

**Campus**  
HandbookStudent  
HandbookFaculty  
HandbookStaff  
Handbook**Academic  
Regulations &  
Procedures**Buildings &  
GroundsCollege  
Governance

Communications

Community

Employment &  
Benefits

Events

Faculty  
Appointments

Financial

Health &amp; Safety

Housing &  
Residential LivingInformation  
Technology,  
Documents, &  
Records

Research

Travel &  
Transportation

# Academic Regulations & Procedures

## Academic Evaluation

Academic evaluation of student performance shall be neither prejudiced nor capricious. A student who believes an evaluation to be deficient in this or any other way should seek remedy first through conference with the instructor. If a satisfactory resolution does not follow from that conference a student may carry the matter to the instructor's departmental chair and, eventually, to the Dean of the College. Such requests must be submitted within one year after grade transcription.

*Approved by the Board of Trustees June 17, 1993, upon recommendation of College Council.*

Last revised June 17, 1993

For [Faculty](#), [Students](#)


Maintained by Dean of the College Office

## Academic Integrity

Academic integrity is demanded in a college community. The life of the mind requires precision in attribution and authorship of work. "Dishonesty in academic work, particularly in the form of plagiarism, also defeats the process of self-discovery which is the heart of a liberal education."

Students and faculty members must familiarize themselves with the Web site "[Academic Integrity in the Writing of Essays and Other Papers](#)" (from which the above quotation is taken) which is maintained by the office of the dean of the college.

It is assumed that a student is the author of all course work (quizzes,

 [Text Only/ Printer-Friendly](#)

problem sets, online contributions, tests, papers, lab work, etc.) that he/she submits, whether for a grade or not, and that the work has not been submitted for credit in another class without the instructor's permission. Images, ideas, data, audio clips, or phrases borrowed from others should be fully identified by standard procedures for making such acknowledgment. All permitted collaboration with others must still be acknowledged.

An act of academic dishonesty is a serious offense in a college community. By seeking credit for work that is not his or her own, a student takes unfair advantage of fellow students--who accept their limitations--and of their teachers--who trust their work. Dishonesty in academic work, particularly in the form of plagiarism, cheating, or prohibited collaboration, also defeats the process of self-discovery that is the heart of a liberal education. Persons establish their integrity and personality as they learn to distinguish what is significantly their own from what belongs to others, and as they learn to value their own work, including its limitations, in relation to the work of others. As a scholar, finally, one should be generous and welcoming in acknowledging the work of other scholars, for their work makes possible one's own.

At Carleton College, an act of academic dishonesty is therefore regarded as conflicting with the work and purpose of the entire College and not merely as a private matter between the student and an instructor; all cases involving such dishonesty are referred for appropriate action to the Academic Standing Committee (ASC) via the Associate Dean of Students or the Associate Dean of the College.

The privileges of dropping a course and taking the S/Cr/NC option are suspended for a student for any course in which suspicion of academic dishonesty on the part of the student is reported to the ASC. No course in which a student has been found responsible for a violation of the College's academic honesty policies may be dropped or opted as S/Cr/NC. The privileges are restored, retroactively if need be, only if a finding of no responsibility is made by the ASC.

The Academic Standing Committee will determine whether or not the student is in fact responsible for violation of the academic honesty policy. When the student is found not responsible, the work is returned to the faculty member to be graded without bias or penalty. When the student is found responsible, a disciplinary sanction ranging from censure and warning to expulsion will be assigned. The ASC, in consultation with the faculty member(s), will determine grading penalties, up to and including failure in the course.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Academic Load

All matriculated students are considered full-time students and must, by definition, register for and carry a minimum of 12 credits in each academic term, whether enrolled in Northfield or on an approved off-campus study program. Such students are eligible for financial aid under applicable regulations. Students will not be permitted to drop below 12 credits at any time; therefore it is wise to register for at least 18 credits, allowing for the need to drop a six credit course.

The College enrolls no part-time degree students but does permit the enrollment of "Special Students" on a course-by-course basis. Such students are non-degree candidates and are not eligible for financial aid.

No student may carry more than 22 credits in any term without the permission of the Academic Standing Committee (ASC). The ASC will consider petitions from students for up to 24 credits per term; normally a 3.0 cumulative grade point average is required. To earn the 210 credits required for graduation, students must average 17 or 18 credits per term in each of the 12 terms allotted them.

Off-campus study participants are not eligible for an overload. Petitions from first-year students will not be considered by the ASC, except in cases involving participation in applied music courses and theatrical groups.

See also [credit maximum and minimum](#), [petitions](#), [senior integrative exercise](#), and [special students](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Academic Progress

Normally a student is expected to fulfill all graduation requirements in four years or the equivalent of 12 academic terms. A student who is in at least his or her sixth term, has passed the writing portfolio, and wishes to graduate in less than 12 terms may signal that intention by submitting to the registrar a copy of his or her degree audit, with proposed accelerated program appended, signed by his or her major adviser and major department chair, confirming that the proposed program is feasible. All graduation requirements must be satisfied by the end of the accelerated final term or the student will be required to register for an additional full-time term. Under special circumstances, if additional time is necessary for a

student to complete minimal degree requirements, an extension of student status beyond 12 terms may be granted by the Academic Standing Committee (ASC). The Committee may also authorize the extension of financial aid to eligible students at the same time.

All students are subject to academic review and thus are assumed to be making satisfactory progress as long as they are permitted to remain in the College. A normal rate of progress is considered to be 17 or 18 credits per term. Although it is understood that occasionally a lighter load may be appropriate because certain courses or certain terms may prove to be especially difficult, a student must earn credits at least at the following minimal level and maintain a minimal grade point average that indicates an eventual level of accomplishment of "C" (2.0) or better necessary for graduation:

<b>Terms Completed</b>	<b>Credits</b>		<b>GPA Minimal</b>
<b>Normal</b>	<b>Minimal</b>		
3	54	42	1.8
6	108	96	2.0
9	162	150	2.0

*A student not maintaining a level of progress toward the degree at the minimal rate may be dismissed from the College.*

The ASC reviews student academic records at the end of each term. Students whose record indicates a precipitous decline may be suspended from the College regardless of their overall record. The committee may send a "letter of concern" to students not already subject to review whose record for the term or whose cumulative record shows signs of an academic deficiency (e.g., due to low grades, loss of credits, decline in grade point average, problems in the major, etc.) or to students currently subject to review whose record has improved but who may still be making less than normal progress. Students whose rate of progress places them at or near minimum in credits or grade point average will be "placed on review" and usually required to meet certain standards (e.g., take and pass 18 credits, grades of C or better, prepare and follow an academic plan, attend class regularly, earn summer school credits, etc.) to maintain acceptable standing.

At the end of the next term, the committee may take a student off review status, send a letter of continued concern, or place/continue the student on review. If the student's record has remained at an unacceptable level or has deteriorated, or demonstrates a precipitous decline; or if the student has not

met the requirements set by the committee; or if it is apparent that the student will not be able to fulfill the requirements of a major or graduation within the terms remaining, the committee may suspend or dismiss the student from the College. In all cases, the committee considers individual circumstances in deciding upon the review status of the student.

Except in the case of precipitous decline, students on review are warned about inadequate academic progress, given advice about resources and corrective action and, frequently, required to meet certain standards of achievement in the following term. The parent(s) and the student's academic adviser are kept informed of ASC actions.

Financial aid corresponds to the student's enrollment status and continues for eligible students as long as they are enrolled. When a student is suspended or dismissed from the College, financial aid is discontinued. Aid is reinstated or awarded to eligible students upon re-enrollment.

See also [withdrawal/term amnesty](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Academic Progress Reports

Faculty members are expected to notify the Office of the Dean of Students of any student at any point during the term, who they believe is experiencing serious academic difficulty, who has missed a large number of classes, who frequently submits late work, or who, for some other reason, should be brought to a dean's attention. This information is passed on to both the student and the student's academic adviser.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Academic Standing Committee

This committee, composed of faculty members, administrators, and students, is convened almost weekly by its faculty chair. The committee rules on petitions for exception to academic regulations, approves special majors, and reviews the academic progress of students at the end of each term. It also serves as the judiciary in cases of academic dishonesty and library misuse or abuse cases.

See also [academic progress](#) and [petitions](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Advanced Placement

Carleton accepts up to 36 credits toward the Carleton degree from any combination of the following: College Board Advanced Placement credits, International Baccalaureate credits, or approved pre-matriculation credits (credits earned in college-level courses taken before graduation from high school or before matriculation at a college or university). **These credits may not be applied to distribution requirements.**

Carleton grants advanced placement and exemption from certain graduation requirements to entering students who are able to demonstrate a sufficient level of mastery in a subject. Each department sets its own criteria for advanced placement. Some advanced placement credits are conditional and are not awarded until the student has successfully completed, with a grade of C- or better, more advanced work in the same field in a Carleton course.

Students seeking advanced placement or exemption should check the [Academic Catalog](#) and contact the appropriate department for further information.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Americans with Disabilities Act

Under the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990, all institutions of higher education must respond appropriately to the unique needs of disabled students. These federal laws ensure that disabled students do not experience academic inequity. More particularly, they require institutions to examine, on a case-by-case basis, requests made by disabled students for reasonable accommodation. While "fundamental alteration to the nature of a program" is not required, reasonable accommodation is.

It is the policy of Carleton College to create and maintain an environment in which all students may learn and work to their fullest potential, limited to the least extent possible by individual disabilities. To ensure the provision of reasonable and appropriate services and accommodations, students requesting these must provide current documentation of their disability. Specific academic accommodations are determined based upon individual documentation.

Please refer to the Disability Services for Students [handbook](#) for specific verification criteria. All requests for accommodations should be forwarded to the Coordinator of Disability Services for Students.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Argument and Inquiry Seminars

The required Argument and Inquiry Seminar is numbered 100, is graded A/F, and may not be dropped.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Asterisk Policy

see [Graduation Requirements](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Auditing Courses

Carleton does not have an official audit option. If permission is secured from the instructor, a student may audit a course, without credit, along with a regular academic program. Online course materials may not be available. Audited courses are not listed in the student's permanent record or transcript.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Change of Course Level

A student may use the Drop/Add procedure to shift to a more or less advanced course in language classes, through 204 (205 in Arabic, Chinese and Japanese), in mathematics (courses numbered 101, 111, 121, and 211), and in certain physical education courses (e.g., advanced tennis to inter-mediate tennis). In all cases, changes may be made through midterm without a notation on the academic record and without petitioning the Academic Standing Committee (ASC). A drop/add card must be filed in the Registrar's Office to make this change. The signatures of the instructor and academic adviser are required.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Change of Section

A "change of section" does not require the adviser's signature, nor does it require a petition to the Academic Standing Committee (ASC). For this purpose a change of section shall be strictly interpreted to mean a change from one course to another having the same number and title, the same number of credits, and the same beginning and ending week. A drop/add card, with instructor' signatures from both sections, is to be filed with the Registrar's Office before the last day of the term.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Class Attendance

It is expected that students attend classes. While attendance at classes is the responsibility of the student, who will be held accountable for any missed work, instructors are also requested to inform an associate dean of students when a student's attendance record gives cause for concern. The Academic Standing Committee (ASC) may, on occasion, require regular class attendance of a student on academic review.

Any student who fails to attend the first two classes in a course for which there is a wait list and who has not otherwise contacted the faculty member by the end of the second class to confirm enrollment will be officially dropped from the course if a signed request from the instructor is received by the Registrar by the end of the first week of class. This faculty prerogative does not relieve a student of final responsibility for proper registration.

Any student who fails to attend classes prior to the end of the second week of the term may be withdrawn from the College.

See also [registration](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Class Year

A student's class year may be changed by the Academic Standing



Committee. This will normally result when a junior or senior successfully petitions to accelerate graduation, or in the case of deceleration, the student takes a leave of absence.

See also [academic progress](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Common Time

During academic terms, time set aside over the lunch hour on Tuesday and Thursday is designated as "Common Time." Appropriate uses of Common Time include:

1. All-campus events (e.g., LTC events, guest speakers, recitals);
2. Programs related to convocations (e.g., discussion groups prior to or following a convo speaker);
3. Departmentally-based events (e.g., comps talks and other student presentations, a faculty forum, brown bag lunches for faculty and students);
4. Committees or other groups that meet only on an ad hoc basis, irregularly or only for a single term (e.g., department review committees, task forces and subcommittees that meet only periodically);
5. Lunch, socializing, advising, independent study meetings, etc.

Common Time should not be used for:

1. Required class meetings or required class-related activities;
2. Regularly scheduled departmental, administrative or committee meetings;
3. Regularly scheduled meetings of faculty or staff members with students (e.g., weekly meetings between supervisors and student language assistants, regular meetings between residential life staff and RAs).

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of the College Office

## Comprehensive Exercise

see [Senior Integrative Exercise](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Concentrations

The requirements for concentrations are outlined in the [Academic Catalog](#). Each concentration program is unique and organized in a way that suits the logic of its topic. Students should consult with the concentration coordinator or Registrar for more detailed information and advice about a specific program.

Students declare concentrations no later than the end of their eighth term. Students wishing to declare a concentration after their eighth term must petition the Academic Standing Committee. Declaration forms are available from the coordinator and the Registrar. Although courses in a concentration may be taken on a S/Cr/NC basis, "D" or "Cr" level work will not be sufficient to satisfy course requirements for a concentration. Concentration programs are to be completed during the normal 12 terms at Carleton. To drop a concentration, the student must complete a form available from the Office of the Registrar.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Credit Maximum and Minimum

No student shall be allowed to be registered for fewer than 12 credits for the term (therefore, a student carrying 17 credits would not be allowed to drop a six credit course). Permissible maximum credit loads without prior approval of the Academic Standing Committee (ASC) are 22 credits for the term. The ASC will consider petitions from students for up to 24 credits per term; normally a B average is required. *First-year students are not eligible for an overload, except in cases involving participation in musical and theatrical groups.*

See also [academic load](#) and [petitions](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Credit Unit

The standard Carleton course is six credits; for purposes of transfer evaluation, six Carleton credits are comparable to three and one-third (3

1/3) semester credits or five quarter credits.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Dean's List

Dean's List is compiled each summer and is drawn from the top 10 percent of the previous year's first-year, sophomore and junior classes. Eligibility for Dean's List assumes three terms of academic work, the bulk of which is done at Carleton. Students on non-Carleton off-campus programs for one term are eligible for Dean's List if their off-campus grades are comparable to those they maintained at Carleton. Students off campus for two or more terms on a non-Carleton program are not eligible in that year. Students on leave for a term are not eligible in that year.

Grades for students on spring term non-Carleton off campus programs may not be available at the time Dean's List is compiled (and the Opening Convocation program is sent to the printer). Similarly, final grades for spring extensions (see "[ext](#)") may not yet have been received. When the outstanding grades are received in the Registrar's Office, it will be determined whether or not the student's work merits Dean's List. Where it does, the Dean's List honor will be posted on the student's transcript.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Declaration of Major

Early in the sixth term of enrollment, but not before that term, students must declare an academic area as their major field or they will not be allowed to register for the seventh term. Students wishing to change their major during the junior or senior year can do so by obtaining the approval of the chair of the new department and completing the form available in the Registrar's Office. Students who are planning a special major are advised to petition the Academic Standing Committee (ASC) during winter term or early spring term of their sophomore year.

See also [double major](#) and [special majors](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Disabilities

see [Americans with Disabilities Act](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Distinction in a Major

A student may be given "distinction" in a major upon achieving distinction in the senior integrative exercise, and having a cumulative grade point average of at least 3.5 in all courses taken in the major department.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Double Major

Students wishing to declare a double major must obtain the approval of the chairs of the two departments concerned and [petition](#) the Academic Standing Committee (ASC), showing the plan for the two majors. Students must show they can graduate within 12 terms; the ASC will not award extra terms for a student to complete two majors, nor will the ASC allow students to finish a second major out of residence. To graduate, a student must fulfill the requirements of both majors. Students wishing to drop one of their two majors must do so by petitioning the ASC. Courses associated with the senior integrative exercise (comps) cannot be dropped after the drop/add deadline, so students wishing to drop one of their two majors must plan accordingly. Students are not allowed to complete a double major after leaving Carleton. The ASC has placed a moratorium on triple majors. Triple majors will not be entertained. The ECC will review this moratorium at a later date.

See also [declaration of major](#), [petitions](#) and [senior integrative exercise](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Drop/Add

The drop/add card may be used to make changes in registration until the end of the drop/add period. This period ends at 5:00 p.m. on the last day of classes in the first week for five-week courses and the second week for classes of 10 weeks or more. For anything other than a change from one

section to another of a multiple section course, the signature of the instructor(s) involved and the adviser will be required. For a change of course section, only the instructor's signature will be required. However, a student registered for a course for which another section is offered for different credit must switch sections using the drop/add procedure. The adviser's signature is required. Should an instructor believe that a student has missed too much of a course, the instructor can withhold permission to add a course.

Provided the 12 credit minimum is observed, courses may be dropped until 5:00 p.m. on the seventh Friday of the term for 10-week courses, the third Friday of the term for first 5-week courses, and the eighth Friday of the term for second 5-week courses. Courses described as seminars may be dropped only with the instructor's permission (which may be withheld). Courses numbered 100 and 400, as well as those courses related to the senior integrative exercise, may not be dropped (see point 2 under [Senior Integrative Exercise](#) for sole exception to this policy). After the two-week drop/add deadline, a drop results in a grade notation "DRP" on the transcript and is identified as "course dropped after the normal drop/add period without penalty." A blue "late-drop" card is provided for this purpose, and both the instructor's and adviser's signatures are needed.

No course may be dropped after 5:00 p.m. on the day of the drop deadline noted above.

While a pattern of frequent use of this option may be interpreted by graduate schools and employers as an indication of inability to complete academic obligations, an occasional "DRP" notation on a transcript is no cause for concern. The Academic Standing Committee (ASC) regards the DRP as a valid elective option for a student in cases where a course cannot be completed for a variety of reasons as well as in cases where students have simply missed the registration deadline. Petitions to remove a DRP notation from the transcript are not usually granted.

Carleton College off-campus studies seminars may not be dropped.

See also [change of course level](#), [change of section](#), [registration](#), [senior integrative exercise](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## **Election to Phi Beta Kappa**

Phi Beta Kappa is a national honor society, founded in 1776 at the College of William and Mary, with chapters at many leading colleges and

universities. The motto of the society, derived from the three Greek letters, is "Love of learning is the guide of life." Phi Beta Kappa celebrates and advocates excellence in the liberal arts and sciences. Its campus chapters invite for induction the most outstanding arts and sciences students at America's leading colleges and universities.

In the past, students were elected to the Carleton chapter (Beta of Minnesota) by current faculty and staff members strictly on the basis of their cumulative GPA at the beginning of spring term, typically of their senior year. (A very small number of exceptionally qualified students are elected as juniors, usually no more than two or three.) A check is done with the dean of students' office to make sure that students are in good standing in keeping with the society's stipulation that invitation should be extended only to persons of "good moral character."

The society also urges that chapters give weight to breadth and depth of study in the liberal arts and sciences, "taking into account the number, variety, and level of courses taken outside the requirements of the major." Beginning with the class of 2014, we will remove from consideration any student who has elected the S/CR/NC option for more than two of the six curricular exploration requirements, or who has not completed all of their "Curricular Exploration" requirements at the time of consideration. If a student takes both graded and S/CR/NC courses that would fully satisfy the same requirement, that student will remain eligible for Phi Beta Kappa, because the requirement will be understood to have been satisfied by the graded coursework.

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Last revised January 30, 2013

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For [Students](#)

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Maintained by Dean of the College Office

## End of Term Deadlines

While faculty members may establish earlier deadlines for the work in their courses, students are to have all work completed and submitted for a course not later than the end of the official examination schedule for that term. Late work is not to be graded. Work may extend beyond the end of the exam schedule only if an "EXT" (extension granted) has been approved by an associate dean of students or an associate dean of the college.

This policy is intended to set an outside limit on the time allowed to complete course work and provide a degree of fairness among students. While the quality of a student's work may improve if given additional time, it is also important to maintain a common framework of time available to all

students. If special circumstances seem to warrant additional time for an individual, the student or faculty member should request and receive approval for an "EXT" before any extended time is provided.

See also [examinations](#), ["ext"--extension granted](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Examinations

Ordinarily, final examinations are given in all courses other than advanced seminars and independent studies, although an instructor may arrange to use other means of evaluation. The final examination schedule is determined by the Registrar's Office. Students may elect to take their exams at the regularly scheduled times. A professor may not require any student to take an examination at a different time if the student prefers the scheduled time. Instructors and space permitting, students may also elect to self-schedule their final examinations. Open-book exams may not be self-scheduled. Consult the [schedule of classes](#) for a list of regularly scheduled and self-schedulable final exam slots.

Students wishing to take a self-scheduled exam must signal this intention to their instructors by the beginning of the last week of classes. If this is not done, the student must sit for the exam at the regularly scheduled time and place. Students who have formally elected to self-schedule, however, may change their minds and sit for the exam at the regularly scheduled time slot, unless the instructor is only offering the exam as a self-scheduled exam.

No final examination shall be given on Reading Days or before the start of the examination schedule. An instructor may not require more than one major project due after 5:00 p.m. of the last day of class. In particular, only one traditional in-class final, take-home final, final paper, etc., may be required during the final examination period. All other work for the course must be due by the last day of classes.

If the final is a take-home exam (where the questions are made available only on the last day of classes):

1. students should be so informed at the beginning of the course;
2. it should be handed out the day of the last class meeting; and
3. it should be due at 5:00 p.m. the last day of the examination period in order not to interfere with regularly scheduled examinations.

A student who has exams (that cannot be self scheduled) in each of three

consecutive exam periods shall be entitled to have one of the three rescheduled; if all three professors are unwilling to reschedule, then the student is entitled to have the third exam rescheduled.

A student may miss a final exam only for reasons of illness or circumstances beyond the student's control, and must obtain permission from an associate dean of students beforehand. Extensions will not be granted to students who fail to sit for final exams through their own negligence, whether due to poor planning or tardiness.

See also ["ext"--extension granted](#) and [reading days](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Extensions (EXT)

Students are expected to complete all course work by the end of a term. When this is not possible as a result of illness or circumstances beyond the student's control, he or she may request a grade of EXT . The College distinguishes between two types of EXTs--personal and academic. Only in the most unusual circumstances can an EXT--either personal or academic--be granted in applied music courses. Generally, third term seniors are not eligible for EXTs. Students may not drop a course in which they have been granted an EXT.

### Personal EXTs:

EXTs are appropriate for students coping with end-of-term illness or other personal circumstances beyond their control. Request forms for these EXTs are available from an associate dean of students who will receive and judge the validity of these requests. Verification is required to document circumstances that have had an impact on one's ability to finish course work or finals. Students must submit all requests before 5:00 p.m. the last day of classes.

The due date for completed work will be set at the time the extension is granted. For fall and spring terms it is expected that all written work and projects will be completed no later than four weeks from the last day of exams; for winter term extensions, all work must be completed no later than the end of the second week of spring term. Earlier deadlines may be set for any of the three terms; the instructor, the relevant associate dean, and the student will agree on the deadline in writing. Faculty should submit a final grade for the course as soon as possible, so that timely decisions about a student's status may be made.



## Academic EXTs:

Academic EXTs are appropriate when something nonpersonal interferes with a student's ability to complete work: the kiln blows up; the rats die; the promised research materials arrive late. "Normal" computer failures are not covered by this policy; it is expected that students will back up their files.

Only rarely will EXTs be granted for academic reasons. If a student or faculty member wishes to request an EXT on academic grounds, the *instructor* should submit a written request for approval to the Associate Dean of the College, explaining the circumstances in full.

The due date for completed work will be set at the time the extension is granted, but in no case will it be later than the end of the second week of the following term. The instructor, the relevant associate dean, and the student must agree in writing on the due date. The instructor must submit a final grade for the course by the end of the third week of the following term.

See also [end of term deadlines](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Financial Obligations

Permission to register, as well as the release of an official transcript, will generally be denied to students who have an outstanding financial obligation.

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For [Families](#), [Students](#)

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Maintained by Dean of the College Office

## General Education Requirements

General education requirements refer to requirements set to ensure that all students are exposed to a wide range of subjects and methods. The [Academic Catalog](#) describes Carleton's general education requirements in the section "Academic Programs." Certain courses do not count toward fulfillment of the general education requirements because they do not satisfy the intent of the policy. Refer to the general education "areas" noted in the *Academic Catalog* following each course description. Prematriculation courses, advanced placement credits, and independent study/reading/research cannot be used to fulfill general education requirements. Courses taken to fulfill specific graduation requirements must be passed with a grade of S or C- or better.

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Grade Complaints

see [Academic Evaluation](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Grade Point Average (GPA)

Courses taken S/Cr/NC do not count toward a student's GPA. Grades received for courses taken at St. Olaf while enrolled at Carleton through the Inter-registration process will be included in the student's GPA. Courses taken on off-campus study programs led by Carleton faculty count toward GPA unless otherwise indicated. Though grades received from all other off-campus study programs are posted on the Carleton transcript as evidence of accomplishment, they are not included in the student's GPA. Transfer credits are posted to the Carleton transcript without grades and do not count in the student's GPA.

See also [grading system](#) and [satisfactory/credit/no credit \(s/cr/nc option\)](#), and [retaking courses](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Grade Reporting

Grade reports for each course are submitted to the Registrar online at the close of each term. Once a grade has been reported it becomes part of the student's permanent record and can be changed only by the faculty member and with the approval of the Academic Standing Committee (ASC). Registration errors which result in grades of F may only be corrected through successful student petition to the ASC.

A student taking a course ending in the fifth week of a term must submit all work by the end of the course. Final grades for courses ending in the fifth week shall be submitted no later than the grading deadline for courses ending in the tenth week. A student who wants grade information before the end of the term must ask the professor.

See also [grading system](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Grades

See [Academic Evaluation](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Grading System

Carleton's computation of Grade Point Average includes pluses and minuses, using the following numerical values:

### Grade / Point Value

A / 4.00

A- / 3.67

B+ / 3.33

B / 3.00

B- / 2.67

C+ / 2.33

C / 2.00

C- / 1.67

D+ / 1.33

D / 1.00

D- / .67

F / .00

S / C- through A

Cr / D- through D+

NC / No Credit/Fail

\* / Student opted ungraded

L / Laboratory completed

CNT / Continuing course

CI/ Continuing Integrative

EXT / Extension granted

DRP / Dropped without penalty after two week drop/add period

Neither S/Cr nor NC grades are figured into the GPA.

"D" level work will not be sufficient to satisfy course requirements in the

major department or in a concentration or in required courses for the major offered by another department. Required courses in the major cannot be taken on a S/Cr/NC basis (see [Major Field Requirements](#) for more detail). Courses taken to fulfill specific distribution requirements must be passed with a grade of S or C- or better.

An "X grade" on an unofficial transcript signifies that no grade was received. In the absence of any clarification, such a "grade" becomes an "F" or "NC."

If you have questions about grades, contact the Registrar's Office.

See also [grade point average](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Graduation Requirements

A complete listing of graduation requirements can be found in the [Academic Catalog](#). Students are responsible for fulfilling these requirements and are encouraged to consult with their academic advisers and resident assistants in planning their course schedules. Students are required to check their online transcript and program evaluation each term for completeness and accuracy. Questions should be directed to the Registrar's Office.

Briefly, students must earn at least 210 credits with a minimum grade point average of 2.0 to graduate.

Students must complete the Argument and Inquiry Seminar, which includes a writing rich experience; six credits of additional writing rich (WR2) coursework, a writing portfolio, 36 credits in Curricular Exploration and Intellectual Engagement, four (4) terms of physical education, proficiency in a foreign language, three courses designated as quantitative reasoning encounters (QRE), six credits each in international studies and intercultural domestic studies, all courses required for the major (all of the above with grades of S or C- or better) and a comprehensive examination or senior integrative exercise. Transfer students will typically be required to substitute a second WR2 course for the A&I seminar.

In June of each year the Academic Standing Committee (ASC) makes a final review of the records of all seniors. The ASC may permit 12th term seniors who have not completed all degree requirements to participate in the commencement ceremony that year. In these cases, students' names will be designated with an asterisk on the commencement program. Students who are required to return to Carleton to complete their degrees are not eligible to participate in commencement.

In all cases, the ASC determines which students are required to return to Carleton to complete their degrees and which students are required to complete their work elsewhere. Normally, the student who begins his or her 12th and final term at Carleton without being theoretically able to complete the degree should be prepared to complete the remaining work at another institution following the current regulation for transfer of credit. In some cases--for example when the student must complete the senior integrative exercise or courses required for the major--the student may be required to complete additional work at Carleton, or may be suspended or dismissed. When a student has made up all deficiencies in graduation requirements, the degree is awarded. The student is eligible to participate in commencement the following June, unless the student has already been allowed to walk at an earlier commencement.

See also [academic progress](#), [latin honors at graduation](#) and [writing requirement](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Honors in Independent Study

Outstanding independent work may be cited for "Honors in Independent Study" at Honors Convocation. Such recognition is based solely on the excellence of the special project and is considered independently of a student's academic average or other qualifying factors. The independent study project need not be in the student's major field and is available to all students in any class, not just to seniors.

Work submitted for consideration for Honors in Independent Study normally would have been done under the rubric of independent study as listed in the [Academic Catalog](#). This means that course papers, comprehensive projects, etc., would not ordinarily be eligible for consideration; they receive other awards.

For a student to be considered for this recognition, the faculty supervisor and one other faculty member must recommend the project to the Student Fellowships Committee.

Students wishing to present a project for consideration can consult with major advisers and the supervisors of the independent study project. To be considered for this recognition, however, the project must be recommended for honors by the faculty supervisor of the project and one other faculty

member. Departments and individual faculty members may specify their own deadlines between the beginning of winter term and the last day of exams winter term for completion of projects to be considered for honors.

By that date, the faculty sponsor should notify the Dean of the College office of the:

1. name of the student whose work is to be considered;
2. nature and title of the work to be considered;
3. name of the additional faculty member recommending the project; and
4. name, address, and telephone number of a qualified person who has agreed to read and evaluate the work. This evaluator should live in the United States so that mailing of projects will not delay decisions.

No later than one week after the last exam, the faculty sponsor should submit to the Dean of the College office:

1. two copies of the Honors in Independent Studies paper, having already been endorsed by another member of the faculty, usually the chair of the department in which the project was done;
2. a letter of nomination to the Fellowship Committee (c/o George Shuffelton, Associate Dean of the College):
  - detailing the merits of the project;
  - providing information about its genesis in Independent Study, or as summer research with a faculty mentor, and, as appropriate;
  - confirming that the project is not work which is an integral part of a student's integrative exercise (comps project).

Work done in connection with a Carleton summer fellowship, such as a Larson, is eligible provided that such work is recommended by a department of the College.

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## **Independent Study/Reading/Research**

A student may enroll in independent study (numbers 291 or 391) independent reading (numbers 290 or 390), or independent research (numbers 292 or 392) with the consent of a professor. Independent study typically is completed within one term. In cases where it spans more than

one term, grades are submitted at the end of each term. An independent study form (available from the Office of the Registrar) must be completed by the student, signed by the professor and adviser, and submitted to the Registrar by the drop/add deadline. Submitting this form permits but does not automatically accomplish registration; independents are subject to the further approval of the registrar and the associate dean of the college.

Change of credit is not allowed for independent work. Grades are to be submitted at the end of the independent period, consistent with the policy for scheduled courses, and an independent must be completed by the student within the schedule indicated on the application. Independent study completed at midterm must be graded by the end of the term. Independents which duplicate the content of currently offered courses are not allowed. The policy for "EXT" grades also applies to independent studies.

A student interested in taking an independent study should check with the professor to see if the department has additional guidelines governing independent work.

The grading method for independent work must be agreed upon with the instructor and clearly stated on the independent form before submitting it to the registrar at the time of registration. No independent may count toward general education requirements.

Seniors may take independents (numbers 390, 391 or 392) concurrently with and related to another course. Intensive independent study (up to 12 credits) is possible in all three terms. Non-seniors are limited to a maximum of six credits of independent work during any single term. Independent Study/Reading/Research (290-292 and 390-392) may not be used to repeat independent studies.

See also [retaking courses](#), [summer independent study](#) and [winter break credit](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Internships

Internship opportunities are appropriate for students who wish to explore further an academic area, gain work experience in a field of their choice, or explore a possible career.

