New

England. Our libraries also belong to the Center for Research Libraries and HathiTrust, two large research collections of both print and electronic holdings. For items not available through the partnerships, the Interlibrary Loan department can request books, articles, and other materials from libraries throughout the U.S. and around the world.

For more information on borrowing from other libraries see: library.williams.edu/borrowing/

Research and Reference Services

Research assistance is available at the Research Help Desk in Sawyer Library and at the Services Desk at Schow Science Library. Librarians answer questions at the desk, by phone, and by e-mail and also schedule individual research appointments for more in-depth research questions.

For contact information and hours of operation see: library.williams.edu/askalibrarian/

Information for Faculty

Details on how to order materials for the collection, place materials on reserve for a course, request library instruction for a course, and designate a research assistant are available on the Libraries' faculty information page: library.williams.edu/faculty/

Chapin Library

As mentioned above, The Chapin Library of rare books and manuscripts is, together with the College Archives, part of the Special Collection Department. Chapin contains more than 70,000 volumes together with nearly 100,000 other items, including letters, documents, broadsides, bookplates, sheet music, prints, drawings, paintings, photographs, artifacts, and graphic ephemera. These materials range from the early 9th century to the present, and represent all fields of learning. The Chapin Library encourages use by individual students, whose course work, independent studies, and personal interests can often benefit from access to primary sources. The Chapin also welcomes research use by Williams faculty and staff, and is open to visiting scholars. In cooperation with faculty, Chapin staff are happy to arrange presentations to class groups of items from the Library's collections.

Hours of Service

Hours of operation for **Sawyer**, **Schow**, and Special Collections are listed on the Williams College Libraries website at library.williams.edu/hours. Special hours during breaks and over the summer are also noted.

Section V-B: Faculty Offices

Private office space is provided for full-time faculty. This guarantee cannot be extended to part-time faculty.

Faculty assignments in Hollander, Schapiro, and Stetson Hall, as well as Dodd Annex are made by the Dean of the Faculty's office. Assignments in other campus buildings are organized and maintained by the individual department chairs.

Full-time faculty may retain their offices from year to year, but faculty on leave and not in residence must make their offices available for use by other faculty members when necessary. Faculty on leave must clear out their desks and provide sufficient file and bookshelf space to accommodate a visiting faculty member.

Faculty going on leave, or terminating should make their offices available for occupancy by another faculty member by the following dates:

- On leave for the Fall semester or full year: Out by **the end of the third week in June.**
- On leave for WSP and spring semester: Out by **December 23**
- On leave for Spring semester only: Out by **Last Day of Winter Study Classes.**

The Assistant Dean of the Faculty will attempt to arrange for brief extensions beyond those dates for faculty who wish to remain longer. However, arrangements must be clearly made with the Assistant Dean of the Faculty and include consultation with a faculty member's Department or Program Chair and Administrative Assistant.

Faculty who would prefer an office other than the one they occupy are afforded the opportunity to express a preference to move in the spring, before new and returning faculty receive their office assignments for the following year.

Section V-C: College Publications and News Services

Office of Communications

The communications office publishes a variety of materials to inform the Williams community of news, events, and activities, and maintains many sections of the College website: www.williams.edu.

Print publications

- Williams Magazine, published in November, March, and July
- Williams People (alumni news), published in September, January, and May
- Campus map, updated annually

Digital publications

- [Campus Directories](#): People and A-Z online, plus first-years directory
- [News Releases](#): highlighting events or accomplishments (available RSS feed)
- [Daily Messages](#): email notes to Students, Faculty, and/or Staff
- [Campus map](#), online version
- [Sports Information](#) website
- [Fast Facts](#), online version
- [Williams in the News](#), a compilation of Williams appearances outside the local area
- [Information for Journalists](#)

Media Relations

The communications office handles media relations for the college, faculty members, and students. For more information visit <http://communications.williams.edu/media-relations/>. To suggest an event or accomplishment for a possible news release, or for more information about media relations, contact media relations director Mary Dettloff at 413-597-3401 or msd2@williams.edu.

Publications from other offices

The Registrar's Office

- [Course Catalog](#)
- Student Handbook, printed and distributed in September

The Admission Office

- Williams College Prospectus and Application
- Admissions Profile, printed and [online \(PDF\)](#)

Student Publications & News Services

- [The Williams Record](#): weekly college newspaper
- Newsletters and reviews of general and literary interest
- The Daily Advisor
- [WCFM](#): non-commercial student radio station (91.9 FM)

Section V-D: Mail and Print Services

High-speed duplicating services may be obtained through Mail and Print Services, located in '37 House. Services offered include high speed duplicating, color copying, folding, trimming, and collating. Office supplies can be obtained through your departmental Administrative Assistant. Mail is delivered to the mail room in '37 House three times daily. Mailings of identical letters to an established mailing list should be sent through the mail room in '37 House.

Section V-E: Textbooks for Class Use

The college has contracted with the Follett Higher Education Group, to operate the college's bookstore, Water Street Books. The schedule and forms for ordering textbooks are provided to faculty members each term by Water Street Books. An online link to electronic 'adoption' entry is also available through the bookstore's webpage at www.waterstreet.bkstr.com. Orders for fall term books must be submitted by mid-April, Winter Study period and spring term books by mid-October. Faculty and staff cooperation in submitting complete orders by the requested deadline is essential if the store is to provide adequate numbers of used and new books for students to purchase each term.

Section V-F: Campus Mail

Communications in writing may be sent to members of the administration, faculty, and staff by using special reusable envelopes. These are delivered at least twice daily when classes are in session, and once a day during vacation periods. Boxes for pickup and delivery are conveniently placed in all buildings where faculty members have offices.

As the College has an all-student College Post Office located in Paresky, faculty should not use U.S. mail to communicate with students. Communications for students should be sorted by box number, which can be found in *The Williams Directory* <http://www.williams.edu/home/dir/people/>. Communications should be in an envelope. However, letter size material not in envelopes is acceptable if delivered by hand to the Campus Post Office tri-folded and addressed. They may be placed in Campus Mail or, if very fast delivery is required, taken directly to the mail room in the Campus Post Office. Campus mail should not be used for sending heavy or bulky items.

Section V-G: Dining, Meeting and Lecture Facilities

Faculty may purchase meals at the snack bar daily and lunches at the Faculty House/Alumni Center Monday through Friday during the academic year, and they may dine with students in the dining halls without charge see Section IV-B Entertaining and Dining with Students. Faculty may also reserve rooms in the Faculty House/Alumni Center by contacting the Dining Services Office.

The following areas are available for meetings of departments, committees, and other groups of faculty: Faculty House/Alumni Center meeting rooms (reserved through Dining Services); Driscoll Lounge (reserved through Campus Life); and all regular classrooms, including large audience lecture facilities (coordinated by the Associate Registrar for Student and Faculty Services for use before 4:00 p.m., Monday through Friday; coordinated by Campus Life for all other bookings).

Section V-H: Office of Information Technology

The Williams College Office for Information Technology (OIT) supports the College's mission of offering the best liberal arts education by helping faculty and students to develop effective uses for technology in teaching, learning, research, and scholarship. OIT provides comprehensive, accessible and reliable information systems to sustain both administrative and academic endeavors. OIT promotes a sense of community by facilitating communication among all members of the College. Through the commitment to maintaining the highest technical standards in our information infrastructure and the dedication to making available the best information technology resources as well as assistance to use them, OIT enriches the College's educational environment and helps to prepare students for life in the 21st century.

Faculty Support

For continued faculty excellence in research and in teaching, Williams must have an information infrastructure consistent with its liberal arts mission and stature. Williams' information technology must support the faculty in communicating knowledge to students and to the community of scholars. It must support their research and scholarly communication on local, regional, national, and international scales.

For assistance with email, calendar, productivity tools, network connectivity, and hardware, please contact OIT support at desktop@williams.edu or x4090. You can also visit Jesup 303 or the second floor of Sawyer Library. OIT provides and regularly replaces a computer for your use. If you have questions about this or would like help purchasing additional computers and technology, please contact OIT.

For support with academic software, computer labs/classrooms, our learning management system – GLOW, course projects, and research technology support, please contact OIT's Instructional Technology team at itech@williams.edu or your department liaison. For help with classroom technology, call x2112.

Student Support

As a preeminent liberal arts college, Williams must provide its students with information technology systems both as a tool for teaching in general and as a way to help students learn to think critically about information technology.

Our students can get assistance with all their technology needs from the student help desk by visiting the Center for Educational Technology (CET) on the second floor of Sawyer Library, emailing stchelp@williams.edu, or calling x3088.

Administrative Support

Administrative Information Systems must provide the administrative community of Williams College with high quality, accessible, and reliable information systems that enable the operational decision-making, planning, and analysis required to meet the institution's standard of excellence. These systems provide services that are essential to the college community, including the administration of human resources functions (payroll and benefits), finance functions (accounting, budgets, accounts payable and receivable), and student functions (admissions, financial aid, records and billing).

Our PeopleSoft system provides access to course and student academic records, to your employment and benefits information, and also to our financial system.

For up to date information on services provided by the Office for Information Technology staff, please visit oit.williams.edu.

Computing and Privacy

The Office for Information Technology website posts information on:
Computing Ethics & Responsibilities and Computing Privacy

Section V-I: Williams College Museum of Art

As a teaching museum, WCMA participates actively in the academic life of the college and develops interdisciplinary programs for the study and interpretation of visual art. The collection of nearly 12,000 objects spans the history of art and includes important ancient works, Asian and African art, medieval sculpture, American, modern and contemporary art. The museum's Prendergast collection serves as a national center for the study of the context and culture of the Prendergast brothers and their artistic era (1850-1950). Art acquisitions, exhibitions and programs emphasize modern and contemporary art, American art and especially the art of Africa and India. The collections are both on view and available for study in storage through the museum's curricular outreach program.

In 1983, extensive renovations to Lawrence Hall and an addition designed by Charles Moore for the museum and college art department were opened to wide acclaim. Fourteen galleries, anchored by the 1846 Greek revival rotunda and approached through a dramatic three story atrium, present a dynamic mix of changing exhibitions-between 15 and 20 each year. The exhibitions are organized by the museum staff and guest curators; WCMA exhibitions often circulate nationally and internationally. Williams students interpret exhibitions for school children and families through the museum's model docent program; students participate as well through a variety of work-study positions and internships. Museum staff teach in the art department. The museum is open year round from 10:00 a.m. to 5:00 p.m. Tuesday through Saturday, and 1:00 to 5:00 p.m. on Sunday.

Section V-J: The Sterling and Francine Clark Art Institute

The Sterling and Francine Clark Art Institute is one of a handful of institutions in the United States that combines a public art museum with a separate series of research and academic programs, supported by a major art history library. As such, The Clark functions as an international center for research and discussion on art as well as its history, criticism, and the institutions that shape and support the field.

The Clark was chartered in 1950 by Robert Sterling Clark and opened its doors in 1955, welcoming the public to a collection of artworks and books that he and his wife had assembled over the course of five decades. The collection is best known for an extraordinary collection of French Impressionist paintings, which take their place within a wider ensemble of masterworks that range from the Renaissance to the late 19th century. Among the highlights are works by Ugo di Nerio, Piero della Francesca, Fragonard, Corot, Bouguereau, Turner, and an especially strong representation of American artists, including Homer, Cassatt, and Sargent. The Clark is also noted for its fine holdings of decorative arts and old master and nineteenth-century drawings and prints. Its library has grown to become one of the nation's premier resources for the study of European and American art, containing more than 200,000 printed books, bound periodicals, and auction sales catalogues.

The Clark Fellows Program brings leading scholars from universities and museums around the world to Williamstown for up to a year to research and develop ideas focused on art and related to critical historical issues. Its conference and symposium program presents one major Clark conference a year on an issue of importance to the field, as well as symposia, colloquia, seminars, and lectures on a variety of topics. In addition, the Clark houses a master's program in the history of art, the country's foremost program of its kind, which is administered jointly with Williams College.

Located at 225 South Street in Williamstown, Massachusetts, The Clark is open year-round Tuesday through Sunday from 10:00 a.m. to 5:00 p.m. (daily July 1 through Labor Day).

Section V-K: The Center for Foreign Languages, Literatures, and Cultures

The Center for Foreign Languages, Literatures, and Cultures is, in the narrowest sense, those departments and facilities housed in Hollander Hall. These include the Department of German and Russian, the Department of Romance Languages, the Program in Comparative Literature, the Language Laboratory, and several classrooms and multipurpose spaces dedicated to foreign languages, literatures, and cultures. In the broader sense, the Center encompasses both the departments of Asian Studies and Classics and all faculty members in languages, literatures, and cultures whose teaching and research interests lie outside of the English language and American culture. In this broader sense, the Center provides a gathering place for faculty members and students interested in international issues and acts as an advocate for their inclusion in the Williams curriculum.

The Center coordinates a variety of lectures, readings, film series, conferences, and other special events that emphasize the interdisciplinary and cross-national study of foreign cultures. Recent events include a conference devoted to the art of translation, a series of contemporary Arab films, an evening of Viennese waltz, a Russian pot-luck dinner, and regular informal events hosted by foreign language Teaching Associates and Teaching Fellows, who come to Williams from Asia, Europe, and Latin America.

The classrooms have the latest audio, video/data projection, and satellite reception equipment, including multi-standard VCRs, laserdisc/DVD/CD players, multiregional DVD players, audiocassette players, and dual platform computers with wireless keyboards and auxiliary laptop outlets. The language lab houses a large collection of audio, video, and computer materials and is itself divided into two distinct sections: a computer classroom with sixteen networked Macintosh computers and an independent work space with both carrels for audio, video, and satellite viewing and computers fully equipped for work in a number of foreign languages. In addition, the Language Lab has a small viewing room and a recording studio with up-to-date equipment that can handle both analog and digital recording.

The Center's small library has foreign language dictionaries, language instruction materials, and information on travel and study abroad. The Center also subscribes to several foreign language newspapers and magazines from around the world, which are available to all in the Center lobby.

Section V-L: Bernhard Music Center

Bernhard Music Center contains the offices and classrooms of the Department of Music, as well as Brooks-Rogers Recital Hall (a chamber music and lecture hall seating 279), two rehearsal halls, and a MIDI Electronic Music Facility. Chapin Hall, a large concert auditorium seating 1,020, adjoins the Center. Thompson Chapel is also used for occasional organ and choral performances.

Departments or programs wishing to schedule events in Brooks-Rogers Recital Hall, Chapin Hall, or other department facilities must do so well in advance through the Activities Office (413) 597-2546, who will then check with the music department's Facilities Manager. These requests will be accommodated if they do not disrupt the needs of the many departmental musical activities that require these same facilities.

There are twenty-six soundproof practice rooms in the basement of Chapin Hall, most of them with pianos. These are available to any faculty member.

Most concerts during the academic year are free and open to all on a non-reserved basis. A few events (Kusika, Williamstown Jazz Festival) have a modest admission charge. Information about upcoming concerts can be obtained by consulting the Department of Music's web page calendar; requesting a free fall or spring season concert brochure by calling (413) 597-2736 or emailing eclark@williams.edu; checking the main college bulletin boards; reading the music department's ad in *The Advocate*; referring to the At Williams calendar; or by calling the concertline (413) 597-3146, which is updated weekly throughout the academic year.