Internships *per se* do not carry academic credit. Any credits that accrue from an internship arise from an independent study course associated with the internship and taken concurrently with or following the internship. Such

independent studies are supervised by a Carleton faculty member, carry appropriate academic/intellectual weight, must be substantially different from the internship, and include explicitly stated mechanisms for evaluation of work done in the course.

See also [independent study](#), [summer independent study](#) and [winter break credit](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Language Placement Examinations

Arabic, French, German, Hebrew, Latin, and Spanish language placement exams for incoming students are administered during the summer prior to matriculation. Other language placement exams for incoming students are regularly scheduled during new student week. Incoming students interested in pursuing study in one of the languages offered at Carleton should take the appropriate exam. There is no fee for tests taken during fall term administration.

Students applying to retake an exam must offer proof that they have made an effort to advance their language competence (through extensive travel abroad, formal coursework taken off-campus, etc.). Forms are available in relevant department offices. Normally, students will be given the opportunity to take the test in a given language no more than twice.

[Click here](#) for more information.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Language Requirement

Students may meet the language requirement in four different ways:

1. by testing out with an appropriate score in the CEEB Advanced Placement examination, International Baccalaureate examination, or in another standardized examination selected by the faculty of a particular language in consultation with the Associate Dean of the College; or
2. by satisfactory completion (grade of S, C- or better) on the fourth-level courses (fifth-level in the case of Arabic, Japanese and Chinese); or



3. by passing a proficiency examination designed or selected by the faculty of the particular language in consultation with the Associate Dean of the College; or
4. by passing a special examination with speaking and reading components (if a written language), prepared by an expert for those languages not taught at Carleton. Arrangements are made by the Associate Dean of the College George Shuffelton.

## Language Progress

Students who receive advanced placement in a language and wish to use that language to satisfy the language requirement should begin with that level of placement when it becomes available in the first year, unless otherwise counseled by their academic adviser.

A student must begin to fulfill the language requirement before the fifth term at Carleton. In sequential language courses, a student must earn a C- or better to progress to the next course.

The College expects all students to complete the language requirement. The Academic Standing Committee (ASC) may grant an exemption to the language requirement on the basis of a documented language learning disability. For any student granted an exemption, the ASC has the authority to waive additional courses or require from one to three courses in linguistics, literature and/or culture.

Students experiencing inordinate difficulty in mastering a language in the classroom, with no history of a language disability, may be eligible for a referral for testing. In addition to evidence of difficulty in language study, the ASC expects students to have made a good faith effort, to have attended class regularly, and to have sought help from the various resources available at Carleton (i.e., instructors and tutors). [More information on the exemption procedure.](#)

Students deficient in credits who attempt to make progress in fulfilling the requirement may petition to earn credits for summer language study.

See also [summer study](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Late Drop

see [Drop/Add](#) and [Registration Changes](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Latin Honors at Graduation

Carleton recognizes outstanding academic performance by awarding the Latin honors of *cum laude*, *magna cum laude*, and *summa cum laude* to students with qualifying cumulative grade point averages. These honors are noted on diplomas and final transcripts of those students. For students in the graduating class of 2014 and earlier, Latin honors are awarded to students with a grade point average of 3.25 or better (*cum laude*), 3.50 or better (*magna cum laude*), and 3.90 or better (*summa cum laude*).

Beginning with the class of 2015, Latin honors will be awarded to students with a grade point average in the top 2% of their graduating class (*summa cum laude*), those in the remainder of the top 15% (*magna cum laude*), and those in the remainder of the top 30% (*cum laude*).

Students who receive an asterisk at commencement will not be recognized on the program as receiving Latin honors. When the diploma and final transcript are issued, these honors will be indicated as appropriate.

See also [graduation requirements](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Learning Disabilities

see [Americans with Disabilities Act](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Leave of Absence (Medical, Military Service and Personal)

A student may request a total of three terms of leave of absence during their time at Carleton. The total of three terms can include any combination of medical, military service, or personal leaves. Students interested in exploring the leave options are encouraged to talk with their advisers and/or their class dean. Leave of absence requests are processed by the Dean of

Students Office on behalf of the Academic Standing Committee (ASC).

Notes: (1) A leave of absence is for nonacademic activities; if students choose to study elsewhere, credit will not be transferred to Carleton. (2) A leave of absence will cause the student's class year to change which will impact housing draw and registration priority numbers. (3) A student who is away from the College on leave of absence status for more than three terms will be withdrawn with the option to petition for readmission when they are ready to return.

### **Medical Leave During a Term**

A student who cannot complete the term due to illness or other health issues may petition the Dean of Students Office for a medical leave.

Notes: (1) A student who takes a medical leave will have DRP's (drops) recorded for courses they are enrolled in at the time of the leave. (2) Return from medical leave must be approved by the Dean of Students Office through a petition process. (3) Normally, students returning from medical leave are not allowed to immediately go on an OCS program.

### **Military Service**

A student may request a leave for military service at any time. Students petitioning to return to the College from military service who were in good academic standing at the time of their leave will typically be granted readmission.

Note: Students will be allowed to take a leave from the College for active service in the U.S. Military without penalty. If the leave is requested during the term, students will receive a 100 percent tuition refund and a pro rata refund of unused room and board fees (less any financial aid which may have been received for the term) upon presenting an original copy of their military orders for active duty to the Dean of Students Office. Alternatively, extension (EXT) grades with no tuition reimbursement may be more appropriate when the call for active military duty comes near the end of the term.

### **Personal Leave**

A student may wish to take a personal leave from College prior to the start of an academic term. Personal leaves are usually for students who need a break from academic work and wish to engage in volunteer work, earn extra money for college, pursue a dream, etc. A student on a personal leave is able to return to college by submitting a petition to the Dean of Students Office. Students interested in leaving after the term has started should

discuss options with their class dean (see also “withdrawal from the college”).

See also [academic progress](#), ["ext"--extension granted](#), [off-campus study](#), [transfer of credits](#), and [withdrawal from the college](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Library

The Carleton College Library exists to support learning and teaching by providing information resources and services to the Carleton College community. Information specialists are available to help you pursue your interests on any topic.

The library is a central intellectual commons, and policies exist to insure that library resources will be equitably available to all members of the community and to preserve them for future users. These policies are available on the library Web pages <http://www.library.carleton.edu> and all users are responsible for following them. Students who violate these policies may be referred to the Academic Standing Committee (ASC) for abuse of library privileges.

If a student violates a library policy and the library staff reports the violation to the Academic Standing Committee, the committee ordinarily will handle the case through a hearing as outlined in the [Student Handbook](#). In the following specific cases for a first offense, the ASC has adopted automatic penalties over and above fines or other costs imposed by the library staff:

1. failure to respond to recall notices--written warning.
2. returning closed reserve materials more than eight hours late--10 weeks of censure.

Other violations and second offenses will call for a hearing by the ASC. Library circulation records and other records identifying the names of library users are confidential in nature. Such records will not be made available except pursuant to legal process, order or subpoena. Borrowers who neglect to return library materials (including items borrowed from St. Olaf College or Interlibrary Loan), or who return materials in unsatisfactory condition, will be billed for replacement of the material and a processing fee. Students will be prohibited from registering for the following term until the lost or damaged material is returned or paid for.

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For [Faculty](#), [Students](#)

Maintained by Gould Library

## Major Field Requirements

A maximum of 78 credits can be required for a major, including the comprehensive examination/senior integrative exercise and required courses and their prerequisites offered by other departments.

The requirements for majors are outlined in the [Academic Catalog](#). Deviations from and substitutions for the stated requirements may be made by judgment of the appropriate authority. For established departmental majors, this authority resides with the department chair. For special majors, this authority resides with the major advisers and the Academic Standing Committee (ASC), which approves special majors.

For a course to count toward the major, a grade of C- or better must be earned; these courses cannot be taken on an elective S/Cr/NC basis. Departments may make exceptions for extra-departmental courses if appropriate.

See also [double major](#), [special majors](#), and [declaration of major](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Midterm Reports

see [Academic Progress Reports](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Music Lesson Fees

Refer to the current [Academic Catalog](#) for information on applied music fees. These fees will not be refunded if lessons are dropped after the two-week drop/add period.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Off-Campus Study

All students considering off-campus studies must work directly with the Office of Off-Campus Studies, Leighton 119, on all aspects of planning, applying, and confirming participation in any off-campus studies program.

First-year students are not permitted to study off-campus. College regulations for off-campus study are explained online at <http://go.carleton.edu/ocs> and in handouts available in the Off-Campus Studies Office.

### **Off-Campus Studies Petition**

All students considering a non-Carleton off-campus study program must complete an Off-Campus Studies petition and other appropriate paperwork, available in the Off-Campus Studies Office. Students must consult with an Off-Campus Studies adviser about the OCS petition which is due in the Off-Campus Studies Office by the third Thursday of the term prior to departure.

If the OCS petition is approved, credits are applicable toward general graduation credits, and financial aid will follow the student off-campus on one non-Carleton program (except for work study; see "Financial Aid" below).

Submission of the OCS petition commits the student to studying off campus for the designated term, pending acceptance into the program and approval of the OCS petition. Once the student submits the OCS petition, the student is not eligible for registration or room draw for the term designated for off-campus study.

### **Approval of Program**

Every off-campus program for which a student plans to receive Carleton credit must be approved in advance of participation by the Off-Campus Studies Committee. A list of affiliated programs is available in the Off-Campus Studies Office and online at <http://go.carleton.edu/ocs>.

If a student is interested in a program which is not included on the list of affiliated programs, the student must submit a "Program Review" as part of the OCS petition. Students should consult with an OCS adviser about any unaffiliated program. Prior use of an unaffiliated program does not guarantee approval for that same program for another student.

Students will be notified by the Off-Campus Studies office about approval or denial of their OCS petition.

### **Deadlines**

Students should contact the Office of Off-Campus Studies about all

deadlines for OCS petitions and Carleton seminar applications by calling ext. 4332 or e-mailing [rquanbeck@carleton.edu](mailto:rquanbeck@carleton.edu).

Late petitions will not be considered. Withdrawal from a Carleton seminar after signing a letter of participation also has financial consequences. Refer to the OCS website at <http://go.carleton.edu/ocs> for details about Carleton's policies concerning missed deadlines or canceled participation.

## **Credits**

A student may apply a maximum of 54 credits earned off-campus to the total number of credits required for graduation. These 54 credits represent two semesters or one full year on a non-Carleton off-campus program. Students must be registered for the equivalent of 12 Carleton credits minimum on any off-campus program. Credit overloads are not permitted on any off-campus study programs.

Carleton off-campus study seminar credits are considered Carleton credits and do not count toward the 54-credit off-campus credit limit. They also count toward the College residency requirement.

Transfer students must earn a minimum of 108 credits on campus, including the senior integrative exercise, toward their Carleton degree and must be in residence for a minimum of six terms.

Credit for participation in an off-campus study program will be recorded at Carleton *only after* the Registrar has received an official transcript from the student's program of study. A student's registration for upcoming terms may be held pending receipt of this official transcript.

Whether or not a student needs these OCS credits to complete course requirements, the Registrar must receive official transcripts documenting completion of all non-Carleton OCS programs in order to clear a senior for graduation. If these are not received in time for commencement, an asterisk will be placed next to the student's name on the commencement program.

## **Approval of credits toward general education, concentration, or major requirements**

Students must submit an Approval for Special Credits for Off-Campus Studies form, available in the Office of Off-Campus Studies and the Office of the Registrar, to the Registrar, upon approval of the appropriate department, for credits earned on non-Carleton off-campus study programs.

## **Grade Point Average**

All grades earned on approved off-campus study programs appear on a

student's Carleton transcript. Only Carleton off-campus seminar grades are counted in the Carleton GPA.

## **Required Leave of Absence**

Students participating during the summer in Carleton seminars (e.g., Carleton Economics Seminar in Cambridge) will be required to take a leave of absence one term (typically winter) during the following academic year. In the case of non-Carleton summer programs, no leave of absence is required, and credits earned during the summer are received as additional credit if approved in advance.

## **Registration**

Upon acceptance into a Carleton off-campus seminar, participating students must register with the Office of the Registrar in the same way they would for any other Carleton term.

Students participating in non-Carleton off-campus programs are not eligible to register for the term designated for off-campus study.

## **Financial Aid**

Financial aid applies to one non-Carleton off-campus study program approved by the College. Students participating in non-Carleton off-campus study programs pay a \$500 administrative fee. The fee will be charged to the student's Carleton account after the Off-Campus Studies Petition has been approved. Students should contact the Office of Student Financial Services and the Business Office about billing procedures. Contact the Off-Campus Studies Office for more details and a budget worksheet.

If students receive other scholarships or travel grants for off-campus studies, they must report those to the Office of Student Financial Services before departure.

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For [Faculty](#), [Students](#)

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Maintained by Off-Campus Studies

## **Petitions**

A petition, usually a typed or printed request on a form provided by the Office of the Dean of Students or the Registrar's Office, is used for making an appeal to the Academic Standing Committee (ASC). In petitioning the ASC, care should be taken to provide all relevant information in unambiguous detail so that the committee will be fully informed. Should a student submit a petition for an exception to college policy, it does not



necessarily follow that it will be approved.

While not intending to limit students' access to the petition process, the ASC wishes to inform students that because of its concern that academic policies be administered equitably, it is unlikely that petitions will be granted for exception to regulations concerning late S/Cr/NC change and underloads.

A student intending to submit a petition should read all applicable sections of this document and the supplementary material provided with the petition forms before attempting to write a petition.

Forms for petitioning the ASC for matters relating to registration changes and deadlines are available in the Registrar's Office (Laird 7) and should be returned to that office. The petition process for acceleration of graduation/waiver of senior residency is described under Academic Progress.

Forms are available from the Office of the Dean of Students for the following:

- Requests related to health and personal circumstances:
  - Leave of Absence
  - Withdrawal
  - Withdrawal/Term Amnesty
  - 13th Term
- Requests related to academic progress and degree plan:
  - Required Leave of Absence (after Carleton Summer Program)
  - Approval of Summer Study
  - Special Majors or Double Majors

See also [academic progress](#) and [off-campus study](#) for other forms.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Physical Education Requirement

Four terms of physical education are required for graduation. A student may only receive credit toward graduation in one physical education course per term. It is strongly recommended that students complete this requirement before the beginning of their senior year.

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Prerequisites for Courses

Some courses require that a student attain a particular level of experience or have a specific academic background in order to be successful in that course. The following terms and definitions will assist both faculty and students in stating and understanding these expectations. Students are urged to consider their preparation before registering for classes with prerequisites.

A ***prerequisite*** is a requirement that the student must fulfill prior to beginning the course for which it is a prerequisite. Only in exceptional cases will prerequisites be waived by the instructor or the department. In sequential language courses, a student must earn a C- or better to be eligible for the next course.

A ***recommended course*** is one that students are strongly urged to have completed prior to beginning another course. Recommended courses are not required and the decision to take a course without having taken the recommended course lies with the student.

***Permission of the instructor*** signals that the prerequisites are too complex to be stated briefly in the [Academic Catalog](#) or registration schedule. This is appended to a course description whenever an instructor and the department foresee the need for the instructor to judge whether the student is eligible for enrollment. Students should consult with the instructor before enrolling in the course.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Proxy Registration

The "[Schedule of Classes](#)" is posted on the Web. If they do not have access to online registration, students off campus may choose to contact a student on campus who will act as a proxy for them during registration. The proxy talks to the off-campus student's adviser, who will indicate approval by signing a sheet of paper listing proposed course selections. The proxy will follow the registration procedure described under the Proxy Registration section of Registration Instructions available online via the Registration link on the Registrar's [homepage](#), submitting the paper to the Registrar's Office (Laird 7).

See also [off-campus study](#) and [registration](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Reading Days

Reading Days provide time for significant review and study before the start of final examinations. The guidelines for Reading Days are intended to promote an academic value that is parallel to a scheduled class day. Reading Days are intended to be "unscheduled" to provide time for students to pursue academic work which is most appropriate for them.

The following are considered appropriate activities for students on Reading Days:

1. Reading and review of course material in preparation for the final examination.
2. Work on a term paper or project that is being done in lieu of taking a final exam. (See examinations.)
3. Work begun prior to Reading Days to be turned in during finals as the final project, i.e., a take-home final. (See examinations for rules on take-home finals.)
4. For laboratory courses, an informal equipment "check-in" session may be scheduled at convenient times.

College policy regarding examinations and take-home final examinations remains as stated elsewhere in this handbook.

The following are not appropriate activities for Reading Days:

1. Formal class meetings.
2. Exams.
3. Having written assignments due.
4. Required review sessions.
5. Additional reading assignments.

In addition, there should be no college committee meetings or Carleton scheduled extracurricular events.

See also [examinations](#) and [end of term deadlines](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Readmission

Former students, wishing to apply for readmission, do not need to reapply formally through the Admissions Office. They should write to the Office of the Dean of Students, giving some indication of what they have been doing while away from campus and the date they wish to return. Students who were subject to academic review when they left petition the Academic Standing Committee (ASC), and if readmitted are usually placed on academic review for the first term after they return. Students are typically held to graduation requirements in place at the time of return. Once determined to be readmissible, students are placed on a space-if-available list until such time as the College's limited enrollment will permit their return. Financial aid will be reinstated or awarded to eligible students upon re-enrollment.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Records of Academic Work

The Registrar's Office maintains a computerized transcript for each student on which is recorded the courses in which a student enrolled, grades, credits accrued, etc. This is the official record of a student's academic work and as an educational record is subject to the provisions of the Family Educational Rights and Privacy Act of 1974 as amended. For more information about this and other student records maintained by the College, see the [Student Handbook](#).

See also [transcripts](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Registration

This section is offered as a summary of registration procedures and is subject to change. Detailed information on the registration process as well as on basic registration policies is available online in the "Schedule of Classes" published approximately two weeks before each of the registration periods and via the Registration link on the registrar's homepage [www.carleton.edu/campus/registrar](http://www.carleton.edu/campus/registrar).

Fall term registration for new students will be conducted during the summer. This is the first opportunity for new students to register. Most returning students will have registered in May.

Registration for winter and spring terms, as well as for fall term of the following year, will typically be conducted over a two-week period during the latter part of each term. Failure to register for or to attend classes by the end of the first two weeks of the following term will be regarded as withdrawal from the College. You are required to discuss your registration with your adviser prior to registration.

If any part of a student's account in the Business Office is delinquent, the student will not be permitted to register unless arrangements are made to settle this account with the Business Office. Registration may also be held by the registrar, Office of the Dean of Students, The Wellness Center, Telecommunications, the Writing Program, and the Academic Standing Committee. When all holds are settled, the student will be permitted to proceed. The earliest time to register will be as specified in the "Schedule of Classes." A student may register at a later time than scheduled, within published deadlines.

All of these steps must also be taken by proxy registrants in order to complete a registration by proxy. (See [proxy registration](#).)

Drop/Add, S/Cr/NC cards and Independent Study/Research/Reading Forms are available in the registrar's Office. Drop/adding, S/Cr/NC declaration and Independent Study application are paper processes.

Students will register for physical education courses the same way they do for other courses.

Priority for registration is in order of class year. Priority within class year will be determined by a program designed for random selection.

"Sophomore Priority" in the schedule means students will be allowed to register for a course in the following order: sophomores, first-year students, seniors, juniors. A senior or junior wanting to register for such a course should waitlist for the upperclass waitlist (WL) section only. He or she may then register for the course during drop/add if space is available. A junior or senior who needs a particular sophomore priority course for graduation *should talk with his or her adviser*.

### **Sophomore Priority Courses for 2013-14:**

#### **FALL**

AMST.115.00

BIOL.125.00  
BIOL.125L.53  
BIOL.125L.54  
BIOL.125L.59  
CAMS.110.00  
CAMS.111.00  
CAMS.111.02  
CS.108.00  
CS.111.00  
EDUC.110.00  
ENGL.160.00  
ENTS.120.00  
ENTS.120L.52  
ENTS.120L.53  
GEOL.110.00  
GEOL.110L.51  
GEOL.110L.52  
GEOL.220.00  
GEOL.220L.52  
POSC.120.00  
RELG.110.00  
SOAN.110.00  
SOAN.111.00  
THEA.110.00

**Winter**

ARTS.122.00  
ARTS.232.00  
BIOL.125.00  
BIOL.125L.52  
BIOL.125L.53  
BIOL.125L.54  
BIOL.125L.57  
BIOL.125L.59  
BIOL.126.00  
BIOL.126L.52  
BIOL.126L.53  
BIOL.126L.54  
BIOL.126L.59  
CAMS.111.00  
CS.111.01  
EDUC.110.00  
ENGL.160.00  
MATH.215.01

PHIL.119.00  
POSC.170.02  
RELG.150.00  
SOAN.110.00  
SOAN.111.00  
WGST.110.00

**Spring**

AMST.115.00  
ARTS.110.00  
BIOL.101.00  
BIOL.126.00  
BIOL.126L.52  
BIOL.126L.53  
BIOL.126L.54  
BIOL.126L.57  
BIOL.126L.59  
BIOL.210.00  
BIOL.240.00  
BIOL.241.01  
BIOL.241.02  
BIOL.278.00  
CAMS.110.00  
CAMS.111.01  
CAMS.111.02  
CHEM.230.00  
CHEM.230L.52  
CHEM.230L.54  
CHEM.230L.59  
CHIN.115.00  
CS.111.01  
CS.111.03  
EDUC.110.00  
ENGL.160.00  
GEOL.110.00  
GEOL.110L.51  
GEOL.110L.52  
GEOL.120.00  
GEOL.120L.53  
GEOL.120L.54  
LING.110.00  
LING.115.00  
MATH.215.02  
POSC.120.02

RELG.110.00

SOAN.110.00

SOAN.111.00

Wait lists are formed after a class section fills (i.e., closes). Wait lists provide priority information for accepting students into a class if space becomes available. Students should check with the department and/or instructor to determine if they have moved from the wait list and may be allowed to enroll in a class. If accepted into a class, it is *the student's responsibility to register for it* via the drop/add procedure.

Any student who fails to attend the first two classes in a course for which there is a wait list and who has not otherwise contacted the faculty member **by the end of the second class** to confirm enrollment will be officially dropped from the course if a signed request from the instructor is received by the registrar before the end of the first week of classes.

See also [academic load](#), [class attendance](#), [drop/add](#), [proxy registration](#), and [registration changes](#).

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Last revised June 27, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Registration Changes

It is a student's responsibility to carefully check his or her online class schedule and correct errors prior to published drop/add deadlines.

Changes in registration are further defined and explained within this handbook in the following order:

- [Change of Course Level](#)
- [Change of Section](#)
- [Credit Maximum and Minimum](#)
- [Drop/Add](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Retaking Courses

A student may retake a course when the prior attempt appears to have produced insufficient mastery of the subject matter (D+, D, D-, F, Cr, or NC).



Courses with the same department and number will post as "retaken" automatically by the computer program. Students wishing to retake a course offered previously under a different department/number must petition the Academic Standing Committee using a retake form in the registrar's office. Independent Study/Reading/Research (290-292 and 390-392) may not be used to repeat independent studies. Independent studies may only be used to repeat regular courses if the student needs the specific course to graduate and has the approval of the ASC.

Grade points and credits earned in the original attempt will be replaced by those earned in the second attempt in the cumulative GPA, even when fewer or none are earned in the second attempt. Additional academic credit will be obtained only when none was earned in the first attempt. Thus, when repeating a course in which a passing grade was received, the second grade is figured into the cumulative GPA, and only the credits associated with that attempt count toward the career total; this also means that an "F" grade in the last attempt will have the effect of canceling any prior degree credits for this course. The record of the first attempt (with grade) remains on the academic transcript with the notation "retaken."

Some courses can be repeated for additional credit: for example, ENGL 109 and some variable topics courses such as courses numbered 395. Courses like these cannot be retaken to remove a prior attempt from GPA calculations.

No student shall be permitted to retake a course when a course on a more advanced level involving mastery of material covered in the lower course has subsequently been completed. If a student feels that individual circumstances warrant such a retake, the Academic Standing Committee (ASC) may be petitioned for permission to do so. The petition must be supported by the chair of the department concerned and by the student's adviser.

Courses may not be retaken S/Cr/NC unless they were originally given only on a S/Cr/NC basis.

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## **Satisfactory/Credit/No Credit (S/Cr/NC or "scrunch" option)**

In order to encourage exploration into unfamiliar, risky areas of the

curriculum, Carleton offers students the option to take courses under the S/Cr/NC option. S/Cr/NC grades have no grade point value and do not count toward student GPA. A continuing student may elect to take up to six credits per term on a S/Cr/NC basis with a maximum total of 30 such credits being allowed during the student's four years at Carleton. The limits of six and 30 credits do not include mandatory S/Cr/NC courses. The grade of S means the equivalent of at least C- work; Cr means D+, D, or D- work; NC means F work.

Students may declare up to six credits per term as elective S/Cr/NC by completing and submitting a S/Cr/NC form, which is available from the registrar's office. The form requires both the student's and the instructor's signature and must be submitted by 5:00 p.m. on the seventh Friday of the term for ten-week courses, the third Friday of the term for first five-week courses, and the eighth Friday of the term for second five-week courses.

Note that for a course to count toward the major, it cannot be taken on an elective S/Cr/NC basis. Departments may make exceptions for extra-departmental courses if appropriate. Courses taken to fulfill specific college graduation requirements (e.g., general education and writing and language proficiency) must be passed with a grade of S or C- or better.

Students considering a S/Cr/NC option should discuss the choice with their advisers. Those contemplating graduate school should be aware that some graduate schools compute S (satisfactory) grades into a GPA as the lowest possible letter grade they might represent and some schools compute NC (no-credit) grades as F grades; some graduate schools look askance at more than a few ungraded courses on a transcript. The Academic Standing Committee (ASC) will not consider petitions to change a grade to or from the S/Cr/NC option.

Courses may not be retaken S/Cr/NC unless they were originally given only on a S/Cr/NC basis.

If the professor wishes to grade all students on a S/Cr/NC basis, prior approval of the associate dean of the college is required. An independent study may be graded on a S/Cr/NC basis at the option of the student or the instructor; in the latter case, the credits are not charged toward the 30-credit maximum. The grading method for such a course must be designated on the independent study form, signed by the instructor.

The registrar cannot verify the exact letter grade represented by "S."

See also [concentrations](#), [drop/add](#), and [major field requirements](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Senior Integrative Exercise (Comps)

The College requires that each major include a capstone experience. It is the prerogative of individual departments and programs that offer majors to determine how many credits to award in connection with its senior capstone experience, within the following parameters:

1. All departments and programs offering a major shall have at least one capstone course numbered 400, which is graded Satisfactory (S), No Credit (NC) and cannot be dropped. When this course is passed with distinction, a note to that effect is posted to the transcript. (All other work required for a major must earn a grade of C- or better.)
2. The senior integrative exercise as a whole (400 plus any additional required work related to the senior capstone experience) shall be no fewer than three credits and no more than 15 credits. These courses cannot be dropped after the drop/add deadline and can only be dropped if the student no longer plans to pursue that major (in the case of a double major).
3. The senior integrative exercise must require no more than three credits of work during the final term of the senior year.
4. The senior integrative exercise must require no more than 12 credits of work within a single term.
5. The maximum of 15 credits is exclusive of other work (e.g., independent study or off-campus study) that may be related to, but not required for, a student's senior capstone project.
6. Students are expected to register for work related to the senior integrative exercise in the terms in which that work is undertaken.
7. All work required for the senior integrative exercise should normally be completed before May 15 of the senior year.
8. If the senior integrative exercise extends over more than one term, normally students shall receive a grade at the conclusion of each term for work completed to that point or, in the absence of a formal grade, students shall receive feedback on their work to that point.

See also [double major](#).

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For [Faculty](#), [Students](#)

Maintained by Dean of the College Office

## Senior Residency

Students are expected to spend a minimum of two years on campus, one of which must be the senior year or last three academic terms. Students requesting approval of non-Carleton off-campus study or leave of absence for any part of the senior year may be denied approval if major department programs require their presence on campus.

See also [academic progress](#) and [off-campus study](#)

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Special Major

A student seeking a major not offered in the College's established curriculum may propose a self-designed Special Major for approval by the Academic Standing Committee (ASC). The ASC expects any such petitions to be filed during the sixth term of one's academic career. All special majors involve close consultation with two faculty advisers. Normally special majors combine the elements of two disciplines. If the selection of courses from one of the disciplines differs from a standard major by only two or three courses, the special major is not allowed. Off-campus credit will not be allowed to contribute toward completion of a special major if there is only one Carleton professor on staff in the proposed area of study. Generally, no more than 18 off-campus credits are allowed for the special major. Students requesting to have both a regular major and a special major should understand that typically no course overlap is allowed between the two proposed courses of study. Double special majors will not be approved.

Students who are thinking about designing a major, should talk with others who have designed their own majors, discuss their plans with faculty members familiar with the relevant fields of study, and consult with an associate dean of students. [Forms](#) for petitioning for a special major can be obtained from the Office of the Associate Dean of Students. Special major programs must include at least three courses at the 300-level or equivalent in addition to the senior integrative exercise, no more than three courses at the 100-level or equivalent, and no more than two independent studies. At least one course addressing methodology or theory must be included in the major program; if such a course is unavailable in the appropriate department, then method/theory of the field must be an explicit part of the senior integrative exercise process. A student's grade-point average is a factor which the ASC will consider during its deliberations; the ASC views GPA as one indicator of a student's ability to think and work independently,

an ability which would be further tested by the independent nature of the special major comps process. Once the ASC has approved a special major, modifications to the program must be approved by the ASC.

A grade of C- or better is necessary in all courses counting toward the special major; these courses cannot be taken on a S/Cr/NC basis.

See also [major field requirements](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Special Students

A person enrolled in a course or courses but not admitted by the admissions office and not following a degree program is designated a "special student."

Special students (senior Northfield High School Honors Program students, faculty spouses, staff members and spouses) must secure permission of the Registrar and register with the Office of the Registrar *after* fully matriculated students have registered, usually during the first two weeks of the term. The signature and permission of the instructor should be obtained after the registrar has checked the class list for available spaces in the course.

Most special students pay the same tuition as all undergraduates (\$818 per credit, or \$4,908 for one six-credit course in 2012-13), unless they are granted partial or full tuition remission through the College's fringe benefit program. All special students must pay for any special course fees. Carleton graduates of the Class of 2007 or earlier may enroll for credit in one course per term at the alumni rate of one-sixth course tuition (i.e., \$818 per six-credit course in 2012-13). Special students are not eligible for financial aid or for independent study.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Spring Break Credit

The Education and Curriculum Committee affirms that spring break is not a time to allow academic credit, but that the Academic Standing Committee (ASC) has the power to grant minimal academic credit for work done during the break under extraordinary circumstances. The circumstances under question must be beyond the student's control. Spring break independent study work must be completed and submitted no later than the first day of spring term.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## St. Olaf Courses

A cooperative arrangement between St. Olaf and Carleton permits some inter-registration. A maximum of one course per semester may be taken at St. Olaf when an equivalent course is not offered at Carleton. Carleton students may not register for a St. Olaf interim course. In addition, independent study is not an option under the inter-registration agreement.

Carleton students registering for these courses should observe the St. Olaf drop/add deadlines indicated on the inter-registration form and note that they are subject to a fee for late or incorrect inter-registrations.

Registration is accomplished by means of a form obtained from the Carleton Registrar's Office. Permission of the instructors, the chairs of the departments, the adviser, and the registrars of both colleges is required. St. Olaf credits count toward the total credit load for the term and grades obtained are used in the calculation of grade point averages. Carleton students are not allowed to participate in Carleton/St. Olaf inter-registration while on leave.

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Summer Independent Study

Summer reading and other summer projects undertaken for credit under the supervision of a faculty member but not assigned as part of a course are considered to be independent study. A student planning to do summer independent study must submit an application approved by the supervising instructor to the Office of the Registrar before the end of spring term. If the course is to be taken S/Cr/NC, this must be stated on the form and signed by the supervising instructor. There is a charge for summer independent study, and these charges are added to the student's account by the Business Office when it is notified by the registrar's office of the completion of the course (see [Tuition Charges-Special Fees](#)). Students who have participated in commencement with an asterisk may not register for summer independent study since they have completed their regular work at Carleton.

In all cases, the two-week period for drop/add shall begin with the last day of the spring examination period. Summer Independent Study may not be dropped or opted S/Cr/NC after 4:30 p.m. on the seventh Friday following

the last day of the spring examination period. Other rules concerning drop/add also apply to Summer Independent Study.

Summer work must be completed and submitted no later than the first day of fall term.