Section V-M: '62 Center for Theatre and Dance

The '62 Center for Theatre and Dance is equipped with facilities to accommodate all aspects of dramatic art. It houses three theatres: the new Mainstage, a 550-seat proscenium theatre with two balconies, fly system, and full orchestra pit; the renovated Adams Memorial Theatre, with a permanent expanded apron stage for smaller productions; and the innovative Center Stage, a highly flexible and technologically advanced space for more experimental work. The Center also contains workshop, studio, and classroom space, along with full scene and costume shops, and a digital media lab. Both the Theatre Department and the Dance Program reside in the '62 Center.

Williamstheatre, the production arm of the Department of Theatre, provides undergraduates with opportunities for acting, directing, playwriting, design, and technical work. The annual program normally consists of four major plays directed and designed by students and faculty of the Department. Seasons are chosen so as to give great breadth to the undergraduate theatrical experience, and productions range from Greek classics, to Shakespeare, to contemporary and original work. Members of the College community are encouraged to take part in any aspect of Williamstheatre productions. Performances of touring productions will also take place on the stages of the '62 Center throughout the academic year.

Section V-N: Center for Environmental Studies

Located in the Class of 1966 Environmental Center, the Center for Environmental Studies administers an academic program that provides an integrated, interdisciplinary study of the environment leading to a concentration in Environmental Studies. The Center also manages three special facilities of the College: the Matt Cole Library, the Hopkins Memorial Forest complex, and the Environmental Science Laboratory. The Matt Cole Library located in Sawyer Library is an interdisciplinary environmental library that includes not only books and journals but also an extensive collection of documents, maps, and other resource materials focused on the regional environment. A small Geographic Information Systems laboratory is located on the second floor of the Matt Cole Library. The 2,400 acre Hopkins Memorial Forest, a natural area located in the northwest corner of Williamstown less than two miles from the center of campus, is used for research, education, and passive recreation. A former carriage barn at the Forest entrance has been converted into the Rosenburg Center, providing on-site laboratory, classroom, farm museum, and office facilities. Within the Forest, both short and long term research projects are ongoing, utilizing the permanent plot system, weather station, stream gauging stations, and canopy walkway. Hiking, snowshoeing, and cross-country skiing are encouraged on the eight miles of trails in the Forest; wheeled and motorized vehicles are prohibited. The Environmental Science Laboratory in the Unified Morley Science Laboratory and the field laboratory at Hopkins Forest are equipped for chemical analysis and are available to students for coursework and independent research studies. The Center holds a weekly environmental studies lunchtime speaker series, Log Lunch, which features a broad range of speakers as well as student-made vegetarian lunch. The Center also engages in many community activities.

Section V-O: Oakley Center for the Humanities and Social Sciences

The Oakley Center for the Humanities and Social Sciences was established in 1985 to provide significant support for faculty research, development, and renewal. In the fall of 1989, the Center moved into its permanent home in Makepeace House. Faculty members from all three divisions participate in research and discussion seminars on topics in the humanities and the social sciences. One important mission is to facilitate intellectual exchange and collaboration among faculty members whose research and teaching cross or elude disciplinary boundaries.

The Center organizes and supports semester-long or year-long faculty seminars, arranges conferences, and sponsors visiting speakers of special interest to groups of faculty members engaged in interdisciplinary research. In addition to the seminar program, the Center provides working space and research support for Resident Fellows. Center Fellowships are awarded, competitively, to Williams faculty members on leave. Selection is made by the Faculty Committee for the CHSS on the basis of research proposals submitted to it each spring for the following year. Occasionally a Visiting Fellow from one of Williams' neighboring institutions will be appointed.

The Center is run by the Director and the Assistant to the Director. Advisory committees help to organize and review the Center's programs (see also Section II-O: Research Support).

Section V-P: Center for Development Economics

The Center for Development Economics (CDE) is located at 1065 Main Street, on the corner of Main and South Streets. It is the academic and residential facility for overseas students enrolled in the one-year M.A. program in Policy Economics. An Executive Committee comprised of three members of the Economics Department oversees the academic program. CDE staff includes the director, assistant director, and program coordinator. Activities of the CDE, in addition to courses taught by members of the Economics Department, include guest lectures, international nights, and other social and cultural events, many of which are open to members of the College community or the public. A Host Family program enables interested persons to be affiliated with a particular Center Fellow. Faculty and staff are encouraged to make contact with Fellows and to participate in CDE activities.

Section V-Q: Athletic Facilities

Williams offers to its students, faculty, and staff the use of College athletic facilities for personal recreation. This program includes the use, on a regular schedule, of outdoor tennis courts, Chandler gymnasium and pool, Lasell gymnasium and fitness center, squash courts, Chapman Rink for ice skating or indoor tennis, and the Towne Field House. Facilities are available at no charge upon presenting a valid college ID card.

Section V-R: Davis Center and Office of Special Academic Programs

The Davis Center (DC) serves as a learning and resource center for the entire Williams community. The Center has three houses in Morley Circle: Rice, Hardy and Jenness. The houses contain common spaces including multipurpose rooms used for classes and meetings, living rooms used for social gatherings and meetings, kitchens, lounges with televisions, and computer rooms. Reservations must be made through the DC.

Offices for the DC staff are located in Jenness House. The staff consists of a director, faculty fellows, assistant directors, and a program coordinator and a center administrator. The staff works with student groups, academic and student service departments throughout to organize programs, conduct trainings and workshops, and facilitates opportunities with leading practitioners in diversity and equity work to visit campus. The Center coordinates the W. Allison and John A Davis annual lecture, the First Year Experience program Root, an inclusive pedagogy seminar, along with lunch forums, special discussion panels, lectures, and receptions in cooperation with other departments or programs to provide systematic and critical engagement with issues of diversity.

The houses also contain office and meeting space for the Minority Coalition (MinCo) board and MinCo Student Organizations which include: Asian American Students in Action (AASiA), the Black Student Union (BSU), Black Campus Ministries, Black Students in STEM (B-STEM), Chinese American Students Organization (CASO), The Griffins, Koreans of Williams (KOW), the Muslim Student Union (MSU), Nihonjin American Student Union (NASU), South Asian Students Association (SASA), Sisterhood, Students of Caribbean Ancestry (SoCA), Students of Mixed Heritage (SOMH), Queer Student Union (QSU), Vietnamese Student Organization, Vista (Latina/o Organization), Williams African Student Organization (WASO), Williams College Jewish Association (WCJA), Williams International Club (WIC), and the Women's Feminist Alliance (WFA).

Hardy House contains offices for the Office of Special Academic Programs (OSAP). OSAP works to ensure all students thrive academically at Williams and beyond through opportunities and programs that work to eradicate racial and socio-economic disparities in higher education. The OSAP staff consists of a director, coordinator, faculty liaison, and graduate assistant. OSAP is instrumental in leading work of the Diversity Action Research Team that includes stakeholders across campus and which aims to eliminate racial, gender and economic disparities where necessary. The OSAP and DC missions closely align and their respective diversity, equity and inclusion work is complimentary.

SECTION VI. FACULTY ACTIVITIES

Section VI-A: The Faculty Club

Membership in the Williams College Faculty Club is open to all members of the Faculty and staff, with annual dues underwritten by the College. A limited number of dues-paying alumni and townspeople are also members, a mix which fosters a wider range of acquaintances and enhances town-gown relations. The Club is administered by a Board of Governors chosen for three-year terms and officers elected annually. The Club offers daily lunches, a bowling league, and an extensive program of social and cultural activities, which are listed in a monthly calendar sent to all members.

The Faculty Club shares with other College departments and offices use of the Faculty House/Alumni Center, which is managed on a day-to-day basis by College Dining Services and with the guidance of the corporation by-laws. The Faculty House/Alumni Center facilities include a lounge with television, a bar, a game and billiards room, a small library, and several cozy rooms for social and meeting purposes. The facility may be used for private parties by members of the Faculty Club on a space-available basis request to the Dining Services Office at (413) 597-3206. Informal social use which does not require special food and bar service is always welcomed during the hours of 8:00 a.m.-5:00 p.m., Monday-Friday, Lunch Hours 11:30 a.m.-1:30 p.m. Saturday open by reservation only. Sunday closed. Routine questions concerning the Faculty House/Alumni Center should be directed to the Manager at (413) 597-2451.

Section VI-B: The Faculty Lecture Series

The Faculty Lecture Series was founded in 1911 by Catherine Mariotti Pratt, wife of an Assistant Professor of Philosophy, who wished to relieve the tedium of long New England winters by hearing the "learned professors talk seriously about things that really mattered to them." Following in this tradition, an *ad hoc* committee invites members of the faculty to present public lectures each spring. Lecturers convey the substance of their special fields in a way that will be of general interest to non-specialists.

Section VI-C: Phi Beta Kappa

Faculty of all ranks and members of the staff serve as officers of the local chapter of this honorary academic society. All members of Phi Beta Kappa who work at Williams are invited to participate in chapter functions, including lectures and panels sponsored by the chapter, discussion groups organized by the student members, and initiation of new student members.

Section VI-D: Sigma Xi

The Williams College Sigma Xi Club elects, as Associate Members of the national Society of Sigma Xi, those Williams undergraduates who have demonstrated unusual excellence in scientific research. In addition, the Club sponsors a fall and spring Faculty Research Lecture Series and additional lectures by local and visiting scientists. The Club also sponsors a number of out-reach programs to promote science with the public and through interaction with regional grade, junior high, and high schools. The Williams College Sigma Xi Outstanding Science Student Award is made annually at Mount Greylock Regional High School on class night. The recipient of this award is chosen by the teachers at the school for demonstrated performance in science class and general interest in future work in science. The Club periodically presents an award to an outstanding regional high school science teacher. The award, consisting of a Certificate of Recognition and an honorarium, recognizes outstanding dedication to the teaching of science and the encouragement of scientific research. A High School Science Award is made to the recipient's school for the purpose of purchasing instructional equipment. The Club also cosponsors a Science Day in the spring to recognize the seventh and eighth grade winners of regional fairs. Cosponsored with the Consortium for the Improvement of Math and Science Teaching, Specialty Minerals, Inc., and GE Plastics, Inc., the Science Day provides a morning of activities and demonstrations designed to further stimulate the students' interest in science and scientific research.

Section VI-E: Convocation and Commencement

It is customary to mark the beginning of the academic year by holding a formal Convocation during the early weeks of the fall semester. The Convocation may have a central theme, around which additional activities are organized. Commencement exercises closing the academic year are held in late May or early June. An academic procession, in which all members of the faculty are invited to march, precedes both Convocation and Commencement. The College purchases academic regalia for tenured members of the faculty and supplies it without charge to the rest of the faculty.

SECTION VII. APPENDICES

Appendix A: Discrimination Grievance Procedures

This appendix describes in detail the discrimination grievance procedures that accompany the Williams College Non-Discrimination Policy. A statement of that policy and a brief outline of the most important stages in the discrimination grievance procedures appear in Section II-T: Non-Discrimination Policy. See also Section II-S: Sexual Harassment Policy.

Because Federal law has changed due to the reauthorization of the Violence Against Women Act, the College must, effective October 1, 2014, comply with new federal regulations regarding sexual misconduct. The College's Sexual Misconduct Investigation and Adjudication Process is marked by notes added below.

NOTE: Cases that involve a student and College employee and a potential case of domestic or dating violence, sexual assault, or sexual exploitation, do not fall under the discrimination procedures outlined below: see the Title IX website for definitions of these terms, the College's Sexual Misconduct Policies, and the Sexual Misconduct Investigation and Adjudication Process to follow in these cases. If a College employee experiences conduct on the part of another College employee that may violate the College's Sexual Misconduct Policies, the Title IX Coordinator or a deputy will be charged with ensuring that the employee considering or making a claim is afforded the resources and accommodations described on the College's Title IX Sexual Misconduct website, throughout the grievance process outlined below.

Please note that while the discrimination grievance procedures have four components – advisory, informal, formal, and appeal – the advisory phase is not part of the actual grievance procedures. Unlike the components that are part of that process, it does not require the filing of an official complaint.

Incidents of alleged discriminatory behavior should be reported as soon as possible. Only if an official complaint is filed is the matter certain to come to the attention of the appropriate administrators. A complainant is free to withdraw or proceed at any stage of the process. The identity of the parties and the substance of the claims are treated by the College as confidential throughout, except as is reasonably necessary to carrying out the procedures and to ensuring the safety of everyone at the College. Retaliation, academic or otherwise, against employees or students for bringing complaints of discriminatory behavior is explicitly prohibited by College policy.

Advising Procedure

Whenever someone has experienced an incident that could be a form of discrimination, talking about the incident soon thereafter with a trusted advisor or friend can be helpful. Members of the College community such as health staff and counselors, assistant and associate deans, human resources officers, chaplains, and the Affirmative Action Officer are available for consultation. Among them are a number of people who have training in sexual harassment counseling. This group includes also two faculty, two staff, and two student advisors appointed yearly by the President, who invites nominations from the community. The names of the College advisors are listed in print and online in the *Student Handbook*; *Williams College Bulletin*, Catalog edition; The Williams Directory; the pamphlet on sexual discrimination, *Understanding Sexual Harassment*; and the websites of the Dean of the College and the Vice President for Institutional Diversity and Equity. Their names are also published semi-annually online in the Daily Messages and printed in the Daily Advisor.

A student, faculty, or staff member who seeks advice on matters related to discrimination is free to consult with any of the College's advisors. Depending on the wishes of the advisee, the advisor's role may include any of the following informational or supportive activities: listening to and discussing the incident with the advisee; helping the

advisee decide whether to try to resolve the situation on her or his own; helping the advisee understand the College's discrimination grievance procedures. The advisee may choose at any point not to pursue the matter any further, and the College is not required to take any further action during the advising phase, except when in its judgment the circumstances present a danger to the individual or to others. Advising activities of this kind are not part of the actual discrimination grievance procedures, which require that a complaint be officially filed, as described in the Informal Grievance Procedure below. Only complaints that do proceed to the informal stage are certain to come to the attention of the appropriate authorities. The advisor keeps no record of the consultation. A person who feels discriminated against may proceed directly to the informal grievance procedure, whether or not he or she has consulted an advisor.

Should the advisee decide to proceed, the advisor's role may also include accompanying the advisee (now the complainant) through any subsequent College discrimination grievance procedures, should he or she want the advisor present. The respondent may also consult with any of the College advisors, except the one chosen by the complainant. The advisor's role continues to be that of a facilitator who provides information and support. The complainant may bring a draft of the statement of allegations (see Informal Grievance Procedure below, paragraph 2) to the advisor to consult about how to express clearly what he or she wishes to say. The respondent, should he or she proceed to the appeal stage, may similarly consult with a College advisor about the statement of reasons for the appeal. The advisor may discuss procedural matters with the executive officers involved in the case, but may not investigate, or attempt to mediate or resolve the complaint. Like all other participants, the advisor is expected to respect the confidentiality of the proceedings.

Informal Grievance Procedure

A person who is considering filing a complaint regarding discriminatory behavior should meet as soon as possible with the appropriate administrator (i.e., either the pertinent executive officer or affiliated staff).¹ The administrator will, if so requested, help the person decide whether the allegation falls within the scope of these grievance procedures, answer any questions regarding the procedures themselves, or provide any information that might help the person decide whether to file a complaint and thereby initiate an investigation.

If the person then chooses to file a complaint, he or she will send to his or her executive officer a written statement of allegations. The complainant's executive officer will provide the complainant with a written set of guidelines² indicating the kinds of information that the statement should contain. The respondent's executive officer will be responsible for giving the respondent a copy of the statement of allegations and for answering any questions regarding the procedures themselves. The complainant's executive officer and the executive officer of the person charged with the offense will oversee the entire informal stage.³ In doing so they may need to confer with and delegate responsibilities to members of their staffs. They will also inform the Affirmative Action Officer that a complaint has been filed. In conducting the investigation, the respondent's executive officer should consult his or her

¹ For the Dean of the College the other administrators include the Associate and Assistant Deans; for the Dean of the Faculty they include the Provost and the Vice President for Institutional Diversity and Equity; for the Vice President for Finance & Administration and Treasurer they include the Director of Human Resources and the Vice President for Institutional Diversity and Equity. If it is an executive officer whose behavior may be at issue, the person should discuss the alleged discriminatory behavior with the President, who will appoint a formal grievance committee, which will proceed as stipulated below, except that the committee will in this case make its report and recommendation to the President.

² See Appendix B for the guidelines.

³ When both the complainant and the respondent belong to the same category (i.e., students, faculty, or staff) their executive officer and an affiliated staff member will oversee the proceedings.

file of complaints of discrimination to determine whether it contains any information about the respondent that is relevant to a judgment concerning the present case or to the terms of its resolution.⁴

After the investigation has been concluded the executive officers will reach a finding and report it to both the complainant and the respondent. If the finding indicates that the respondent did not violate the College's policy, or that the evidence is inconclusive, the complainant may, if dissatisfied with the finding, instruct his or her executive officer to begin formal grievance proceedings. If the complainant chooses not to request formal proceedings, the case is dismissed. If, on the other hand, it is the judgment of the executive officers that the respondent committed the act(s) alleged by the complainant and thereby violated College policy, they will seek an informal resolution of the complaint. They will also, if the respondent is a faculty or staff member, confer with his or her department supervisor. The complainant's executive officer will keep the complainant informed of any progress made in resolving the grievance, reporting to the complainant within one month of the filing of one the complaint. This period may be extended beyond one month if the complainant and his or her executive officer agree that an extension is needed.

To be successful, the terms of the resolution proposed by the executive officers must be acceptable to both the complainant and the respondent. The executive officers will put those terms in writing, giving a copy to the complainant and another to the respondent. Each party will have one week to indicate his or her acceptance of the terms as constituting a satisfactory resolution of the grievance by returning a signed copy to the executive officers. Upon receipt of both signed copies, the respondent's executive officer will place them in his or her file of complaints of discrimination and take such actions as are called for in the resolution.

The executive officers' attempt at an informal resolution will have failed if either the complainant or the respondent chooses not to accept the terms proposed. If the complainant does not accept them, he or she may, again within a week of receiving the proposed terms in writing, instruct the complainant's executive officer to begin formal grievance proceedings, and the grievance committee will hear the case following the regulations stipulated (see Formal Grievance Procedure). In cases where the respondent is a faculty member and the finding is extremely serious, the complainant may waive his or her right to have the case heard before a formal grievance committee to enable the executive officers, if they so recommend, to initiate proceedings for the imposition of a major sanction (dismissal or suspension), see Section II-V: Termination for Cause and Section II-W: Sanctions Other than Dismissal). Should the complainant choose to withdraw the complaint, the executive officers may, depending on their findings, decide nevertheless to impose sanctions on the respondent. If the executive officers so decide, and the respondent believes that their findings are unwarranted or their proposed sanctions unjust, he or she may appeal the executive officers' decision as specified in the Appeal Procedure below.

Formal Discrimination Grievance Procedure

The committee that hears cases of alleged discrimination is the Discipline Committee when both parties are students (see *Student Handbook*, Discipline and Disciplinary Proceedings). The formal mechanism for hearing all other allegations of discriminatory behavior, except those involving faculty appointment renewal decisions (which are handled by the Committee on Appointments and Promotions and by the faculty Steering Committee), is a grievance committee constituted for each particular case. This committee is drawn from a Standing Panel of thirty-two people, which the President appoints annually, whose members stand ready to serve in this capacity. The membership of the Standing Panel is constituted as follows:

- One minority faculty member and one minority staff member appointed annually by the President.
- The twelve faculty members elected by the faculty to serve on the Faculty Review Panel.

⁴ Only the respondent's executive officer has access to the file, which contains information pertaining both to dismissed and to settled cases. See Appendix C for regulations governing the use of the file.

- Those staff members who are appointed annually to two similar panels by the Provost and the Vice President for Finance & Administration and Treasurer, each of which has six members.
- Six students, appointed by the College Council, two of whom shall be the minority representatives to the College Council.

The President shall also annually appoint, from among the membership of the Standing Panel, one faculty member and one staff member, who will stand ready to chair the grievance committee constituted to hear a particular case. The chair will vote only to break a tie.

The grievance committee appointed by the President to hear a particular case shall be constituted from the membership of the Standing Panel as follows. If one of the parties is a student and the other faculty or staff, the committee shall have seven members, three from the same College category (student, faculty, staff) as the complainant, three from that of the respondent, and a chair. If one of the parties is a member of the faculty and the other a member of the staff, the committee shall likewise have seven members: a chair, three faculty members, and three staff members, at least one of whom shall be from the same job category as the staff member who is a party to the case. If both parties are faculty, the committee shall have five members, four from the Faculty Review Committee and a chair. If both parties are staff, the committee shall similarly have five members, a chair, and four members drawn from one or both of the panels appointed by the Provost and Vice President for Finance & Administration and Treasurer. At least one of those members shall be from the same job category as each of the parties involved. When the case involves faculty, both non-tenured and tenured faculty shall be included in the membership of the grievance committee. The faculty chair of the Standing Panel will preside in all cases involving faculty, and the staff chair in all cases involving staff, unless the case involves faculty and staff, when the chair shall be from the same College category as that of the complainant. The President shall strive to represent the diversity of the Williams community in appointing a committee to hear a particular case. Depending on the nature of the allegation, the President shall also strive to assure representation of the relevant groups protected by the College's non-discrimination statement (see Section II-T: Non-Discrimination Policy). If unable to convene a committee with appropriate representation from among the members of the Standing Panel, the President may appoint up to two members not on the Standing Panel.

At or before the first meeting of the grievance committee constituted to hear a particular case, the chair, or any member of the committee may, at his or her own initiative, excuse himself or herself from the case because of potential bias or conflict of interest. If the chair asks to be excused, the President appoints for that case a chair pro tempore. Either party to the case may request members of the committee to withdraw from hearing a case on grounds of potential bias or conflict of interest. Should disagreement arise about a request for the disqualification of a particular member, the other members of the committee shall resolve the matter by majority vote. In the event that a member withdraws or is disqualified, the President shall appoint a replacement.

The grievance committee will conduct its hearings in private, keeping its proceedings, findings, and recommendations strictly confidential. A member of the grievance committee shall be designated by its chair to maintain minutes of its proceedings. Neither party to the case may mechanically record or stenographically transcribe the hearings. All decisions of the committee shall be made by majority vote, with the chair voting only to break a tie.

The committee will proceed as follows in order to protect the rights of both parties to the case and to assure the fairness of the College's procedures:

1. The respondent will receive a copy of the complainant's statement of allegations in advance of the first meeting of the committee, if he or she has not already received one.
2. Both parties will receive sufficient notice of the time and place of the hearing to allow for preparation of the case.

3. Both parties have the right to be present when the case is heard.
4. Both parties have the right to present evidence and to call a reasonable number of witnesses. Witnesses may be present only when they are actually testifying or being questioned.
5. Both parties have a right to question all witnesses.
6. The only sexual history that is admissible as evidence is that which exists between the two parties, and then only if the case involves sexual discrimination.
7. The grievance committee may request the executive officer of the respondent to testify whether the file of complaints of discrimination that he or she maintains contains information concerning the respondent that is relevant to a judgment concerning the present case or to its disposition.
8. Each party has the right to an advisor of his or her choice from the student body, faculty or staff of the College, who may help with the preparation of the case, who may be present when the case is heard, and who may confer with the advisee during the hearing. The advisor, however, may not address the grievance committee or question witnesses. The advisor may, but need not, be chosen from among the College advisors (see Advising Procedure above). Neither party may be represented at the hearing by legal counsel.

The committee makes a finding as to whether or not the act alleged in the complaint, should it have taken place, would be a violation of the College's policies against discrimination. If so, the committee also makes a finding as to whether the accused faculty or staff person actually committed the alleged act. The committee then reports its finding(s) and a summary of the reasons for its judgments in a written statement sent to the complainant, the respondent, and their executive officers no later than two weeks after the hearings conclude. In the event that both of the findings are affirmative, the committee also sends to the executive officers a recommendation of appropriate courses of action to remedy the harm done to the complainant and to protect other members of the College community, including a recommendation, if necessary, of any disciplinary action to be taken against the respondent. When the committee's decisions are not unanimous, the report shall record both majority and minority opinions. The report shall be signed by all members of the committee.

If the complaint of discrimination involves grading, the grievance committee shall, at its discretion, call upon appropriate members of the Williams faculty for advice and shall have access to any information, including student records, it deems necessary. The laws governing access to individually identifiable student records require, however, that such information come to the committee through an officer of the College, i.e., the Dean of the College. If the committee judges an assigned grade to be the result of discrimination, the committee will recommend to the executive officers either a revised grade or a procedure for assigning a new grade. Nothing in these procedures shall infringe upon an instructor's responsibility for his or her own grading so long as that grading does not violate the College's non-discrimination policy.

The executive officers shall consider the grievance committee's finding(s), report, and recommendations (if any). The executive officers shall also consider any information about the respondent in the file of complaints of discrimination, to which the executive officer of the respondent has access that is relevant to a judgment concerning the present case or to its disposition. If the executive officers reach conclusions that differ from those of the grievance committee, they will state their reasons for having done so, in writing, to the committee, providing the committee with an opportunity to reply before taking action. If, after considering the grievance committee's reply, the executive officers conclude that the respondent did not violate the College's non-discrimination policy, or that the evidence is not sufficient to substantiate the allegation, the case shall be dismissed. If they conclude that a violation has occurred, they will, normally within a period of one month after receiving the committee's report, submit a written statement of their finding(s), and of the actions they plan to take, to the committee, the complainant, the respondent, and the respondent's department supervisor.

The complainant will have exhausted the College's discrimination grievance procedures at the close of the formal stage. The respondent has the right to appeal the executive officers' proposed disposition of the case, unless the executive officers have instituted proceedings to suspend or dismiss a faculty member, as the Appeal Procedure below explains. If the respondent chooses not to appeal, the executive officers shall then act to remedy the harm done to the complainant, to protect the College community, and to take appropriate disciplinary action against the respondent. Copies of the executive officers' written reports will be placed in the file of complaints of discrimination maintained by the Respondent's executive officer.

Appeal Procedure

The formal grievance procedure constitutes the complainant's appeal. The respondent may appeal the executive officers' disposition of the case in the manner described below, unless the executive officers have initiated proceedings for the dismissal or suspension of a faculty member, in which case the matter shall be referred to the President and the Committee on Appointments and Promotions in accordance with the procedure governing the imposition of a major sanction, as described in the *Faculty Handbook*, Section II-V: Termination for Cause. This procedure includes an appeal option of its own. In all other cases, a respondent who is dissatisfied with the executive officers' finding of discriminatory behavior and/or the actions they have proposed may appeal at one of two points: at the conclusion of the informal proceedings, if the complainant has withdrawn; or at the conclusion of the formal proceedings, if the complainant has taken the case to a grievance committee. Should the respondent (hereafter the appellant) choose to appeal, he or she must submit a written statement explaining the reasons for the appeal within one month of receiving the executive officers' statement of the findings and the action proposed. The complainant is no longer party to the case but may be called upon as a witness.

When the appellant is a student, and the complainant who had filed the charge of discriminatory behavior is a member of the faculty or staff, the statement explaining the reasons for the appeal should be sent to the President, whose resolution of the case shall be final. When the appellant is a staff member, the statement of the reasons for the appeal should in all cases be sent to the President, whose resolution of the case shall again be final. The President shall report his or her decision(s), in writing, to the appellant and to the executive officers involved in the case. If during the formal stage the case had been brought before a grievance committee, the President shall send to the grievance committee and to the original complainant the statement of reasons for the appeal and report to the committee his or her findings and final resolution of the case. The executive officer of the appellant shall place the statement of reasons for the appeal and the President's report to the appellant and the executive officers in the file of complaints of discrimination he or she maintains, providing a full record of the final disposition of the case.

When the appellant is a member of the faculty, he or she should send the statement explaining the reasons for the appeal to a faculty hearing committee, which shall be constituted and conduct its business according to the procedures described in the *Faculty Handbook* in Section II-V. Upon the conclusion of those procedures, however, the following reporting mechanisms shall be added to those stipulated in Section II-V. In cases that had come before a grievance committee at the formal stage, the hearing committee and, where applicable, the President, shall report to the grievance committee and the original complainant the following: the statement of reasons for the appeal; the hearing committee's findings and its recommendation, if any, to the President; the final resolution of the case. In all cases, the Dean of the Faculty shall place in his or her file of complaints of discrimination the statement of reasons for the appeal and the report(s) to the faculty member from the hearing committee and, where applicable, the President, providing a full record of the final disposition of the case.

A Summary of the Sequence of Events and Options in the Discrimination Grievance Procedures

Advising

1. The person who believes he or she may have been subjected to discriminatory behavior may but need not discuss the incident(s) with a College advisor. College advisors are also available to persons against whom a complaint has been filed.

Informal

1. The person who believes he or she may have been subjected to discriminatory behavior may discuss the incident(s) with the appropriate administrator.
2. The person may but need not file a complaint at the informal stage.
3. To file a complaint the person submits a statement of allegations to his or her executive officer. The executive officers will then conduct an investigation and reach a finding. If they find the complaint unwarranted, the complainant may but need not request formal grievance proceedings. If the respondent is judged to have violated College policy, the executive officers attempt a resolution. Either party may refuse to accept the terms proposed.
4. If both parties accept the terms, the resolution is successful and the case is settled. If the resolution fails, the complainant may ask for formal grievance proceedings or withdraw the complaint.
5. If the complainant withdraws, the executive officers may decide to take action against the respondent on their own. The respondent may appeal the executive officers' decision.

Formal

1. The grievance committee conducts a hearing and reaches a finding, reporting its finding and its recommendations to the executive officers, the complainant, and the respondent.
2. The executive officers reach their own finding. If it differs from the committee's, they so inform the committee and provide it with an opportunity to reply.
If the executive officers then find the respondent not to have violated the College's anti-discrimination policy, or if they find the evidence insufficient, the case is dismissed.
3. If, on the other hand, the executive officers find that the respondent violated the College's policy, they will report their finding and the actions they propose to take to the committee, the complainant, and the respondent. The respondent may appeal their finding and their proposed actions.

Appeal

1. The formal grievance proceedings constitute the complainant's appeal.
2. The respondent may appeal at the conclusion of the informal proceedings if the complainant has withdrawn and the executive officers have proposed disciplinary action; or at the end of the formal grievance proceedings if the complainant has taken the complaint to a grievance committee.
3. If the respondent is a student or staff member, the appeal will be heard by the President. If the respondent is a faculty member, the appeal will be heard by a faculty hearing committee.