See also [directed reading](#), [drop/add](#), [independent study/reading/ research](#), and [s/cr/nc option](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Summer Study at Other Institutions

While academic work taken at other institutions during a summer or winter vacation may supplement a student's program at Carleton, such course work is not usually granted Carleton credit and therefore does not appear on the student's Carleton transcript. Students wanting Carleton credit for courses taken elsewhere while they are enrolled Carleton students must petition the Academic Standing Committee (ASC) in advance for approval of credit using the petition form available in the Office of the Dean of Students. Summer off-campus study programs (as distinguished from summer school courses) must be petitioned for through Off-Campus Studies.

Credit for summer study will usually be approved under the following circumstances:

1. when the student is deficient in either credits or requirements and the ASC has recommended or suggested it;
2. when the program (as distinguished from summer school courses) is among the off-campus study programs Carleton approves, e.g., summer field courses;
3. when it is an OCS approved language program offered in a foreign university or through a domestic post-secondary institution in a foreign country. Students can receive foreign language credit for study at domestic institutions only when deficient in credit and with permission of the ASC.

Credit will occasionally be given for work done under the following circumstances:

1. when the student must take a published departmental requirement and cannot do so at Carleton because of unusual circumstances. Usually, the ASC would expect the student to have planned the program in such a way that an exception would not have to be made.

These kinds of exceptions should be rare, but they are likely to arise because students are encouraged to take part in off-campus programs or because students are off-phase in progress toward graduation;

2. when a student misses a required course because of illness or late commitment to a major makes it difficult (or impossible) to fulfill the requirement otherwise.

Credit will not be given:

1. when the student could take the required course at Carleton. Planning to take a course not offered at Carleton is not sufficient basis for approval of credit;
2. when the student has already earned equivalent credit at Carleton;
3. for the student's convenience.

The petition form must include a statement of the student's reasons for wanting Carleton credit for summer study, the name of the institution, the course title and number, and a brief description including the number of credits for each course. It will also include the adviser's signature plus the written approval of a faculty member of the appropriate Carleton academic department. The Carleton faculty member may also, while approving the course, specify that credit will be granted only upon special examination or other evaluation criteria after the course has been completed. Although in all cases department approval of the course is necessary, the final approval of credit will be determined by the ASC.

**The ASC petition should be submitted not later than May 15.** In extraordinary circumstances, departmental approval may be sought after the courses are taken, but prior approval is strongly recommended. (For study classified as a program or for summer courses at an institution outside the United States, the regular forms for petition for off-campus study should be used.)

Summer school credits that are accepted for Carleton credits will be counted as off-campus credits and will be part of the maximum 54 off-campus credits a student is permitted to apply toward the Carleton degree.

Determination of the amount of transfer credit is established by the Registrar. No credits are transferred for work in which a grade below "C-" is earned (approved non-Carleton OCS credit excepted). Also, no credits are transferred for work deemed to be equivalent to credits already earned at Carleton. The Academic Standing Committee (ASC) must approve all off-campus study for Carleton credit.

See also [off-campus study](#) and [transfer of credits](#).



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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Transcripts

***Official transcripts are released only with signed authorization of the individual student.***

Requests for transcripts must be submitted in writing to the Office of the Registrar using forms available in the registrar's office or via the [Transcript Request form](#) on the Hub. There is no charge for processing transcripts. Forms are available in the Registrar's Office. Allow five working days for processing any transcript request. Unofficial transcripts may be reviewed and printed online by currently enrolled students.

Transcripts will not be released until the student has cleared financial obligations with the Business Office.

Honors indicated on the transcript are the following:

- Latin honors: summa cum laude, magna cum laude, cum laude
- Dean's List (by year)
- Distinction in Major Department
- Distinction in Senior Integrative Exercise
- Honors in Independent Study
- Honors in Music
- Certificate of Advanced Study in Foreign Language and Literature and
- Foreign Language and Area Studies
- Phi Beta Kappa
- Sigma Xi
- Mortar Board

See also [transfer of credits](#) and [records of academic work](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Transfer of Credits

Carleton transfers credit from other institutions only in rare situations. An official transcript from the issuing institution must be received by the Office

of the Registrar before any academic work done elsewhere may be accepted for Carleton credit. An official transcript is one that has been authenticated by the issuing institution, usually by applying the official seal to the copy of the academic record along with a facsimile of the signature of the registrar or recorder, or by recognized authentication delivery methods in the case of electronic transcripts. The transcript must be mailed directly to the Carleton College Office of the Registrar by the issuing institution.

A matriculated student may apply toward the Carleton degree a total of 54 credits earned while off campus (Carleton faculty-led off-campus seminars are excluded from the 54-credit maximum) unless, as in the case of certain transfer students, this would result in a total number of transfer credits exceeding the 102 overall maximum.

Off-campus credits may be earned in any combination of the following:

1. On non-Carleton, nonaffiliated programs approved by the Off-Campus Studies Committee.
2. Approved summer study at other institutions.

Students who have received college credit from any other institution will be required to forward a transcript for each school attended, as well as the Carleton transcript, if applying to a graduate school or to graduate school service organizations (e.g., the Law School Data Assembly Service). The registrar's office does not record such work on the Carleton transcript except in the case of transfer credit.

For information concerning prior credits and their acceptance toward the degree, see the [Academic Catalog](#) or the Office of the Registrar.

See also [advanced placement](#), [off-campus study](#), [summer study at other institutions](#), [transcripts](#), and [transfer students](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Transfer Students

For transfer students, a maximum of 102 credits may be transferred and applied to the requirements of the Carleton degree. Grades for transferred courses are not posted on the Carleton transcript. Students must spend at least two years (six terms) in residence, including the senior year (last three terms).

See also [transfer of credits](#) and [senior residency](#).

For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Tuition Charges for 2012-2013

Tuition is charged as part of the comprehensive fee, which is regarded as an annual charge rather than the sum of charges for each term. The 2012-2013 fee totals \$55,998 allocated as follows:

- Tuition: \$44,184
- Room: 6,069
- Board: 5,484
- Activity Fee: 261  
(View the [refund policy](#).)
- Special Fees\*
  1. For Special Students, the tuition fee is \$4,908 for one six-credit course.
  2. Off-Campus Independent Study up to six credits (including summer, winter, and spring break):
    - 1-2 credits: 1/6 of Course Tuition = \$818
    - 3-4 credits: 1/3 of Course Tuition = 1,636
    - 5-6 credits: 1/2 of Course Tuition = 2,454
  3. Independent Reading Course fees up to six credits are charged at the same variable rate as Off-Campus Independent Study.

\*Note: Special fees for course work done in the summer of 2013 will be charged at the 2013-2014 rates which have not yet been established.

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For [Faculty](#), [Families](#), [Students](#)

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Maintained by Business Office

## Winter Break Credit

Because of the extended winter break period, it is feasible to pursue some studies for up to six credits through Independent Study. (Career Exploration programs receive no credit.) There is a charge. To register for Independent Study, forms must be submitted to the Office of the Registrar by the end of the fall examination period. In all cases, the two-week period for drop/add shall begin with the last day of the fall examination period. Winter break credits may not be dropped or opted S/Cr/NC after 5:00 p.m. on the third Friday following the last day of the fall examination period. Winter break field

trips are attached to winter term courses that may not be dropped without ASC approval. Students must be fully registered for winter term, including the field trip related course, prior to leaving on a winter break field trip. Other rules concerning drop/add and S/Cr/NC will apply to winter break credit. Winter break independent study work must be completed and submitted no later than the first day of winter term.

See also [drop/add](#), [independent study/reading/research](#), [S/Cr/NC option](#), [spring break credit](#), and [summer independent study](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Withdrawal From the College

### Withdrawal After a Term:

Students may withdraw from the College after any term. Written notification must be given to the Office of the Dean of Students, and this office will advise students on procedures for withdrawal. Readmission requests should also be submitted to this office.

### Suspension or Dismissal for Insufficient Academic Progress

The College may suspend or dismiss a student for insufficient academic progress at the end of any term if, in the judgment of the Academic Standing Committee (ASC), his or her cumulative record indicates an inability to fulfill college requirements. Students whose record indicates a precipitous decline may also be suspended. The suspended student will be required to remain out for at least two terms and fulfill the requirements for readmission set by the ASC. The dismissed student (typically a student who has had a prior academic suspension) is normally not considered eligible for readmission.

### Withdrawal During a Term/Term Amnesty

A student may petition the ASC to withdraw during an academic term when it seems that staying at Carleton would be neither productive nor worthwhile. In this case, the student's transcript will indicate that he or she withdrew during the term, along with the date of withdrawal. The term would not count as one of the 12 terms allowed for graduation (although it will use one term of allotted financial aid monies). Students so withdrawing are generally required to be away from Carleton for a minimum of two terms before readmission will be considered. Requirements for readmission would

be determined by the ASC. Students considering this option should consult with their class dean.

Students who withdraw without penalty will be billed for the appropriate portion of their comprehensive fee. Students eligible for financial aid will have the appropriate portion of their financial aid applied to their account and, as such, will use one of their 12 terms of financial aid eligibility.

See also [academic progress](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Writing Requirement

Students are required to successfully complete with a grade of C- or better: 1) the A&I seminar (WR1), 2) six credits of additional coursework designated WR2, and 3) a writing portfolio to be reviewed by faculty after the third term and no later than the seventh week of the sixth term.

Students who fail to turn in a portfolio by the deadline will not be allowed to register for the next term until the portfolio is reviewed.

Faculty and staff members review portfolios and rate them as either exemplary, passing, or in need of more work.

[Click here](#) to view the requirements.

Faculty and staff members review portfolios and rate them as either exemplary, passing, or in need of more work.

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Written Evaluation of Course Work

At the end of any course, a student may request a written evaluation of his or her work to supplement the letter grade. If that course has fewer than 20 students, the professor must honor the request. If the course has more than 20 students, the professor may choose to give a written evaluation but is not obligated to do so. The evaluation goes to the student only; no copy is filed with any College office.

See also [transcripts](#).

For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 23 August 2012.

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**Campus**  
HandbookStudent  
HandbookFaculty  
HandbookStaff  
HandbookAcademic  
Regulations &  
Procedures**Buildings &  
Grounds**College  
Governance

Communications

Community

Employment &  
Benefits

Events

Faculty  
Appointments

Financial

Health &amp; Safety

Housing &  
Residential LivingInformation  
Technology,  
Documents, &  
Records

Research

Travel &  
Transportation

# Buildings & Grounds

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.


### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.

 [Text Only/ Printer-Friendly](#)

- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

## II. Regulations

The provisions regulating student conduct in the *Community Standards Policy* apply. The following regulations apply to alcohol and other drugs:

1. Notwithstanding this or any other College regulation or policy, the provisions of Northfield city ordinances and laws of Minnesota and the United States including the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.
2. The College prohibits the unlawful possession, use, and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. (see also [Smoking Policy](#))
3. The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia, bongos, pipes, drugs, kegs, beer bongos, etc. Once confiscated, the items will not be returned. Persons under 21 years of age are prohibited from drinking alcoholic beverages. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
4. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
5. All kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol are allowed on campus **only** if the following two criteria are met: 1) the event is registered in advance



through the Social Event Registration process through either Student Activities or Residential Life, and 2) the alcohol is served by a College approved licensed third party vendor.

6. No kegs or common containers of alcohol are allowed in private residential spaces (village apartments, residence hall rooms, floor lounges, etc.)
7. Hard alcohol is allowed at registered events, but must be approved and served by a College approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
8. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
9. Public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Office of Residential Life (for events in residences) or the Student Activities Office (for all other events). A full description of the regulations and responsibilities to which event sponsors are subject is found on the following websites:

Residential Life -

<https://apps.carleton.edu/student/housing/forms/> and/or

Student Activities Office -

<https://apps.carleton.edu/campus/campact/planninganevent/eventregistration/>

10. The College recognizes the disruptive effects that alcohol and other drugs can have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:
  - a. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
  - b. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.
11. Small gatherings in private residential rooms need not be

registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.

12. The sale of alcohol is permitted in the Cave as determined by the management, within the context of local and state laws.

13. Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students, (and/or his/her designee) has the authority to remove a student from the program under these circumstances.

14. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bong, and similar behaviors are prohibited.

15. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.

16. Social Host Liability: Anyone over 21 who knowingly serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.

17. Social Host Ordinance - City of Northfield (enacted May 2011)

The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.

Reasonable Steps May Include:

- a) Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
- b) Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
- c) Checking identification of the attendees of the gathering to

determine age; or

d) Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.

### III. **Sanctions and Responsive Action**

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines, community services, and/or evaluation, conducted on or off-campus.

2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;

b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.

c. Any violations of this policy by students, including violations of the “Social Event Registration Guidelines,” will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.

d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

### IV. **Resources**

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080

2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-800-554-6931
- Personnel Services: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities:

<http://ricecountychc.com/resources/>

### Endnote

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must

prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001.  
Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[A Matter of Facts](#) (8.7 MB PDF)

(Available by permission from the [Minnesota Prevention Resource Center](#))

- Risks Associated with Substance Use
- Health Risks by Drug Category
- Digest of select Minnesota Controlled Substances and Tobacco Laws: Crimes and Penalties
- Selected Minnesota Alcohol Laws: Crimes and Penalties
- Freedom to Breathe Act Categories of Drugs
- Selected Federal Laws: Crimes and Penalties



*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Animals on Campus

**Definition:** Animal--for these purposes, any species that is not human.

**Applicable Public Law.** Any person bringing an animal(s) onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98.

**Animals in Buildings.** No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of College departments. Faculty, staff, or students may not pet-sit or invite an animal into College housing. The following are exempt from this policy because of their required long-term residential nature: Nutting House, Headley House, Headley Cottage, Hilton House, Seecomb, and all Hall Director apartments, currently located in Severance, Burton, Musser, Nourse, Watson, Evans, Myers, Parish, Cassat, and Goodhue.

**Animals on the Grounds.** Animals must be leashed and under the direct control of their owner. Animals running freely will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code. Animals that are tied up and unattended are not under the direct control of their owner and will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal feces must be picked up and properly disposed of by the associated owner.

**Service Animals.** Service animals are legally defined (Americans With Disabilities Act) and are trained to meet disability-related needs of their handlers. Federal laws protect the rights of individuals with disabilities to be accompanied by their service animals in public places.

**Public Safety.** Persons who wish to report violations of this policy may call Carleton College Security at x4444.

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Last revised July 1, 2009

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Facilities

## **Climbing on College Buildings and Structures**

Climbing on any building or structure, including the Water Tower, scaffolding, roofs, scaling buildings, tall trees, etc. is prohibited. Violation of

this rule may result in a fine of up to \$250 or other disciplinary sanctions. This rule exists because a fall could cause severe injury or death. The College is not responsible for injuries resulting from climbing on college buildings or structures.

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For [Students](#)

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Maintained by Dean of Students

## **Contributing to Landscape Improvements and Maintenance**

The College welcomes gifts which will provide funding to improve or support the maintenance of the campus, Cowling Arboretum, and other College-owned land. Proposed gifts for those purposes will be subject to the following policies and procedures.

1. The College strongly encourages donors to support operations and capital improvements through undesignated gifts, affording the College the greatest flexibility in applying funds to objects of the greatest need.
2. Designated gifts are appropriate in some circumstances but should provide support for existing needs, plans, intentions or programs.
  - Will be improvements rather than maintenance.
  - Will have a special or unique character.
  - Will provide opportunity for identification or recognition, if desired.
  - Will not be feasible to execute within the annual budget because other improvement and maintenance needs, of necessity, must be given higher priority
3. Projects will be selected from the list of current needs prepared by the Facilities staff and Development office. This list will be updated annually and will include the approximate cost of each project. Items and projects included typically:
4. Initial contact with the College and all proposals must be made through the Development Office, which also will coordinate project selection and gift arrangements. The Development Office will consult with the Facilities staff to determine feasibility and for preparation of plans, designs and cost estimates.
5. Donations for special projects or objects should provide funding for the entire project, from planning through acquisition and construction

or installation, including the cost of professional consultation if required. Support of any kind that is to be provided by the College must be approved, in advance, in consultation with the affected departments.

6. Many projects will be subject to review and comment by the Campus Landscape Committee, acceptance of the Development Office in consultation with affected departments, and approval of the Vice President and Treasurer, the President of the College and the Board of Trustees.
7. The method and content of donor identification or inscription will be subject to approval of the Development Office in consultation with the Facilities Department, the President of the College and the Board of Trustees.
8. The College retains the right, subject to approval by the Trustees, to alter, relocate or remove any and all trees, plants or landscape objects as the future needs of the College may dictate.
9. No human remains in any form shall be buried or interred at any memorial site.

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*December 14, 1989 by the Board of Trustees of Carleton College*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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Maintained by Development

## **Cowling Arboretum**

### **Visiting the Arboretum**

The Cowling Arboretum is open to public use year round. Visitors to the Arboretum are welcome, both from the Carleton community and beyond. To maintain the Arboretum for all, please follow these rules:

1. Bikes are allowed only on specifically designated trails in the Upper Arboretum (east of Hwy 19); no bike use is allowed in the Lower Arboretum (west of Hwy 19). Limiting biking is necessary to prevent erosion, especially on trails in lower lying areas where ground is too soft to support tires. Bikes are restricted from the Lower Arboretum because of ongoing studies by Carleton faculty and students, and to ensure that the Lower Arboretum remains an area for low impact activities. Bikes are not allowed while the trails are being groomed for skiing.
2. No motorized vehicles allowed, except for maintenance or emergency.
3. Because of the lack of sanitary facilities, the Arboretum is not open for



camping.

4. Fires are not permitted except in specifically designated fire rings in the Upper Arboretum.
5. Dogs are welcome if on leash; all dog droppings must be removed.
6. Horses are not allowed anywhere in the Arboretum.
7. The Arboretum is a State Game Refuge, so there is no general hunting. [Archery hunting](#) is permitted by permit issued by Arboretum staff in order to control the deer population and reduce damage to trees and other vegetation.
8. Public use in the Lower Arboretum is restricted to the trails during the Archery Hunt between Thanksgiving and January 1st.

### **Athletic Events**

Organized athletic events, such as the running portion of a triathlon, require additional paperwork. Carleton student organizers should contact the Assistant Recreation Center Director for help with planning an event. Non-Carleton organizers of these events should contact the Campus Scheduling Coordinator in the Office of Campus Services.

### **Geocaching and Letterboxing**

Carleton welcomes geocaching and letterboxing both on campus and in the Arboretum. The following guidelines have been established to protect the natural features of the Arboretum, reduce user conflicts throughout College property, and provide a high quality experience for all visitors. Those searching for caches or letterboxes must follow campus and Arboretum visitor regulations. The following guidelines are in effect for anyone who wishes to place a cache or letterbox of any sort on College property.

1. Any placement of a cache or letterbox must receive prior approval from the Director of the Arboretum. You must provide the GPS coordinates (if a cache) as well as relative location to the nearest trail or building or features of the Arboretum (see campus and arboretum maps). Note that caches/letterboxes will not be permitted in areas with steep slopes, close to existing caches/letterboxes, where it may impact rare natural features or interfere with the College's athletic or other activities. Caches and letterboxes may not be placed in the vicinity of any college residence (dormitories or college-owned houses). You must state your caching/letterboxing alias as well as your real name and contact information, provide details on the cache/letterbox container you plan to use, the associated caching/letterboxing organization/web site, and any other specific information about the cache/letterbox. Caching/letterboxing websites

- are monitored by College personnel and any caches placed without authorization will be removed and an appropriate action taken.
2. Due to the growing popularity of these activities, no person will be permitted to place more than four caches on College property in order to allow others the ability to do so.
  3. Once a cache is approved, it may not be relocated more than a few feet without obtaining further permission from the Director of the Arboretum.
  4. Cache/letterboxing containers and contents may not be buried or submerged, but can be hidden in dry surface vegetation within reach of walkers on the ground without climbing or impacting the natural habitat. You may not significantly re-arrange vegetation or dead vegetative material to hide the cache/letterbox.
  5. Cache/letterboxing containers must be permanently labeled on the exterior to note that cache has been approved by Carleton College, the Arboretum phone number (507-222-4543) and the associated website/info source (e.g. "www.geocaching.com").
  6. Caches must be monitored and maintained by the placer to insure accuracy, safety, and working condition of the cache.
  7. Caches from organizations/websites that do not permit Carleton College to find and monitor a cache online will not be permitted (such as terracaching.com).
  8. Please consider noting on your web listing that the cache was approved by Carleton College.
  9. Carleton College accepts no responsibility or liability for any cache, and will not assist in the maintenance of a cache.

### **Group Use**

Group use of the Arboretum or McKnight Prairie is welcome, but groups of ten or more must register to avoid conflicts with other users and to protect natural resources. Class visits by K-12 or non-Carleton college age scholars, adult classes, athletic teams, recreational users, or scout troops are examples of group users who must register their visit. Group leaders should complete the group use registration form found on the [Arboretum website](#). Contact the Director of the Arboretum if you have questions about your group visit.

### **Research and Class Use Permits**

As an educational institution, Carleton College strongly encourages use of its lands for research, teaching, and student projects. To maintain natural areas for long-term use, it is necessary for projects to be carried out in ways

that minimize disturbance. It is also important for Arboretum staff to know where ongoing research projects are located so that routine management activities (burning, mowing, clearing brush, etc.) do not impact study areas.

A permit is required for research projects (including class exercises) in the Arboretum or McKnight Prairie that include any of the following:

- flags or tags that will remain when the researcher is not present at the study site,
- collection of plants or plant parts, including seeds or tree cores,
- trapping or tagging of animals,
- introduction of living organisms,
- significant soil disturbance.

### **Weddings, Picnics, and Other Gatherings**

Several outdoor spaces in the Arboretum or adjacent to it such as the Council Ring, Hill of Three Oaks, or Monument Hill may be reserved for non-Carleton group use such as picnics, family reunions, or weddings. These reservations may not be made during the academic term. Reservations and paperwork are handled through the Office of Campus Services or may be found on the [Campus Scheduling website](#).

For additional questions or information about Cowling Arboretum, please see the [Arboretum website](#) or contact the Director of the Arboretum, [Nancy Braker](#), at 501-222-4543.

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Last revised April 17, 2013

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by The Cowling Arboretum

## **Drug-Free Workplace**

### **Introduction**

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the

College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### **Policy Requirements**

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### **Conditions**

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace by college employees is absolutely prohibited.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### **Definitions**

#### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

#### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

#### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

### **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation

program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

### **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

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Last revised April 8, 1989

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## **Inline Skating**

The College encourages inline skating, roller skating and skate boarding outdoors under conditions where these activities are safe for the participant, other pedestrians, other activities and College property. As is the case with bicycles and all other vehicles, safety, courtesy and consideration of others must always be foremost in the minds of persons using such equipment.

### **Outdoors**

Because the College is concerned about safety and bears some responsibility for the use of campus property, Security Services is specifically directed, and all others are encouraged, to look out for disruptive or unsafe inline skating, roller skating and skate boarding and to request participants cease the activity or report such instances to Security Services. Recurring problems may result in designating and posting certain areas as off limits to such equipment.

### **Indoors**

Inline skating, roller skating and skate boarding indoors is disruptive, may be dangerous, and may cause damage in College buildings. Such activities are categorically inappropriate within all Carleton buildings. Those wearing inline

and roller skates must remove them upon entering any Carleton building. Instance of noncompliance will be subject to disciplinary action in accordance with the Student Judicial Code for students and in an appropriate manner as circumstances dictate for all others.

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*Approved on April 22, 2003.*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Students](#)

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Maintained by Dean of Students

## Smoking

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke.

The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

## Public Spaces and Private Offices

Smoking is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill "Great Space" and The Cave. Smoking is also prohibited in private offices. There are designated smoking areas outdoors.

## Residential Living Spaces

Smoking is prohibited in all residential facilities including student rooms, restrooms, lounges, hallways, and stairwells.

*All entrances, exits, ground floor windows, and areas around air intake vents of campus buildings are to be smoke free.* To prevent the problem of building entryways from becoming smoke-filled, those who smoke must be at least 50 feet from the entrance. This policy is concurrent with Minnesota law.

## Student Violations

Students who violate any aspect of the smoking policy will receive a

disciplinary sanction which may include removal from residential living or suspension from the college and a fine up to \$200.

Minimum fines may include:

- First Violation: written warning
- Second violation: \$50 fine/per person and residential life probation
- Third violation: \$200 fine/per person and possible removal from residential living

Any student found in violation of the [Alcohol and Other Drugs Policy](#) (e.g., marijuana) may also be found in violation of the smoking policy.

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*Smoking Policy adopted February 1996.*

*Approved by College Council, May 2002. Approved by the Executive Committee of the Board of Trustees June 2002.*

*Revision approved by College Council February 23, 2004. Approved by the Board of Trustees June 2004.*

*Reviewed and updated August 2011.*

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Last revised August 1, 2011

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Student Motor Vehicles and Parking

It is the responsibility of all students who bring a motor vehicle to Northfield to be aware of the motor vehicle policies and regulations below.

### Registration

**All student motor vehicles, including students living off-off (Northfield Option), are required to be registered with Security Services.**

Applications may be submitted via the [Online Vehicle Registration Form](#), or may be picked up in the Security Services office, Sayles-Hill 205.

### Regulations

- **The MOTOR VEHICLE POLICY shall be in effect on the first day of classes Fall Term through the Final Exam Spring term, including midterm breaks, winter and spring vacation/break.**

While attending Carleton College, students are not permitted to drive or possess motor vehicles (cars, trucks, motorcycles, and other such licensable motor vehicles) within the city limits of Northfield except as outlined in the policy.

- A student desiring to drive or park on campus for any other reason must first obtain permission from the Administrator of the Student Motor Vehicle Policy. The term “campus” is used as defined in Article I of the Student Judicial Code.
- **Any student desiring to maintain a motor vehicle in Northfield after the first day of classes must obtain permission to do so. Unauthorized student vehicles parked on campus or in Northfield after the first day of classes of each term will be subject to a fine, autoclamp, or towing at the owner's expense.** Applications for such approval must be submitted to the Administrator of the Student Motor Vehicle Policy. Students granted permission to keep a vehicle in Northfield will be issued a parking permit. The parking permit must be affixed to the rear bumper of the vehicle. Applications for Fall Term must be submitted and approved prior to the first day of classes, and applications to maintain a vehicle in Northfield for either Winter or Spring Term must be submitted prior to the end of the previous term. Those students whose applications are received after the available spaces have been assigned will be asked to remove their motor vehicles from Northfield. For this reason it is required that students obtain permission before they bring motor vehicles to Northfield.
- A student may request permission to drive a vehicle to Northfield and to keep it in Recreation Center parking lot for the duration of the term. An off-street parking space will be assigned on a first come, first served basis and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a vehicle in Northfield or a fine. Once parking stalls reserved for student use are assigned to capacity, students will be responsible for securing their own off-street, off-campus parking space. No student enrolled at Carleton will be permitted to park a motor vehicle on the city streets, between the hours of 2 a.m. and 6 a.m.
- A fee of \$75 plus tax per term will be charged for storage or parking of a motor vehicle on campus. If students have arranged to store vehicles elsewhere and can provide their own off-street parking space (e.g., renting a garage), they may do so; however, the vehicle must still be registered with Security Services. A student may register their vehicle for the entire academic year during the Fall term at a fee of \$200 plus tax. If registering for the Winter and Spring term only, the



fee is \$125 plus tax.

- Students of any of the following categories may apply to the Administrator of the Student Motor Vehicle Policy for a Inner Campus parking spot for one motor vehicle:
  - students living in College-owned housing who have one-half or less of a board contract with the College (limit of one vehicle per house or living unit). An off-street parking space will be assigned if available and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a motor vehicle in Northfield or a fine;
  - students showing proof of employment or internship during the term and demonstrating that a vehicle is required a) to get to and from the place of employment, internship or b) in the performance of the student's duties on behalf of the employer. An off-street parking space will be assigned if available and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a motor vehicle in Northfield or a fine.
- Any student will be permitted to drive a vehicle for any purpose except they may not be driven or parked on campus other than in their assigned parking lot. No student enrolled at Carleton will be permitted to park their vehicle overnight on a city street. Students who use personal vehicles for College business are advised that by law every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance. Under the financial responsibility law for the State of Minnesota, an owner is legally responsible for his or her own automobile when the car is being used by a second party. He or she becomes liable for any negligence of the driver of the car. For this reason we ask that all faculty, staff, and students who use or loan their cars for authorized college trips be sure that satisfactory limits of insurance for bodily injury, property damage, and medical payments are carried.
- Students may drive commercially rented cars for personal use, provided that they drive them as directly and expeditiously as possible from the rental firm to a point outside of Northfield, and, upon returning to Northfield, drive them as directly and expeditiously as possible back to the rental firm.
- Students will also be permitted to drive their employer's vehicle in the performance of their duties on behalf of the employer.

- Students possessing a motor vehicle for a period of up to two weeks must obtain a temporary parking permit from the Administrator of the Student Motor Vehicle Policy. Vehicles issued a temporary permit must park in a lot assigned by the Administrator of the Student Motor Vehicle Policy. There is no fee for a temporary parking permit. Students are limited to one two week temporary parking permit per academic term.
- Students leaving their vehicle on campus during Winter/Summer vacation must obtain permission and parking assignment from the Administrator of the Student Motor Vehicle Policy. Failure to obtain such permission may result in the owner being responsible for substantial towing and storage fees.
- Students living in non-College housing off campus who will provide their own off-street parking space (vehicle registration for this category is valid for the entire academic year and there is no parking registration fee assessed).

## Where to Park

- STUDENT OWNED/OPERATED VEHICLES PARKED ANYWHERE OTHER THAN THEIR ASSIGNED PARKING LOT WILL BE SUBJECT TO FINE/TOW! **Please note:** If you have been assigned to the **Townhouse parking lot**, you **must** park in the south lot. Do not park in the north stadium lot. Violators will be subject to ticket/tow.
- **City of Northfield parking regulations** state (1) no person shall park a vehicle in one space upon a street or municipally owned parking area for a period exceeding 48 hours, and (2) there shall be no parking on city streets between the hours of 2 a.m. and 6 a.m. from November 15 until March 15.
- Students living in non-college owned housing must provide their own off street parking space. **Vehicles cannot be stored or parked on a city street between the hours of 2 a.m. and 6 a.m.**

## Violations and Penalties

Any motor vehicle maintained in Northfield which has not been registered with the Administrator of the Student Motor Vehicle Policy constitutes an unregistered vehicle. The following system of penalties will be imposed upon offenders:

- possession in Northfield of an unregistered vehicle: first offense, \$50 fine; second offense, \$75 fine; subsequent offenses, \$100 fine, autoclamp, tow, or loss of parking privileges on campus;

- parking on a city street between 2 a.m. and 6 a.m. or unauthorized parking of a registered vehicle on campus: first offense, \$10 fine; second offense, \$20; subsequent offenses, \$40 fine, tow, or loss of parking privileges on campus; parking in a handicapped stall, up to \$200 fine and/or tow;
- parking in a fire lane, \$25 fine and/or tow;
- all other violations of Carleton College parking regulations, \$10 fine and/or tow;
- careless or reckless driving on any campus road or walkway; first offense, \$20 fine; second offense, \$40 fine; third offense, loss of right to operate a motor vehicle on campus for a period of one year.

In addition, offenders will be responsible for all fees incurred in determining ownership of a motor vehicle.

## Reporting Possible Violations

All complaints against students concerning Student Motor Vehicle Policy violations shall be submitted to the Administrator of that policy. Complaints may be filed by any member of the Carleton community, as well as by any resident of Northfield. Reports should include the following information if available: a description of the vehicle, its license number and state, the location, time and date of the alleged violation, and details concerning the nature of the incident. Security personnel shall file regular reports concerning the status of vehicles sighted on or adjacent to College property. These reports shall also include details of any unauthorized violations actually witnessed. Security personnel shall have the right to question any students concerning their relationship to a specific vehicle, should probable cause for suspicion of a violation exist.

## Processing of Reported Violations

In the case of unauthorized use or parking of the reported vehicle, the offender shall be issued a violation report.

In the case of a vehicle that is suspected of being maintained in Northfield and unregistered by a student, an inquiry shall be made to the state in which the vehicle is licensed to determine its owner.

- Should the vehicle be legally registered in that state to a Carleton student, said student shall be issued a violation report.
- Should the vehicle be legally registered in that state to a member of the immediate family of a Carleton student, and there exists substantial indication that the student is in possession of said vehicle

in Northfield (e.g., the vehicle is registered in New Jersey in a parent's name), the student shall be issued a violation report.