Regulations Governing the Use of the Executive Officer's File of Prior Complaints Brought Against the Respondent

If a complaint of discriminatory behavior has been lodged against the respondent in the past, the following rules govern the use of the record of the prior case in the case under consideration:

- The executive officers may use information from the record in conducting the investigation. Nothing from the record, however, may be used as evidence in support of a finding as to whether

the respondent in fact committed the act(s) currently being alleged. That determination must be based solely on the established facts of the case under consideration.

- If the respondent is found to have committed the alleged act(s), and is judged to have violated the College's anti-discrimination policy, a prior finding of discriminatory behavior, a prior warning, or prior instructions about what constitutes discriminatory behavior, may be used in determining the appropriate penalties or sanctions.

Advisory Conversations and the College's Non-Discrimination Policy

The following guidelines are for persons who have advising functions related to the College's Non-discrimination Policy. As with all parts of the advising procedure, they are not part of the actual discrimination grievance procedures, which require that a complaint be officially filed. An "advisory conversation" is merely one of the options that College-designated advisors or other persons whose positions carry advising functions, such as chairs or managers of department or programs, might want to describe to an advisee whose situation resembles the following:

The advisee does not wish to file a complaint but does want the person whose behavior is at issue to be advised that he or she should be careful to avoid actions that could very well be innocent but could be misinterpreted.

An advisory conversation might be appropriate, in other words, when the advisee perceives the conduct to be ambiguous or innocent but nonetheless finds it dislocating. The guidelines are as follows:

Guidelines for Advisory Conversation

The advisee requests the conversation and the executive officer makes the decision as to whether an advisory conversation shall take place. The advisee, before deciding to recommend such a conversation, should be made aware of the following. His or her name will need to be made known to the executive officer. Depending on the circumstance of the case, the executive officer might also need to talk to the advisee, and the advisee's identity might need to be made known to the person whose behavior is at issue.

If the advisee wishes the conversation to take place, either the advisor and/or the advisee should discuss the matter with the executive officer of the person whose behavior is at issue. If the executive officer decides that an advisory conversation would be useful, the executive officer may choose to conduct it, or may delegate the responsibility to a member of his or her staff, or to another member of the faculty or staff, depending on who is likely to be the most appropriate and effective person. If the responsibility is delegated, the executive officer shall discuss what is to be said with the person who conducts the conversation and shall receive notice of its having taken place.

The executive officer or the delegated person shall inform the advisee that the conversation has taken place. Nothing else shall be conveyed to the advisee without the explicit permission of the person whose behavior is at issue. No record shall be kept of the conversation, unless the person whose behavior is at issue requests one, in which case he or she shall be given a copy. Such a record would have no "probative value" (i.e., it would provide no "proof" or "evidence" of discriminatory behavior concerning either the present situation or any future allegations of discriminatory behavior, should such be made).

Both the conversation, and the written record, if there is any, must make clear the following:

- That no charges of discriminatory behavior have been filed nor are any such allegations currently being made.
- That the case has not been investigated.
- That the behavior at issue may be entirely innocent.

- That the sole purpose of the conversation is to discuss for the sake of all concerned, the need to be careful about the impressions that even well-intentioned comments or contacts with students, faculty, or staff can have

Appendix B: Sexual Misconduct

Anyone who experiences conduct that he or she believes violates the College's Sexual Misconduct Policies is encouraged to report that conduct to Campus Safety and Security, the Office of the Dean of the College (in the case of a student), or to the College's Title IX Coordinator or any of the Title IX deputies. He or she is also encouraged to make a report to the police for legal action. Both of these processes can happen simultaneously. College processes are outlined below.

The College's procedures seek to ensure a prompt, fair, and impartial investigation and resolution. Procedures will be conducted by College officials who receive annual training on issues related to domestic violence, dating violence, stalking, sexual exploitation and sexual assault, as well as on conducting a hearing process that protects victim safety and promotes accountability.

The standard of proof used in adjudication of cases of sexual misconduct, including sexual harassment, sexual assault, dating violence, domestic violence and stalking, will be preponderance of evidence, as required by Federal regulation. Possible sanctions if a student or employee of the College is found responsible for violation of the College's Sexual Misconduct Policies include the full range of disciplinary sanctions available at the college, up to and including suspension from the college for one or more semesters and expulsion, in the case of a student, or dismissal in the case of a College employee.

1. Cases involving student respondents

A staff or faculty member who experiences conduct on the part of a student that he or she believes violates the College's Sexual Misconduct Policies should contact the Dean of the College or the Title IX Coordinator. The Title IX Coordinator will ensure that the staff or faculty member is provided the information and support stipulated by the College's Title IX policies. The investigation and adjudication processes will be those outlined in the College's Sexual Misconduct Policy relating to student sexual misconduct.

2. Cases involving a student and a faculty or staff member

A student who experiences conduct on the part of a staff or faculty member that the student believes violates the College's Sexual Misconduct Policies is encouraged to report that conduct to Campus Safety and Security, the College's Title IX Coordinator, or the Dean of the College. A student who reports an experience of sexual assault or other sexual misconduct is called the "complainant." The staff or faculty member who is accused of committing sexual assault or sexual misconduct is called the "respondent." Both the complainant and the respondent are encouraged to participate in the process of investigation and adjudication.

A. Before the process of investigation and adjudication starts, several steps are taken

The Title IX Coordinator, in consultation with the relevant Title IX deputy or deputies (for students, the Dean of the College; for faculty, the Dean of the Faculty; for staff, the Director of Human Resources) will assign the complainant and the respondent each to a different trained advisor from the College staff (the "trained College advisor"). This advisor will explain to them the process and will also serve as a resource for any questions or concerns.

The Title IX Coordinator will provide to both the complainant and the respondent a written statement of their rights and responsibilities, and a description of these processes, including the requirements of confidentiality and the rules forbidding retaliation.

The Title IX Coordinator will make available at any time, before, during or after the hearing process, and whether or not the complainant participates in the investigation and adjudication, reasonable and appropriate accommodations to increase the complainant's safety and wellbeing on campus. These may include no-contact orders with the

respondent and/or other parties, changes of housing accommodations, and academic accommodations such as extensions, tutors, and changes of class schedule. Accommodations may also include changes of class modality (for example, switching to an independent study) if needed in order to ensure access to academic opportunity for the complainant in a class taught by a faculty member who is the respondent. The Title IX Coordinator will inform the complainant in writing of the College's obligation to provide these accommodations and resources as soon as the complainant comes forward. The Title IX Coordinator will work with the relevant Title IX deputy or deputies to arrange any appropriate accommodations for the respondent and will inform the respondent in writing of the College's readiness to provide these accommodations and resources.

B. Investigation

Both the complainant and respondent have the right to have an advisor of their choosing (either the trained College advisor or any other person, including an attorney) present with them for all parts of the process. The advisor can speak to the complainant/respondent at any time during the process but cannot speak for them to the investigator or to the hearing panel.

If a student reports an incident but does not wish to participate in the investigation and adjudication process, the situation will be reviewed by a committee comprised of the Title IX Coordinator, the relevant Title IX deputy or deputies, and the Director of Sexual Assault Prevention and Response. That committee will determine whether there is sufficient information to proceed with an investigation and adjudication without the participation of the complainant. If the committee determines that the case should proceed without the complainant, it will make every effort to protect confidentiality (see Title IX Confidentiality and Privacy).

If it is determined that a process will go forward, the Title IX deputy relevant to the respondent will inform the respondent of the charges in writing.

If a respondent chooses not to participate in the investigation and adjudication process, the process will proceed without their contribution to the determination of the facts of the case. The respondent should note that the appeal process based on appearance of new information not available to the hearing panel does not apply in cases of deliberate omission of information by the respondent, including refusal by the respondent to participate in the investigation.

The Title IX Coordinator, in consultation with the relevant Title IX deputy or deputies, will assign a person trained in sexual misconduct investigations to determine the facts of the case as completely as possible. This investigator will hear statements from the complainant and respondent, ask follow up questions, reach out to and collect statements from others who have evidence/information relevant to the question of violation of the Sexual Misconduct Policies, and ask follow-up questions as needed. The complainant and respondent may each direct the investigator toward people to interview and may frame questions to be asked of others. The investigator will respect these directives unless they violate standards of good practices for sexual misconduct investigations or are clearly redundant or irrelevant. If the investigator decides not to pursue a question or interviewee submitted by one of the parties in the case, he or she will so inform that party in writing of the decision. All of those contacted by the investigator will be required to maintain the privacy of the investigation. The investigator will also gather any additional evidence available (for example, health care records, with permission of the person to whom they refer). The investigator may consult with the Title IX Coordinator and relevant deputies in decisions regarding the investigation process. The statements of the complainant and respondent will be recorded (audio). The investigator will produce for the hearing panel a report of his/her findings, which will include a list of those interviewed and copies of any additional material referenced.

The Title IX Coordinator, in consultation with the relevant Title IX deputy or deputies, will review the report and may request that additional information be gathered. These Title IX officers will also ensure that the report does not

contain material that is inadmissible in the decision process, such as irrelevant prior sexual history.

The investigator's report will be shared with the complainant and respondent once it is complete. The complainant and respondent each have 10 days following the receipt of the report to write a response to it if they wish to do so; at that time, both may request that further information be gathered. Responses will be included in the official materials sent forward to the hearing panel for adjudication. If the Title IX Coordinator agrees that further information should be gathered, the investigator will be charged with pursuing the additional information and, if appropriate, issuing an amendment or supplement to the report. The complainant and respondent will be given an additional ten days to respond to any such additional or supplemental report.

The Title IX Coordinator and each of the deputies relevant to the complainant and respondent will review the report and the responses of both parties, and determine whether the alleged behavior of the respondent is properly within the purview of the sexual misconduct policies. If the Title IX Coordinator and deputies determine that the respondent's alleged behavior is not within the purview of the college's sexual misconduct policies, the Title IX Coordinator or relevant deputy will so inform the complainant and respondent in writing, and will direct the complainant to any other relevant college or legal processes that may address the behavior. The complainant may bring the investigator's report over into other relevant college processes (such as the discrimination grievance process).

If the Title IX committee determines that the respondent's alleged behavior is within the purview of the college's sexual misconduct policies, the case will move forward to the primary adjudication process, described below.

C. Primary Adjudication

The decision about whether there has been a violation of the College's Sexual Misconduct Policies will be made by a hearing panel of five trained members. Four "yes" votes are necessary for a finding that there has been a violation. If such a violation is found to have taken place, then the same panel recommends an appropriate sanction. Sanctions are ultimately determined according to the rules in the Staff and Faculty Handbooks as described and modified below.

For each case the panel will be appointed by the Title IX Coordinator in consultation with the relevant Title IX deputy or deputies. The panel will ordinarily consist of a member of the office of the Dean of the College plus four additional members, drawn from the President's Standing Panel. If the respondent is a member of the faculty, at least two persons on the panel shall be faculty. If the respondent is staff, at least two persons on the panel shall be staff. The complainant and respondent will have the opportunity to state whether there are those they feel should not participate in the panel due to bias or any other reason which would prevent them from making a fair assessment of the evidence. The final decision on any such requests for recusal will be made by the Title IX Coordinator in consultation with the relevant Title IX deputy or deputies.

The panel will start its deliberations by reading the investigator's report, along with the responses to the report (if any) from the complainant and respondent. The hearing panel also may request statements gathered by the investigator if they believe it is important to read the transcripts of the interviews. If the hearing panel draws substantive new information from review of the raw transcripts that was not already in the investigator's report, it will inform the complainant and respondent and allow them an opportunity to respond. After discussion, the panel will decide whether there are additional questions that need to be asked. If so, the investigator will go back to the parties to ask those questions. The panel may ask questions of the Title IX Coordinator or other relevant college officials.

The panel will decide whether there is a preponderance of evidence showing a violation of the College's Sexual Misconduct Policies.

If the panel determines that there has been a violation of the College's Sexual Misconduct Policies, the complainant and respondent will each be so informed in writing, and each then will have the opportunity to briefly address the committee, either in person, by media communication, or in writing, before the sanction is considered. (The two parties would do this separately – neither one in the presence of the other. It is optional rather than required to make such a statement.) This opportunity is not one in which the facts of the case are discussed or questions are asked by the committee. Rather, it is an opportunity for both parties to present directly to the panel in their own “voice” any additional information, including information about the impact of the incident in question. This opportunity is limited to 15 minutes or the written equivalent thereof. Each party's trained College advisor will provide them with guidelines on what is and is not permitted in this part of the process.

The panel will then recommend a sanction to the relevant senior officer (Dean of the Faculty for respondents who are members of the faculty, the Director of Human Resources for respondents who are members of the staff.) The complainant and respondent will each be informed in writing of the recommended sanction. Sanctions are ultimately determined by the processes described in the *Staff and Faculty Handbooks*, modified as described below.

D. Appeal of the Finding of the Hearing Panel

Both parties have the right to request an appeal of the finding made by the hearing panel on whether or not there was a violation of the College's policy on Sexual Misconduct. This right to appeal of the finding is limited to (a) significant procedural lapses or (b) the appearance of substantive new evidence not available at the time of the original decision. Each party has 15 days following the receipt of the written decision to indicate their intention to appeal. Requests for appeal, with reasons, should be sent in writing to the Vice President for Institutional Diversity and Equity.¹

If either the complainant or the respondent wishes to have other people interviewed to determine whether they have substantive new information pertinent to the appeal that was not available at the time of the original decision, the following process will be followed. (1) The person wishing to appeal will write to the Vice President for Institutional Diversity and Equity describing whom they wish to have interviewed and on what topic. (2) The Vice President or a designee will ask the person whether they do, in fact, have information on that topic. (3) If they do, the investigator will ask them questions or request a written statement. The appeal process will be suspended until the completion of these steps.

The Vice President for Institutional Diversity and Equity will grant appeals only in cases where the procedural problems or new evidence are considered substantive enough to have had a significant effect on the outcome of the initial hearing. If the appeal is granted, its disposition is determined by the Vice President for Institutional Diversity and Equity who may affirm the decision of the panel, return it to the original committee or summon a new committee, and who may task those committees with reviewing the decision either in whole or in part.

The results of any appeal will be communicated simultaneously and in writing to the complainant and the respondent by the Title IX Coordinator.

E. Final Determination of Sanction in Cases Involving Respondents who are Members of the Faculty

If the recommended sanction is termination of the respondent's appointment for cause, the Dean of the Faculty will initiate proceedings pursuant to Section II-V: Termination for Cause, of the *Faculty Handbook*. If the recommended sanction is a major sanction, such as suspension from service for a stated period, the Dean of the Faculty will initiate proceedings pursuant to Section II-W., “Major Sanctions,” of the *Faculty Handbook*. If the recommended sanction is a minor sanction, the Dean of the Faculty will initiate proceedings in accordance with Section II-W., “Minor

¹ If this position is empty, this role will be filled by the Vice President for Finance & Administration and Treasurer.

Sanctions,” of the *Faculty Handbook*. In order to comply with federal law, regulations, and guidance regarding Title IX, Sections II-V. and II-W. of the *Faculty Handbook* must be changed in some ways for cases involving sexual misconduct. Those changes are delineated below.

In all cases covered by this policy the sole determination to be made according to the processes described in Sections II-V. and II-W. of the *Faculty Handbook* will be the final sanction to be imposed on the respondent. The determination by the hearing panel that the respondent committed a violation of the college’s Sexual Misconduct Policies shall be final and shall not be subject to review or reconsideration in the sanctions process.

The hearing panel convened at this stage of the process will receive as evidence the letter of findings and recommended sanction from the original hearing panel described in section C. They will also have access to the report of the investigator and to previous disciplinary records of the respondent, if any. The hearing panel may request assistance from the Title IX Coordinator or other college officials.

The faculty member does not have the right to compel the complainant to appear before the panel. The complainant’s testimony may be represented by the investigator’s report.

Although the complainant cannot be compelled to appear before the hearing panel, in all cases covered by this policy the complainant will have an equal right with the respondent to be heard by the Dean of the Faculty, any hearing committee convened pursuant to the provisions of Section II-V. or II-W. and by the Board of Trustees.

Final decisions as to sanctions will be reported in writing simultaneously to the complainant and the respondent, as well as to the Title IX officer.

F. Final Determination of Sanction in Cases Involving Respondents who are Members of the Staff

Final determination of sanctions involving respondents who are members of the staff will be made by the Director of Human Resources, in consultation with the Title IX officer and relevant supervisor(s) of the staff member. The Director of Human Resources may take into account previous disciplinary records of the staff member in making his/her decision regarding sanction. Final decisions as to sanctions will be reported in writing simultaneously to the complainant and the respondent, as well as to the Title IX officer.

Appendix: Additional Matters

The complainant and respondent will each be assigned a trained College advisor to help them navigate the process. Each party can bring this advisor with them for all parts of the process, including the investigation. These trained College advisors will not be part of a hearing panel regarding the case. Both the complainant and respondent have the right to have another advisor of their choosing present with them for all parts of the process, including any meeting with campus officials, with the hearing panel, and with the investigator. This advisor can speak to the complainant/respondent at any time during the process but cannot speak directly to the investigator or to the hearing panel. The complainant and respondent may bring one advisor with them—either the trained College advisor or the other advisor of their choosing—to any part of the process.

Both parties have full access to the support services provided by the College throughout the process. For students, this includes the resources of the Health Center and Psychological Counseling Services; for faculty and staff, the employee assistance program.

Retaliation of any kind against the complainant or any witness is strictly prohibited. Any retaliation will be treated as a new and additional violation of the Sexual Misconduct Policy.

3. Cases Involving Faculty and/or Staff Members Only

A staff or faculty member who experiences conduct on the part of a staff or faculty member that he or she believes violates the College's Sexual Misconduct Policies is encouraged to report that conduct to the Dean of the Faculty, the Director of Human Resources, the College's Title IX Coordinator, or Campus Safety and Security. A staff or faculty member who reports an experience of sexual misconduct is called the "complainant." The staff or faculty member who is accused of committing sexual misconduct is called the "respondent." Both the complainant and the respondent are encouraged to participate in the process of investigation and adjudication.

A. Before the process of investigation and adjudication starts, several steps are taken

The Title IX Coordinator, in consultation with the relevant Title IX deputy or deputies (for faculty, the Dean of the Faculty; for staff, the Director of Human Resources) will assign the complainant and the respondent each to a different trained advisor from the College staff (the "trained College advisor"). This advisor will explain to them the process and will also serve as a resource for any questions or concerns.

The Title IX Coordinator will provide to both the complainant and the respondent a written statement of their rights and responsibilities, and a description of these processes, including the requirements of confidentiality and the rules forbidding retaliation.

The Title IX Coordinator will make available at any time, before, during or after the administrative resolution or hearing process, and whether or not the complainant participates in the investigation and adjudication, reasonable and appropriate accommodations to increase the complainant's safety and wellbeing on campus. These may include no-contact orders with the respondent and/or other parties, changes of housing if living in College housing, and changes of work duties if necessary to avoid conflict. The Title IX Coordinator will inform the complainant in writing of the College's obligation to provide these accommodations and resources as soon as the complainant comes forward. The Title IX Coordinator will work with the relevant Title IX deputy or deputies to arrange any appropriate accommodations for the respondent and will inform the respondent in writing of the College's readiness to provide these accommodations and resources.

B. Investigation

Both the complainant and respondent have the right to have an advisor of their choosing (either the trained College advisor or any other person, including an attorney) present with them for all parts of the process. The advisor can speak to the complainant/respondent at any time during the process but cannot speak for them to the investigator, to the relevant administrators, or to the hearing panel.

If a faculty or staff member reports an incident but does not wish to participate in the investigation and adjudication process, the situation will be reviewed by a committee comprised of the Title IX Coordinator, the relevant Title IX deputy or deputies, and the Director of Sexual Assault Prevention and Response. That committee will determine whether there is sufficient information to proceed with an investigation and adjudication without the participation of the complainant. If the committee determines that the case should proceed without the complainant, it will make every effort to protect confidentiality (see Title IX Confidentiality and Privacy).

If it is determined that a process will go forward, the Title IX deputy relevant to the respondent will inform the respondent of the charges in writing.

If a respondent chooses not to participate in the investigation and adjudication process, the process will proceed without their contribution to the determination of the facts of the case. The respondent should note that the appeal process based on appearance of new information not available to the hearing panel does not apply in cases of deliberate omission of information by the respondent, including refusal by the respondent to participate in the investigation.

The Title IX Coordinator, in consultation with the relevant Title IX deputy or deputies, will assign a person trained in sexual misconduct investigations to determine the facts of the case as completely as possible. This investigator will hear statements from the complainant and respondent, ask follow up questions, reach out to and collect statements from others who have evidence/information relevant to the question of violation of the Sexual Misconduct Policies, and ask follow-up questions as needed. The complainant and respondent may each direct the investigator toward people to interview and may frame questions to be asked of others. The investigator will respect these directives unless they violate standards of good practices for sexual misconduct investigations or are clearly redundant or irrelevant. If the investigator decides not to pursue a question or interviewee submitted by one of the parties in the case, he or she will so inform that party in writing of the decision. All of those contacted by the investigator will be required to maintain the privacy of the investigation. The investigator will also gather any additional evidence available (for example, health care records, with permission of the person to whom they refer). The investigator may consult with the Title IX Coordinator and relevant deputies in decisions regarding the investigation process. The statements of the complainant and respondent will be recorded (audio). The investigator will produce for the administrators and/or the hearing panel a report of his/her findings, which will include a list of those interviewed and copies of any additional material referenced.

The Title IX Coordinator, in consultation with the relevant Title IX deputy or deputies, will review the report and may request that additional information be gathered. These Title IX officers will also ensure that the report does not contain material that is inadmissible in the decision process, such as irrelevant prior sexual history.

The investigator's report will be shared with the complainant and respondent once it is complete. The complainant and respondent each have 10 days following the receipt of the report to write a response to it if they wish to do so; at that time, both may request that further information be gathered. Responses will be included in the official materials sent forward to the hearing panel for adjudication. If the Title IX Coordinator agrees that further information should be gathered, the investigator will be charged with pursuing the additional information and, if appropriate, issuing an amendment or supplement to the report. The complainant and respondent will be given an additional 10 days to respond to any such additional or supplemental report.

The Title IX Coordinator and each of the deputies relevant to the complainant and respondent will review the report and the responses of both parties, and determine whether the alleged behavior of the respondent is properly within the purview of the sexual misconduct policies.

If the Title IX Coordinator and deputies determine that the respondent's alleged behavior is not within the purview of the college's sexual misconduct policies, the Title IX Coordinator or relevant deputy will so inform the complainant and respondent in writing, and will direct the complainant to any other relevant college or legal processes that may address the behavior. The complainant may bring the investigator's report over into other relevant college processes (such as the discrimination grievance process).

If the Title IX committee determines that the respondent's alleged behavior is within the purview of the college's sexual misconduct policies, the case will move forward to the primary adjudication process, described below.

C. Primary Adjudication

After receiving the investigator's report, the complainant may choose to pursue an administrative resolution of the complaint or proceed straight to a hearing panel. If the complainant chooses the administrative resolution, he or she may end that process at any time and move instead to a hearing by the hearing panel.

I. Administrative Resolution

Two executive officers of the college will oversee the administrative resolution process for the complaint. Ordinarily, the two executive officers will be those to whom the complainant and respondent report (the Dean of the Faculty for

the faculty, and the executive officer to whom the staff member's department reports for staff.) In cases where both complainant and respondent have the same executive officer, or in cases where the complainant or respondent believe their own executive officer cannot fairly adjudicate the complaint, the Title IX coordinator, after consultation with the complainant and respondent, will determine which two executive officers of the College will oversee the administrative resolution process. If it is an executive officer whose behavior is at issue in the complaint, the Title IX Coordinator, in consultation with the President and after conversation with both complainant and respondent, shall select two other executive officers to oversee the administrative resolution process.

The executive officers will read and consider the investigator's report, along with any responses to that report written by the complainant and respondent. The executive officers may request statements gathered by the investigator if they believe it is important to read the transcripts of the interviews. If the executive officers draw substantive new information from review of the raw transcripts that was not already in the investigator's report, they will inform the complainant and respondent and allow them an opportunity to respond. If the executive officers decide that additional questions need to be asked, the investigator will go back to the parties to ask those questions. The executive officers may also ask questions of the Title IX Coordinator or other relevant college officials.

The executive officers will reach a finding and report it to both the complainant and the respondent. If it is the judgment of the executive officers that the respondent committed the act(s) alleged by the complainant and thereby violated College sexual misconduct policy, they will seek a resolution of the complaint. They will also, if the respondent is a faculty or staff member, confer with his or her department supervisor. The complainant's executive officer will keep the complainant informed of any progress made in resolving the grievance, reporting to the complainant within one month of the filing of the complaint. This period may be extended beyond one month if the complainant and his or her executive officer agree that an extension is needed.

To be successful, the terms of the resolution proposed by the executive officers must be acceptable to both the complainant and the respondent. The executive officers will put both the finding of responsibility and the terms of the proposed resolution in writing, giving a copy to the complainant and another to the respondent. Each party will have 10 days to indicate his or her acceptance of the terms as constituting a satisfactory resolution of the grievance by returning a signed copy to the executive officers. Upon receipt of both signed copies, the respondent's executive officer, as well as the Title IX Coordinator, will place them in his or her file of complaints of discrimination and take such actions as are called for in the resolution.

The executive officers' attempt at a resolution will have failed if either the complainant or the respondent chooses not to accept the terms proposed. If the complainant or the respondent does not accept them, either of them may, again within 10 days of receiving the proposed terms in writing, instruct the Title IX Coordinator to convene a hearing panel.

II. Hearing Panel

If the complainant decides to forgo administrative resolution or if administrative resolution is not acceptable to the complainant or respondent, the decision about whether there has been a violation of the College's Sexual Misconduct Policies will be made by a hearing panel of five trained members. Four "yes" votes are necessary for a finding that there has been a violation. If such a violation is found to have taken place, then the same panel recommends an appropriate sanction. Sanctions are ultimately determined according to the rules in the *Staff* and *Faculty Handbooks* as described and modified below.

For each case the panel will be appointed by the Title IX Coordinator in consultation with the relevant Title IX deputy or deputies. The panel will be drawn from the President's Standing Panel. If one party is a member of the faculty and the other party is a member of the staff, the panel will consist of two members of the faculty, two members of the staff, and a chair. If the complainant and respondent are both faculty, then the panel will consist of

five members of the faculty, one of whom will be chair. If the complainant and respondent are both staff, then the hearing panel will consist of five members of the staff, one of whom will be chair. The complainant and respondent will have the opportunity to state whether there are those they feel should not participate in the panel due to bias or any other reason which would prevent them from making a fair assessment of the evidence. The final decision on any such requests for recusal will be made by the Title IX Coordinator in consultation with the relevant Title IX deputy or deputies.

The panel will start its deliberations by reading the investigator's report, along with the responses to the report (if any) from the complainant and respondent. The hearing panel may request statements gathered by the investigator if they believe it is important to read the transcripts of the interviews. If the hearing panel draws substantive new information from review of the raw transcripts that was not already in the investigator's report, it will inform the complainant and respondent and allow them an opportunity to respond. After discussion, the panel will decide whether there are additional questions that need to be asked. If so, the investigator will go back to the parties to ask those questions. The panel may ask questions of the Title IX Coordinator or other relevant college officials.

The panel will decide whether there is a preponderance of evidence showing a violation of the College's Sexual Misconduct Policies.

If the panel determines that there has been a violation of the College's Sexual Misconduct Policies, the complainant and respondent will each be so informed in writing, and each then will have the opportunity to briefly address the committee, either in person, by media communication, or in writing, before the sanction is considered. (The two parties would do this separately – neither one in the presence of the other. It is optional rather than required to make such a statement.) This opportunity is not one in which the facts of the case are discussed or questions are asked by the committee. Rather, it is an opportunity for both parties to present directly to the panel in their own "voice" any additional information, including information about the impact of the incident in question. This opportunity is limited to 15 minutes or the written equivalent thereof. Each party's trained College advisor will provide them with guidelines on what is and is not permitted in this part of the process.

The panel will then recommend a sanction to the relevant senior officer (Dean of the Faculty for respondents who are members of the faculty, the Director of Human Resources for respondents who are members of the staff.) The complainant and respondent will each be informed in writing of the recommended sanction. Sanctions are ultimately determined by the processes described in the *Staff* and *Faculty Handbooks*, modified as described below.

D. Appeal of the Finding of the Hearing Panel

Both parties have the right to request an appeal of the finding made by the hearing panel on whether or not there was a violation of the College's policy on Sexual Misconduct. This right to appeal of the finding is limited to (a) significant procedural lapses or (b) the appearance of substantive new evidence not available at the time of the original decision. Each party has 15 days following the receipt of the written decision to indicate their intention to appeal. Requests for appeal, with reasons, should be sent in writing to the Vice President for Institutional Diversity and Equity.²

If either the complainant or the respondent wishes to have other people interviewed to determine whether they have substantive new information pertinent to the appeal that was not available at the time of the original decision, the following process will be followed. (1) The person wishing to appeal will write to the Vice President for Institutional Diversity and Equity describing whom they wish to have interviewed and on what topic. (2) The Vice President or a designee will ask the person whether they do, in fact, have information on that topic. (3) If they do,

² If this position is empty, this role will be filled by the Vice President for Finance & Administration and Treasurer.

the investigator will ask them questions or request a written statement. The appeal process will be suspended until the completion of these steps.

The Vice President for Institutional Diversity and Equity will grant appeals only in cases where the procedural problems or new evidence are considered substantive enough to have had a significant effect on the outcome of the initial hearing. If the appeal is granted, its disposition is determined by the Vice President for Institutional Diversity and Equity who may affirm the decision of the panel, return it to the original committee or summon a new committee, and who may task those committees with reviewing the decision either in whole or in part.

The results of any appeal will be communicated simultaneously and in writing to the complainant and the respondent by the Title IX Coordinator. If this position is empty, this role will be filled by the Vice President for Finance & Administration and Treasurer.

E. Final determination of sanction in cases involving respondents who are members of the faculty

If the recommended sanction is termination of the respondent's appointment for cause, the Dean of the Faculty will initiate proceedings pursuant to Section II-V: Termination for Cause of the *Faculty Handbook*. If the recommended sanction is a major sanction, such as suspension from service for a stated period, the Dean of the Faculty will initiate proceedings pursuant to Section II-W. "Major Sanctions," of the *Faculty Handbook*. If the recommended sanction is a minor sanction, the Dean of the Faculty will initiate proceedings in accordance with Section II-W. "Minor Sanctions," of the *Faculty Handbook*. In order to comply with federal law, regulations, and guidance regarding Title IX, Sections II-V. and II-W. of the *Faculty Handbook* must be changed in some ways for cases involving sexual misconduct. Those changes are delineated below.