- A denial of possession in Northfield must be supported by a written statement from a third party who claims to have had the vehicle in his or her possession at the time of the alleged violation. If such information is received within five academic days, charges brought against the student may be dropped. Should the student fail to provide such information within this time limit, he or she shall be assumed to have had possession at the time of the reported violation.

## Parking Fine Payment and Appeal Procedure

- Fines imposed for violations of the Student Motor Vehicle Policy or Carleton College parking regulations will be due and payable in the Business Office or the Hub upon receipt by the student of a Violation Report.
- Any alleged violator may assert the existence of extenuating circumstances for a violation of the policy or that he or she can establish that he or she did not commit the alleged offense. (Ignorance of any part of the Policy will not be considered as a valid excuse for an offense.) Such assertion must be delivered in writing to the Administrator of the Student Motor Vehicle Policy within five academic days after delivery of the notification. The matter will be dismissed or sustained in accordance with Carleton College parking regulations. The student relinquishes this right if he or she fails to contact the Administrator of the Student Motor Vehicle Policy within the prescribed time period.
- When a violation is accompanied or characterized by other behavior such as careless driving, driving while under the influence of alcohol or other drugs, or other behavior in violation of the Student Judicial Code, the student may be charged with additional violations of the Student Judicial Code and/or Minnesota State Statutes.

## Notification

Notification to the student offender shall include all the information supplied on the violation report. Violation reports will normally be issued through the campus mail system.

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Last revised December 12, 2012

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For [Families](#), [New Students](#), [Prospective Students](#), [Students](#)

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Maintained by Security

# Unlawful Use of Drugs and Alcohol

## Introduction

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees. The College's failure to comply with the provisions in the Act would result in the immediate loss of our eligibility to receive all federal fundings and could require repayment, in full or in part, of any federal financial assistance previously awarded.

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

## Policy Requirements

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited.

## Legal Sanctions

More detailed descriptions of applicable local, state or federal laws for the unlawful possession or distribution of illicit drugs and alcohol are on reserve in the College Library. Some legal sanctions that could be imposed include:

Consumption of alcohol by a minor: up to a \$700 fine/up to 90 days in jail

Illegal sale of alcohol: up to a \$3,000 fine/up to 1 year in jail

Possession of a small amount of marijuana: up to a \$700 fine/up to 90 days in jail

Sale or possession of controlled substances, such as cocaine, hallucinogens, marijuana, etc.: up to a \$1,000,000 fine/up to 30 years in jail

## College Consequences

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an

appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

#### **Internal Sources**

##### **Students**

Dean of Students Office, ext. 4248 or 4075  
Residential Life, ext. 5465  
Student Health and Counseling Center, ext. 4080

##### **Faculty and Staff**

Dean of the College, ext. 4303  
Human Resources Office, ext. 7471  
Employee Assistance Program, 888-828-6025

#### **External Sources**

Alcoholics Anonymous: 507-645-6282  
Fairview Ridges Hospital: 612-892-2510  
Hazelden: 612-257-4010  
Minneapolis Psychiatric Institute: 612-863-5327  
Northfield Family Focus: 507-663-8882  
WomanSafe Center: 800-607-2330

### **Biennial Review**

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Workplace Safety

Carleton College is responsible for furnishing its employees a safe place of employment, free from hazards, causing or likely to cause, injury or serious physical harm. For the safety of its students, faculty, staff, and guests, Carleton will exercise its right to prohibit firearms on campus, including at all public events. Each employee has an obligation to comply with all safety and health standards, rules, regulations or orders issued by the College as well as those of the Federal Occupational Safety and Health Act. Working conditions judged to be unsafe should be immediately reported by the employee to his or her supervisor or department head, and the supervisor then is responsible for reporting the problem to the director of facilities for evaluation and, if needed, corrective action. Detailed provisions of the Act are available in the Facilities Management Office.

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Last revised September 25, 2003

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 10 August 2012.

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**Campus**  
HandbookStudent  
HandbookFaculty  
HandbookStaff  
HandbookAcademic  
Regulations &  
ProceduresBuildings &  
Grounds**College  
Governance**

Communications

Community

Employment &  
Benefits

Events

Faculty  
Appointments

Financial

Health &amp; Safety

Housing &  
Residential LivingInformation  
Technology,  
Documents, &  
Records

Research

Travel &  
Transportation


# College Governance

## Board of Trustees

The Board of Trustees, according to the College's Articles of Incorporation filed with the State of Minnesota on December 17, 1866, is responsible for the "perpetual existence" of Carleton College. Currently a group of approximately 40 men and women, alumni and non-alumni, it meets as a full Board on campus three times a year. Much of the work of the Board is done by ten standing committees. Individual trustees frequently participate in campus activities. The Board's principal duties:

1. It "oversees and approves the kind of education offered and makes certain that its quality meets the highest standards possible." The Board thus approves major policies and programs of the College.
2. Since the Board is responsible for the acquisition, conservation, and management of the College's funds and properties, it approves budgets, investments, fund raising goals, and plans for significant physical improvements.
3. It is ultimately responsible for the selection and replacement of the president of the College, although at Carleton faculty, staff, students and alumni traditionally play a part in presidential selection. The Board elects the chair, vice chairs, secretary, and treasurer and approves the granting of degrees, honorary degrees, and faculty tenure, promotion, and leaves of absence.
4. As a private, independent college, Carleton is governed by many State and Federal laws and regulations; its tax-exempt status and other conditions essential to its existence depend on compliance with these legal requirements. The trustees have ultimate legal accountability for the College's adherence to its legal responsibilities.
5. Individual trustees have an obligation to contribute in whatever way possible and appropriate to the promotion of the College's objectives. The trustees, who have obtained a wide range of professional,



 [Text Only/ Printer-Friendly](#)

business, and academic experience, serve both as advisors and as a bridge between Carleton and the wider society.

The Board of Trustees does not involve itself in the day-to-day functioning of the College, delegating its management to the president and his staff. They keep the Board abreast of the work of campus committees and of the College Council. The Board may act on Council decisions, although the Board need not respond to every decision taken by the Council. One Board member sits on Council as a non-voting observer. Notwithstanding the Board's practice of delegation, members do seek to maintain a "feel" for the College through association with faculty, students, and administrative staff.

Periodically trustee committees meet with campus groups. The Academic Affairs Committee regularly invites faculty members to its meetings. The Community Life and Concerns Committee serves as a point of liaison between the Board and students on campus. While groups of trustees may discuss particular issues brought to them by campus organizations, the Board as a whole will not normally issue official statements in response to questions or petitions arising independently of the governance system. The Board makes a practice of not concerning itself, as a Board, with issues that do not bear directly on its responsibilities for Carleton College. Official actions of the Board are usually reported to the community by the president of the college, or the secretary of the board, through the College Council, The Carletonian, or other appropriate form of announcement.

The Board elects its own members, who serve renewable four year terms. In addition there are also several special trustee categories.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Office of the President

## Bylaws of the Carleton College Faculty

The Bylaws of the Faculty describe the procedures by which the faculty fulfills its responsibility for formulating and implementing the educational policy of the College and its other responsibilities for working efficiently and effectively with other constituencies of the College. Authority and ultimate management of all operations of the College rest with the Carleton Board of Trustees, as indicated by Minnesota Statutes Section 317A.201. In its statement of Board responsibilities, the Carleton Board of Trustees has delegated responsibility for academic affairs to the President and the faculty.

### ARTICLE I

#### Membership on the Faculty

Definition: As stated in the *Faculty Handbook*, Carleton College "makes *regular* full- and part-time faculty appointments and promotions to the ranks

of professor, associate professor, assistant professor, and instructor; these may be with or without the possibility of tenure. It also makes *adjunct* appointments, without the possibility of tenure, to the ranks of instructor, lecturer, and senior lecturer.” The Carleton College Faculty consists of those persons, and only those persons, appointed or promoted to any of the ranks mentioned in that *Handbook* statement.

## **ARTICLE II**

### **Voting Rights**

A. The following persons are entitled to vote at faculty meetings and in campus mail and electronic faculty balloting:

1. regular full-time faculty members, whether they are teaching or not;
2. regular part-time faculty members, whether they are teaching or not;
3. during terms in which they are teaching on-campus at least half-time: adjunct faculty members, visiting faculty members, emeritus faculty members, and administrators.
4. As stated in *Robert’s Rules of Order*, the faculty member who presides over the faculty meeting shall vote only when that vote would make a difference in the result, i.e., to create or break a tie.

B. No proxy votes are allowed.

C. Unless otherwise noted, all votes are determined by “simple majority,” meaning the majority of votes cast, provided that any quorum requirement is satisfied.

## **ARTICLE III**

### **Officers of the Faculty**

A. President of the Faculty

The faculty shall elect a President of the Faculty, who shall be a regular tenured member of the faculty or one on continuing appointment in PEAR. The duties of the president of the faculty shall include (1) presiding at meetings of the faculty; (2) serving as an *ex officio* member, with vote, of the Faculty Affairs Committee; (3) preparing the agenda for faculty meetings; (4) at the invitation of the president of the College, serving as a member of the College’s Administrative Council; (5) facilitating communication between faculty members and others in various public and private matters; (6) serving as a representative of the faculty in various public and private venues; (7) serving to facilitate communication between the faculty and the Board of Trustees by attending trustee meetings with the privilege of the

floor but without vote.

The faculty shall elect the President of the Faculty to a three-year term by mail or electronic ballot majority vote during the Winter Term preceding the Fall-Term commencement of the term of office. Every regular faculty member who will be tenured or on continuing appointment in PEAR and on campus during all three terms of the first year in office is eligible to be elected President of the Faculty.

#### B. Secretary of the Faculty

The Faculty Affairs Committee shall appoint a Secretary of the Faculty, who shall record and publish the minutes of meetings of the faculty and preserve permanent copies of those minutes and other relevant documents distributed before or during faculty meetings.

#### C. Parliamentarian of the Faculty

The president of the faculty shall appoint a member of the faculty to serve as Parliamentarian of the Faculty during faculty meetings. The parliamentarian shall give interpretations of procedure when requested to do so by the presiding officer, or on his or her own volition. Any interpretation by the parliamentarian shall hold unless it is overruled by a two-thirds majority of those faculty members present and voting.

### **ARTICLE IV**

#### **Administrative Functions of the Faculty**

##### A. Adoption of Resolutions

The faculty shall be the final on-campus voting authority on all matters of educational policy. The faculty may adopt resolutions originating from other sources, such as its own and other College committees.

##### B. Maintenance of the *Faculty Handbook*

The faculty shall be the final on-campus authority for the content of the Faculty Handbook sections on "Appointment to the Faculty" and "Policies and Procedures Concerning Terms of Appointment and Tenure." All proposed changes to the content of the "Appointment to the Faculty" and "Policies and Procedures Concerning Terms of Appointment and Tenure" sections of the Faculty Handbook shall be presented to the faculty by the Faculty Affairs Committee.

### C. Faculty Meetings

At its meetings, the faculty hears reports and announcements from its committees and from representatives of other College constituencies, adopts resolutions, debates proposals and issues facing the College that affect educational policy or faculty life at the College, and may conduct elections (see section IV.D.4).

### D. Membership on Committees

The faculty's work is done principally through its own elected committees and through its elected and appointed representation on other College committees.

1. The faculty shall elect members to the Faculty Personnel Committee, the Education and Curriculum Committee, the Faculty Affairs Committee, the Faculty Grants Committee, the College Council, the Budget Committee, the Committee on Student Life, and the Faculty Judiciary Committee.
2. Through its Faculty Affairs Committee (FAC), the faculty shall appoint members to other standing College committees (including, but not limited to, the Committee on Honorary Degrees and the Academic Standing Committee) in a manner determined by the FAC.
3. The Faculty Affairs Committee may also appoint and the faculty may also elect committees and representatives to committees created for limited and clearly specified purposes not falling under the jurisdiction of standing committees.
4. The faculty delegates the method of election of faculty representatives to all committees to the Faculty Affairs Committee (FAC). Normally nominations and elections will be conducted on line, using a secure balloting system. The election administrator will be the chair of the FAC or, in her/his absence, another member of that committee. Only members of the FAC will have access to voting data. If the FAC decides that circumstances warrant, elections and/or nominations may be carried out at faculty meetings using paper ballots. In all cases the confidentiality of voters will be preserved to the fullest extent compatible with the election process. The totals in faculty elections are not made public.

## E. Honorary Degrees

Upon recommendation of its Committee on Honorary Degrees, the faculty shall recommend to the Executive Committee of the Board of Trustees candidates to be awarded honorary degrees.

1. Normally, a candidate recommended for an honorary master's or doctorate degree will have some connection with Carleton. However, one honorary degree each year may be awarded to an individual of exceptional merit who does not have a Carleton connection. Honorary master's and doctorate degrees will normally be awarded at Commencement and never *in absentia*.
2. The faculty may recommend that a student in good standing at the College who dies before graduation be awarded an honorary B.A. degree.
3. Faculty members will hold the names of persons recommended for honorary degrees in strictest confidence until the College has publicly announced these names.

## F. Bachelor of Arts Degrees

The faculty, through its Academic Standing Committee, shall consider all candidates for undergraduate degrees and recommend to the Board of Trustees all who have complied with the requirements of the College for their degrees.

### **ARTICLE V Faculty Meetings**

- A. Normally, the president of the faculty presides over meetings of the faculty. If the president is absent, the chair of the Faculty Affairs Committee presides. If that chair is also absent, the president's designee presides.
- B. Administrative officers may attend any faculty meeting with the privilege of the floor but with the privilege of voting only as stated in Article II.A.3. above. Student members of the Education and Curriculum Committee (ECC) may attend that part of a faculty meeting during which pending ECC business is discussed and voted upon, with the privileges of the floor but without vote. Other students may petition the ECC co-chairs for permission to attend that part of faculty meetings during which pending ECC business is discussed and voted upon, with privileges of the floor but without vote. Other persons may attend faculty meetings as guests at the discretion of the presiding officer.
- C. The faculty ordinarily meets at 4:30 p.m. on the first Monday of each month during the academic year, unless the first Monday falls within a

recognized vacation period. The president of the faculty may change the day and time of a faculty meeting, may call special faculty meetings, or may cancel any regularly scheduled faculty meeting, upon 24 hours prior notice. If one-tenth of the voting faculty requests by written petition that a special faculty meeting be held, or that a canceled meeting be reinstated, the president of the faculty shall call the meeting.

D. The president of the faculty may call special meetings of the faculty with as much advance notice as possible, but in no case in less than twenty-four hours. The call for a special meeting may be electronic (e.g. email) or both electronic and by campus mail and shall include a statement of the purpose of the meeting.

E. The president of the faculty shall give notice of a regular faculty meeting at least 24 hours in advance of the meeting. This notice shall include an agenda as prepared by the president of the faculty. It shall also include the minutes of the previous faculty meeting and supporting documents for items on the meeting agenda.

F. Any member of the faculty may request permission for any item to be placed on the agenda for a future meeting by making a written (including email) request to the president of the faculty.

G. The Faculty Affairs Committee may act for the faculty when immediate action is necessary and a meeting of the faculty inexpedient. Any such action is to be reported to the faculty promptly, and is to be considered the decision of the faculty unless the faculty acts by a simple majority to reverse it within ten days after such action.

H. No unannounced proposal may be voted on at a faculty meeting unless it is (1) of an emergency nature and put on the agenda by a unanimous vote; or (2) clearly germane or indispensable to a measure or matter already contained in the agenda for the meeting.

I. Faculty members of a College committee, task force, or working group may offer a motion to the faculty to ascertain the sense of the faculty on a matter under their group's consideration; but, the decision of the faculty on the motion is not binding upon the faculty members of that constituency.

J. Proposals for action at a regular faculty meeting shall ordinarily be circulated to members of the faculty and others who will attend the meeting at least 48 hours before the meeting at which they will be presented. In situations where such circulation would be undesirable (such as a proposed slate for recipients of honorary degrees), the president of the faculty is empowered to make an exception to this rule.

K. Ordinarily, proposals presented are passed by a simple majority vote. However, any faculty member may move for a 2/3 approval of any proposal. In order to be in force, this motion must be seconded and passed by a

simple majority.

L. Resolutions to the faculty from the Education and Curriculum Committee (ECC) shall be presented at two faculty meetings (they need not be successive meetings) and not voted upon at the first of these faculty meetings. Any ECC resolution amended on the floor of the faculty meeting must be returned to ECC for deliberation before it can be submitted to the faculty meeting for a vote; but, this requirement does not apply to minor changes in wording accepted by ECC members present at the faculty meeting.

M. During its meeting, the faculty may, by normal parliamentary procedure, postpone or table proposals.

N. Any faculty member wishing to make an announcement at a faculty meeting should contact the president of the faculty at least twenty-four hours before the meeting is to be held with a request and description of the proposed announcement. The faculty president retains discretion to permit or deny the proposed announcement.

O. Regular attendance at faculty meetings is important and encouraged. While such attendance is optional, participation in the academic governance of the College is a responsibility of each faculty member.

P. A presiding officer and one-fourth of the voting faculty shall constitute a quorum for a faculty meeting. In the absence of a quorum, the faculty at its meeting may hold discussions and hear reports and announcements, but the only business that may be conducted at the meeting is to take measures to obtain a quorum, to fix the time at which to adjourn, and to adjourn.

Q. Ordinarily, voting in faculty meetings shall be by voice vote. Upon request of any member of the faculty, a secret ballot shall be taken. Members of the Faculty Affairs Committee who are present at the meeting shall conduct this ballot.

R. When not inconsistent with these Bylaws, the latest edition of *Robert's Rules of Order* shall dictate the parliamentary procedures at faculty meetings.

S. It is the responsibility of individual members of the faculty to abide by the proposals adopted at a faculty meeting.

## **ARTICLE VI**

### **Elections and Appointments to Committees**

The Faculty Affairs Committee conducts all faculty elections and makes and monitors faculty appointments to all permanent and temporary College committees. The Faculty Affairs Committee (FAC) shall resolve all situations concerning elections and appointments that are not covered in this Article of the Bylaws.

## A. General Principles

1. Faculty members elected or appointed to a committee, except those serving in an *ex officio* capacity on that committee, shall be regular members of the faculty whose primary responsibility is not administrative.
2. Terms of service on a committee expire at the conclusion of an academic year, at which time newly elected or appointed members take office.
3. Ordinarily, faculty members are not expected to serve on more than one elected or appointed committee.
4. Normally, a faculty member on leave shall not serve on a College committee.
5. A faculty member elected or appointed to a committee will be expected to serve during the term of membership except for absences of at most one term per academic year. The FAC will make appointments, if the FAC decides it is necessary, to fill one-term faculty vacancies on committees.
6. A faculty member elected or appointed to a committee who takes a two-term or longer leave of absence from the committee in one academic year shall resign from the committee or (with approval of the FAC) take a leave from the committee.
7. The FAC shall conduct elections or make appointments, as it deems necessary, to fill unexpired terms and leaves of absence it approves in the midst of terms of service.
8. Faculty members in their first year of employment at the College shall not serve on any elected or appointed committee.
9. No faculty member may serve simultaneously on two elected standing committees, which are defined below in Article VI.B.1.
10. Generally speaking (with two exceptions to (b) below, in Articles VI.B.5. and VI.B.6. below), faculty members eligible for election or appointment to a standing committee for a given year are those regular faculty members who (a) will be on campus for at least two terms in that year and (b) are not currently serving on an elected standing committee other than the Faculty Judiciary Committee.
11. *Ex officio* members of a committee shall be full voting members of the committee.
12. A quorum for a committee meeting consists of a presiding officer plus one-half of the regular members of the committee.

## B. Elected Committees



1. The elected standing committees are the President of the Faculty, the Faculty Personnel Committee (FPC), the Education and Curriculum Committee (ECC), the Faculty Affairs Committee (FAC), the Faculty Grants Committee, the College Council, the Coordinator of Senior Faculty Development, the Budget Committee, the Committee on Student Life (CSL), and the Faculty Judiciary Committee (FJC).
2. The Faculty Curriculum and Planning Committee (FCPC) is defined as the dean of the college, an associate dean of the College, and the elected faculty members of the ECC.
3. As in Section IV.D.3, The faculty may create *ad hoc* elected committees for limited and clearly specified purposes not falling under the jurisdiction of standing committees.
4. In any year, the election of faculty members to standing committees will be held in the order the committees are listed in Section B.1. of this Article.
5. No term of service of at least one year on the ECC, FAC, Faculty Grants Committee, College Council, Budget Committee, or CSL may be succeeded by another term of service on any of these committees without an interval of at least one year, with one exception: such a term of service may be succeeded immediately by a term of service as President of the Faculty.
6. FPC members may serve two or more consecutive terms on the FPC, but may not be elected to another committee after completing service on the FPC without an interval of at least one year.
7. No faculty member shall stand for election to the FPC who plans to interrupt the first two years of service on the committee with a leave or off-campus program.

#### C. Appointed Committees

The Faculty Affairs Committee (FAC) appoints faculty members to the College committees made up of students, faculty, and staff members. The FAC shall maintain a list of these committees and update the list each year. The list shall be made available to the faculty through print or electronic means.

### ARTICLE VII

#### Faculty Membership on Elected Committees

##### A. President of the Faculty

For a description of duties, qualifications, method of election, and term of office, see Article III.A. above.

##### B. Faculty Personnel Committee (FPC)

1. General purpose: To oversee the professional growth of the faculty from the time of hiring throughout their professional careers. Especially important, the committee is charged with monitoring third-year reviews and participating in tenure reviews.
2. Membership: The president and dean of the College and five regular faculty members. All five regular faculty members are tenured, one from the social sciences, one from natural sciences/mathematics, two from combined humanities and arts and literature, and one tenured five years or fewer at the time of election. No two members are from the same department.
3. There shall be no alternate members of the FPC. If a tenure candidate is from the same department as an elected FPC member, that member shall remove him- or herself during the deliberation about the candidate and shall not participate in the voting concerning the candidate. In such a case, if no other elected member of the committee is from the same division as the tenure candidate, the most recently retired FPC member from a different department in the candidate's division shall serve as a non-voting consultant to the FPC to provide discipline-specific advice.
4. Term of membership: Three years.

#### C. Education and Curriculum Committee (ECC)

1. General purpose: to function as a hearing and policy formulation committee reporting to the faculty. ECC is responsible for the articulation of educational policy and will receive occasional reports from those College committees (e.g., the Academic Standing Committee) that are primarily concerned with educational or curricular matters.
2. Membership: The dean and an associate dean of the College, five regular faculty members (including the Co-chair and the Co-chair-elect), five students. The dean of the College is Co-chair of the ECC. One faculty member is from the social sciences, one is from natural sciences/mathematics, two are from combined humanities and arts and literature, and one is elected at-large, i.e., without specific divisional representation. One of the previous five members is elected by the faculty to serve as Co-chair-elect for one year and then Co-chair for two years.
3. Term of membership: Two years, except for the co-chair-elect/co-chair, who has a three-year term.

#### D. Faculty Affairs Committee (FAC)

1. General purpose: To oversee the general welfare of faculty members

at the College. The FAC also conducts all faculty elections and makes and monitors faculty appointments to all College committees.

2. Membership: The president of the faculty and five other regular faculty members, three tenured when elected and two untenured when elected. One of the members tenured when elected is elected to serve as chair-elect for one year and then chair for two years.
3. Term of membership: Three years.

#### E. Faculty Grants Committee

1. General purpose: to advise the dean of the College on the awarding of College grants for faculty development.
2. Membership: The dean of the College and four regular faculty members. The dean of the College is the chair of the committee. One member is from the social sciences, one member is from natural sciences/mathematics, two members are from combined humanities and arts and literature. All members are tenured.
3. Term of membership: Two years.

#### F. College Council

1. General purpose: to function as a hearing and policy formulation committee for non-curricular policies concerning the life of the College at large. The Council functions through subcommittees called into being to deal with particular policy issues.
2. Membership: Four senior administrative officers, two staff members, five regular faculty members, five students, one alumni observer and one trustee observer. The president of the College is the chair of the Council. The president of the faculty and the chair of the Faculty Affairs Committee are *ex officio* members of the Council. The faculty elects the other three faculty members, one untenured when elected and two tenured when elected. One of the three elected faculty members on the Council also serves as a faculty member of the Budget Committee, which is a permanent subcommittee of the Council.
3. Elected faculty term of membership: Two years.

#### G. Budget Committee

1. General purpose: To formulate recommendations regarding annual budgets and longer-term financial plans. The Budget Committee is a standing subcommittee of the College Council.
2. Membership: The dean of the College, the vice president and treasurer, one regular faculty member and one student member of the

College Council, one other regular faculty member and one other student, and such other members of the community as will be determined by the presidents of the College, the faculty, and the Carleton Student Association. The dean of the College is the chair of the committee. One faculty member was untenured and one was tenured when elected.

3. Faculty term of membership: Two years.

#### H. Committee on Student Life (CSL)

1. General purpose: to assist the dean of students in implementation of social policies of the College as they affect the lives of students.
2. Membership: The dean of students, an associate dean of students, seven students, and one regular faculty member.
3. Faculty term of membership: Two years.

#### I. Faculty Judiciary Committee

1. General Purpose: to conduct hearings on faculty disciplinary matters in which the president of the College or his or her designee has proposed a sanction of suspension or dismissal.
2. Membership: Ten regular faculty members, five members and five alternates. Each group of five is to include at least two women, at least two men, at least one person non-tenured when elected, at least one person who is a person of color.
3. Term of membership: Three years.

### **Article VIII**

#### **Interpretation and Amendment of these Bylaws**

##### A. Interpretation

The Faculty Affairs Committee (FAC) shall rule on any question of interpretation of these Bylaws, though such rulings may be reversed by a two-thirds vote of the faculty. Any FAC ruling regarding interpretation of these Bylaws is to be reported to the faculty at its immediately subsequent meeting.

##### B. Amendment

1. A proposed amendment to these Bylaws may be initiated by the Faculty Affairs Committee or by ten percent of the voting faculty.
2. Any amendment shall be circulated to members of the faculty at least two weeks before it is to be brought before the faculty for vote.
3. A proposed amendment shall be placed on the agenda of a meeting of the faculty, discussed, and voted upon. If it passes this reading by

majority vote (with provision for amendment, by majority vote, of the proposal), it shall be read a second time at a subsequent faculty meeting, At this second reading, no amendment of the proposal held by the president of the faculty to be a substantial alteration of the proposal shall be entertained. This second and final reading shall require for passage a vote in favor by a two-thirds majority. Any amendment of these Bylaws shall take effect upon final passage or at a date set by the faculty.

4. Any amendment of these Bylaws is subject to veto by the Board of Trustees.

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*Approved by the Carleton faculty on October 8, 2007.*

*Approved by the Board of Trustees on May 17, 2008.*

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Last revised February 13, 2012

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For [Faculty](#)

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Maintained by Dean of the College Office

## **Campus Governance Model for Carleton College**

Responsibility for the operation of the College is imposed by law upon the Board of Trustees. The Board must assign the functions to a range of administrative officers, faculty, and other individuals or groups. At Carleton, much of the policy regarding the life of the College falls naturally into two categories: educational policy, which is established by the FACULTY, and a number of other matters of campus governance, on which policy is formulated by the COLLEGE COUNCIL. Certain aspects of College life may require the creation of COLLEGE COMMITTEES. In particular, there is a BUDGET COMMITTEE, which formulates recommendations regarding annual budgets and longer-term financial plans, and a COMMITTEE ON STUDENT LIFE, which assists the dean of students in implementation of social policies of the College as they affect the lives of students. While the Board of Trustees cannot lawfully abrogate the duty to review, ratify, or reject decisions made in the performance of those functions which are delegated to campus committees, administrative officers, faculty, or the College Council, it recognizes that the orderly running of the College depends on a high degree of decentralization of responsibility for formulation and administration of policy.

### **EDUCATIONAL POLICY**

## Faculty Meeting

By long-standing tradition, at Carleton and in higher education in the United States generally, trustees have delegated formulation of educational policy to the faculty. The Carleton faculty will exercise that responsibility in their monthly meeting, under the direction of their elected President, with the assistance of a standing committee, to be known as the EDUCATION AND CURRICULUM COMMITTEE (ECC).

**Function of ECC:** The ECC will function as a hearing and policy formulation committee reporting to the faculty. They are responsible for the articulation of educational policy and will receive occasional reports from those College committees (e.g., Academic Standing Committee) that are primarily concerned with educational or curricular matters. The faculty meeting will be the final voting authority on all matters of educational policy.

**Membership of ECC:** The dean and an associate dean of the College, five regular faculty members (including the Co-chair and the Co-chair-elect), five students. The dean of the College is Co-chair of the ECC. One faculty member is from the social sciences, one is from natural sciences/mathematics, two are from combined humanities and arts and literature, and one is elected at-large, i.e., without specific divisional representation. One of the previous five members is elected by the faculty to serve as Co-chair-elect for one year and then Co-chair for two years.

**Procedure of ECC:** The ECC will normally meet weekly during the term. Their meetings will be public and minutes will be kept and circulated among the campus community. The dean and faculty co-chair will be responsible for the agenda of the committee, and will normally include matters on the agenda at the suggestion of any member of the committee.

Members of the ECC, including student members, will be invited to attend and participate in those faculty meetings where formal resolutions from ECC are on the agenda. In addition to those five students, other students who have demonstrated ongoing and substantial interest in a resolution to be debated by the faculty may petition the chairs of ECC to be allowed to attend the faculty meeting. Students may participate in discussion during the meeting and remain present for the voting upon ECC resolutions. A majority of faculty present at a meeting may approve ECC resolutions. ECC resolutions will be circulated in writing in advance of the faculty meeting, and the faculty will not approve an ECC resolution at the meeting where it appears on the agenda for the first time. ECC resolutions must, in other words, appear on the agenda of two faculty meetings (they need not be successive meetings) before they may be approved; students may be present and participate in debate at all such meetings. Any ECC resolution amended on the floor of the faculty meeting must be returned to ECC for deliberation before it can be submitted to the faculty meeting for a vote; this procedure need not apply to minor changes in wording accepted by ECC

members present at the meeting.

## GENERAL POLICY

### College Council

**Function:** The mission of the Council will be the development of policies in areas having to do with matters other than educational policy or curriculum. Where appropriate, the Council will make recommendations to the Board of Trustees for action. As the need arises for policy formulation (e.g., a new policy on sexual harassment in the workplace), the Council will establish subcommittees, to consist of members of the Council and appropriate other members of the community, to meet, consult, and produce policy recommendations. The membership of these subcommittees will be determined by consultation among the president of the College, the president of the Faculty, and the president of CSA. Chairs of these subcommittees, normally members of the Council, will also be named by the three Presidents. Subcommittee membership may be reviewed by the Council.

The Budget Committee will be a standing subcommittee of Council. Its membership will consist of the dean of the college as chair, the vice president and treasurer, one faculty member and one student member of the Council, one faculty member elected by the faculty for a three-year term of service, one student nominated by CSA Senate, and such other members of the community as will be determined by the three presidents. The Budget Committee will advise the vice president and treasurer in the construction of the annual budget and in the development of a longer-term financial plan. To that end it will conduct hearings and make recommendations to Council throughout the process of construction of the budget. The Council will make the final budgetary recommendations to the Board of Trustees.

**Membership:** The president of the college will serve as chair. In addition, the membership will include:

- 3 Senior Administrative Officers
- 2 Staff
- 5 Faculty
- 5 Students
- 1 Alumnus or Alumna (Observer)
- 1 Trustee (Observer)

Senior Administrative Officers will be selected by the president, and their terms of service will be determined by the president. One staff representative will be elected by and from the salaried staff (monthly payroll) and one by and from the hourly staff (bi-weekly payroll); terms for each will be two years, elections for each to be held in alternating years. The president of the faculty and the chair of the Faculty Affairs Committee will

serve on the Council ex officio during their entire terms of office. Three other members of the faculty, one of them to be without tenure, will be elected at large by vote of the faculty meeting for two-year terms. The President of the CSA will serve on the Council ex officio. The other four student members will be elected by the student body for one-year terms, to run concurrent with the academic year. The Board of Trustees and the Alumni Board will each designate a representative to attend Council meetings as a non-voting observer.

**Procedure:** The Council will meet regularly during the term. Council meetings will be open to all members of the College community unless the nature of the business justifies a closed executive session. Policy proposals may be approved by a majority vote of Council members attending a meeting; a quorum of 10 will be required to transact business. Proposals for Council consideration may be placed on the agenda by action of the President or by petition of any five members of Council.

Subcommittees will normally meet weekly until their work has been accomplished, when they will disband. The Budget Committee will also meet weekly, but, as a standing subcommittee, will not disband. Subcommittee meetings will be advertised and open to the public, and subcommittees will be expected to publish and circulate minutes to the campus at large as well as to members of the Council.