In all cases covered by this policy the sole determination to be made according to the processes described in Sections II-V. and II-W. of the *Faculty Handbook* will be the final sanction to be imposed on the respondent. The determination by the hearing panel that the respondent committed a violation of the College's Sexual Misconduct Policies shall be final and shall not be subject to review or reconsideration in the sanctions process.

The hearing panel convened at this stage of the process will receive as evidence the letter of findings and recommended sanction from the original hearing panel described in section C. They will also have access to the report of the investigator and responses written by either party to that report, and to previous disciplinary records of the respondent, if any. The hearing panel may request assistance from the Title IX Coordinator or other college officials.

The faculty member does not have the right to compel the complainant to appear before the panel. The complainant's testimony may be represented by the investigator's report.

Although the complainant cannot be compelled to appear before the hearing panel, in all cases covered by this policy the complainant will have an equal right with the respondent to be heard by the Dean of the Faculty, any hearing committee convened pursuant to the provisions of Sections II-V. or II-W. and by the Board of Trustees.

Final decisions as to sanctions will be reported in writing simultaneously to the complainant and the respondent, as well as to the Title IX Coordinator.

F. Final Determination of Sanction in Cases Involving Respondents who are Members of the Staff

Final determination of sanctions involving respondents who are members of the staff will be made by the Director of Human Resources, in consultation with the Title IX Coordinator and relevant supervisor(s) of the staff member. The Director of Human Resources may take into account previous disciplinary records of the staff member in making his/her decision regarding sanction.

Final decisions as to sanctions will be reported in writing simultaneously to the complainant and the respondent, as well as to the Title IX Coordinator.

Appendix: Additional matters

The complainant and respondent will each be assigned a trained College advisor to help them navigate the process. Each party can bring this advisor with them for all parts of the process, including the investigation. These trained College advisors will not be part of a hearing panel regarding the case. Both the complainant and respondent have the right to have another advisor of their choosing present with them for all parts of the process, including any meeting with campus officials, with the hearing panel, and with the investigator. This advisor can speak to the complainant/respondent at any time during the process but cannot speak directly to the investigator or to the hearing panel. The complainant and respondent may bring one advisor with them—either the trained College advisor or the other advisor of their choosing—to any part of the process.

Both parties have full access to the support services, including the employee assistance program, provided by the College throughout the process.

Retaliation of any kind against the complainant or any witness is strictly prohibited. Any retaliation will be treated as a new and additional violation of the Sexual Misconduct Policy.

Appendix C: Guidelines for a Formal Hearing in the Case of Dismissal or Suspension of a Faculty Member Because of Serious Shortcomings in the Discharge of His or Her Professional Duties

NOTE: By federal law, cases involving charges of sexual misconduct are held to a preponderance of evidence standard. In such cases, if there is a question of the complainant in the original case being called as a witness (as per 11-11), the Title IX Coordinator must also be brought in to provide alternative accommodations.

These guidelines are modeled on the AAUP's *Policy Documents and Reports*, "Recommended Institutional Regulations on Academic Freedom and Tenure," Regulations 5 and 6 (2006 ed., pp. 26-27). In the following text the "parties" are: 1) the "faculty member" whose proposed dismissal is the subject of the hearing, and 2) the "President of the College," as representative of the administration of the College in the hearing. The numbers following the hyphen in the parentheses heading each paragraph refer to the numbered corresponding paragraphs in Regulation 5, except where otherwise stated.

(1-1) Pending a final decision by the hearing committee, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to the faculty member or others is threatened by continuance. Before suspending the faculty member, the President will consult with the Committee on Appointments and Promotions concerning the propriety, length, and other conditions of the suspension. Salary will continue during the period of suspension.

(2-2) The hearing committee may, with the consent of both parties, hold prehearing meetings with the parties, jointly or singly, to: i) simplify the issues, ii) obtain stipulations of facts, iii) provide for the exchange of documentary or other information, and iv) achieve such other prehearing objectives as will make the hearing fair, effective, and expeditious.

(3-3) The President must present a written statement of specific charges at least twenty days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but continues to deny the charges or to assert that the charges do not support a finding of adequate cause for dismissal, the hearing committee will nonetheless evaluate all available evidence and rest its recommendation upon the evidence in the record.

(4-4) The proceedings of the hearing committee will be held in private.

(5-5) During the proceedings both parties may be assisted by legal counsel of their choice. The faculty member will also be permitted to have a College advisor present, who may help with the preparation of the case, be present when the case is heard, and confer with the advisee during the hearing. The advisor, however, may not address the hearing committee or question witnesses.

(6-6) At the request of either party or the hearing committee, a representative of a responsible educational association will be invited to attend the proceedings as an observer.

(7-7) A verbatim record of the proceedings will be taken and typewritten copies provided to both parties.

(8-8) The burden of proof that adequate cause for dismissal exists rests with the College and will be satisfied only by clear and convincing evidence in the record considered as a whole.

(9-9) The hearing committee will grant adjournments to enable either party to investigate evidence about which a valid claim of surprise is made.

(10-10) The faculty member will be afforded an opportunity to obtain witnesses and documentary or other evidence. The President will cooperate with the hearing committee in securing witnesses and making available documentary and other evidence.

(11-11) Both parties will have the right to confront and cross-examine all witnesses. Where a witness cannot or will not appear, but the hearing committee determines that the interests of justice require admission of the witness's statement, the committee will identify the witness, disclose his or her statement, and (if possible) provide for interrogatories.

(12-12) In the hearing of charges of incompetence, the testimony will include that of qualified faculty members from Williams College or other institutions of higher education.

(13-13) The hearing committee will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in deciding the issues. Every effort will be made to obtain the most reliable evidence available.

(14-14) The hearing committee's findings of fact and decision will be based solely on the hearing record.

(15-15) Public statements and publicity about the case by either party will be avoided as far as possible until the proceedings, including consideration by the Trustees, have been completed. The parties will be notified of the decision in writing and will be given a copy of the hearing record.

(16-Regulation 6, "Action by the Governing Board") If the hearing committee concludes that adequate cause for dismissal or other severe sanction has been established by the evidence in the record, it will so report to the faculty member and the President. The President will, upon request of the faculty member, transmit the record of the case to the Trustees for their review.

(17-16) If the hearing committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the faculty member and the President. If the President rejects the report, he or she will state the reasons for doing so, in writing, to the hearing committee and to the faculty member, and will provide an opportunity for their responses before transmitting the case to the Trustees.

(18-Regulation 6, "Action by the Governing Board") If the case is transmitted by the President to the Trustees, their review will be based on the hearing record. The Trustees will provide opportunity for oral or written argument by the parties or representatives of the parties. The report of the hearing committee will either be sustained or returned to the hearing committee with specific objections. The hearing committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Trustees will make a final decision only after study of the hearing committee's reconsideration.

Appendix D: Safety and Public Health: Committees and Policies

Human Subjects Review Committee (HSRC)

The task of the Human Subjects Review Committee is to protect the rights and welfare of people serving as research subjects for Williams College faculty and students. This committee acts as an Institutional Review Board (IRB) for all projects involving human subjects. Investigators proposing such research must submit for evaluation by the IRB a project description and copies of the consent forms that the subjects are asked to sign. Sufficient time must be allowed for the IRB to reach a decision. The Human Subjects Review Committee usually consists of Williams faculty and two members of the local community, one of whom is usually an attorney.

Institutional Biosafety Committee

The Biosafety Committee monitors activities at Williams College specifically dealing with recombinant DNA research, in accordance with the guidelines set by the Department of Health and Human Services in the Federal Register. It reviews proposals from project directors, sets standards for containment protocols, and inspects facilities where recombinant DNA research is being conducted. The committee is composed of two members of the Williams science faculty, a member of the Williams staff, and usually an attorney and a physician as representatives of the local community.

Institutional Animal Care and Use Committee (IACUC)

The Institutional Animal Care and Use Committee is an oversight committee mandated by federal regulations. The committee is composed of at least five members, among whom must be a person not connected with the College, a veterinarian, and at least one scientist whose research involves animals. The IACUC meets semi-annually and at other times as needed. The committee acts immediately upon all proposals submitted to it. The functions of the IACUC include:

- reviewing annually the College's program for humane care and use of animals.
- inspecting annually all of the College's animal facilities.
- bringing about any changes in procedures or facilities necessary to rectify deficiencies found during reviews.
- reviewing any concerns involving the care and use of animals at the College.
- making recommendations to the pertinent College official(s) regarding the animal program, animal facilities, or training for those involved with handling animals.
- reviewing the use of animals in course laboratory programs.
- reviewing all research grant proposals submitted to federal agencies either to approve them, approve them with requested modifications, or reject them if there are significant issues or problems involving animal welfare.
- reviewing all proposed significant changes regarding the use of animals in ongoing research projects, either to approve them, approve them with requested modifications, or withhold approval.
- suspending an ongoing research project involving animals that is not in accord with rules set forth by the NIH

(Significant portions of this description have been taken from the College's "Animal Welfare Assurance Statement," which is on file with the NIH.)

Radiation Safety Committee

The Radiation Safety Committee is responsible for over-seeing the safe use of radiation-emitting devices and substances on campus. These include radioactive substances, lasers, and x-ray emitting devices that are used for research and teaching purposes. The committee ensures that the use of radioactive substances on campus complies with the provisions of the license issued to the College by the U.S. Nuclear Regulatory Commission, and that work

involving lasers and x-ray units complies with the regulations of the Massachusetts Department of Public Health. All users of radioactive materials, whether from a sealed or unsealed source, must report use of these materials to the Chair of the Radiation Safety Committee.

Members of the committee include the College's radiation safety officer and all members of the faculty and staff using radioactive materials.

Safety Committee

The Safety Committee is responsible for the compliance by Williams College with a number of state and federal laws on safety issues. The immediate concern of the committee is those regulations dealing with involuntary exposure to hazardous materials, especially exposure by those who do not control the substance being used. The committee meets to review labeling, training, use, storage, and disposal techniques used by all College departments that deal with hazardous materials.

The Chemical Hygiene Officer supervises the temporary storage and disposal of hazardous chemicals for both academic and service departments. The committee is composed of the chemical Hygiene Officer and at least one representative of each department that uses hazardous materials for any purpose: teaching, research, or routine maintenance.

Non-smoking Policy

All members of the community and visitors are expected to comply with the College's regulations on smoking. Because both smoking, and its secondary effects, are known to be health concerns, the College prohibits smoking in all buildings, offices, and indoor facilities of the College. The two exceptions are in College-owned faculty/staff rental housing and in the individual student rooms of College-owned student housing.

In student housing, smoking is not permitted in any common space (common rooms, living rooms, kitchens, entries, stairwells, etc.). In individual student rooms, students may smoke as long as it does not infringe on the rights of others to a smoke-free environment. The College Council urges students to designate their smoking preferences in the annual room draw, particularly if they play to live in a suite, or double room.

In faculty/staff rental housing, in apartments and/or duplexes, smoking is not permitted in any shared areas (hallways, entries, etc.) of the facility, nor in fire or safety hazard exits.

Smoking is not permitted in College vehicles.

Members of the community are asked to comply with and to enforce these policies. Complaints or questions should be directed to the appropriate Senior Staff member: for faculty, the Dean of the Faculty; for students, the Dean of the College; for any and all others, the Vice President for Finance & Administration and Treasurer.

AIDS Policy

The College policy, when Acquired Immune Deficiency Syndrome (AIDS) or infection with the HIV virus (as indicated by a positive antibody test) has been diagnosed in an employee, is that standard medical rules of confidentiality will apply; i.e., the privacy of the employee will be protected in accordance with the procedures stated below. This policy applies also to any external requests for information about an employee, such as applications for health insurance, references, et al.

Prospective and present employees are not required to report diseases to the College. Should the fact that an employee has AIDS or is HIV-positive come to the attention of the Director of Health, the Director will confer with the employee to make sure that an appropriate medical care plan has been established with the employee's primary

physician, but the College will ordinarily take no administrative action regarding the employee. Should the employee wish to have his or her medical condition known to others, the employee may do so. Since AIDS is a reportable disease, the Director of Health must confirm that the Massachusetts Public Health Service has been informed.

A diagnosis of AIDS/HIV-positive by itself is not a clinical cause for termination or for a change in conditions of employment, including location of employment. The concern of the College shall be for the employee and his/her risk of exposure to primary and secondary infections. In cases of requests by fellow employees for changes in jobs for fear of acquiring AIDS, the person with AIDS or HIV-positive diagnosis will not be displaced, and the fellow employee(s) will be provided with education and counseling about the disease. No transfer should be assumed.

Any judgment about an employee's continuation at the College based on his/her health or risk to others will be made by the Director of Health in consultation with the appropriate supervisor, Director of Human Resources, members of the President's Senior Staff, and legal counsel.

Ordinarily, information about an employee with AIDS or who is HIV-positive will be given to no other person or office at the College without the employee's permission. Should the Director of Health feel that others need to be informed, he/she will work with the employee in a confidential manner to encourage the employee to inform that person or office.

The medical staff of the College Health Service is available to answer questions from any member of the Williams community about AIDS/HIV and to discuss antibody testing. The Health Service will provide medical treatment to students and will refer employees to other primary care physicians with whom they may develop a medical care plan. Area physicians and dentists are available for referral and treatment. Other area medical services available to those with AIDS or who are HIV-positive are the Visiting Nurse Association and Hospice of Northern Berkshire, the North Adams Regional Hospital, and the Berkshire Medical Center. Additional referral and counseling services include the American Red Cross in Pittsfield and the Bennington AIDS Project.

Individuals with questions or concerns should feel free to contact the Director of Health, the Health Educator, the Director of Human Resources, the Dean of the College, the Vice President for Finance & Administration and Treasurer, the Dean of the Faculty, or the Vice President for Institutional Diversity and Equity. Additional information can be obtained by referring to "What Everyone Should Know about AIDS," which is available through the College Health Service.

Drugs and Alcohol

In compliance with the Drug-Free Workplace Act of 1988 and the Drug Free Schools and Communities amendments of 1989, the policies governing the use of drugs and alcohol at Williams College are as follows:

College Standards of Conduct and Sanctions

Williams prohibits the abuse of alcohol and expects members of the College community to abide by federal, state, and local regulations concerning the possession and use, purchase, and distribution of alcohol. The College prohibits the unlawful manufacture, sale, distribution, dispensing, possession, or use of illegal drugs, or the unauthorized use of prescription drugs.

Members of the College community charged with violations of the standards of conduct are subject to disciplinary action through the established disciplinary procedures of the College. When violations are determined to have occurred, the College will impose disciplinary sanctions on students and employees, consistent with local, state, and federal law. Depending upon the circumstances of the case, the sanctions available to the College include warning, probation, suspension, expulsion or termination of employment, or referral for prosecution by public authorities. The

College may also require satisfactory completion of an appropriate drug or alcohol rehabilitation program before reinstatement or continued employment.

Additional Requirements of Drug-Free Workplace Act of 1989

Employees receiving federal grants or contracts and student recipients of Pell Grants are required to certify to the funding agency that they are drug-free before receiving any awards.