The campus community, as well as the Alumni Board and the Board of Trustees, will be immediately informed of Council actions. The Board of Trustees need not respond to every action of Council.

### **Committee on Student Life (CSL)**

**Function:** The CSL is constituted as an advisory committee to the dean of students to address issues specifically concerning student life (e.g., questions of student self-government in the residence halls, issues referred to the dean by the Judicial Hearing Board, etc.) and to help implement policies passed by the Council or the Board of Trustees. The CSL may also refer issues to the Council for consideration.

**Membership:** The dean of students will serve as chair, with the assistance of a student co-chair. There will be seven student members. The student co-chair will be elected by the student body, the CSA Senate will send two of its members, resident assistants will send one of their number. A CSA committee will select three others, one of whom must represent the first-year class. An associate dean of students and one faculty member, elected at-large by the faculty for a two-year term, will complete the committee.

**Procedure:** The CSL will meet regularly and publish minutes of its meetings. Upon the initiative of either the CSL or the CSA Senate, issues under discussion at CSL may be brought to CSA Senate for reaction or ratification. Given the legal accountability of the Dean of Students, however,



the final decision on any matter before the CSL must rest with the Dean rather than with the CSL or the CSA Senate.

### **College Committees**

**Function:** In general, College Committees are created by action of the Council or senior administrative officers to examine special areas or programs or to help administer policy. The committees are responsible for making reports to the appropriate administrative officer. All College Committees serve only for the year in which they are established; although many are routinely re-established each year, this provides an opportunity for Council and senior administrative officers to review the necessity for the existence of any or all of them.

**Membership:** College Committees are made up of students, faculty, and staff primarily selected for their competence, concern and effectiveness in the exercise of each committee's responsibility. The faculty members are ordinarily selected by the Faculty Affairs Committee, the students by the CSA Senate, and the staff by the president of the college.

### **Amendment to the College Governance System**

Changes in the nature or operation of the governance system may be proposed by the Council or by the faculty meeting, the CSA Senate, the president of the college or the Board of Trustees. If not of a fundamental character, they may be adopted by a two-thirds vote of the Council (subject to the ultimate approval of the Trustees). More serious changes, after discussion by the Council, should be referred to the Trustees for final action.

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*Adopted by the Board of Trustees March 18, 1992, upon recommendation of the College Council.*

*Amendment adopted by the Board of Trustees June 15, 1995, upon recommendation of the College Council.*

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Last revised March 18, 1992

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Office of the President

## **Code of Conduct**

All employees are expected to maintain the highest ethical standards in all associations and activities with others on behalf of the College. It is essential that all staff members conduct themselves in a manner that will withstand the closest scrutiny.

As a College rooted in the liberal arts tradition, Carleton draws its strength

and vitality from a free and open exchange of ideas and opinions not only in the classroom, but throughout the campus. Staff members are encouraged to express themselves through internal communication channels and to participate, when appropriate, in the governance of the College. An employee may be asked to serve on one of the representative committees that often determine policy. Staff are also reminded that we are engaged in an enterprise that requires the public confidence. When internal differences are aired publicly and adverse public reaction is the result, the entire community suffers.

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For [Staff](#)

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Maintained by Human Resources

## CSA - Carleton Student Association

The [Carleton Student Association \(CSA\)](#) Senate, is the student governing body. As a student who pays the Student Activity Fee, you are automatically a member of CSA, giving you certain rights and responsibilities. Please visit the CSA website for more information:

“The CSA Constitution and By-Laws are working documents, followed as closely as possible to current practices. The CSA Senate is in the process of revising and updating them. Any proposed Constitution changes will be voted upon by the Student Body; any proposed By-Laws changes will be posted for one week prior to a vote in the Senate.”

- [Constitution](#)

The document which guides governance of the Carleton Student Association

- [Bylaws](#)

Bylaws outlining procedures for the operation of Senate

- [CSA All Campus e-mail system](#)

Instructions for submitting to the all-campus e-mail system.

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For [Students](#)

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Maintained by Dean of Students

## Our Mission

**The mission of Carleton College is to provide an exceptional undergraduate liberal arts education.** In pursuit of this mission, the

College is devoted to academic excellence, distinguished by the creative interplay of teaching, learning, and scholarship, and dedicated to our diverse residential community and extensive international engagements.

**The College's aspiration is to prepare students to lead lives of learning** that are broadly rewarding, professionally satisfying, and of service to humanity. By discovering and sharing exemplary models of undergraduate education, the College seeks to be a leader among those colleges, universities, and professional organizations that share our dedication to this vision.

**Carleton strives to be a collaborative community that encourages curiosity and intellectual adventure of the highest quality.** Faculty, staff, and students respect one another for the serious work and the playful humor we share, and we support each other in pursuing a healthy balance of mind, body, and spirit. Quiet reflection and lively engagement are valued as sources of self-understanding and renewal. Carleton honors thoughtful conversations about difficult questions as necessary for individual growth and community strength. The College works to embody the values of freedom of inquiry and expression and is vigilant in protecting these values within a culture of academic integrity, civil deliberation, and ethical action. Carleton aims to be welcoming and hospitable to its neighbors, guests, and the public, and a responsible steward of its resources.

**Carleton's academic goals focus on developing the critical and creative talents of our students through broad and rigorous studies in the liberal arts disciplines.** Mentored by dedicated faculty and staff, students become active members of a learning and living community that promotes the exploration of passionate interests and emerging avocations. Students learn higher order thinking skills: disciplinary inquiry, analysis of evidence, arts of communication and argumentation, and problem-solving strategies. In their chosen fields of study, students strengthen their capabilities for disciplinary and interdisciplinary research and artistic production. Students acquire the knowledge necessary for the continuing study of the world's peoples, arts, environments, literatures, sciences, and institutions.

**Carleton develops qualities of mind and character** that prepare its graduates to become citizens and leaders, capable of finding inventive solutions to local, national, and global challenges.

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*Approved by the faculty, April 9, 2007*

*Approved by College Council, May 14, 2007*

*Approved by the Board of Trustees, May 19, 2007*

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Last revised May 29, 2007

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Office of the President

## Staff at Carleton (SAC)

The Staff at Carleton (SAC) committee is made up of non-exempt, non-union employees and seeks input on College policy matters to generate response to questions, concerns, and suggestions from staff members. The group has been instrumental in improving benefits and communication among College employees. Its members are elected to represent each geographical area of the College. A copy of the by-laws is available on the [SAC website](#).

SAC luncheons are held twice per year, in the Fall and Spring. Luncheons start at 11:30 and end at 1:00 p.m. These are occasions to network and develop professionally and are to be treated that way. Choosing to attend the luncheons will neither lengthen or shorten that day's paid work schedule, cause overtime pay, or result in a change in the individual's FTE appointment. The lunch period normally taken should be recorded on the time sheet.

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For [Staff](#)

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Maintained by Human Resources

## Staff Guidelines on Committee Participation

### Introduction

The officers of the College determine the need for committees to explore specific topics or issues and develop the appropriate group structure. By doing so, they specifically and tacitly send the message that committee participation is doing the work of the College.

It is important to emphasize the positive impact of the individual's participation in committee work, both to the individual and the College. The College benefits by having a large number of willing and interested staff from which to choose committee participants and from the knowledge they bring to the group process.

Individual staff participants are able to contribute to the college in a meaningful way, often on matters of interest not directly related to their jobs, and develop a new dimension to their sense of belonging and their ability to

make a difference. It is essential that the individual staff participant communicate with one's supervisor and assist in determining work schedules and assignments in conjunction with the participant's work, the work of others, and the effective progress of the department's work.

Obtaining prior approval from your supervisor is essential for successful committee involvement on the part of the individual staff participant, the College and department operations. Continued communication with one's supervisor and co-workers can help prevent work-stress problems. Communication can also promote equitable committee participation among staff members within a department and consistent work priorities.

**Balance Work Load and Committee Assignments: Assessment Questions for Staff and Supervisors:**

Staff participation on committees should be evaluated in order to assess the impact participation will have on the participant's workload, the workload of others, and daily operations. The amount of work that may need to be delayed, reassigned, or eliminated needs to be identified and evaluated. Schedule changes may be required for the participant or others. Such changes would need to be reviewed for budget and legal FLSA (Fair Labor Standards Act) impact and compliance.\*

The staff participant and supervisor should discuss these and any other pertinent topics. The following is provided as an aid in evaluating what effects, if any, staff participation on committees will have on the department:

1. In what other committee assignments is this staff member currently active?
2. Will a change in work schedule be likely or necessary, since this is paid work time? If not, is flexible time during the same week available?
3. Will staff coverage for the department be affected? How? What is the solution?
4. What adjustments in work assignments or deadlines may need to be made? Which work deadlines cannot be adjusted?
5. Will committee participation result in reassignment of work to others? What? To whom?
6. What is the expected meeting time commitment?

\*The supervisor needs to view any operational solutions in terms of the impact on the budget and the provisions of the Fair Labor Standards Act (FLSA). The department's budget will be affected if the staff member is

subject to the provisions for the FLSA (at Carleton this is defined as employees who are paid on a bi-weekly basis) and a schedule change results in added hours to a part-time work schedule or the added hours result in overtime pay (hours worked in excess of 40 in any one work week). It is important to note that paid time off, in lieu of working more than eight hours per day, must be taken in the same work week in which the additional hours per day are worked. If the staff member works more than 40 hours per week, overtime will be paid for the hours worked over 40. If the staff member is not subject to the FLSA (at Carleton this is defined as employees who are paid on a monthly basis), there will be no budget impact, but workloads and deadlines should still be reviewed as suggested above.

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*As recommended by the "Committee on Committees" group - June 2006.*

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Last revised May 6, 1999

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For [Staff](#)

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Maintained by Human Resources

## **Statement of Non Discrimination/Diversity**

Equal opportunity for all is an essential part of Carleton's recognition that diversity expands the Carleton community's intellectual horizons and enriches the teaching, working, living and learning environment. Carleton College is committed to the principle that its educational facilities, activities and employment opportunities shall be offered without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age.

The College is committed to eliminating discriminatory practices in recruitment and employment. Responsibility for monitoring the diversity has been delegated to Human Resources at the operational level.

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For [Staff](#)

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Maintained by Human Resources

## **Statement on Diversity**

Carleton College aspires to provide a liberal arts education that equips

students with the skills to lead a fully realized life in a diverse and changing world. A Carleton education recognizes that the world's people differ in their race and ethnicity, culture, political and social worldviews, religious and spiritual understandings, language and geographic characteristics, gender, gender identities and sexual orientations, learning and physical abilities, age, and social and economic classes.

It is essential to our high academic standards that we be committed to creating a diverse campus community because:

- Carleton has a responsibility to educate talented and diverse students, and we have a strong commitment to underrepresented groups.
- Carleton students must meaningfully encounter difference in order to grow personally and live fruitfully in society and contribute to its work.

The core principles of a liberal arts education are based on mutual respect, communication, and engagement, which commits us to create and affirm a culture of respect for people in all aspects of their lives. Carleton seeks to provide a welcoming and safe living and learning space, while we also recognize that the pursuit of a liberal arts education can involve discomfort and disagreement. Carleton affirms that the college and its community grow in understanding when established views are challenged.

A community that fosters diversity of thought and an open exchange of ideas can only emerge from the participation of individuals with different backgrounds and worldviews. Because creative and talented people come from many places and have many backgrounds, Carleton College is dedicated to attracting and retaining a diverse faculty, staff, student body, and Board of Trustees and sees this as among our highest priorities. Carleton's commitment to diversity will sustain and enrich the learning and living environment that defines the institution and its place in the world.

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*Approved by the DIG (unanimously), October 17, 2006.*

*Approved by the Faculty (unanimously), November 6, 2006*

*Approved by the College Council (unanimously) January 15, 2007*

*Approved by the Board of Trustees (unanimously) May 19, 2007*

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Last revised May 19, 2007

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For [Faculty](#), [Students](#)

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Maintained by Office of the President

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## **Statement on Student Access to The Board of Trustees**

The Board of Trustees of the College wishes to emphasize to all members of the Carleton community that its members value and welcome opportunities, formal and informal, to exchange information and viewpoints on subjects which concern the College. To this end, the Board has authorized a statement regarding its responsibilities and publishes this statement annually in the Student Handbook as the first document in the section on the Governance of the College. In this statement the Board emphasizes that its Committee on Community Life and Concerns serves as a point of liaison between the Board and the campus. The Board emphasizes also that its committees meet with their campus government analogues periodically. The Board has consistently arranged for such meetings to occur and, in particular, for meetings of the Committee on Community Life and Concerns to be broadly based.

The Board wishes to reiterate that, as part of the governance structure of the College, matters for formal consideration by the Board come to it through its committee structure. That is, items are placed on the Board's agenda through referral from the appropriate College and Board committees. Therefore, the openness of the on-campus governance structure insures appropriate consideration by the Board of matters of interest to the community.

The Board wishes to state again its desire to promote other opportunities for students to communicate with members of the Board. It will continue to have "Meet-the-Trustee" occasions which are open to all. The Trustee-in-Residence Program remains active. The practice of trustees eating lunches with students will continue, as will the arrangement for students to be present at trustee dinners held at full meetings of the Board. Finally, the Board will continue to schedule student representations at its formal meetings on occasion.

The Board believes that through this structure of committees and informal contacts it remains open to the viewpoints and concerns of students. It looks forward to the continuation of such exchanges. The Board also welcomes suggestions from students or other members of the Carleton community as to other constructive avenues for exchange between students and trustees.

Every effort will be made to schedule Board meetings when the College is in session, that is, not during mid-term break. Students and faculty are encouraged to take the initiative and invite Board members to attend social and cultural events while they are in residence.

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*Approved on February 8, 1987.*

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For [Students](#)

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Maintained by Office of the President

## The Forum

The Forum gathers several times each term. Members represent exempt employees from numerous offices and divisions on campus. The purpose of the Forum is twofold. First, the Forum allows exempt staff to gather to share ideas, discuss campus issues, build bridges with faculty and the community, and make new connections. Second, the Forum Steering Committee serves as an advocate for exempt staff participation in discussions that affect member's roles in the Carleton community. Topics vary widely.

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Last revised May 2, 2013

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For [Staff](#)

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Maintained by Human Resources

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 10 August 2012.

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Events

Faculty  
Appointments

Financial

Health &amp; Safety

Housing &  
Residential LivingInformation  
Technology,  
Documents, &  
Records

Research

Travel &  
Transportation

# Communications

## College Colors and Logos

Use of the Carleton College wordmark, knight mascot, college seal, and/or college colors must follow the guidelines established by the College Relations office.

- [Wordmark](#)
- [Knight mascot](#)
- [College seal](#)
- [College colors](#)

For [Faculty](#), [Staff](#), [Students](#)


Maintained by Publications

## Copyright

### I. Overview

It is the goal of Carleton College to “liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives.” (Academic Catalog, Purpose of the College). To achieve this goal, the free and open exchange of ideas is vital. In this spirit, the College’s copyright policy is intended to encourage all members of the Carleton community to publish their papers, books, and other works in order to share their knowledge openly with colleagues and the public. The College adheres to the long-standing academic tradition that creators of works own the copyrights in works resulting from their scholarly, pedagogical, and creative activities. This principle is the foundation for the College’s policies on copyright ownership.

This principle also underlies the College’s commitment to fostering an

 [Text Only/ Printer-Friendly](#)

environment of respect for and responsible use of the intellectual property of others. The College is committed to helping members of the Carleton community comply with copyright laws by providing resources to help individuals make informed, careful, and situation-sensitive decisions about the lawful and fair use of work created by others.

## II. Application

This policy applies to all faculty (including those on temporary appointments), staff, and students.

## III. Copyright Ownership

### A. Creator Owns the Copyright

Individuals engaged in scholarly, pedagogical or creative efforts produce a great variety of copyrightable materials they may want to protect from unauthorized use. These include, for example, books, articles, monographs, bibliographies, lecture notes and handouts, musical compositions and recordings, artwork, photographs, films, audio visual works, and computer programs.

When a member of the faculty or staff or a student authors a copyrightable work, that individual will own the copyright in the work (and may voluntarily cede it to a publisher or distributor), unless the circumstances of IIIB, IIIC or IIID apply. Even though the College may provide some support in the way of facilities, materials, equipment, or personnel, individual ownership of the copyright in such works is appropriate.

It is understood, however, that the individual will allow the College to use without charge any copyrighted work that originally was designed for the express purpose of making such work available to individuals other than, or in addition to the creator for use in teaching, administration, or other College activities. Examples of such work include a computer program designed to improve an office procedure and developed by a faculty or staff member (not under the circumstances of IIIB, IIIC or IIID), or curricular materials created by a faculty member (not under the circumstances of IIIB, IIIC or IIID) to use in sections of a course that is taught by several department faculty. Such materials will be available to the College free of charge, even if the individual who wrote the program or curricular materials has left the College.

## **B. Rights Are Determined by Contract**

1. Ownership of the copyrights in works created in the course of projects or programs funded by an external agency, for example, under a grant or similar arrangement, will be determined in accordance with the terms of agreement with the external party and applicable law. An agreement regarding copyright ownership must be signed by the College, the external agency, and the appropriate individuals before acceptance of outside funding.

2. Generally, students own the copyright in the works they create, including their contributions to collaborative projects, unless the circumstances of IIIC or IIID apply or the student has signed a written agreement regarding copyright. Accordingly, faculty and staff are strongly encouraged to obtain a written agreement from each student before involving students in scholarly research or other projects that may result in works the faculty or staff would want to use or publish. In addition, if there is any question whether IIIC or IIID will apply to works created by a student, a written agreement should be signed before the student begins work.

3. Faculty, staff and students are encouraged to engage in collaborative research and other collaborative projects. Because of the misunderstandings that may result when different individuals own rights in the results of a collaborative effort, a written agreement regarding copyright should be signed before beginning work.

## **C. College Owns the Copyright in Directed and Commissioned Works.**

The College will retain ownership of the copyright in works that are specifically directed or commissioned by the College or produced by an individual (or group of individuals) as a specific job requirement. Examples of works in this category are articles for the alumni magazine or other College publications written by Publications Office personnel; computer software developed by technical staff; and the output of a faculty member on special assignment to write a history of the College while receiving full salary.

This category does not include materials created by faculty in connection with their teaching, research, or other scholarly activities, even though faculty are expected to teach and engage

in scholarly activities as part of their job, unless the works are specifically directed or commissioned by the College, as in the example of a faculty member on special assignment to write a history of the College while receiving a full salary. This category also does not include materials created by the staff outside the scope of their employment.

On occasion, the College may grant its copyright to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section IIIC will be deemed to apply.

#### **D. College Owns Copyright in Administrative Works**

The College will retain ownership of the copyright in works created in the course of an administrative assignment of the College, such as, internal policies and procedures, internal studies and plans, or a report for a university committee.

On occasion, the College may grant its copyright in an administrative work to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section IIID will be deemed to apply.

## **IV. Distribution of Income from Royalties**

#### **A. Copyright Belongs to an Individual or Group of Individuals**

If one or more individuals own the copyright, those individuals are entitled to 100% of the royalties, unless IIIB, IIIC or IIID applies. If the copyright is owned jointly by one or more individuals, a written agreement on division of royalties should be signed.

#### **B. Copyright Belongs to the College or to the College and Others, Jointly**

If the College owns the copyright, all royalties will be paid to the College, unless a special agreement to the contrary has been made in advance. If the copyright is owned jointly by the College and one or more individuals, a written agreement on division of royalties should be signed. If no written agreement is signed, all royalties will be divided equally among the copyright owners.

### **C. Work Resulting From Outside Funding**

If the work will result from a project funded by an outside agency, an agreement on division of royalties must be signed before acceptance of outside funding.

## **V. Further Assurances**

The College, the faculty, the staff, and students will execute such written instruments or agreements as may be required to give effect to this policy.

## **VI. Use and “Fair Use” of Copyrighted Works**

### **A. Compliance with Copyright Laws**

Carleton College expects all faculty, staff and students to make a reasonable effort in good faith to comply with copyright laws in their use of copyrighted materials.

### **B. Fair Use of Copyrighted Works**

The College encourages its faculty, staff and students to take full advantage of the “fair use” exception to the exclusive rights of copyright owners. The College requires, however, that before relying on the fair use exception, faculty, staff, and students will educate themselves regarding the limits of fair use and will, in each instance, perform a careful, good faith fair use analysis based on the four factors identified in Section 107 of the federal Copyright Act. Faculty, staff and students are strongly encouraged to document their fair use analyses as a defense against claims of copyright infringement.

### **C. Assistance with Copyright Compliance**

Because of the complexity of copyright law and, in particular, the fair use exception, the College will provide resources to educate faculty, staff and students and help them make informed, careful and situation-sensitive decisions about the lawful and fair use of works created by others.

#### **D. Violation of Copyright Laws**

Upon obtaining knowledge that material residing on College systems or networks is infringing or that College systems or networks are being used for infringing activities (or upon becoming aware of circumstances from which infringing activity is apparent), the College will act expeditiously to remove or disable access to the infringing materials and may deny the individuals responsible further access to College systems or networks. In addition, members of faculty or staff or students or other persons employed by the College who willfully disregard or violate copyright law may be subject to disciplinary action by the College in accordance with applicable disciplinary policies and procedures.

### **VII. Administration of Copyright Policy**

#### **A. Copyright Ownership and Distribution of Royalties.**

The Vice President and Treasurer will adopt policies and procedures to implement Sections III, IV, and V of this policy. The Dean of the College will adjudicate in the case of disputes regarding copyright ownership and royalties.

#### **B. Use and “Fair Use” of Copyrighted Works**

The Dean of the College will adopt policies and procedures to implement Section VI of this policy.

#### **C. Amendment**

The College may amend this policy from time to time as it deems necessary or desirable, subject to applicable statutory and contractual restraints.

For additional information, please see [Copyright at Carleton](#).

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*Adopted by the Board of Trustees on October 21, 2006.*

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Last revised October 21, 2006

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of the College Office

## **E-mail as Official Communication for Students**

Electronic mail (e-mail), like postal mail, is a mechanism for official College communication with students. The College will exercise the right to send e-mail communications to all students, and will expect that students receive e-mail communications and read them in a timely manner.

### **SCOPE**

This policy applies to all matriculated students of Carleton College. Official communications using e-mail can include e-mail to a group, such as all students enrolled in a course, or an e-mail message to only one student.

### **E-MAIL ADDRESSES**

All students are assigned an official Carleton College email address and official College communications will be sent to this email address. The official Carleton email address for each student is listed in the official College directory.

The College provides several mechanisms so that a student may access his/her official Carleton email account on and off campus. A student may also choose to forward his/her email from his or her official Carleton email address to another email address of his/her choice. A student who chooses to forward email to another email address does so at his or her own risk. Carleton College is not responsible for email forwarded to any other email address. A student's failure to receive or read in a timely manner official communications sent to the student's official email address does not absolve the student from knowing and complying with the content of the official communication. The procedures for accessing and forwarding email are published on the ITS website.

### **EXPECTATIONS REGARDING FREQUENCY OF READING E-MAIL**

Students are expected to check e-mail on a frequent and regular basis in order to stay current with College-related communications, recognizing that certain communications may be time-critical. It is recommended that e-mail be checked daily, but at a minimum, twice per week. Regular e-mail management will also minimize the risk that the inbox will be full, causing the e-mail to be returned to the sender with an error. Undeliverable messages returned due to either a full inbox or use of a "spam" filter will be considered delivered without further action required of the College.

Students on off-campus study programs approved by the college are expected to check their email as regularly as time and facilities permit. In cases where the student is away from internet access for more than a week at a time and an urgent situation arises, every attempt will be made to



contact the student through another means.

## **PRIVACY AND CONFIDENTIALITY**

Official College communications sent by e-mail are subject to the same public information, privacy and records retention requirements and policies as other official College communications.

## **INSTRUCTIONAL USES OF E-MAIL**

Faculty members retain autonomy in determining how e-mail or other forms of electronic communication will be used in their classes. Faculty may expect that students are checking e-mail regularly, and faculty may use e-mail for their courses accordingly. Faculty should inform students in the course syllabus of any special or unusual expectations for electronic communication. Under normal circumstances, students can expect faculty to be contactable through email. If a faculty member prefers not to communicate with students through email, he/she should inform the students of this in the course syllabus and provide information about his/her preferred form of communication.

## **IMPLEMENTATION AND ASSISTANCE**

The Director of ITS is responsible for the implementation of this policy. For assistance with email, contact the ITS Helpdesk in the first floor lab wing of the CMC (x5999). For questions about the policy or issues related to a student's failure to comply with this policy, contact the Dean of Students Office.

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*Adopted 4/07*

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Last revised April 1, 2007

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For [Faculty](#), [Students](#)

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Maintained by Information Technology Services

## **Freedom of Expression**

Support of any cause by demonstration or other orderly means, including picketing and other forms of peaceful protest, is permitted on College premises so long as it does not disrupt the operation of the College, jeopardize its legal status, interfere with entrances to and exits from College facilities, interrupt classes, interfere with other normal day-to-day activities of the College, or cause damage to property. The College may call upon local law enforcement bodies to remedy violations covered by this paragraph. In addition, the College may choose to impose its own

disciplinary sanctions.

Discussion and expression of all views relevant to the subject matter are permitted in the classroom, subject only to the responsibility of the instructor to conduct his or her course. It is expected that he or she will exercise that responsibility with reason and restraint and within the confines of academic freedom for students and faculty alike. See the Statement on Discrimination and Academic Freedom for further discussion of the College's position on these issues.

Students, groups, and campus organizations may invite and hear any person of their own choosing, subject only to the requirements for the use of College facilities.

No individual or group may prevent or attempt to prevent a student from interviewing on campus with any graduate or professional school or other legal employer desiring to recruit at the College.

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Office of the President

## Official Closings and Winter Storms

### Official Closings

On rare occasions the College may officially close (although classes may still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement winter weather. In such events, the process for an official closing will be determined only through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following:

- E-mail (if operational) by one of the determining listed administrators;
- Voicemail message by the Telecommunications Department;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining

administrators (i.e. President, Vice President and Treasurer, Dean of the College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of the College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus. For instructions on how to do this, please reference the Carleton College Telecommunications Guide.

When the College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is a question as to optional task completion, please confer with your supervisor for direction.

NOTE: Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storms**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail and/or telephone.

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Last revised December 7, 2005

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## **Political Activity**

College employees are entitled to freely participate, off-hours, in the election process: However, the College, due to its tax-exempt status, is prohibited

from engaging in certain types of political activity. It is particularly important that we are thoughtful about these issues during the election season. The ramifications of engaging in prohibited election activity include the imposition of excise taxes and loss of the College's tax-exempt status. *Please note that this policy does not apply to established student groups, such as the College Democrats and Republicans, who may use institutional facilities for partisan political purposes.*

Whether an educational institution has engaged in prohibited political activity depends on all of the particular facts and circumstances: For example, while it has been considered permissible to sponsor a forum to educate voters, no preference for or against a particular candidate may be shown. Candidates may speak on campus so long as all legally qualified candidates are provided access on an equal basis. Non-partisan voter registration drives have also been deemed acceptable.

Employees may not use College resources, including e-mail, computers, telephones, or fax or photocopying equipment, to work for or endorse a candidate, political party, or political action committee. The College may not "participate" or "intervene" in a campaign of any candidate for public office; endorse, expressly or impliedly, a candidate for public office; sponsor events to advance the candidacy of a particular candidate; invite employees to candidate events; publish ratings of candidates; or comment on actions, statements, or positions taken by candidates.

Again, utilization of Carleton resources is prohibited, as are public statements by officials where there is a risk that the statement could be attributed to the College.

The IRS has released guidance to tax exempt organizations regarding the facts and circumstances it considers when deciding whether a charitable organization has engaged in prohibited political activity in [Revenue Ruling 2007-41](#). The American Council on Education has provided [additional guidance](#).

If you have any questions or concerns about this policy, please contact Fred Rogers in the Treasurer's Office at [frogers@carleton.edu](mailto:frogers@carleton.edu) or extension 5411.

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September 8, 2008

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Vice President and Treasurer

## **President's and Dean's Statement on Academic Freedom**

### **President's and Dean's Statement on**

## Academic Freedom

Shortly after the College's founding in 1866, Carleton took care to assert that the College was "under no ecclesiastical control, nor sectarian in any of its methods or influences." This assertion and others made early and decisively by the Carleton Board of Trustees clearly indicate that among the College's founding principles is that of academic freedom. Carleton, including its President and Board of Trustees, has long affirmed its commitment to academic freedom, as indicated by its staunch defense of members of the faculty being investigated during the McCarthy hearings of the 1950s. This tradition has continued throughout the College's history and remains central to our aims at Carleton.

At Carleton we believe that all of us, students and faculty alike, learn best when freed from constraints upon what we read and say. Thomas Kuhn's *The Structure of Scientific Revolutions* is but one sustained collection of evidence that the initially outlandish can mark and make the progress of knowledge in which all of us are invested. The chemical revolution, evolution, the notion that the earth's continents move about on sliding plates—all these and many other advances were initially greeted with disbelief and derision. Such advances in our knowledge would have been halted swiftly and surely were it not for our conviction that academic freedom means the freedom to entertain and express ideas which others may find absurd or insulting or inappropriate.

It is doubly important today to assert firmly and frequently our adherence to the tradition of academic freedom when so many critics of the academy have claimed that this freedom has fallen victim to ideological disputes and that colleges and universities pay rhetorical tribute to academic freedom but fail to respect it. These critics are largely wrong and are most certainly wrong in the case of Carleton. The seminar and discussion characteristic of so many of our classes is itself lasting testimony to our continued conviction that the free exchange of ideas is how our learning begins and flourishes. Many collegiate traditions merit repeated testing and assessment. For no other tradition is that more true than it is of academic freedom.

Nor is Carleton alone in its vigilance in protecting academic freedom. The position of the American Association of University Professors on academic freedom is contained in its 1940 statement, which states:

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition... Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative

with rights (AAUP, Policy Documents and Reports, 9th ed., 2001, 3, footnotes omitted).

Among the rights and correlative duties are the following:

... [T]eachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject... Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution (AAUP, Policy Documents and Reports, 9th ed., 2001, 3-4).

The position of Carleton College regarding academic freedom originates with the Board of Trustees. On campus, the President, who is also a Trustee, has the principal responsibility for ensuring academic freedom and is assisted in this principally by the Dean of the College. The Faculty Personnel Committee (FPC) and the Faculty Affairs Committee (FAC) serve important roles in helping to protect the rights of faculty members who may disagree with their departments, with student opinion, and with the President and Dean.

The President and the Dean consider the protection of the right of individuals to express their views freely and without risk of repercussions to be among our most important responsibilities. But this responsibility also falls on all constituencies of the College: faculty, students, staff, and trustees, and our mutual support of the right of others to speak out on issues, especially when those views may differ from our own, is perhaps the best guarantee that academic freedom will thrive at Carleton.

Steven G. Poskanzer  
President  
Professor of Political Science

Beverly Nagel  
Dean of the College  
Winifred and Atherton Bean Professor of Sociology, Science, Technology,  
and Society

Last revised September 1, 2010

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of the College Office

## Release of Constituent/Alumni Information

Contact the Following Offices with Questions:

**Alumni**                      **Central Records x4721 or Alumni Relations x4205**

**Students**                      **Registrar x4289**

**International Students**                      **International Student Programs x5937**

**Parents**    **Central Records x4721**

**Faculty/Staff**    **Human Resources x4172**

**ALUMNI (Note: refers to both graduates, non-graduates and special students)**

Carleton College will release “directory” information (addresses, phones, e-mail, class year) only **to alumni**. Before responding, staff must refer to Advance database to determine if there is an Alert on the alum’s record.

Carleton College will respect the wishes of all alumni who request that no Directory information be released about them to anyone. Staff receiving such requests should forward the directive to Central Records staff for appropriate action.

No information regarding alumni will be given **to non-alumni** unless:

1. it is official government business;
2. another educational institution requests such information to locate one of their alumni; or,
3. a non-alumnus sends to the Alumni Affairs or Central Records offices a note, fax or e-mail message that includes the non-alum’s name and mailing address. Staff will forward the message to the alum in question. Contact with the non-alumnus then will be at the initiative of the alumnus.

Requests by an alumnus for a large number of addresses should be submitted in writing and will be fulfilled at the discretion of the Director of Alumni Relations.