In addition, any employee, including a student, who participates in any federal grant or contract must notify the Provost within five days of any criminal drug conviction for a violation occurring in the workplace. The Provost is required to notify the funding agency within ten days of receiving notification of the conviction.

Further information may be obtained from the publication "Alcohol, Other Drugs and You at Williams," distributed annually. Questions regarding these requirements may be directed to the Provost, the Health Educator, or the Vice President for Institutional Diversity and Equity.

Appendix E: Code of Conduct

Maintaining Trust: The Williams Code of Conduct

Trust is the foundation on which Williams and all non-profit organizations stand. Our mission to provide the finest possible liberal arts education requires the support, financial and otherwise, of alumni, parents, friends of the College, and various levels of government. People don't support organizations they don't trust. Likewise, the effectiveness of our internal operations relies on trust among individual faculty and staff.

The exceptional success the College has experienced stems in significant part from the high degree of trust it enjoys. Behavior that maintains this trust advances our mission, while behavior that erodes it threatens our mission.

The funds at our disposal come almost completely from the payment of fees and from gifts to the College. In a sense, Williams has no money of its own. We have funds that families and donors have given us because they trust us to use it solely to advance the education of Williams students, now and in the future. As stewards of this money we're not free to use it for other purposes.

Our operations must be guided not only by local, state, and national laws but also by our communal sense of which practices build trust and which undermine it. This Code of Conduct summarizes Williams' understanding of the law and of this communal sense. Each of us, as faculty and staff, must be aware of, and abide by, laws and accepted College practices as they relate to our duties.

The Code gives a general outline and presents guiding principles; it's up to us to apply them. A general rule is: when in doubt about any matter of proper conduct in carrying out our College responsibilities, we should seek guidance from this Code, our supervisors, the Dean of the Faculty, or Director of Human Resources. The trust the College has built is too important to risk losing it.

Confidentiality and Privacy

Many of us generate and receive confidential and private information. Each of us must comply with applicable laws, agreements, policies, and principles regarding the use, protection, and disclosure of such information. This applies even after our employment at Williams ends. See Section IIV-F: Confidentiality Policy

Conflicts of Interest

We each must perform all our duties in the best interests of the College. We can't use our positions, or confidential knowledge gained as a result of our positions, for our own advantage. A conflict of interest can arise when we or a member of our family (1) has an existing or potential interest or relationship that impairs or might appear to impair our independent judgment in carrying out College duties or (2) may receive something of personal value from knowledge of information that is confidential to the College. This something of value might be money, some good or service, or a business opportunity.

It's impossible to define all situations that might be considered conflicts, but they include the personal use of College materials or facilities; relationships with individuals, businesses, firms, or organizations that do business with the College; relationships with suppliers of goods or services to the College; or personal gifts or gifts of entertainment of more than nominal value received from suppliers of goods and services or from anyone associated with or seeking to associate with the College.

When we find ourselves in a situation of real or perceived conflict of interest, we should immediately disclose the potential conflict to our supervisors. Even the appearance of misconduct or impropriety can damage trust. Senior administrators are asked annually to disclose to the Vice President for Finance & Administration and Treasurer any relationship that could create a conflict of interest. Members of the Board of Trustees and officers of the College

must do the same each year.

Business Ethics

Sound financial controls are vital to maintaining trust in College operations. These controls include adequate separation of financial duties, diligent application of systems designed to prevent or detect mistakes or inappropriate transactions, and conscientious compliance with practices for authorizing and reporting transactions. These procedures are designed to ensure compliance with the law, with accepted auditing practices, and with our communal sense of what's needed to maintain trust.

Use of College Property and Resources: We all must act as careful stewards of College resources. This is especially true when the use of funds has been restricted by donors. All College property and resources should be used to advance its mission and not for personal gain.

Gifts and Gratuities: Relationships between the College and the organizations with which it does business must be free from any perception that those relationships might be influenced improperly. We should not personally accept any significant gift, gratuity, or other payment in cash or in kind from any vendor who either does business or seeks to do business with the College. Exceptions are gifts of nominal value, generally defined as being worth \$100 or less. We should report to our supervisors all gifts that have been offered us. If our supervisors aren't confident about the appropriateness of a potential gift, they should consult with the appropriate member of Senior Staff.

Compliance with Laws, Regulations, and Policies: We must carry out our responsibilities in compliance with applicable laws, regulations, policies, and procedures. Managers and supervisors must keep current with changes in laws and regulations, including College policies and procedures; we all have the responsibility to comply.

Contractual and Grant Obligations: The College frequently enters into contractual and other formal obligations with outside entities. These obligations may include research and other grants and contracts, commercial contracts, software licenses, gift agreements, and memos of understanding. All of us who represent Williams must act in good faith and adhere to all obligations the College assumes. Only those authorized to enter into contractual agreements on behalf of the College may do so. Questions of who is authorized can go to our supervisors, the Office of the Provost, or the Office of the Vice President for Finance & Administration and Treasurer.

Healthy Learning and Work Environments

We are dedicated to building a diverse and inclusive community, in which members of all backgrounds can live, learn, and thrive. The College, in compliance with state and federal law, does not discriminate in admission, employment, or administration of its programs and activities on the basis of race, color, sex, national origin, religion, age, disability, marital status, sexual orientation, gender identity or expression, ancestry, or military service. It's vital that we avoid intimidating or threatening actions that might result in a hostile environment. As a community of learning, we value freedom of expression and at the same time know that it does not protect abusive or harassing behavior.

Consequences

Anyone who violates a law, a Williams' policy, or this Code while conducting College business, is subject to College disciplinary action.

Obligation to Report Suspected Violations ("Whistleblower Policy")

We are all obliged to report suspected violations of applicable laws, regulations, and policies, and of the principles expressed in this Code. The reporting of such suspicion normally should be made first through regular management channels beginning with our supervisors. If for any reason that's not appropriate, we should go to a higher level of management, including the Director of Human Resources, Provost, Dean of the Faculty, Vice President for

Institutional Diversity and Equity, or Vice President for Finance & Administration and Treasurer, or to the Chair of the Audit Committee of the Board of Trustees.

Such reports can be made anonymously and in each instance the College will make its best effort to honor confidentiality. The more information given in a report the more thorough the College's follow up can be. Raising such concerns is a service to the College and, when done in good faith, will not result in retaliation or jeopardize our standing at Williams. No one may retaliate in any way against an employee who, in good faith, reports a suspected violation in accordance with this Code. The College must, however, reserve the right to distinguish between reports made in good faith and with a reasonable belief in their accuracy, on the one hand, and those made maliciously or with knowledge of their falsity, on the other.

Offices and departments should regularly review with their members this Code and whichever College policies (listed below) are relevant. They express our communal expectations regarding appropriate behavior. Following them will help ensure that together we perform our duties to the high standard that students, parents, alumni, and the public expect of us and that we expect of ourselves.

Related Policies:

- Drug and Alcohol Policy .
- Scientific Misconduct
- Sexual Harassment Policy
- Non-discrimination Policy
- Equal Employment Opportunity Policy
- Computing Ethics and Responsibilities and Privacy Policy
- Employment of Family Members
- Confidentiality Policy

Appendix F: Confidentiality Policy

Williams College is committed to maintaining appropriate protection for all confidential and sensitive information in our custody. All College employees must assist in the effort to ensure that the College complies with applicable laws and regulations regarding the protection of confidential information. In addition, beyond strict legal compliance, employees are also expected to respect confidential and sensitive data and to view and use it only as required by their jobs.

Administrative department heads are responsible for keeping current with the information security policies and procedures implemented on campus and for making sure that their employees understand the levels of confidentiality of the information they work with. Each office should have an information security contact who will assist with achieving and maintaining information security compliance. Faculty are responsible for maintaining information security on their computers and in their offices and labs.

Data Classification

Data owned, used, created or maintained by the College is classified in the following three categories:

- Legally protected
- Need to know
- Public

This information may be stored electronically or on paper.

1. Legally protected

A variety of state and Federal laws impose requirements with respect to the protection of certain types of confidential information. The following laws apply to the College. Other laws may apply as well, including those of states other than Massachusetts if victims of a data breach reside elsewhere. The following list does not include complete descriptions of any of these legal requirements, several of which are dealt with in detail in separate College policies.

- a) The Massachusetts Identity Theft Law of 2007 law defines "personal information" as **Name** in conjunction with any of the following:
 - Social Security number
 - Bank Account number
 - Credit Card number
 - Drivers License number or other state issued ID number

This law imposes strict requirements for maintaining the confidentiality of personal information, and triggers onerous requirements in the event of a possible breach of personal information.

- b) Family Education Rights and Privacy Act of 1974 (FERPA)

FERPA imposes limitations on the use of non-directory student "educational record" information, generally restricting disclosure of such information only to those faculty and staff with a legitimate need for access to it.

Examples of educational records include:

- grades / transcripts
- student schedules
- names of students' advisors
- papers / student thesis / tests
- records of student discipline

- personal information such as social security number, age, parent's name
- health information

c) Gramm-Leach-Bliley Act of 2000 (GLB)

GLB protects personal financial information that is not public.

Examples of financial and other accounts to which GLB protections apply include:

- Federal Perkins student loans
- Other student loans where Williams College is the lender
- The federal direct PLUS loan program
- Extension of credit for personal, family, or household loans and the servicing and collection of such loans, including the Williams College mortgage program
- Gifts of security and life income arrangements
- Financial or tax advice to prospective donors

d) Health Information Portability and Accountability Act of 1996 (HIPAA)

All personal health information of college employees is protected, including insurance policy numbers.

2. Need to Know

All Legally Protected information should be accessible to, and used by, only those College employees who need to do so in order to perform their job responsibilities and who understand the legal constraints on the use of such information. In addition to Legally Protected information, College employees have access to other sensitive information ("Need to Know" information) which should be protected from public disclosure. Need to Know information must be treated as confidential and should not be discussed or disclosed to others except as required to perform one's College functions.

Examples of Need to Know information include:

- Employee information: salary data, appointment data, all evaluation data (including department and program staffing reports), external scholarship reviews, student course evaluation scores, Fuqua letters, termination/disability data, non-salary related benefits, biographical information, ethnicity and grievance/harassment allegations or cases.
- Faculty Research Projects - research projects often contain confidential and sensitive information whether grant funded or not: personal information about human subjects, salaries of employees being paid by a grant, data subject to confidentiality agreements specific to a particular grant and financial data regarding use of College research funds.
- Student and applicants data: financial aid data, student accounts receivable data, student grade data, admission application data such as scores, recommendations and personal essays, student athlete evaluations.
- Alumni and Friends data: gift and pledge data, financial data, employment data, biographical data.
- Home addresses, home phone numbers, pictures, WMS IDs (PeopleSoft EMPLID).
- Nonpublic financial information of the College.

3. Public

Public information may be released to the public without the person's consent. Examples of such information are:

- Employees: College addresses, phone numbers, titles and departments.
- Students: Williams College identifies the following as Directory Information under FERPA, except where a student has expressly withheld consent to its release: name; permanent and College addresses; campus electronic mail address; permanent and campus telephone numbers; date and

- place of birth; major field; extra-curricular activities; height and weight of members of athletic teams; dates of attendance; degrees, honors and awards; other schools attended.
- c) Other: press releases, posted college events, college maps, newsletters and newspapers, audited financial statements.
- d) Data accessible through the Williams College public web site.

Responsibility of Administrative Departments

Each department head is responsible for ensuring the appropriate protection of information within his or her office.

These responsibilities include:

- a) Ensure that everyone in the office is aware of which information is confidential and how that information should be secured.
- b) Annually review who needs to use confidential information and only authorize access to information when the job responsibilities require it. Work with OIT to grant access accordingly in administrative information systems, such as PeopleSoft.
- c) Maintain an inventory of all confidential information that is collected and maintained by the department, including digital storage, paper storage and workflows.
- d) Securely delete or redact all confidential information that is not necessary for the department to collect, maintain or use and that is not required to be maintained by law.
- e) Ensure that no legally protected personal information is on laptops or portable storage unless those devices have been encrypted. Determine if Need to Know information must be on laptops or whether sensitive information may be stored on departmental servers (F: or G: drives) instead. Encrypt laptops with necessary Need to Know information.
- f) Have all contracts reviewed and signed by the Vice President for Finance & Administration and Treasurer who will ensure that vendors are also compliant with our policies.
- g) Instruct employees to report possible information breaches to the department head who in turn will report it to the College's Information Security Officer.

Responsibility of Faculty

Each faculty member is responsible for ensuring the confidentiality of any information s/he collects or uses, both electronic and on paper.

- a) Be aware of what information is legally protected and how such information should be secured.
- b) Ensure that no legally protected information is on a laptop or other portable storage media unless it is encrypted. OIT can help determine if such information is present.
- c) Securely delete or redact all confidential information that is not necessary to collect, maintain, use or archive.
- d) Review all research projects, whether grant funded or not, to make sure required confidential information is secure. Store data on the college servers (F: drive / Hector or Helen) instead of on laptops when possible.
- e) Report all possible data breaches to the College's Information Security Officer.

(Policy updated January 2010)

Appendix G: Group Insurance Plan Appendices

1: Health and Dental Costs

2016 Health and Dental Costs		
	Monthly College Contribution	Monthly Employee Contribution
HMO Blue Value Plus		
Individual	\$ 540.75	\$ 191.64*
Family	\$ 1,402.90	\$ 463.73*
Blue Choice Value Plus		
Individual	\$ 540.75	\$ 238.82*
Family	\$ 1,402.90	\$ 587.66*
Blue Care Elect **		
Individual	\$ 540.75	\$ 264.81*
Family	\$ 1,402.90	\$ 676.27*
Dental Blue 2		
Individual	\$ 22.50	\$ 7.50
Family	\$ 74.25	\$ 24.75

*The dollar amounts above include the \$250.00 annual incentive for the *Wellness at Williams* initiative.

** **Blue Care Elect** is for employees on leave residing outside of New England for 3 months or more and NY State residents only.

Vision Cost

2016 Vision Cost	
	Monthly Employee Contribution
Employee	\$ 5.72
Employee +1 (or Spouse)	\$ 11.16
Employee + Children	\$ 10.00
Family	\$ 15.44

Williams College
Supplemental Life Insurance
Worksheet

This worksheet is to help eligible employees determine their supplemental life insurance need and to identify the survivor's cash need at the time of the employee's death.