To protect alumni from unwanted business solicitations or from a large

amount of inappropriate contact, no class, geographic, professional or other lists will be distributed unless:

1. the alumnus is serving the College in an approved volunteer capacity (i.e., as a club chair, class agent, admissions representative, reunion committee volunteer or careers coordinator);
2. as part of alumni career networking under the direction of the Director of the Career Center; or,
3. with the permission of the Director of Alumni Relations.

Information release restrictions determined by an alumnus for any and all on-line alumni directories will apply to all print alumni directories.

Constituent labels will not be sent to non-staff. All special mailings to alumni must be approved by the Director of Alumni Relations. Upon approval, labels should be requested from Central Records (x4496).

Call reports are for internal use only by members of the division of External Relations and the President. They may not be copied for use by any College volunteer, including trustees.

College volunteers should receive only the prospect and donor information they need to perform their College-related duties.

## **STUDENTS**

Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except certain information that may be revealed with the consent of the students or as otherwise permitted by law.

Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

- a. a student's name
- b. permanent and local college addresses
- c. all telephone numbers of record
- d. date and place of birth
- e. major field of study and concentration



- f. participation in officially recognized activities and sports
- g. weight and height of members of athletic teams
- h. dates of attendance
- i. degrees and awards received
- j. most recent previous school attended
- k. photograph
- l. class year
- m. e-mail address

Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the Dean of Students. (Adopted by the board of Trustees, June 17, 1993, upon recommendation of the College Council.) Before responding to requests for student directory information, staff must refer to the Colleague database or the on-line directory (<http://www.sysnet.carleton.edu/esearch>) to determine if information can be released.

For detailed information on Carleton policy for the release of education records to third parties see <http://www.carleton.edu/campus/DOS/standards20.html#diclosure>.

Questions about international students should be directed to the Director of International Student Programs (x5937).

### **CURRENT PARENTS**

No information regarding parents of current students is to be released. Please contact the Registrar with questions (x4289).

### **PAST PARENTS**

No information regarding parents of past students is to be released. Please contact the Registrar with questions (x4289).

### **FACULTY/STAFF**

Upon request, you may provide:

- job title
- on-campus telephone number

## Carleton e-mail address

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Last revised July 26, 2012

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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Maintained by Central Records

## Statement on Discrimination and Academic Freedom

The following is a statement of policy as well as a statement of values. It is intended to help sustain a civil atmosphere of unfettered intellectual freedom at the College and to discourage discriminatory speech and actions by its members.

As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College therefore also embraces the related principle that all members of its community shall have access to its educational facilities, activities, and employment without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age. These principles guide the College's relationships with individuals and should guide the interactions of all members of the community.

A possible breach of the foregoing principles may be brought to the attention of the appropriate College officer: the Vice President and Treasurer, Dean of the College or Dean of Students, if the party responsible is, respectively, a staff member, faculty member, or student.

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion (and for the tolerance) of the widest range of opinions, it does not provide a license for bigotry in the form of demeaning, discriminatory speech or actions. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group such as those enumerated above. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message by the very nature of its delivery is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is

in a position of power with respect to the second, whether in the academic, administrative, political, or social hierarchy on the campus.

Although this policy attempts to eliminate certain behavior and actions on the campus, Carleton cannot guarantee that the environment will always be comfortable for all the members of the community. Often, the educational process is disturbing and unsettling; when one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that faculty and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

Students, faculty, and staff of Carleton College are asked to support this anti-discrimination policy through participation in discussions about it. The College will facilitate this by providing educational opportunities and forums for such discussions to take place and by making it possible for students, faculty, and staff to attend them. The policy will be distributed to all students, faculty, and staff members each year. The College will actively encourage the discussion of issues raised by the policy in appropriate classes, meetings, symposia, and college publications.

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*Adopted by the Board of Trustees June 21, 1990, upon recommendation of the College Council.*

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Last revised June 21, 1990

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 10 August 2012.

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[enable benchmarks](#)

**Campus**  
HandbookStudent  
HandbookFaculty  
HandbookStaff  
HandbookAcademic  
Regulations &  
ProceduresBuildings &  
GroundsCollege  
Governance

Communications

**Community**Employment &  
Benefits

Events

Faculty  
Appointments

Financial

Health &amp; Safety

Housing &  
Residential LivingInformation  
Technology,  
Documents, &  
Records

Research

Travel &  
Transportation

# Community

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.


### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.

 [Text Only/ Printer-Friendly](#)

- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

## II. Regulations

The provisions regulating student conduct in the *Community Standards Policy* apply. The following regulations apply to alcohol and other drugs:

1. Notwithstanding this or any other College regulation or policy, the provisions of Northfield city ordinances and laws of Minnesota and the United States including the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.
2. The College prohibits the unlawful possession, use, and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. (see also [Smoking Policy](#))
3. The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia, bong, pipes, drugs, kegs, beer bong, etc. Once confiscated, the items will not be returned. Persons under 21 years of age are prohibited from drinking alcoholic beverages. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
4. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
5. All kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol are allowed on campus **only** if the following two criteria are met: 1) the event is registered in advance

through the Social Event Registration process through either Student Activities or Residential Life, and 2) the alcohol is served by a College approved licensed third party vendor.

6. No kegs or common containers of alcohol are allowed in private residential spaces (village apartments, residence hall rooms, floor lounges, etc.)
7. Hard alcohol is allowed at registered events, but must be approved and served by a College approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
8. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
9. Public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Office of Residential Life (for events in residences) or the Student Activities Office (for all other events). A full description of the regulations and responsibilities to which event sponsors are subject is found on the following websites:

Residential Life -

<https://apps.carleton.edu/student/housing/forms/> and/or

Student Activities Office -

<https://apps.carleton.edu/campus/campact/planninganevent/eventregistration/>

10. The College recognizes the disruptive effects that alcohol and other drugs can have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- a. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
- b. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.

11. Small gatherings in private residential rooms need not be

registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.

12. The sale of alcohol is permitted in the Cave as determined by the management, within the context of local and state laws.

13. Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students, (and/or his/her designee) has the authority to remove a student from the program under these circumstances.

14. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bong, and similar behaviors are prohibited.

15. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.

16. Social Host Liability: Anyone over 21 who knowingly serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.

17. Social Host Ordinance - City of Northfield (enacted May 2011)

The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.

Reasonable Steps May Include:

- a) Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
- b) Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
- c) Checking identification of the attendees of the gathering to



determine age; or

d) Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.

### III. **Sanctions and Responsive Action**

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines, community services, and/or evaluation, conducted on or off-campus.

2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;

b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.

c. Any violations of this policy by students, including violations of the “Social Event Registration Guidelines,” will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.

d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

### IV. **Resources**

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080

2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-800-554-6931
- Personnel Services: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities:

<http://ricecountychc.com/resources/>

### Endnote

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must

prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001.  
Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[\*\*A Matter of Facts\*\*](#) (8.7 MB PDF)

(Available by permission from the [Minnesota Prevention Resource Center](#))

- Risks Associated with Substance Use
- Health Risks by Drug Category
- Digest of select Minnesota Controlled Substances and Tobacco Laws: Crimes and Penalties
- Selected Minnesota Alcohol Laws: Crimes and Penalties
- Freedom to Breathe Act Categories of Drugs
- Selected Federal Laws: Crimes and Penalties



*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Alcohol Service at College Events

Serving alcohol at campus events is both a long standing tradition and an

ongoing privilege. A recent review of alcohol serving policies and practices on campus has led to recommended changes in our approach. These changes are intended to enable ongoing campus business and appropriate entertainment, while ensuring compliance with liquor control laws in Minnesota. It is College policy and intention to fully comply with the laws of Minnesota.

Bon Appétit has applied for and been granted a Minnesota Liquor License for their use in serving alcohol on the Carleton campus. Specifically, Bon Appétit is the only caterer who may serve alcohol in Sayles-Hill or at any event at which Bon Appétit caters food at Carleton.

Carleton College grants permission for the reasonable and lawful consumption of alcoholic beverages at institutional events when the sponsoring party agrees to provide for the event in accordance with the laws of the State of Minnesota.

For the purposes of this policy, an **Institutional Event** is the following:

An Official College event that is sponsored or scheduled by one or more academic departments or administrative offices to take place on the campus for members of the Carleton College community. It is recognized that students, faculty, staff, alumni, trustees, guests, and members of the community may attend such events. Examples of these events include Convocation receptions, Family Weekend events, Homecoming weekend events, Employee and Community Holiday Receptions, Employee Recognition Celebrations, the Nutting Garden Party for Opening Convocation, Trustee Events, Advancement and Donor Recognition Events, Commencement events, Alumni Reunion weekend events and catered receptions and dinners for guest speakers or performers.

**Alcohol served at an Institutional Event must be purchased by and served by Bon Appétit, the licensed caterer.** The following is the protocol for the serving of alcohol at an Institutional Event:

- Bon Appetit staff are responsible for ensuring that only legally eligible adults may consume alcoholic beverages.
- Alcoholic beverage containers may only be opened by Bon Appetit staff.
- No alcoholic beverages may be removed from an event by anyone other than Bon Appetit staff. Event attendees may not take partially full open containers home with them.

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*Approved September 14, 2010*

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Last revised September 14, 2010

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Vice President and Treasurer

## Animals on Campus

**Definition:** Animal--for these purposes, any species that is not human.

**Applicable Public Law.** Any person bringing an animal(s) onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98.

**Animals in Buildings.** No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of College departments. Faculty, staff, or students may not pet-sit or invite an animal into College housing. The following are exempt from this policy because of their required long-term residential nature: Nutting House, Headley House, Headley Cottage, Hilton House, Seecomb, and all Hall Director apartments, currently located in Severance, Burton, Musser, Nourse, Watson, Evans, Myers, Parish, Cassat, and Goodhue.

**Animals on the Grounds.** Animals must be leashed and under the direct control of their owner. Animals running freely will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code. Animals that are tied up and unattended are not under the direct control of their owner and will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal feces must be picked up and properly disposed of by the associated owner.

**Service Animals.** Service animals are legally defined (Americans With Disabilities Act) and are trained to meet disability-related needs of their handlers. Federal laws protect the rights of individuals with disabilities to be accompanied by their service animals in public places.

**Public Safety.** Persons who wish to report violations of this policy may call Carleton College Security at x4444.

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Last revised July 1, 2009

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Facilities

## Campus Use by Unenrolled Students

The events and activities of the College exist for the benefit of enrolled students. Students who are not enrolled in the College but living in Northfield during a particular year or term are to be regarded as members of the local community and welcomed to the College as such, but they are not to take part in events, productions, trips, College services, etc., that are ordinarily reserved for Carleton students. Students on leave or withdrawn may stay in the residence halls only under the terms of our guest policy, which limits stays by custom to three or four days.

When a student is not enrolled, their OneCard account will retain any remaining Schiller's value, but other privileges will be deactivated. To review OneCard features, please see [OneCard Information Center](#) website.

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For [Students](#)

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Maintained by Dean of Students

## Civic Duty

### Jury Duty, Election Judging, American Red Cross

Regular employees called to jury duty or who serve as a volunteer as an Election Judge or for the American Red Cross will retain all rights and privileges as College employees while on such duty. Therefore, the College will supplement pay so that in total, employees will receive 100% of their regular salary. If paid for their services, employees are required to turn in the check they receive to the cashier in the Business Office. Employees may keep the portion of the check received for mileage. American Red Cross employees who have been requested to be certified disaster service volunteers, with the authorization of the employee's supervisor, may be granted a leave not to exceed ten working days in each fiscal year. The amount of Civic Duty pay is calculated based on the employee's budgeted weekly hours. Employees must notify their immediate supervisor at least two weeks prior to their need to use this leave. Questions on eligibility should be directed to Human Resources.

### Subpoenaed Employee

An employee subpoenaed to appear on behalf of the College in court during work hours will be paid for his or her normal scheduled work hours. Time off

for subpoenas by other entities is unpaid; however, a staff member may use accrued vacation or floating holiday time to cover the absence.

## Voting

Employees who are not able to vote outside of their work hours are permitted paid leave for the time necessary to appear at the employee's polling place, cast a ballot, and return to work on the day of the election. Elections covered are state primaries, general elections, United States Senator/Representative or State Senator/Representative.

Hours used for the above should be noted in Web Time Entry as Civic Duty under the "Other Time Types" drop down.

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Last revised July 13, 2012

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For [Staff](#)

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Maintained by Human Resources

## Common Time

During academic terms, time set aside over the lunch hour on Tuesday and Thursday is designated as "Common Time." Appropriate uses of Common Time include:

1. All-campus events (e.g., LTC events, guest speakers, recitals);
2. Programs related to convocations (e.g., discussion groups prior to or following a convo speaker);
3. Departmentally-based events (e.g., comps talks and other student presentations, a faculty forum, brown bag lunches for faculty and students);
4. Committees or other groups that meet only on an ad hoc basis, irregularly or only for a single term (e.g., department review committees, task forces and subcommittees that meet only periodically);
5. Lunch, socializing, advising, independent study meetings, etc.

Common Time should not be used for:

1. Required class meetings or required class-related activities;
2. Regularly scheduled departmental, administrative or committee meetings;
3. Regularly scheduled meetings of faculty or staff members with

students (e.g., weekly meetings between supervisors and student language assistants, regular meetings between residential life staff and RAs).

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of the College Office

## Community Standards Policy

At Carleton College we celebrate both individuality and a strong sense of shared community values. Students who enter this academic and social community make a commitment to healthy exchanges of ideas and acknowledge that living in a community requires tolerance, compromise, and sensitivity to others. It is important to treat others with respect, dignity and understanding in order to create a community where civility is valued. At times each student will have to renegotiate personal boundaries and fit individual freedoms into the broader context of responsibility to the student community and the values of the College. In addition, Carleton College is not an isolated sanctuary apart from the rest of society. Consequently, all students are subject to local, state, and federal law, as are other residents of Northfield, MN.

The values, policies and procedures described below have been developed through participatory governance, including the approval of College Council and the Carleton College Board of Trustees. They reflect the continuing, actively renewed consensus of the College community.

### I. Carleton's Values

#### A. Student Development

Students are recognized as adults and therefore should receive the respect and assume the responsibilities that come with this status. The journey from late adolescence to adulthood is not a linear progression. It is an exciting, confusing, and stressful developmental process unique to each individual. The mission of the College is "to liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives." In that spirit, students are routinely challenged in the classroom and in their daily lives to test boundaries, take risks, and stretch themselves. Over time, all students engage in a wide range of developmental tasks, including:



- Enhancing academic skills.
- Defining and re-defining educational and career goals.
- Formulating personal identity.
- Adjusting to community/group living.
- Developing appropriate self-management, health, and wellness skills.
- Analyzing, forming or confirming values.
- Developing a mature style of relating to others and exploring interpersonal relationships.
- Accepting the consequences of ones actions.
- Understanding and developing appreciation for cultural and lifestyle differences.
- Developing a sense of fairness and compromise.
- Developing skills to work effectively in groups and participate in an enterprise larger than oneself.

## B. **Self-Governance and Personal Freedom**

Fundamental to a Carleton experience is the value of self-governance. Most students come directly from home and secondary school environments that are much more structured than life at Carleton. Personal freedom is both an opportunity and a challenge. In the exercise of personal choices, students assume certain responsibilities:

- Taking ownership of their actions and expressions of opinion.
- Insuring that their actions or the actions of others do not infringe upon the rights of others or the fundamental integrity of the living and learning environment.
- Respecting the rights of others to the same freedom of expression claimed for themselves.

The College does not police its students nor act in *loco parentis*. We do, however, observe and respond to student behavior, and offer guidance, advice, and counsel to assist students in making good decisions for themselves and for the community. We expect students to comply with the community values, standards, and expectations set forth in this policy. At times we intervene in the lives of students to assist in setting boundaries, especially for those who are unable or unwilling to exercise

personal freedom responsibly.

### **C. A Safe and Healthy Living-Learning Community**

Carleton College has a deep commitment to providing a safe and secure environment, in which students can live, learn, work and pursue their interests. Threats to personal safety, compromises of the learning environment, and disruptions of students' rights to live with a reasonable degree of peace are cause for concern and intervention.

### **D. Academic Freedom**

As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College therefore also embraces the related principle that all members of its community shall have access to its educational facilities, activities, information resources, and employment without regard to race, color, creed, religion, sex, national origin, marital status, sexual orientation, status with regard to public assistance, age, or disability. These principles guide the College's relationships with individuals and should guide the interaction of all members of the community.

#### **1. Open Discourse**

A diverse student body, faculty, and staff participating in a learning community of civil and open discourse provide the most productive environment for genuine liberal learning. Carleton recognizes and affirms the desirability for individuals to have the support of others who share their backgrounds or values, as well as the concomitant necessity for each person to take the risks, and accept the challenges inherent in engaging in genuinely open conversation with others who are different from oneself.

#### **2. The Educational Process**

Although the College attempts through its policies to limit or eliminate certain behaviors and actions that may be hurtful to others, Carleton cannot guarantee that the environment will always be comfortable for all members of

the community. Often, the educational process is disturbing and unsettling. When one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that teachers and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

### 3. **Civility**

All discourse, as well as treatment of individuals--in offices, classrooms, residences, or any other setting or mode of communication--should be respectful of the individual, whether or not there is disagreement on matters of substance, taste, politics, or evidence. Creating and sustaining a climate of civility in an institution of voluntary membership is the responsibility of each individual.

### 4. **Freedom from Discrimination**

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion of the widest range of opinions, it does not provide license for bigotry in the form of demeaning, discriminatory speech or actions. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message--by the very nature of its delivery--is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is in a position of power with respect to the second,

whether in the academic, administrative, political, or social hierarchy on the campus.

## II. **Student Conduct: Expectations, Rules, and Regulations**

Carleton accords students the opportunity to learn about life, to challenge their own values and the ideas and values of others, and, in so doing, to become responsible members of the College community. While the College imposes no specific moral standard or creed on its students, each student is responsible for living up to the values cited above and the policies, rules, and regulations detailed below. Failure to do so may result in disciplinary action.

The expectations, rules and regulations for Carleton College students and the policies detailed below pertain to students on and off campus, while participating in College programs and activities, domestic or international. Student behavior occurring anywhere other than on property owned or rented by Carleton will be of concern to the College if, in the judgment of the Dean of Students, there is sufficient information to determine that the behavior alleged would adversely and seriously affect the student's suitability as a member of the College community.

When any violation of College policy, rule or regulation is motivated by intolerance or hate directed toward an individual or group based on characteristics such as race, color, national origin, gender, sexual orientation, or political or religious belief, the sanction administered by the appropriate administrative officer or hearing board will be increased in severity and may include separation from the College.

### A. **Academic Honesty and Personal Integrity**

We expect students to do their own academic work and to be honest and truthful in their interactions with College officials.

The following actions are prohibited:

1. Cheating, plagiarism, accessing unauthorized materials, sharing information on any exam with others before the end of all final exams, abuse of library or other instructional materials, misuse of library privileges, and unlawful duplication and/or distribution of copyrighted materials.
2. Knowingly furnishing false information to the College with intent to deceive or defraud.

3. Forgery; alteration or misuse of documents, records or identification.

## B. Responsibilities to the College

We expect students to conduct themselves reasonably and appropriately, on and off-campus. This includes respectful responses to College officials, appropriate use of College facilities, and compliance with sanctions applied through established judicial procedures. The following conduct is prohibited:

- Intentional obstruction or disruption of teaching, research, administration, disciplinary proceedings or other College activities.
- Disorderly, overly aggressive, or obscene conduct, or breach of peace on College-owned or leased property or at College-sponsored or supervised functions.
- Refusal to comply with the directions of a College official or hindering an official acting in the performance of his/her duties.
- Unauthorized use of college facilities, including but not limited to:
  1. Unauthorized access to or use of buildings and other facilities such as tunnels, roofs, the water tower, and elevators.
  2. Improper possession, use, or duplication of keys or keycards; abuse of the card access system.
  3. Unauthorized access to computers, computer systems or computer accounts; deliberately attempting to disrupt the performance of a computer system/network; infringement of copyrights or license agreements; forging e-mails; illegal copying of software; breaking in or attempting to break into the College's or another person's system; stealing passwords or using the computing system to harass others.
- Attempted or actual theft or damage to College property.
- Misappropriation of College or student organization funds; tampering with a student government election or selection process.
- Failure to observe sanctions applied through established

judicial process.

- Conduct which adversely and seriously affects the student's suitability as a member of the College community

### **C. Respect for Individuals and Personal Property**

We expect students to treat all members of the College community with care, respect and dignity. The following conduct is prohibited:

- Physical, verbal or psychological abuse, harassment, intimidation or other conduct (whether willful or negligent) that threatens or endangers the health, well being, or safety of oneself or of any person on College-owned or leased property, or at College-sponsored or supervised functions.
- Sexual misconduct, including sexual assault, sexual harassment, or sexually inappropriate behavior. (See Policies Against Sexual Misconduct)
- Hazing, defined as an act which endangers the mental or physical health or safety of a student, or which destroys or removes public or private property, for the purpose of initiation, admission into, affiliation with, or as a condition for continued membership in a group or an organization.
- Attempted or actual theft of or damage to personal property.

### **D. Health, Safety, and the Law**

Students are expected to make sound decisions regarding the health and safety of themselves and others and to comply with laws applicable to all residents of Northfield. The following conduct is prohibited:

- Alcohol: The use of alcohol except as permitted by law; the abuse of alcohol by any student whether of legal age or not. (See the College Alcohol and Drug Policy.)
- Drugs: The use, possession, sale, transfer, distribution, manufacture or cultivation of any controlled substance, except prescription drugs used by the person for whom and for the purpose for which they were prescribed.
- Dangerous implements or materials: The use or

possession of explosives, firecrackers, firearms, BB guns, explosive materials, or knives with blades in excess of four inches on campus property. (The Dean of Students may permit a student to have a firearm on campus for hunting season, but such permission is discretionary with the Dean of Students. If permission is given, the firearm must be kept secured in the Security Office.)

- **Safety and Security:** Misusing or tampering with fire alarm systems, fire extinguishers, or other security equipment, or compromising any College security system. (See also Fire Safety in the Housing and Residential Living section.)

## **E. Compliance with College Policies**

Many programs and facilities have established policies and procedures that govern student behavior. Students are expected to comply with all written policies of the College, which include but are not limited to:

- Motor vehicle policy.
- Residential life policies.
- Computing and telecommunications policies.
- Library policies.
- Policies governing the use of recreational facilities and activities.
- Policies governing student organizations and club sports.
- Dining hall and meal plan policies.
- Smoking policy.
- Student records policy.

## **III. Responses to Alleged Violations of College Policy**

### **A. Executive Authority**

The President of the College (or his/her designee) has the obligation to attempt to assure the safety of individuals, the protection of property, the continuity of the educational process, or the preservation of the legal status of the College. In executing these obligations, the President (or his/her designee) is specifically empowered to determine the status of any student at any time. The President (or his /her designee) may remove

individuals from campus or prohibit individuals from being on campus and expel, suspend, or otherwise take action with respect to such individuals. If a student is expelled, suspended, withdrawn, or placed on leave of absence as a result of the exercise of executive authority, the terms upon which resumption of normal student status will be permitted, if any, will be stated at the time of the decision. In any case, no student will be expelled without the specific consent of the President of the College.

## **B. Informal Response**

The system of response to allegations of student misconduct is an educational one. The very nature of a residential college creates opportunities and challenges for young adults living in community, some for the first time. It is not unusual for young adults in this situation to, on occasion, exercise poor judgments, act insensitively or without thinking, or engage in inappropriate behaviors. Consequently, many minor incidents (e.g., excessive noise, roommate conflicts) are handled informally through conflict resolution, mediation, or simple agreements that the parties involved will cease and desist a certain conduct. Many minor incidents are resolved with the assistance of peer counselors or Student Life staff. Such cases usually do not result in official disciplinary records or sanctions, but may be introduced at a later date if patterns of unacceptable behavior emerge.

## **C. Formal Disciplinary Action**

When it is neither possible nor appropriate to resolve a conflict or disciplinary matter informally, the alleged violation is forwarded to the Dean of Students Office for action. There are three major categories of violations, each with a separate and distinct method of resolution: academic dishonesty, sexual misconduct, and social misconduct.

### **1. Reports and Investigations of Alleged Violations**

Any member of the Carleton College community may file a complaint. Incident reports are sent and complaints made to the Dean of Students Office or the appropriate office within Student Life. For issues of student-to-student



sexual misconduct, a complaint should be filed with the Complaint Process Coordinator. A staff member is then assigned to investigate the matter. Students named in the report or complaint are contacted and interviewed, and information gathered. As part of the investigation the staff member determines whether the alleged violation is an act of academic dishonesty, sexual misconduct, or a social misconduct, then proceeds as described below

## 2. **Administrative Resolution**

Once an investigation is complete, the investigative report is forwarded for action to one of three judicial authorities:

- a. Academic Dishonesty: The Subcommittee of the Academic Standing Committee (an Associate Dean of Students and an Associate Dean of the College).
- b. Sexual Misconduct: The Community Board on Sexual Misconduct (CBSM). For more information about the CBSM and the hearing process, see the [Sexual Misconduct Prevention and Response website](#).
- c. Social Misconduct: A designated member of Student Life staff (e.g., a member of the Residential Life staff).

The appropriate judicial authority determines whether a violation of college policy has occurred, based on a preponderance of evidence (i.e., whether it is more likely than not that a violation occurred). If a violation is found, sanctions are assigned (See III.C.5. below).

## 3. **Appeal Procedures**

Students found in violation through administrative resolution may appeal the finding of a violation or the sanctions assigned, or both, to the appropriate appeal authority, as described below, within seven (7) days of receipt of the original disciplinary decision:

### a. **For Academic Dishonesty**

The Academic Standing Committee (ASC) hears

appeals of decisions by the Subcommittee of ASC. The respondent may appeal the finding of a violation, sanction(s), or both.

1. Composition: Three students, appointed by the Carleton Student Association (CSA); four faculty appointed by the Faculty Affairs Committee (FAC); and four staff members (the Registrar, the Dean of Students or his/her designee, an Associate Dean of the College, and one staff member appointed by the President). The Chair of ASC (a faculty member appointed to the Committee) serves as Hearing Officer.
2. Appeal of decisions by the ASC: The respondent may appeal decisions of the ASC only on the basis of new information or a claim of violation of due process. The Dean of Students and Hearing Officer determine whether the ASC re-hears the case.

**b. For Sexual Misconduct**

Either party has the right to appeal the decision of the Community Board on Sexual Misconduct (CBSM) Panel. The purpose of an appeal is to review the adjudication process. Appeals are accepted on the basis of one or more of the following:

1. procedural errors that may have substantially impacted the final decision;
2. relevant new information that was not available at the time of the hearing, and would have substantially affected the Panel's decision;
3. sanctions that are substantially inconsistent with past institutional responses.

The right of appeal is contingent upon participation in the investigative and hearing process. An appeal must be made in writing to the Complaint Coordinator within five business days of the date that the party receives written notification of the

Panel's decision and imposed sanctions.

An appeal will generally follow this process for review:

1. A student will submit a written appeal indicating on what grounds they are appealing to the Complaint Process Coordinator within 5 business days of the date that the party receives written notification of the Panel's decision and sanctions.
2. The Coordinator will communicate the appeal to the VP Dean of Students (or the VP designated to review the appeal), the Chair of the CBSM, and the other student(s) involved in the complaint.
3. The appealing student will meet with the Coordinator and the VP reviewing the appeal.
4. The Chair of the CBSM will submit to the VP an informational response to the appeal, detailing the Panel's procedures and decision-making process with regards to the issue being appealed. The VP may meet with the Chair to discuss.
5. The VP may deny the appeal, affirm the Panel's decision, alter the Panel's decision (in respect of determinations and/or sanctions), or return the case to the CBSM for further process.
6. The VP will then notify both parties in writing as to her/his determination, or her/his decision to return the case to the CBSM.

The VP will act upon a written appeal within a reasonable time, normally five business days after receipt of the appeal. Decisions of the VP are the final institutional response and may not be appealed.

### c. **For Social Misconduct**

The Judicial Hearing Board (JHB) hears appeals of decisions by the Dean of Students or his/her

delegate. The respondent may appeal the finding or sanction(s), or both.

1. Composition: Two students, appointed by the CSA; two faculty members appointed by the FAC (one of whom serves as the Hearing Officer); one staff member, appointed by the President. The Hearing Officer votes only to break a tie. Alternates: One hearing officer, two students, one faculty member, one staff member (appointed as above).
2. Appeals of decisions by the JHB. The respondent may appeal decisions of the JHB only on the basis of procedural error or new information. The Dean of Students and the Hearing Officer determine whether the JHB re-hears the case.

#### 4. **Hearing Process**

Each hearing board described above has written guidelines of hearing procedures, available from the Dean of Students Office. All parties are given a copy of the guidelines prior to a hearing. For information about the sexual misconduct complaint process and hearing procedures, see the [Sexual Misconduct Prevention and Response](#).

##### a. **Coordination of the Hearing**

The Dean of Students Office coordinates all hearings. The Dean of Students (or his/her delegate) will:

1. Prepare a formal charge on behalf of the College and provide written notification to the respondent of the charge.
2. Inform all parties of the time and location of the hearing. A hearing is scheduled within one week after the student has been notified of the charge or whenever is reasonable, given the availability of all parties and hearing board members. The Dean of Students will notify the respondent if the case cannot be heard within

a week of receipt of the charge letter. The respondent must attend the hearing.

3. Answer any questions and resolve issues regarding the hearing process.
4. Confirm the participation of hearing board members, including determining if any hearing board member has a conflict of interest or cannot otherwise attend the hearing. In such cases, alternates will be notified.
5. Attend to all organizational matters pertaining to the hearing, including providing copies of all written statements for participants and hearing board members.
6. Present the charge on behalf of the College.
7. Provide written notification to the respondent of the outcome of the hearing and of rights to appeal.
8. Oversee compliance with any sanctions.
9. Maintain student disciplinary records.

**b. Purpose of the Hearing**

To determine, based upon a preponderance of evidence, whether a violation of College policy occurred; and if so, to assign sanctions (see III.C.5 below). Preponderance of the evidence means it is more likely than not that a violation occurred. All procedural questions are subject to the final decision of the Hearing Officer. In hearings involving more than one accused student, the Dean of Students and the Hearing Officer will determine whether hearings are scheduled jointly or separately.

**c. Rights and Responsibilities of the Respondent**

1. To respond to allegations and offer testimony on the incident in question.
2. To call witnesses who can offer material testimony.
3. To present evidence pertinent to the case.

4. To question witnesses and challenge evidence.

d. **Advisors**

The respondent has the right to have in attendance at a hearing two advisors of his/her choosing. The role of advisors is to offer support and limited assistance in the hearing. The respondent is responsible for presenting his/her own case. Advisors may consult with and assist the respondent in doing so, but are not permitted to speak for or present the case on behalf of the student he/she is there to support.

In cases where the complainant is another student, the complainant has the right to advisors, as described above.

In cases of sexual misconduct, students will be provided with a trained Sexual Misconduct Support (SMS) Advisor. For more information, see the [Sexual Misconduct Prevention and Response](#) website.

e. **Hearing Board Decisions**

Once all testimony has been heard, the hearing is closed to all participants. The hearing board then deliberates to determine whether a violation has occurred, and, if so, to determine sanctions. The Hearing Officer presides. The determination shall be made on the basis of a preponderance of evidence. Hearing board decisions are reached by a majority vote. Decisions are communicated to the respondent at the conclusion of the deliberations. Written notification is provided as soon as possible. The decisions of hearing boards are final.

f. **Privacy and Confidentiality**

All hearings are private and confidential. Admission of any person to the hearing shall be at the discretion of the Hearing Officer.

## 5. Findings and Sanctions

The hearing officer or hearing board determines whether the respondent has violated a College policy. If there is a finding of a violation, sanctions are determined. Sanctions are meant to assign accountability and, ideally, to provide an opportunity for learning from mistakes. The following is a non-exhaustive list of possible sanctions, listed from minimum to maximum. In most cases first offenses of a minor nature will receive lesser sanctions than more serious violations and/or repeated offenses. The hearing officer or hearing board may modify or combine any of the options listed below, or determine its sanctions.

Disciplinary sanctions may be imposed upon groups and organizations as well as individuals. More than one sanction may be imposed at one time.

### a. Disciplinary Sanctions

1. Censure and Warning: Written notification that the student's behavior is unacceptable and that continuation or repetition of such conduct may result in more severe disciplinary action.
2. Disciplinary Probation: A written reprimand including a statement that any further violation of College policy may result in suspension or expulsion.
3. Interim Suspension: Immediate separation from the College for a period defined by the Dean of Students to:
  - a. insure safety of people and property.
  - b. ensure the safety and well-being of the respondent; or
  - c. prevent disruption or interference of normal operations of the College.
4. Suspension: Termination of a student's enrollment at the College for a specified period of time or indefinitely. This may also include restricting access to campus or College events during the suspension.