1. **What bills will have to be paid at the time of my death?**

medical/hospital expenses	_____
burial expenses	_____
attorney/executor's fees	_____
federal estate taxes	_____
state death taxes	_____
probate court costs	_____
other	_____
subtotal	_____

2. **What is my debt?**

total of installment credit	_____
unpaid notes	_____
school and auto loans	_____
outstanding bills	_____
other	_____
subtotal	_____

3. **Are there any unexpected bills that current income cannot cover?**

home repairs	_____
auto repairs	_____
medical emergencies	_____
other	_____
subtotal	_____

4. **What would it take to pay my mortgage off today, or what amount is sufficient for a ten year rent fund?**

subtotal _____

5. **How much money is needed to pay for children's college education?**

child 1 _____	child 3 _____
child 2 _____	child 4 _____

GUIDE: \$40,000 can be used as a minimum. subtotal _____

ADD: 1 through 5 _____

SUBTRACT: current savings	- _____
liquid assets	- _____
existing life insurance	- _____

TOTAL LIFE INSURANCE NEED: \$ _____

LIFE INSURANCE COST CALCULATION FORM

BENEFIT

COST

Basic Life Insurance

\$

0.00 per month

Supplemental Life Insurance for Employee

your salary 1. _____

rate per \$1,000 2. _____
(see chart at right)

choose a benefit: 3. _____
1, 2, 3, 4*, or 5* times your salary

**No medical evidence of insurability is required for supplemental life insurance requests equal to one, two, and three times an employee's salary, as long as application is made within 31 days of eligibility or hire, whichever comes later. Requests for supplemental coverage greater than \$300,000 or amounts equal to three, four, and five times an employee's salary require evidence of insurability satisfactory to the insurance carrier for a maximum of \$1,000,000.*

Your age	Rate per \$1,000
under 30	\$0.030
30-34	\$0.034
35-39	\$0.043
40-44	\$0.061
45-49	\$0.097
50-54	\$0.143
55-59	\$0.231
60-64	\$0.381
65-69	\$0.753
70 & over	\$1.017

calculate your monthly premium: $1 \times 2 \times 3 \div \$1,000 =$ \$ _____ per month

Example:

- salary = **\$30,000**
- age = 35, so rate = **\$0.043**
- benefit = 2 x salary
\$30,000 (salary) x \$0.043 (rate) x 2 (benefit) ÷ \$1,000 = \$2.58 per month

Supplemental Life Insurance for Spouse or Same-sex Domestic Partner

In order to purchase dependent life insurance you must be enrolled in the Supplemental Life plan.

choose a benefit: 1. _____
(see chart at right)

YOUR rate per \$1,000 2. _____
(same as above)

\$ 5,000
\$10,000
\$20,000
\$30,000
\$40,000
\$50,000

calculate your monthly premium: $1 \times 2 \div \$1,000 =$ \$ _____ per month

Example:

- benefit = **\$10,000**
- age = 35, so rate = **\$0.043**
\$10,000 (benefit) x \$0.043 (rate) ÷ \$1,000 = \$0.43 per month

Supplemental Life Insurance for Dependent Children

In order to purchase dependent life insurance you must be enrolled in the Supplemental Life plan.

Each child may be covered by \$5,000 in life insurance.

The rate for child is \$0.025 per \$1,000.

The monthly premium is \$0.025 per child.

calculate your monthly premium: number of children x \$0.025 = \$ _____ per month

4: Healthcare Flexible Spending Account Qualifying Expenses

Qualifying Medical and Dental Expenses for Healthcare Flexible Spending

Qualifying medical and dental expenses that can be reimbursed under this plan are those expenses that the IRS considers tax-deductible that are not covered by any insurance plan.

"IRS Publication 502, Medical and Dental Expenses" provides detailed information about eligible expenses. Please note that although health insurance premiums are listed in this document, they are not reimbursable under this plan. Copies of IRS Publication 502 are available by contacting the Benefits Office at x-4355 or x-4478, by calling the IRS at (800) 829-3676, or on the IRS website at: www.irs.gov/publications

Examples of qualifying expenses can be found

here <https://www.healthhub.com/ConsumerCenter/PlanningTools/EligibleExpenseItems.aspx> or review this abbreviated list:

- deductibles and co-payments from your health and dental insurance plans
- prescription eyeglasses and contact lenses
- services provided by medical doctors, dentists, eye doctors, chiropractors, osteopaths, podiatrists, physical therapists, acupuncturists, psychiatrists, and psychologists
- prescription drugs, birth control pills, and vaccines
- all over-the-counter (OTC) medications and drugs must be prescribed by a physician to be eligible for reimbursement i.e., aspirin and cold medicine. It will apply to all expenses incurred on or after January 1, 2011. In addition, if you submit for reimbursement in 2011 for OTC items purchased in 2010, you will be required to have a prescription. Items not covered include: vitamins, toiletries, cosmetics, nutritional or dietary supplements).
- Flex Card purchases will be affected as well. OTC drugs and medicines will remain eligible with a doctor's prescription. Eligible items, such as band aids, will continue to be approved at the point-of-sale, while Dual Purpose items, such as Aspirin and Cough Medicine, will require a doctor's prescription and will no longer be automatically approved by an IIAS (Inventory Information System). This means that participants will need to pay with a different form of payment and submit a claim manually for reimbursement of these items.
- hospital care (including meals and lodging)
- medical treatment at a center for substance or alcohol abuse
- transportation costs when travel to another city is primarily for and essential to receiving medical services (\$0.24 per mile effective January 1, 2012 if you use your own vehicle, parking, and tolls)
- lodging for patient and person traveling with patient, if primarily for and essential to receiving medical services, up to \$50 per night per person - See IRS Publication 502 for important details.

Any determination of whether a claim is eligible for reimbursement is subject to IRS review. IRS determinations shall govern this plan.

5: Dependent Care Flexible Spending Qualifying Expenses

Qualifying Dependent Care Expenses for Dependent Care Flexible Spending

Under this plan, you will be reimbursed only for dependent care expenses meeting the following conditions:

1. The services provided are rendered after the date of your election and during the calendar year in which you are enrolled.
2. Claims are submitted after the services have been provided.
3. Each individual for whom you incur the expenses resides in your household for more than one-half of the

year and is:

- a. a dependent under age 13 whom you are entitled to claim as a personal exemption on your federal income tax return, or
- b. a spouse or other tax dependent with gross income of less than the exemption amount who is physically or mentally incapable of caring for himself or herself.
4. The services provided are for the care of a dependent described above, or for related household services, and are incurred to enable you to be gainfully employed or to look for gainful employment. (If your spouse is not employed or a full-time student, you cannot use the Dependent Care Reimbursement Account.)
5. Services for the dependent's well-being and safety; not the costs of clothing, entertainment or food unless such items are incidental and cannot be separated from the cost of the eligible services provided.

The following expenses are allowed under the Dependent Care Flexible Spending Account:

1. The services provided outside of your household are for the care of a dependent who is described in 3(a) above and regularly spends at least 8 hours per day in your household.
2. Services provided outside the household at a dependent care center (i.e. a facility that provides care for more than six individuals not residing at the facility) are an eligible expense only if the center is in compliance with all applicable state and local laws, regulations, and/or licensing requirements.
3. The services of a baby sitter (although evening and weekend baby-sitting often does not qualify) or nurse.
4. Services provided are by a camp where the dependent does not stay overnight and does not receive specialized training (e.g., sports, dance, computer) and nursery school expenses.
5. The expenses are not paid or payable to your dependent who is under age 19 at the end of the year in which the expenses are incurred or to an individual for whom you or your spouse are entitled to a personal tax exemption as a dependent.

6: HIPAA Privacy Policy

NOTICE OF PRIVACY PRACTICES FOR THE USE AND DISCLOSURE OF HEALTH INFORMATION

This notice describes how medical information about you may be used and disclosed and how you can get access to this information. Please review it carefully.

Effective April 14, 2003

The Williams College Group Insurance Plan (the Plan) is committed to protecting the confidentiality of your health information in a responsible and professional manner. Under federal legislation known as "**HIPAA**" ("**Health Insurance Portability and Accountability Act**"), certain components of the Plan that use or disclose individually identifiable health information are subject to HIPAA's privacy rules. Those components are the medical and dental benefits, the Medical Expense Reimbursement Account, and the employee assistance program.

HIPAA refers to this individually identifiable information as "**protected health information**," also known as "**PHI**." PHI means information that is created or received by a health care provider or health plan that relates to your past, present or future physical or mental health or condition and related health care services, including payment for those services.

This notice informs you about your rights with respect to your PHI and how you can exercise these rights. The Plan is required to maintain the privacy of your PHI, to follow the standards described in this notice, and to provide you with this notice upon your request (and to send you this notice automatically if you participate in the Medical Expense Reimbursement Account or the dental program).

How the Plan Uses or Shares Your PHI

The following are ways that the Plan may use or share your PHI without your authorization:

- The Plan may use or share your PHI to help pay your medical bills that have been submitted to it by doctors and hospitals for payment. For example, the Plan may ask a hospital emergency department for details about your treatment before the Plan pays the bill for your care.
- The Plan may use or may share your PHI with others for its general business operations. For example, the Plan may use or share your PHI in conducting quality assessment and improvement activities.
- The Plan may share your PHI with others who help it conduct its business operations. For example, the Plan may share your PHI with a business associate who provides it with administrative, consulting, or accounting services.
- The Plan may share your PHI with doctors or hospitals to help them provide medical care to you. For example, if your primary care physician or your treating medical provider refers you to a specialist for treatment, the Plan can disclose your PHI to the specialist to whom you have been referred so he or she can become familiar with your medical condition.
- The Plan may share your PHI with the Benefits Office (the plan sponsor) in order for Benefits to assist in the administration of the Plan.
- The Plan may share your PHI for public health activities. For example, the Plan may report PHI to the Food and Drug Administration for investigating or tracking of prescription drug and medical device problems.
- The Plan may report your PHI to a government authority regarding child abuse, neglect or domestic violence.
- The Plan may provide PHI to state and federal agencies to whom the Plan reports, such as the US Department of Health and Human Services.
- The Plan may share your PHI with a health oversight agency for certain oversight activities (for example, audits, inspections, and administrative proceedings).
- The Plan may provide your PHI to a court or administrative agency (for example, pursuant to a court order, search warrant or subpoena).
- The Plan may report your PHI for law enforcement purposes. For example, the Plan may give PHI to a law enforcement official for purposes of identifying or locating a suspect, fugitive, material witness or missing person.
- The Plan may share your PHI with a coroner or medical examiner to identify a deceased person, determine a cause of death, or as otherwise authorized by law. The Plan may also share PHI with funeral directors as necessary to carry out their duties.
- The Plan may report PHI for approved research purposes.
- The Plan may report your PHI to public health agencies if the Plan believes there is a serious health or safety threat.
- The Plan may share PHI for specialized government functions. For example, the Plan may disclose your PHI if it relates to military and veteran activities, national security and intelligence activities, and protective services for the President and others.
- The Plan may report PHI relating to job-related injuries because of requirements of state workers' compensation laws.
- The Plan may use and share PHI for other reasons required by law.

Generally speaking, if one of the above reasons does not apply, the Plan must get your written authorization to use or disclose your PHI. If you give the Plan written authorization and change your mind, you may revoke your authorization at any time. Once you give the Plan authorization to release your PHI, the Plan cannot guarantee that the person to whom the information is provided will not disclose the PHI, because the Plan has no control over that third party.

Other Laws

The Plan's use and disclosure of PHI must comply with relevant Massachusetts law in addition to HIPAA. In some

instances Massachusetts law provides different and sometimes more stringent protections of PHI than does HIPAA. Examples of more strict Massachusetts state law include those that limit: 1) the disclosure of mental health records in court proceedings, 2) the disclosure of PHI of those infected with HIV, and 3) the admissibility of records relating to domestic violence in court proceedings.

If you have questions about this, you may contact the Plan's HIPAA Privacy Official (contact information at the end of this notice).

Your Rights

The following are your rights with respect to your PHI maintained by the Plan. If you would like to exercise the following rights, please contact the Plan's HIPAA Privacy Official (contact information at the end of this notice) by submitting a written request.

- **You have the right to ask the Plan to restrict** how it uses or discloses your PHI for treatment, payment or health care operations. Please note that while the Plan will try to honor your request, the Plan is not required to agree to these restrictions.
- **You have the right to ask to receive confidential communications** of PHI. For example, if you believe that you would be harmed if the Plan sends your PHI to your current mailing address (for example in situations involving domestic disputes or violence), you can ask the Plan to send the information by alternative means (for example by fax) or to an alternative address. The Plan will accommodate your requests if they are reasonable.
- **You have the right to inspect and obtain a copy** of PHI that the Plan maintains about you in your designated record set. A "designated record set" is a group of PHI records that the Plan uses to make decisions about you, including enrollment, payment, claims adjudication, and case or medical management records of the plan.

However, you do not have the right to access certain types of information, and the Plan may decide not to provide you with copies of:

- *information contained in psychotherapy notes; and*
- *information compiled in reasonable anticipation of, or for use in, a civil, criminal or administrative action or proceeding*

Additionally, in certain other situations, the Plan may deny your request to inspect or obtain a copy of your PHI. If the Plan denies your request, the Plan will notify you in writing and may provide you with a right to have the denial reviewed.

- **You have the right to ask the Plan to amend** PHI the Plan maintains about you in your designated record set. The Plan may require that your request be in writing and that you provide a reason for your request. The Plan will respond to your request no later than 60 days after the Plan receives it. If the Plan is unable to act within 60 days, the Plan may extend that time by no more than an additional 30 days. If the Plan needs to extend this time, the Plan will notify you of the delay and the date by which the Plan will complete action on your request.
If the Plan makes the amendment, the Plan will notify you that it was made. In addition, the Plan will provide the amendment to any person that the Plan knows has received your PHI. The Plan will also provide the amendment to other persons that you identify.
If the Plan denies your request to amend, the Plan will notify you in writing of the reason for the denial. The denial will explain your right to file a written statement of disagreement. The Plan has a right to rebut your statement. However, you have the right to request that your written request, the Plan's written denial, and your statement of disagreement be included with your PHI for any future disclosures.
- **You have the right to receive an accounting** of certain disclosures of your PHI made by the Plan during the six years prior to your request. Please note that the Plan is not required to provide you with an accounting of the following information:

- *Any information collected prior to April 14, 2003;*
- *Information disclosed or used for treatment, payment, and health care operations;*
- *Information disclosed to you or pursuant to your authorization;*
- *Information that is incident to a use or disclosure otherwise permitted;*
- *Information disclosed to persons involved in your care or other notification purposes;*
- *Information disclosed for national security or intelligence purposes;*
- *Information disclosed to correctional institutions and law enforcement officials in certain situations; and*
- *Information that was disclosed or used as part of a limited data set for health care operations, public health, or research purposes.*

The Plan will require that your request be in writing. The Plan will act on your request for an accounting within 60 days. The Plan may need additional time to act on your request, and therefore may take up to an additional 30 days. Your first accounting will be free, and the Plan will continue to provide to you one free accounting upon request every 12 months. However, if you request an additional accounting within 12 months of receiving your free accounting, the Plan may charge you a fee. The Plan will inform you in advance of the fee and provide you with an opportunity to withdraw or modify your request.

Exercising Your Rights

- **You have a right to receive a copy of this notice upon request at any time.** You can also view a copy of the notice on the Williams College web site. This notice and the Plan's HIPAA privacy policies are subject to change. If you participate in the Medical Expense Reimbursement Account, the Plan will notify you of any changes to this notice by mail. The Plan will also post a revised notice on the Williams College web site. When material changes are made to this notice or to the Plan's HIPAA privacy policies, the changes will affect practices with respect to all the Plan's PHI, including PHI collected prior to the changes.
- If you have any questions about this notice or about how the Plan uses or shares PHI, or want a paper copy of this notice, please contact Kristine A. Maloney, Benefits Administrator, B&L Building, Williams College, (413) 597-4478, Kristine.A.Maloney@williams.edu.
- If you believe your privacy rights have been violated, you may file a complaint by contacting the Plan's Privacy Official, Frederick Puddester, Vice President for Finance & Administration and Treasurer, Hopkins Hall, Williams College, (413) 597-4421, Frederick.W.Puddester@williams.edu. You may also notify the Secretary of the U.S. Department of Health and Human Services of your complaint.

The Plan will not take any action against you for filing a complaint.