5. Expulsion: Permanent termination of enrollment, including no further access to campus or any College events without written approval from the Dean of Students.

**b. Additional Sanctions**

1. Restitution: Reimbursement for damage to or misappropriation of property. At the Dean's discretion, this may take the form of appropriate service or other compensation.
2. Service to the College community.
3. Chemical Health Assessment: Performed by a qualified chemical dependency counselor for the purpose of determining possible patterns of abuse. The chemical health professional may recommend a course of action. A student given this sanction may be required to sign a release allowing the counselor to communicate with and release information to the Dean of Students or his/her delegate. The Dean of Students or delegate may require the student to undergo treatment or behavior modification based on the recommendation of the chemical health professional.
4. Revocation of privileges: Exclusion from college housing, participation in extracurricular college activities or removal from other activities, including, for example, participation in an off-campus program.
5. Fines.

**IV. Disciplinary Records**

**DISCIPLINARY RECORD RETENTION**

Records of disciplinary action are maintained in the confidential Dean's Disciplinary File in the Office of the Dean of Students. Disciplinary records are part of the student's education record and are therefore subject to privacy protections under the College's Student Records Policy, as required by The Family Education and Privacy Act (FERPA).

Disciplinary actions may be taken by members of the Student Life staff



or one of the judicial boards (Academic Standing Committee, The Judicial Hearing Board, The Sexual Misconduct Review Board.). These written citations include a description of the specific violation of College policy and the resulting sanctions, which range from warnings to expulsion.

- Records of disciplinary status up to and including disciplinary probation are maintained in the Dean's Disciplinary File until graduation or until two years after withdrawal from the College. These records are not noted on the student's transcript.
- Records of disciplinary suspensions are maintained for five years after the student's separation from the College. Suspensions are coded "withdrew" on the academic transcript.
- Records of expulsion are maintained in the Dean's Disciplinary File for ten years after the student's separation from the College and recorded permanently on the student's academic transcript as "disciplinary dismissal."

Students have access to their own disciplinary records. The Dean of Students and staff have access on a "need-to-know" basis. Otherwise, records may be released to third parties only with written consent of the student.\* For further detail on the maintenance and disclosure of student records, see Student Records Policy.

\*In sexual misconduct cases, the complainant is also informed of the decision.

Disciplinary Record Retention revised and approved: College Council May 2003, Board of Trustees June 2003. Updated August 2012.

## V. **Parental Notification**

Though parental notification is permitted under law in most cases, the College prefers to communicate directly with students as adults. Customarily, the Dean of Students Office does not notify parents concerning policy violations that do not involve suspension or expulsion from the College. However, should a student receive a sanction that suggests that any future violation may lead to suspension, the Dean of Students has discretion to determine whether the student or a college official should notify parents about the student's status or other serious concerns.

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*Approved by Board of Trustees Executive Committee on June 20, 2002.*

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*Carleton's Values: Approved on April 8, 2003.*

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*Student Development: Approved on April 8, 2003.*

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*Self-Governance and Personal Freedom: Approved on April 8, 2003.*

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*A Safe and Healthy Living-Learning Community: Approved on April 8, 2003.*

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*Academic Freedom: Approved on April 8, 2003.*

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*Open Discourse: Approved on April 8, 2003.*

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*The Educational Process: Approved on April 8, 2003.*

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*Civility: Approved on April 8, 2003.*

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*Freedom from Discrimination: Approved on April 8, 2003.*

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*Student Conduct: Expectations, Rules, and Regulations: Approved on April 8, 2003.*

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*Academic Honesty and Personal Integrity: Approved on April 8, 2003.*

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*Responsibilities to the College: Approved on April 8, 2003.*

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*Respect for Individuals and Personal Property: Approved on April 8, 2003.*

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*Health, Safety, and the Law: Approved on April 8, 2003.*

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*Compliance with College Policies: Approved on April 8, 2003.*

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*Responses to Alleged Violations of College Policy: Approved on April 8, 2003.*

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*Executive Authority: Approved on April 8, 2003.*

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*Informal Response: Approved on April 8, 2003.*

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*Formal Disciplinary Action: Approved on April 8, 2003.*

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*Reports and Investigations of Alleged Violations: Approved on April 8, 2003.*

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*Administrative Resolution: Approved on April 8, 2003.*

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*Appeal Procedures: Approved on April 8, 2003.*

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*For Academic Dishonesty: Approved on April 8, 2003.*

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*For Sexual Misconduct: Approved on April 8, 2003.*

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*For Social Misconduct: Approved on April 8, 2003.*

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*Hearing Process: Approved on April 8, 2003.*

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*Coordination of the Hearing: Approved on April 8, 2003.*

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*Purpose of the Hearing: Approved on April 8, 2003.*

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*Rights and Responsibilities of the Respondent: Approved on April 8, 2003.*

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*Advisors: Approved on April 8, 2003.*

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*Hearing Board Decisions: Approved on April 8, 2003.*

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*Privacy and Confidentiality: Approved on April 8, 2003.*

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*Findings and Sanctions: Approved on April 8, 2003.*

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*Disciplinary Sanctions: Approved on April 8, 2003.*

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*Additional Sanctions: Approved on April 8, 2003.*

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*Disciplinary Records: Approved on April 8, 2003.*

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*Parental Notification: Approved on April 8, 2003.*

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For [Students](#)

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Maintained by Dean of Students

## **Contributing to Landscape Improvements and Maintenance**

The College welcomes gifts which will provide funding to improve or support

the maintenance of the campus, Cowling Arboretum, and other College-owned land. Proposed gifts for those purposes will be subject to the following policies and procedures.

1. The College strongly encourages donors to support operations and capital improvements through undesignated gifts, affording the College the greatest flexibility in applying funds to objects of the greatest need.
2. Designated gifts are appropriate in some circumstances but should provide support for existing needs, plans, intentions or programs.
  - Will be improvements rather than maintenance.
  - Will have a special or unique character.
  - Will provide opportunity for identification or recognition, if desired.
  - Will not be feasible to execute within the annual budget because other improvement and maintenance needs, of necessity, must be given higher priority
3. Projects will be selected from the list of current needs prepared by the Facilities staff and Development office. This list will be updated annually and will include the approximate cost of each project. Items and projects included typically:
4. Initial contact with the College and all proposals must be made through the Development Office, which also will coordinate project selection and gift arrangements. The Development Office will consult with the Facilities staff to determine feasibility and for preparation of plans, designs and cost estimates.
5. Donations for special projects or objects should provide funding for the entire project, from planning through acquisition and construction or installation, including the cost of professional consultation if required. Support of any kind that is to be provided by the College must be approved, in advance, in consultation with the affected departments.
6. Many projects will be subject to review and comment by the Campus Landscape Committee, acceptance of the Development Office in consultation with affected departments, and approval of the Vice President and Treasurer, the President of the College and the Board of Trustees.
7. The method and content of donor identification or inscription will be subject to approval of the Development Office in consultation with the Facilities Department, the President of the College and the Board of

Trustees.

8. The College retains the right, subject to approval by the Trustees, to alter, relocate or remove any and all trees, plants or landscape objects as the future needs of the College may dictate.
9. No human remains in any form shall be buried or interred at any memorial site.

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*December 14, 1989 by the Board of Trustees of Carleton College*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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Maintained by Development

## Cowling Arboretum

### Visiting the Arboretum

The Cowling Arboretum is open to public use year round. Visitors to the Arboretum are welcome, both from the Carleton community and beyond. To maintain the Arboretum for all, please follow these rules:

1. Bikes are allowed only on specifically designated trails in the Upper Arboretum (east of Hwy 19); no bike use is allowed in the Lower Arboretum (west of Hwy 19). Limiting biking is necessary to prevent erosion, especially on trails in lower lying areas where ground is too soft to support tires. Bikes are restricted from the Lower Arboretum because of ongoing studies by Carleton faculty and students, and to ensure that the Lower Arboretum remains an area for low impact activities. Bikes are not allowed while the trails are being groomed for skiing.
2. No motorized vehicles allowed, except for maintenance or emergency.
3. Because of the lack of sanitary facilities, the Arboretum is not open for camping.
4. Fires are not permitted except in specifically designated fire rings in the Upper Arboretum.
5. Dogs are welcome if on leash; all dog droppings must be removed.
6. Horses are not allowed anywhere in the Arboretum.
7. The Arboretum is a State Game Refuge, so there is no general hunting. [Archery hunting](#) is permitted by permit issued by Arboretum staff in order to control the deer population and reduce damage to trees and other vegetation.
8. Public use in the Lower Arboretum is restricted to the trails during the Archery Hunt between Thanksgiving and January 1st.

## **Athletic Events**

Organized athletic events, such as the running portion of a triathlon, require additional paperwork. Carleton student organizers should contact the Assistant Recreation Center Director for help with planning an event. Non-Carleton organizers of these events should contact the Campus Scheduling Coordinator in the Office of Campus Services.

## **Geocaching and Letterboxing**

Carleton welcomes geocaching and letterboxing both on campus and in the Arboretum. The following guidelines have been established to protect the natural features of the Arboretum, reduce user conflicts throughout College property, and provide a high quality experience for all visitors. Those searching for caches or letterboxes must follow campus and Arboretum visitor regulations. The following guidelines are in effect for anyone who wishes to place a cache or letterbox of any sort on College property.

1. Any placement of a cache or letterbox must receive prior approval from the Director of the Arboretum. You must provide the GPS coordinates (if a cache) as well as relative location to the nearest trail or building or features of the Arboretum (see campus and arboretum maps). Note that caches/letterboxes will not be permitted in areas with steep slopes, close to existing caches/letterboxes, where it may impact rare natural features or interfere with the College's athletic or other activities. Caches and letterboxes may not be placed in the vicinity of any college residence (dormitories or college-owned houses). You must state your caching/letterboxing alias as well as your real name and contact information, provide details on the cache/letterbox container you plan to use, the associated caching/letterboxing organization/web site, and any other specific information about the cache/letterbox. Caching/letterboxing websites are monitored by College personnel and any caches placed without authorization will be removed and an appropriate action taken.
2. Due to the growing popularity of these activities, no person will be permitted to place more than four caches on College property in order to allow others the ability to do so.
3. Once a cache is approved, it may not be relocated more than a few feet without obtaining further permission from the Director of the Arboretum.
4. Cache/letterboxing containers and contents may not be buried or submerged, but can be hidden in dry surface vegetation within reach of walkers on the ground without climbing or impacting the natural

habitat. You may not significantly re-arrange vegetation or dead vegetative material to hide the cache/letterbox.

5. Cache/letterboxing containers must be permanently labeled on the exterior to note that cache has been approved by Carleton College, the Arboretum phone number (507-222-4543) and the associated website/info source (e.g. "www.geocaching.com").
6. Caches must be monitored and maintained by the placer to insure accuracy, safety, and working condition of the cache.
7. Caches from organizations/websites that do not permit Carleton College to find and monitor a cache online will not be permitted (such as terracaching.com).
8. Please consider noting on your web listing that the cache was approved by Carleton College.
9. Carleton College accepts no responsibility or liability for any cache, and will not assist in the maintenance of a cache.

### **Group Use**

Group use of the Arboretum or McKnight Prairie is welcome, but groups of ten or more must register to avoid conflicts with other users and to protect natural resources. Class visits by K-12 or non-Carleton college age scholars, adult classes, athletic teams, recreational users, or scout troops are examples of group users who must register their visit. Group leaders should complete the group use registration form found on the [Arboretum website](#). Contact the Director of the Arboretum if you have questions about your group visit.

### **Research and Class Use Permits**

As an educational institution, Carleton College strongly encourages use of its lands for research, teaching, and student projects. To maintain natural areas for long-term use, it is necessary for projects to be carried out in ways that minimize disturbance. It is also important for Arboretum staff to know where ongoing research projects are located so that routine management activities (burning, mowing, clearing brush, etc.) do not impact study areas.

A permit is required for research projects (including class exercises) in the Arboretum or McKnight Prairie that include any of the following:

- flags or tags that will remain when the researcher is not present at the study site,
- collection of plants or plant parts, including seeds or tree cores,
- trapping or tagging of animals,

- introduction of living organisms,
- significant soil disturbance.

## **Weddings, Picnics, and Other Gatherings**

Several outdoor spaces in the Arboretum or adjacent to it such as the Council Ring, Hill of Three Oaks, or Monument Hill may be reserved for non-Carleton group use such as picnics, family reunions, or weddings. These reservations may not be made during the academic term. Reservations and paperwork are handled through the Office of Campus Services or may be found on the [Campus Scheduling website](#).

For additional questions or information about Cowling Arboretum, please see the [Arboretum website](#) or contact the Director of the Arboretum, [Nancy Braker](#), at 501-222-4543.

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Last revised April 17, 2013

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by The Cowling Arboretum

## **Drug-Free Workplace**

### **Introduction**

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### **Policy Requirements**

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### **Conditions**

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace by college employees is absolutely



prohibited.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### **Definitions**

#### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

#### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

#### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

### **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

### **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

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Last revised April 8, 1989

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Faculty Entertaining Students Program

Academic departmental budgets receive a special annual allocation to subsidize faculty-student interaction **outside the classroom**. These funds are intended to encourage faculty members and departments to think creatively about ways to engage with students outside the classroom in meaningful ways.

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Last revised August 30, 2012

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For [Faculty](#)

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Maintained by Business Office

## Freedom of Expression

Support of any cause by demonstration or other orderly means, including picketing and other forms of peaceful protest, is permitted on College premises so long as it does not disrupt the operation of the College, jeopardize its legal status, interfere with entrances to and exits from College facilities, interrupt classes, interfere with other normal day-to-day activities of the College, or cause damage to property. The College may call upon local law enforcement bodies to remedy violations covered by this paragraph. In addition, the College may choose to impose its own disciplinary sanctions.

Discussion and expression of all views relevant to the subject matter are permitted in the classroom, subject only to the responsibility of the instructor to conduct his or her course. It is expected that he or she will exercise that responsibility with reason and restraint and within the confines of academic freedom for students and faculty alike. See the Statement on Discrimination and Academic Freedom for further discussion of the College's position on these issues.

Students, groups, and campus organizations may invite and hear any person of their own choosing, subject only to the requirements for the use of College facilities.

No individual or group may prevent or attempt to prevent a student from interviewing on campus with any graduate or professional school or other legal employer desiring to recruit at the College.

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Office of the President

## Gifts on Behalf of the College

Gifts on behalf of the College to individuals are appropriate in a limited number of circumstances. Carleton College seeks to recognize individuals in an equitable manner with respect to use of College funds while complying with relevant federal guidelines.

Please notify the Office of College Relations at x4309 of births or deaths in an employee's immediate family including details such as the name and address of the employee, name and date of birth for newborn, memorial service or funeral arrangements and date of death. The College Relations staff appreciates your contact since your notification is the only means they have of learning of a birth, adoption, or death of a family member.

College Relations purchases and sends a baby gift to the parents of any child added to the Carleton community through birth or adoption. They also order a plant or floral arrangement and arrange for delivery upon notification of the death of an employee, Carleton retiree, or the death of an employee's spouse, child, or parent. This policy does not cover the loss of an employee's siblings or in-laws.

There are many other occasions, such as promotions or hospital stays, which are suitable for giving flowers or gifts. These occasions occur frequently and the expense to the College of contributing to all of these requests would be large. Therefore, flowers and gifts for events other than those listed in the paragraph above should be considered a personal expense for those in a department who wish to contribute.

**Gift Certificates and Gift Cards no matter how small their value are considered income by the IRS, and should be avoided.**

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For [Faculty](#), [Staff](#)

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Maintained by College Relations

## Hearing Procedures

The following guidelines are provided to assist Hearing Officers, hearing board members, and participants in judicial processes in understanding procedure. For a complete delineation of the values, standards, rules and procedures pertaining to student conduct, see [Community Standards Policy](#).

I. There are three Hearing Boards. These boards hear appeals of decisions by designated college officials or hearing body.

A. The Judicial Hearing Board: Hears appeals of decisions by the Dean of Students or his delegate for social violations.

B. The Sexual Misconduct Review Board (SMRB): Hears appeals of decisions made by the Dean of Students for violations of sexual misconduct policies.

C. The Academic Standing Committee: Hears appeals of decisions of the Subcommittee for Academic Standing Committee on all matters of academic dishonesty.

II. Preparation for the Hearing.

The Dean of Students Office, inclusive of the Residence Life Office, has responsibility for all administrative details for the hearing: issuing formal charges, notification of the hearing, arranging the hearing time and place, providing copies of all pertinent policies/procedures and investigative reports, written notification of decisions, and maintenance of disciplinary records. The Dean or his/her delegate will make all hearing arrangements, including provisions for audiotaping, the sequence of testimonies, which parties will remain in the hearing at all times, and other matters. Because details and circumstances surrounding individual cases vary, the Dean of Students Office, in consultation with the Hearing Officer, has the authority to make decisions pertaining to the organization of the hearing.

III. Pre-hearing

A. An appeal of a disciplinary decision and request for a hearing before the appropriate hearing board is filed with the Dean of Students Office.

B. The Dean of Students or his/her delegate meets with the appealing party to review procedure and gather pertinent information for the hearing, including whether the appealing party or others involved with the case have any substantive relational conflicts with any hearing board members.

Examples of such conflicts include but are not limited to: past or present close personal relationships, advising relationships between faculty and students, demonstrable concerns about personal bias or conflicts of interest. The Dean or his/her delegate determines if such conflicts exist; if so, alternates will serve on the hearing board.

C. The Dean of Students or his/her delegate notifies hearing board members of the appeal and determines a hearing time and place. In the case of relational or scheduling conflicts, the Dean contacts alternates to serve.

D. The Dean or his/her staff assembles all pertinent materials—statements, investigative reports, original disciplinary findings, etc.—for the hearing and distributes them to the appellant and other parties, as appropriate. In order to preserve confidentiality, hearing board members will be accorded opportunities to review all such materials in a private place prior to the hearing.

E. The Dean arranges a time for the hearing board to review procedures and materials that will be introduced at the hearing, including investigative reports and other testimonies.

F. The Dean reviews with the respondent, complainant, and other parties (e.g. witnesses) procedural guidelines and answer any questions. The Dean asks the respondent and complainant if they have substantive conflicts that preclude the participation of any of hearing board member and makes the necessary adjustments in such cases.

G. The Dean requests the names of the advisor (s) chosen by the respondent and complainants, and discusses the role of advisors in the hearing with each.

H. The Dean or his/her delegate presents the charge to the hearing board on behalf of the College.

IV. The Hearing: The purpose of the hearing is as follows:

- A. To hear an appeal of the dean's finding and/or sanctions from either or both parties.
- B. To allow the respondent and complainant to present written statements, testimonies, investigative reports, witnesses or other forms of evidence on their behalf.
- C. To allow the respondent, complainant, and hearing board members opportunities to challenge or examine further any evidence or testimonies, and to ask questions to clarify facts and understand differences of perspective.

- D. To provide the hearing board with complete information and adequate time to determine whether the Dean's decision was appropriate, and if not to determine for itself whether the respondent is in violation of a sexual misconduct policy, and if so, to determine appropriate sanctions.

IV. Procedure: The Hearing Officer presides at the hearing to insure an orderly, fair exchange of information and perspective. S/he has the discretion to allow questions and discussion at any point s/he deems appropriate, and to determine the order and sequence of testimonies and witnesses. The following is a basic guideline for the purpose of assisting the Hearing Officer in maintaining an orderly sequence, of insuring that all parties have an opportunity to be heard, and to hear testimonies and information presented.

- A. The Hearing Officer calls the meeting to order.
- B. The respondent and complainant are invited into the hearing. [In most cases, the complainant may be invited into the hearing from the outset and remain for the duration of the hearing. There may be circumstances, most typically in sexual misconduct cases, where the complainant chooses not to attend the hearing. This will be determined prior to the hearing. The respondent must attend the hearing].
- C. Introductions—each person invited into the hearing will be introduced to board members and other participants.
- D. The Hearing Officer states the purpose of the hearing: the challenge by one or both parties to the decision of the Dean.
- E. The Hearing Officer determines the sequence of testimony from the complainant and respondent. Each is accorded an opportunity to read or make a statement in regard to the finding and/or sanctions of the original decision.
- F. The Hearing Officer may call for an open discussion to clarify points of dispute.
- G. The Hearing Officer calls for testimonies from any witnesses. Questions and discussion of each witness follows.
- H. The Hearing Officer calls for any further information, evidence, questions or discussion from the complainant, respondent, and hearing board members.
- I. The Hearing Officer asks the complainant to make a closing statement.

**J.** The Hearing Officer asks the respondent for a closing statement.

**K.** The Hearing Officer closes the hearing. The Hearing Board goes into closed session to determine whether a violation of policy was committed, and if so, what sanctions are appropriate.

**L.** The Hearing Officer reports the outcome of the hearing verbally to the respondent and to the complainant.

**M.** The following day, or whenever reasonably practical, the Hearing Officer and Dean of Students Office provides a letter detailing the outcome of the hearing, signed by the Hearing Officer on behalf of the hearing board.

**N.** The Dean of Students Office has the responsibility for conveying to the respondent the written notification of the outcome, insuring compliance with the sanctions set forth by the hearing board, and maintaining the disciplinary record in accordance with the College Student Records policy.

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*Reviewed July 2008*

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For [Students](#)

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Maintained by Dean of Students

## **HIV Infection**

It is the policy of Carleton College, to the extent of its control and ability, to facilitate the prevention of HIV infection and the mitigation of its consequences to both infected and non-infected persons.

The College also recognizes that persons with HIV infection are often further afflicted with a public ignorance, fear, and stigma that does not attend to other, more contagious, diseases. Therefore, the College:

1. does not require HIV testing as a condition of admission or employment,
2. does not restrict the activities of those known to have HIV infection,
3. does not tolerate discrimination against or harassment of those with HIV infection,
4. considers those with HIV infection as included under the College's general policies with respect to disability, and
5. treats knowledge of HIV infection cases on campus with confidentiality.

This policy applies to all those employed by or enrolled in the College and is subject to laws in effect from time to time.

## Response and Procedures

### PREVENTION

Faculty, staff, and students share the responsibility to prevent the spread of HIV infection. The primary response to HIV infection must be education. This includes both those with the disease and those not afflicted with the disease. Education about HIV infection is not only central to prevention but also to creating a proper campus atmosphere free from discrimination and unwarranted fear. Human Resources, Health Service, the Office of the Dean of Students, and the Office of the Chaplain will assist in providing information regarding HIV infection to all members of the community and developing a plan for general education, identification of risk, and intervention. The Director of College Health has a particular opportunity to counsel and inform the College community on how to minimize the risk of spreading infection.

Current medical experience indicates that students and employees in the normal academic setting of classrooms, residence halls, student unions, gymnasiums, swimming pools, and other recreational facilities, and other common areas, do not face a significant risk from those with HIV infection. Therefore, the College will not restrict the normal activities of those with HIV infection. If in the judgment of the Director of College Health, however, a person with HIV infection is engaged in an activity that poses a significant risk to either the infected person or another member of the community, the Director will take appropriate action. If the College becomes aware of activity that poses a significant risk of exposure, the College also reserves the right, following appropriate medical consultation, to take whatever actions are, in its judgment, necessary or appropriate to protect either the infected person or another member of the community from exposure to infection. Both the College and the Director will act in accordance with current legal and ethical principles.

It is the responsibility of departmental managers, coaches, and laboratory supervisors, first, to ensure that employees or students engaged in activities under their supervision that might render people susceptible to the transmission of HIV have access to information concerning the nature of HIV transmission and how it relates to their specific jobs or activities and, second, to monitor their employees and students concerning use of any proper, established procedures for those jobs or activities.

### SUPPORT SERVICES

The College has support services through which concerned persons can receive counseling, assistance in locating and using social services, and referrals for further assistance, such as Health Service, Counseling Services, the Employee Assistance Program, Office of the Chaplain, etc.

### DISCRIMINATION



HIV infection is considered a disability under federal civil rights laws. This includes protection from harassment and provision of reasonable accommodation for education and employment. Refer to either the Student, Faculty, or Staff Handbook for the Statement of Non-Discrimination and the Statement on Discrimination and Academic Freedom.

### **CONFIDENTIALITY**

All information regarding HIV infection of students of employees will be considered confidential. Except as required by law, necessary to administer College benefit programs, or otherwise fulfill the legitimate obligations of the College, this information will be given out only to parties authorized by the specific, written permission of the HIV-infected employee or student. The duty of physicians and other health care providers to maintain the confidentiality of information may be superseded by their legal requirement to others in certain specific circumstances.

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*Adopted by the Board of Trustees on April 18, 1991.*

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Last revised April 18, 1991

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## **Ombuds Office**

The Ombuds office offers an impartial, objective alternative for resolution of work-related concerns. The Ombuds person will not advocate or represent any person or position. Rather, the Ombuds will support a fair process and adhere to the value of fair treatment, respect and civility.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## **Parking Regulations**

Security Services administers the motor vehicle policy for Carleton College. Faculty and staff should be familiar with the following regulations. Questions may be directed to the Transportation Coordinator in Security Services.

### **1. Registration**

- All faculty and staff motor vehicles to be parked on campus must be registered with Security Services.

- Motor vehicle registration is for two years, from September 1 through August 31.
- The registration process is not complete until the parking permit is properly displayed on the vehicle being registered.
- Security Services should be notified whenever a registered vehicle is traded or sold.
- Lost or stolen permits must be reported to Security Services immediately.
- Possession of a parking permit does **NOT** guarantee a parking space on campus.

## 2. Parking Permits

- Hang tag permits must be displayed from the rear view mirror of the registered vehicle.
- State issued handicapped permits or license plates will be honored.
- Individuals with a temporary handicap which limits mobility may apply for a temporary handicap permit through their physician and the MN Department of Motor Vehicle.
- Failure to properly display a valid permit may result in ticketing and will not be considered a valid excuse for dismissal of a parking fine.

## 3. Enforcement & Penalty

- Carleton College reserves the right to ticket and/or immobilize or tow any vehicle at owner's expense in violation of parking regulations.
- All campus parking and traffic regulations are enforced on a 24-hour basis with the exception of permit regulations. Permit enforcement shall be in effect Monday through Friday from 7:30 A.M. to 5:00 P.M.
- Any vehicle on which three (3) outstanding parking citations have been issued and not appealed or paid by the due date may be immobilized or towed at the owner's expense each time it is parked on College property.
- Drivers of towed or immobilized vehicles should contact Security Services to facilitate release of the vehicle. Immobilized vehicles shall remain "autoclamped" until the outstanding fine is paid or the Director of Security approves their release.
- Persistent violators may have their parking privileges revoked

for up to one (1) year.

- The fact that a person parks in violation of any law, ordinance or regulation and does not receive a citation, does not mean that the law, ordinance or regulation is no longer in effect.

#### 4. **Violations, Fines & Payments**

The following are parking violations:

- Failure to display a valid permit.
- Parked over time limit.
- Use of stolen/fraudulent/lost/altered parking permit.
- Parked where prohibited.
- Parked in visitor stall.
- Parked on sidewalk, lawn or boulevard.
- Parked along yellow curb.
- Parked in traffic lane, double parked, parked in or obstructing driveway.
- Parked over or outside stall lines.
- Parked within ten (10) feet of a hydrant.
- Parked in a fire lane.
- Parked in or obstructing a posted handicapped stall (MSA 169.346).

The speed limit on campus is 15 miles per hour.

The following fines will be assessed:

- \$100 for being parked in or obstructing a posted handicapped stall.
- \$25 for being parked in a fire land or within ten (10) feet of a hydrant.
- \$25 for the use of stolen, fraudulent, lost or altered parking permit.
- \$25 for any vehicle immobilized, plus applicable fine.
- \$15 for all other parking violations.

Parking citations shall be paid in person or mail to the Business Office within ten (10) working days after receipt of the violation.

Failure to pay a fine or appeal within ten (10) working days, will result in the fine being doubled.

#### 5. **Appeals**

- A parking citation may be appealed to the Director of Security within ten (10) days after receipt of the citation. Late appeals will not be accepted.
- A correctly filled out and issued parking citation is considered to be prima facie evidence that a violation has occurred. Therefore, an appeal must be based on the fact that the citation was issued contrary to Carleton College Parking Regulations.
- Lack of space shall NOT be considered a valid excuse for violation of established parking regulations.
- The decision of the Director of Security shall be final.

## 6. Neighborhood Parking

Out of respect for Northfield residents who live near the College, please avoid parking your vehicle on the city streets in the neighborhood adjacent to campus whenever possible.

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Last revised July 19, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Security

## Political Activity

College employees are entitled to freely participate, off-hours, in the election process: However, the College, due to its tax-exempt status, is prohibited from engaging in certain types of political activity. It is particularly important that we are thoughtful about these issues during the election season. The ramifications of engaging in prohibited election activity include the imposition of excise taxes and loss of the College's tax-exempt status. *Please note that this policy does not apply to established student groups, such as the College Democrats and Republicans, who may use institutional facilities for partisan political purposes.*

Whether an educational institution has engaged in prohibited political activity depends on all of the particular facts and circumstances: For example, while it has been considered permissible to sponsor a forum to educate voters, no preference for or against a particular candidate may be shown. Candidates may speak on campus so long as all legally qualified candidates are provided access on an equal basis. Non-partisan voter registration drives have also been deemed acceptable.

Employees may not use College resources, including e-mail, computers, telephones, or fax or photocopying equipment, to work for or endorse a

candidate, political party, or political action committee. The College may not “participate” or “intervene” in a campaign of any candidate for public office; endorse, expressly or impliedly, a candidate for public office; sponsor events to advance the candidacy of a particular candidate; invite employees to candidate events; publish ratings of candidates; or comment on actions, statements, or positions taken by candidates.

Again, utilization of Carleton resources is prohibited, as are public statements by officials where there is a risk that the statement could be attributed to the College.

The IRS has released guidance to tax exempt organizations regarding the facts and circumstances it considers when deciding whether a charitable organization has engaged in prohibited political activity in [Revenue Ruling 2007-41](#). The American Council on Education has provided [additional guidance](#).

If you have any questions or concerns about this policy, please contact Fred Rogers in the Treasurer’s Office at [frogers@carleton.edu](mailto:frogers@carleton.edu) or extension 5411.

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September 8, 2008

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Vice President and Treasurer

## Release of Constituent/Alumni Information

Contact the Following Offices with Questions:

**Alumni**                      **Central Records x4721 or Alumni Relations x4205**

**Students**                      **Registrar x4289**

**International Students**                      **International Student Programs x5937**

**Parents**    **Central Records x4721**

**Faculty/Staff**    **Human Resources x4172**

**ALUMNI (Note: refers to both graduates, non-graduates and special students)**

Carleton College will release “directory” information (addresses, phones, e-mail, class year) only **to alumni**. Before responding, staff must refer to Advance database to determine if there is an Alert on the alum’s record.

Carleton College will respect the wishes of all alumni who request that no Directory information be released about them to anyone. Staff receiving

such requests should forward the directive to Central Records staff for appropriate action.

No information regarding alumni will be given **to non-alumni** unless:

1. it is official government business;
2. another educational institution requests such information to locate one of their alumni; or,
3. a non-alumnus sends to the Alumni Affairs or Central Records offices a note, fax or e-mail message that includes the non-alum's name and mailing address. Staff will forward the message to the alum in question. Contact with the non-alumnus then will be at the initiative of the alumnus.

Requests by an alumnus for a large number of addresses should be submitted in writing and will be fulfilled at the discretion of the Director of Alumni Relations.

To protect alumni from unwanted business solicitations or from a large amount of inappropriate contact, no class, geographic, professional or other lists will be distributed unless:

1. the alumnus is serving the College in an approved volunteer capacity (i.e., as a club chair, class agent, admissions representative, reunion committee volunteer or careers coordinator);
2. as part of alumni career networking under the direction of the Director of the Career Center; or,
3. with the permission of the Director of Alumni Relations.

Information release restrictions determined by an alumnus for any and all on-line alumni directories will apply to all print alumni directories.

Constituent labels will not be sent to non-staff. All special mailings to alumni must be approved by the Director of Alumni Relations. Upon approval, labels should be requested from Central Records (x4496).

Call reports are for internal use only by members of the division of External Relations and the President. They may not be copied for use by any College volunteer, including trustees.

College volunteers should receive only the prospect and donor information they need to perform their College-related duties.

## **STUDENTS**

Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except certain information that may be revealed with the consent of the students or as otherwise permitted by law.

Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

- a. a student's name
- b. permanent and local college addresses
- c. all telephone numbers of record
- d. date and place of birth
- e. major field of study and concentration
- f. participation in officially recognized activities and sports
- g. weight and height of members of athletic teams
- h. dates of attendance
- i. degrees and awards received
- j. most recent previous school attended
- k. photograph
- l. class year
- m. e-mail address

Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the Dean of Students. (Adopted by the board of Trustees, June 17, 1993, upon recommendation of the College Council.) Before responding to requests for student directory information, staff must refer to the Colleague database or the on-line directory (<http://www.sysnet.carleton.edu/esearch>) to determine if information can be released.

For detailed information on Carleton policy for the release of education records to third parties see

<http://www.carleton.edu/campus/DOS/standards20.html#disclosure>.

Questions about international students should be directed to the Director of International Student Programs (x5937).

### **CURRENT PARENTS**

No information regarding parents of current students is to be released. Please contact the Registrar with questions (x4289).

### **PAST PARENTS**

No information regarding parents of past students is to be released. Please contact the Registrar with questions (x4289).

### **FACULTY/STAFF**

Upon request, you may provide:

- job title
- on-campus telephone number
- Carleton e-mail address

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Last revised July 26, 2012

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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Maintained by Central Records

## **Sexual Misconduct**

The **Policies Against Sexual Misconduct** include the *Policy Against Sexual Assault*, the *Policy Against Sexual Harassment* and the *Policy Against Sexually Inappropriate Conduct*.

## **Definitions**

**Consent:** Consent means the mutual understanding of words or actions freely and actively given by two informed people, which a reasonable person would interpret as a willingness to participate in mutually agreed upon sexual activity. Consent is not effective if it results from the use of physical force, there is intimidation or coercion, or the recipient party is incapacitated, or if a person is under the influence of drugs or alcohol such that they lack necessary judgment to give consent to sexual activity. Silence or non-communication should never be interpreted as effective consent.

**Incapacitated Sex:** Sexual Contact with an Incapacitated Person:  
Incapacitation is the physical and/or mental inability to make informed,



rational judgments. To have sexual contact with someone whom you know to be, or should know to be incapable of making a rational, reasonable decision due to his or her consumption of substances, in other words, unable to give effective consent, is a violation of policy.

**Sexual Contact:** Sexual contact includes but is not limited to: sexual intercourse, penetration of an orifice (anal, oral or vaginal) with the penis, finger, or other object in a sexual manner, intentional touching of the genitals, buttocks, or breasts, or coercion to force someone else to touch one's genitals, buttocks, or breasts. Sexual contact can occur over clothing.

**Sexual Exploitation:** Acts committed by a person for sexual gratification, financial gain and/or advancement, entertainment, or for any other reason that abuses or exploits the privacy of another person's sexuality. Examples may include but are not limited to: non-consensual recording of sexual activity or nudity, unauthorized presentation or distribution of said recordings in any form, allowing others to observe a sexual act without the knowledge or consent of the individuals involved, or prostituting another person.

## I. Policy Against Sexual Assault

### Policy Statement

Carleton College prohibits sexual assault or sexual violence in any form, including non-stranger rape. When sexual assault or sexual violence occurs at Carleton, the standards of the community—as well as the criminal laws of the state of Minnesota—are violated. The goals of this policy are to create a community free of sexual assault, to provide avenues for those affected by sexual misconduct to obtain assistance, and to provide a clear and fair complaint and investigation procedure.

Sexual assault committed in connection with any College program, whether on or off campus, is prohibited. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

Carleton College strongly recommends that people who believe they have been victims of sexual assault pursue criminal charges against the person or persons they believe to have committed the sexual assault. Victims are also urged to make a complaint to the College. A criminal charge and an internal complaint can be pursued at the same

time. Retaliation against anyone involved in the complaint process or anyone who pursues legal action—including the complainant, the respondent, or anyone participating in the investigation—is prohibited and will not be tolerated.

Students, faculty members, and staff members should understand that apparently consensual sexual relationships, particularly those between individuals of unequal status, may be or become a violation of this policy. Anyone who engages in a sexual relationship with a person over whom he or she has any degree of power or authority must understand that the validity of the consent involved can and may be questioned. The College particularly recognizes the abuse potentially inherent in sexual relationships between faculty members and students and between staff supervisors and their student employees. (See “Statement on Consensual Relations,” Carleton College Faculty Handbook and Staff Handbook.)

### **Definition of Sexual Assault**

Sexual assault is intentional sexual contact with another person without that person’s consent (see definitions of sexual contact and consent). Consent exists when a person freely and knowingly agrees at the time to participate in a particular sexual act with a particular person. Consent is not effective, for example, when force, threat, or coercion is used. Consent is not effective when sexual contact is with a person who is unable to say no or otherwise resist because of the use of alcohol or drugs or because he or she is asleep or unconscious (see definition of incapacitated sex).

The initiator of sexual contact will be found in violation of this policy if it is determined that he or she knew or should have known that the other person could not give effective consent as defined by this policy. Being intoxicated or under the influence of any substance at the time of sexual contact is never an excuse for violation of this policy.

Sexual assault can be committed by a man or a woman against a person of the same or opposite sex. Sexual assault can be committed by current or former lovers, friends, or acquaintances.

## **II. Policy Against Sexual Harassment**

### **Policy Statement**

Carleton College will not tolerate sexual harassment in any form. When sexual harassment occurs at Carleton, the standards of the community are violated.

The goal of this policy is to create a community free of sexual harassment.

Sexual harassment committed in connection with any College program, on or off campus, is prohibited. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

A violation of the Carleton College Sexual Harassment Policy also may be a violation of state and federal law. Therefore, individuals who feel they have been sexually harassed may have the right to bring legal action, in addition to making a complaint to the College. Legal action and an internal complaint can be pursued at the same time. Retaliation against anyone involved in the complaint process or anyone who pursues legal action—including the complainant, the respondent, or anyone participating in the investigation—is prohibited.

Students, faculty members, and staff members must understand that apparently consensual sexual relationships, particularly those between individuals of unequal status, may be or become a violation of this policy. Anyone who engages in a sexual relationship with a person over whom he or she has any degree of power or authority must understand that the validity of the consent involved can and may be questioned. The College particularly recognizes the abuse potentially inherent in sexual relationships between faculty members and students and between staff supervisors and their student employees. (See “Statement on Consensual Relations,” Carleton College Faculty Handbook and Staff Handbook.)

The essential importance of academic freedom is recognized, and a standard of reasonableness will guide the College. A claim of academic freedom is not a defense to actions intended to harass or actions which would be understood to be harassing by a reasonable person. Carleton College believes that ideas, creativity, and free expression thrive—and indeed can only exist for students, faculty members, and staff members—in an atmosphere free of sexual harassment or coercion.

### **Definition of Sexual Harassment**

Sexual harassment under this policy includes unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact, or other verbal or physical conduct or communication of a sexual nature when:

1. Submission to that conduct or communication is made a term or

- condition, either explicitly or implicitly, of obtaining employment or education; or
2. Submission to or rejection of that conduct or communication by an individual is used as a factor in decisions affecting that individual's employment or education; or
  3. That conduct or communication has the purpose or effect of substantially interfering with an individual's employment or education, or of creating an intimidating, hostile, or offensive employment or educational environment.

For purposes of this definition, communication may be oral, written, or electronically transmitted.

Stalking is a form of sexual harassment. Stalking may include persistent attempts to contact the person by phone, electronic communication, or regular mail; vandalizing the person's property or leaving unwanted items for the person; and/or constantly appearing at the person's classroom, residence, or workplace without permission.

Sexual harassment can be committed by a man, a woman, or a group of people against a person or persons of the same or opposite sex. Sexual harassment can be committed by friends, acquaintances, classmates, supervisors, co-workers, faculty members, and/or any other person. Acts of sexual harassment may or may not be directed at a specific person. The use of alcohol or drugs by any party will not diminish the responsibility for sexual harassment under this policy.

### **III. Policy Against Sexually Inappropriate Conduct**

#### **Policy Statement**

Carleton College prohibits sexually inappropriate conduct in any form. When sexually inappropriate conduct occurs at Carleton, the standards of the community are violated. The goal of this policy is to create a community free of sexually inappropriate conduct.

Sexually inappropriate conduct committed in connection with any College program, whether on or off campus, is prohibited. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

Individuals who feel they have been the victims of sexually inappropriate conduct have the right to make a complaint to the College. Retaliation against anyone involved in the complaint process or anyone who pursues legal action—including the complainant, the

respondent, or anyone participating in the investigation—is prohibited.

### **Definition of Sexually Inappropriate Conduct**

Sexually inappropriate conduct includes unwelcome sexual conduct that may not rise to the level of sexual harassment but is still sexual in nature. For example, conduct that may be considered to be sexually inappropriate conduct may be an isolated occurrence or not sufficiently serious to be considered sexual harassment under this policy. Sexually inappropriate conduct may include, but is not limited to, crude, obscene, or sexually offensive gestures or unwelcome sexual comments or communication. For purposes of this definition, communication may be oral, written, or electronically transmitted. Depending on the circumstances, this type of conduct can also be considered sexual harassment.

Sexually inappropriate conduct can be committed by a man, woman, or a group of individuals against a person or persons of the same or opposite sex. Sexually inappropriate conduct may or may not be directed at a specific person in order for a violation to occur. The use of alcohol or drugs by any party will not diminish responsibility for sexually inappropriate conduct under this policy.

### **Consensual Relations**

The well-being of the learning and teaching community at Carleton College depends upon the existence of a relationship of trust, respect, and fairness between the staff and the students. Romantic and/or sexual relations, even if consensual, between staff members and their students (those whom they currently supervise, coach, advise, teach, or evaluate in any way) violate the integrity of the student/staff relationship as described above. Such relations are therefore prohibited by the College and constitute grounds for disciplinary action up to and including dismissal.

Because any romantic and/or sexual relationship between a staff member and student, or between a staff member and any person he or she may supervise has the potential to jeopardize the quality of the academic, living or working environment of the community, the College strongly discourages such relations. The College will therefore take appropriate disciplinary action (up to and including dismissal) should such a relationship be found to undermine the trust, respect, and fairness that are central to the success of Carleton's educational mission.

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For [Faculty](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Dean of Students

## Staff Guidelines on Committee Participation

### Introduction

The officers of the College determine the need for committees to explore specific topics or issues and develop the appropriate group structure. By doing so, they specifically and tacitly send the message that committee participation is doing the work of the College.

It is important to emphasize the positive impact of the individual's participation in committee work, both to the individual and the College. The College benefits by having a large number of willing and interested staff from which to choose committee participants and from the knowledge they bring to the group process.

Individual staff participants are able to contribute to the college in a meaningful way, often on matters of interest not directly related to their jobs, and develop a new dimension to their sense of belonging and their ability to make a difference. It is essential that the individual staff participant communicate with one's supervisor and assist in determining work schedules and assignments in conjunction with the participant's work, the work of others, and the effective progress of the department's work.

Obtaining prior approval from your supervisor is essential for successful committee involvement on the part of the individual staff participant, the College and department operations. Continued communication with one's supervisor and co-workers can help prevent work-stress problems. Communication can also promote equitable committee participation among staff members within a department and consistent work priorities.

### **Balance Work Load and Committee Assignments: Assessment Questions for Staff and Supervisors:**

Staff participation on committees should be evaluated in order to assess the impact participation will have on the participant's workload, the workload of others, and daily operations. The amount of work that may need to be delayed, reassigned, or eliminated needs to be identified and evaluated. Schedule changes may be required for the participant or others. Such changes would need to be reviewed for budget and legal FLSA (Fair Labor Standards Act) impact and compliance.\*

The staff participant and supervisor should discuss these and any other

pertinent topics. The following is provided as an aid in evaluating what effects, if any, staff participation on committees will have on the department:

1. In what other committee assignments is this staff member currently active?
2. Will a change in work schedule be likely or necessary, since this is paid work time? If not, is flexible time during the same week available?
3. Will staff coverage for the department be affected? How? What is the solution?
4. What adjustments in work assignments or deadlines may need to be made? Which work deadlines cannot be adjusted?
5. Will committee participation result in reassignment of work to others? What? To whom?
6. What is the expected meeting time commitment?

\*The supervisor needs to view any operational solutions in terms of the impact on the budget and the provisions of the Fair Labor Standards Act (FLSA). The department's budget will be affected if the staff member is subject to the provisions for the FLSA (at Carleton this is defined as employees who are paid on a bi-weekly basis) and a schedule change results in added hours to a part-time work schedule or the added hours result in overtime pay (hours worked in excess of 40 in any one work week). It is important to note that paid time off, in lieu of working more than eight hours per day, must be taken in the same work week in which the additional hours per day are worked. If the staff member works more than 40 hours per week, overtime will be paid for the hours worked over 40. If the staff member is not subject to the FLSA (at Carleton this is defined as employees who are paid on a monthly basis), there will be no budget impact, but workloads and deadlines should still be reviewed as suggested above.

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*As recommended by the "Committee on Committees" group - June 2006.*

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Last revised May 6, 1999

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For [Staff](#)

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Maintained by Human Resources

## **Staff Relations-Student & Inter-Departmental**

## **Inter-departmental Staff Relations**

Employees of the College by their actions and attitudes do much to interpret the College to the general public. Each year many visitors to the College depend on employees for information and assistance in locating persons or places on campus. Visitors frequently comment about the friendly way they are welcomed as they arrive at Carleton, and it is hoped that the good name of the College will continue to be improved by such courteous treatment of guests. In answering questions and giving directions, it should be kept in mind that the online campus directory is an excellent source of information regarding people, departments, and places on the campus. Those with whom the public comes in contact personally and over the telephone have an added responsibility to be pleasant and courteous in their attitude and conversations. Many times the institution is judged in a positive or negative way by the manner in which an employee greets a visitor on the campus or by the inflection of a voice over the telephone. Please keep in mind that the character and personality of an institution can only be expressed through those who work for it, and one individual's actions may account for a lasting impression of the College.

The friendly way we treat visitors should also be reflected to our co-workers. We should treat each other civilly and respectfully. Non-courteous behavior should be reported to the supervisor.

## **Staff- Student Relations**

Everything one can say about the importance of good public relations applies with equal force and emphasis to the interaction we have with students during the course of our regular activities on campus. Any employee with whom a student has contact is in a position to contribute to that student's education in a real and possibly important way.

The majority of our contacts with students are interesting and rewarding as student enthusiasm "rubs off." It is ultimately to our advantage to remain courteous, non-argumentative, and calm – not always easy to do. As part of the College's extensive student work study program, most staff interact daily with students as employees in nearly all College departments. Bear in mind, though, that more than anyone else, the student is the "customer, client, and public" all rolled into one, and in the final analysis his or her existence is the only justification for our work at Carleton College.

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For [Staff](#)

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Maintained by Human Resources



## Statement on Consensual Relations

The well-being of the learning and teaching community at Carleton College depends upon the existence of a relationship of trust, respect, and fairness between the faculty and the students. Romantic and/or sexual relations, even if consensual, between faculty members and their students (those whom they currently teach, advise, supervise, coach, or evaluate in any way) violate the integrity of the student/teacher relationship as described above. Such relations are therefore prohibited by the College and constitute grounds for disciplinary action up to and including dismissal.

Because any romantic and/or sexual relationship between a faculty member and a student has the potential to jeopardize the quality of the academic or living environment of the community, the College strongly discourages such relations even if the faculty member does not currently hold a position of authority over the student. The College will therefore take appropriate disciplinary action (up to and including dismissal) should such a relationship be found to undermine the trust, respect, and fairness that are central to the success of Carleton's educational mission.

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*Adopted by the Executive Committee of the Board of Trustees June 20, 2002.*

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Last revised June 20, 2002

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For [Faculty](#), [Students](#)

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Maintained by Human Resources

## Statement on Discrimination and Academic Freedom

The following is a statement of policy as well as a statement of values. It is intended to help sustain a civil atmosphere of unfettered intellectual freedom at the College and to discourage discriminatory speech and actions by its members.

As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College therefore also embraces the related principle that all members of its community shall have access to its educational facilities, activities, and employment without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age. These principles guide the College's relationships with individuals and should guide the interactions of all members of the community.

A possible breach of the foregoing principles may be brought to the attention of the appropriate College officer: the Vice President and Treasurer, Dean of the College or Dean of Students, if the party responsible is, respectively, a staff member, faculty member, or student.

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion (and for the tolerance) of the widest range of opinions, it does not provide a license for bigotry in the form of demeaning, discriminatory speech or actions. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group such as those enumerated above. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message by the very nature of its delivery is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is in a position of power with respect to the second, whether in the academic, administrative, political, or social hierarchy on the campus.

Although this policy attempts to eliminate certain behavior and actions on the campus, Carleton cannot guarantee that the environment will always be comfortable for all the members of the community. Often, the educational process is disturbing and unsettling; when one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that faculty and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

Students, faculty, and staff of Carleton College are asked to support this anti-discrimination policy through participation in discussions about it. The College will facilitate this by providing educational opportunities and forums for such discussions to take place and by making it possible for students, faculty, and staff to attend them. The policy will be distributed to all students, faculty, and staff members each year. The College will actively encourage the discussion of issues raised by the policy in appropriate classes, meetings, symposia, and college publications.

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*Adopted by the Board of Trustees June 21, 1990, upon recommendation of the College Council.*

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Last revised June 21, 1990

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Statement on Diversity

Carleton College aspires to provide a liberal arts education that equips students with the skills to lead a fully realized life in a diverse and changing world. A Carleton education recognizes that the world's people differ in their race and ethnicity, culture, political and social worldviews, religious and spiritual understandings, language and geographic characteristics, gender, gender identities and sexual orientations, learning and physical abilities, age, and social and economic classes.

It is essential to our high academic standards that we be committed to creating a diverse campus community because:

- Carleton has a responsibility to educate talented and diverse students, and we have a strong commitment to underrepresented groups.
- Carleton students must meaningfully encounter difference in order to grow personally and live fruitfully in society and contribute to its work.

The core principles of a liberal arts education are based on mutual respect, communication, and engagement, which commits us to create and affirm a culture of respect for people in all aspects of their lives. Carleton seeks to provide a welcoming and safe living and learning space, while we also recognize that the pursuit of a liberal arts education can involve discomfort and disagreement. Carleton affirms that the college and its community grow in understanding when established views are challenged.

A community that fosters diversity of thought and an open exchange of ideas can only emerge from the participation of individuals with different backgrounds and worldviews. Because creative and talented people come from many places and have many backgrounds, Carleton College is dedicated to attracting and retaining a diverse faculty, staff, student body, and Board of Trustees and sees this as among our highest priorities. Carleton's commitment to diversity will sustain and enrich the learning and living environment that defines the institution and its place in the world.

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*Approved by the DIG (unanimously), October 17, 2006.*

*Approved by the Faculty (unanimously), November 6, 2006*

*Approved by the College Council (unanimously) January 15, 2007*

*Approved by the Board of Trustees (unanimously) May 19, 2007*

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Last revised May 19, 2007

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For [Faculty](#), [Students](#)

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Maintained by Office of the President

## Student Organizations and Groups

**“Organization”** means a collection of students who are recognized as such by the CSA Senate, having complied with the requirements set by the Senate for recognition, including (but not limited to) furnishing a list of officers and developing and abiding by a budget (for those organizations that seek CSA funding), and providing a statement of aims and purposes.

**“Group”** means a collection of students who have not complied with the requirements for becoming an organization, but who seek to act in concert for some defined purpose.

Student organizations and groups may be established within the College for any legal purpose. Affiliation with a legal extramural organization shall not, in itself, disqualify the College branch or chapter from College privileges.

A group shall become an organization when formally recognized by the CSA Senate. The Dean of Students reserves the right to review and modify such decisions of the CSA Senate. Upon recognition of an organization, the CSA Senate shall make clear that said recognition implies neither approval nor disapproval of the aims, objectives, or policies of the organization.

Each College-related organization shall clearly state its aims, the obligation of its members, and its selection criteria. Those criteria and obligations must be consistent with the organization's aims.

Any organization which engages in illegal activities, violates its constitution or aims, or adversely affects the College's maintenance of a residential, educational community, may have sanctions imposed against it by the CSA Senate, including withdrawal of the CSA Senate recognition. Sanctions imposed by the CSA Senate are subject to review by the College Council.

The CSA Senate shall have the authority to allocate College funds derived from student fees for use by organizations. Only organizations (as opposed to groups) may receive College funds on a continuing basis. A group that continues must meet standards for organization.

Every organization shall submit a statement of income and expenses (budget) to the CSA Senate on a regular basis, but not less than annually. Approval of requests for funds is conditioned upon submission of such budget to, and approval of such budget by, the CSA Senate.

Departure from an organization's approved budget may be cause for the CSA Senate to impose sanctions. The College reserves the right to take

action where funds are being allocated inappropriately by the CSA Senate or used inappropriately by an organization.

No organization, group, or individual may use the College's name without the express authorization of the College Council except to identify the institutional affiliation. College approval or disapproval of any policy may not be stated or implied by an individual, group, or organization.

Membership lists of any group or organization will be available to College authorities in the ordinary pursuit of their duties. In addition, the names and addresses of officers shall be required as a condition for access to College funds. However, membership lists will not be released outside the College without the consent of the organization or group. The lists of officers and, where appropriate, the members of organizations will be kept and released by the Director of Campus Activities.

College facilities and services may be used by organizations, groups, and individuals within the College for regular business meetings, for social programs, and for programs open to the public. The [Campus Activities](#) office works in conjunction with the CSA Senate and all student groups and organizations, in planning programs, helping to raise funds, and supervising contractual relationships with off-campus organizations. The [Campus Services](#) office is responsible for scheduling the use of College buildings.

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

*Revised October 2008*

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Last revised October 30, 2008

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For [Students](#)

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Maintained by Dean of Students

## **Student Publications**

“Student press” means either a student organization whose primary purpose is to publish and distribute any publication on campus or a regular publication of a student organization.

The student press is to be free of censorship. The editors and managers shall not be subject to disciplinary sanctions because of student, faculty, administration, alumni, or community disapproval of editorial policy or content. Similar freedom is assured oral statements of views on a College-controlled and student-operated radio or television station. However, any radio or television station will be subject to all applicable laws and

regulations of the Federal Communications Commission. Compliance with FCC laws and regulations will be enforced by the Dean of Students.

All student press and broadcast communications shall explicitly state or report that the contents of editorial broadcasts are the responsibility of the editor or station manager and are not necessarily those of the College or its students.

Any student, group, or organization may distribute written material on campus without prior approval, providing such distribution does not disrupt the operations of the College. Anyone seeking to post material in the Campus Center must abide by the policies governing posting maintained by the [Campus Activities Office](#).

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Students](#)

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Maintained by Dean of Students

## **Unlawful Use of Drugs and Alcohol**

### **Introduction**

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees. The College's failure to comply with the provisions in the Act would result in the immediate loss of our eligibility to receive all federal fundings and could require repayment, in full or in part, of any federal financial assistance previously awarded.

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### **Policy Requirements**

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited.

## **Legal Sanctions**

More detailed descriptions of applicable local, state or federal laws for the unlawful possession or distribution of illicit drugs and alcohol are on reserve in the College Library. Some legal sanctions that could be imposed include:

Consumption of alcohol by a minor: up to a \$700 fine/up to 90 days in jail

Illegal sale of alcohol: up to a \$3,000 fine/up to 1 year in jail

Possession of a small amount of marijuana: up to a \$700 fine/up to 90 days in jail

Sale or possession of controlled substances, such as cocaine, hallucinogens, marijuana, etc.: up to a \$1,000,000 fine/up to 30 years in jail

## **College Consequences**

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

## **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

## **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

### **Internal Sources**

#### **Students**

Dean of Students Office, ext. 4248 or 4075

Residential Life, ext. 5465

Student Health and Counseling Center, ext. 4080

#### **Faculty and Staff**

Dean of the College, ext. 4303

Human Resources Office, ext. 7471

Employee Assistance Program, 888-828-6025

### External Sources

Alcoholics Anonymous: 507-645-6282

Fairview Ridges Hospital: 612-892-2510

Hazelden: 612-257-4010

Minneapolis Psychiatric Institute: 612-863-5327

Northfield Family Focus: 507-663-8882

WomanSafe Center: 800-607-2330

### Biennial Review

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 10 August 2012.

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HandbookStudent  
HandbookFaculty  
HandbookStaff  
Handbook[Academic  
Regulations &  
Procedures](#)[Buildings &  
Grounds](#)[College  
Governance](#)[Communications](#)[Community](#)**[Employment &  
Benefits](#)**[Events](#)[Faculty  
Appointments](#)[Financial](#)[Health & Safety](#)[Housing &  
Residential Living](#)[Information  
Technology,  
Documents, &  
Records](#)[Research](#)[Travel &  
Transportation](#)

## Employment & Benefits


This section provides an overview of many benefits available to exempt and non-exempt staff. In the event of conflict between the overview provided in this handbook and the plan document or insurance plan, the plan document or insurance plan will govern. Complete descriptions are not possible in the handbook; employees should contact Human Resources for specific plan details. The Labor Agreement governs in the case of Union employees in all aspects of this section. Regular employees who have a schedule involving a (.46) FTE or above are eligible to participate in the College's benefit programs.

Carleton College will comply with all applicable laws such as FMLA, federal, state, and any applicable regulations.

### Childrearing, Family, and Medical Leaves

A member of the faculty on regular appointment may request up to one year of unpaid leave of absence for childrearing (parenting); however, only the first 12 weeks of this leave for adoption or placement of a foster child will apply toward a paid Family and Medical Act of 1993 (FMLA). If the parents of a newly placed child are both employed by the College, one twelve-week paid leave will be shared. The College's contribution to benefits will continue during the first six months. Beyond that, the faculty member may continue health and life insurance benefits by paying the full premium cost (both College and employee contributions), according to federal continuation guidelines (COBRA).

A member of the faculty on regular appointment may request up to twelve weeks of unpaid FMLA leave to care for an ill child, spouse, domestic partner, or parent or in the event of their own serious illness, provided that the faculty member has worked for the College for at least one year prior to the leave. In accordance with the Family and Medical Leave Act of 1993, benefits would continue during such a leave for up to twelve weeks. No more than one such leave shall occur in any rolling twelve-month period.

 [Text Only/ Printer-Friendly](#)

Arrangements should be discussed with the department chair and the dean of the college. In these cases, documentation of the illness will be required from the individual's physician.

When the Childrearing, Family, or Medical Leave of Absence has ended, the faculty member will return to his or her original position and rate of compensation without loss of any other right or privilege of employment. If the faculty member is in a tenure-track position and takes a full year's leave, he or she is entitled to a one-year delay in the review process; delaying the review process is negotiable if the leave is shorter than a full year or longer than a year. Such "stopping the clock" should be discussed with the department chair and the dean of the college. (See **Tenure and Terms of Service** under **Faculty Appointments**).

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For [Faculty](#)

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Maintained by Dean of the College Office

## Civic Duty

### Jury Duty, Election Judging, American Red Cross

Regular employees called to jury duty or who serve as a volunteer as an Election Judge or for the American Red Cross will retain all rights and privileges as College employees while on such duty. Therefore, the College will supplement pay so that in total, employees will receive 100% of their regular salary. If paid for their services, employees are required to turn in the check they receive to the cashier in the Business Office. Employees may keep the portion of the check received for mileage. American Red Cross employees who have been requested to be certified disaster service volunteers, with the authorization of the employee's supervisor, may be granted a leave not to exceed ten working days in each fiscal year. The amount of Civic Duty pay is calculated based on the employee's budgeted weekly hours. Employees must notify their immediate supervisor at least two weeks prior to their need to use this leave. Questions on eligibility should be directed to Human Resources.

### Subpoenaed Employee

An employee subpoenaed to appear on behalf of the College in court during work hours will be paid for his or her normal scheduled work hours. Time off for subpoenas by other entities is unpaid; however, a staff member may use accrued vacation or floating holiday time to cover the absence.

### Voting

Employees who are not able to vote outside of their work hours are

permitted paid leave for the time necessary to appear at the employee's polling place, cast a ballot, and return to work on the day of the election. Elections covered are state primaries, general elections, United States Senator/Representative or State Senator/Representative.

Hours used for the above should be noted in Web Time Entry as Civic Duty under the "Other Time Types" drop down.

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Last revised July 13, 2012

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For [Staff](#)

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Maintained by Human Resources

## **COBRA (Consolidated Omnibus Budget Reconciliation Act)**

COBRA is a federal law that offers employees the ability to continue medical, dental, and life insurance, as well as medical flexible spending benefit for a specific length of time (generally 18 months). COBRA coverage is available to employees and their dependents covered under Carleton's benefit plans when they would otherwise lose their group health coverage because of a life event known as a "qualifying event."

A qualifying event for an employee would be a reduction in hours of employment, a leave of absence (including FMLA and Workers' Compensation) which extends beyond 6 months or the end of employment for any reason other than gross misconduct. Other qualifying events may relate to dependents of the employee. Please see specifics on this eligibility and coverage on the Human Resources Web site.

Federal and state laws specify that employees have 30 days to inform their employer of a qualifying event. Employees then have 60 days to elect continuation coverage. The first premium is due within 45 days after continuation coverage is elected. Federal COBRA provides a 30-day grace period to pay subsequent premiums. It is important to make payments on time to prevent loss of coverage.

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Last revised November 30, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## **Conditions of Employment**

This section provides an overview of employment conditions for exempt and non-exempt staff. The Labor Agreement governs in the case of Union employees in all aspects of this section.

### **Definition of Employee**

A regular employee is one who is regularly scheduled to work 20 hours per week or more. Regular employees are eligible to participate in the College's benefit programs.

An employee may be further defined by an assigned work schedule:

- Regular Full-Time: Scheduled to work 40 hours per week. 52 weeks per year.
- Regular Part-Time: Scheduled to work at least 20 hours per week (but less than 40 hours per week) for a minimum of 10 months or more per year.
- Casual Part-Time: Scheduled to work less than 20 hours per week or temporarily assigned. A casual employee is not eligible for benefits.

### **Volunteers**

Volunteers may be approved to work at Carleton College under the supervision of a designated department or division. Volunteers must be 18 years of age or older.

Volunteers must understand and comply with the duties and responsibilities of the job. The respective division/department supervisor will specify their work parameters. All volunteers are expected to represent Carleton College in a professional and responsible manner. Our goal is to protect our volunteers from injury or illness while serving the College. However, it is important that volunteers are aware that Workers Compensation does not apply to volunteers because they are not a paid employee. If a volunteer is involved in an incident or accident, it should immediately be reported to the Risk Manager. Carleton College will require that the volunteer review and sign the Volunteer Work Form, as well as their designated supervisor. Supervisors can find this form on the Human Resources website on the Documents and Forms page. The signed document will be retained by the Risk Manager.

### **Independent Contractors**

Periodically services that may utilize the skills of an independent contractor are required when other means are impractical. Prior to hiring a contractor, please contact Human Resources to evaluate whether the work requested meets the criteria to determine employee or Independent Contractor status. This step is completed through utilization of an Employee/Independent

Contractor Checklist which will verify the independent contractor status. If the service provider is determined to meet the classification of an employee, approval must be made through the Human Resources hiring process and include associated fringe benefit costs, employer payroll taxed and insurance risks inherent with employees. Misclassification of service providers as independent contractors exposes the College to penalties from the IRS and other regulatory agencies. **The commitment to hire an independent contractor should not be made until the status is confirmed by Human Resources.**

## 1. Employment Requirements

### Employment Records/Orientation

All offers of employment are contingent upon completing all required documents. New employees are required to meet with Human Resources to complete these documents. Human Resources must have a Social Security number on record for each employee. A new employee who does not have a number must apply for one.

A new employee must, within three days of date of hire, verify their identity and eligibility to work in the United States according to the provisions of the 1986 Immigration Act (form I-9). A current passport or an original Social Security card and driver's license are sufficient to meet the requirements. A list of additional acceptable documents may be obtained from Human Resources.

A Withholding Tax Exemption Certificate (form W-4), for both Federal and State Tax withholding purposes, must be filed with Human Resources.

Employees have a right to review their file, upon a written request made in good faith, once every six months while employed. After termination, employees may review their records once annually for as long as the employer maintains the record. An employer must comply with an employee's good faith, written request to review his or her file within seven working days if the record is within the state, and within 14 working days if the record is out of state. After the review, the employee may request in writing a copy of the record. If such a request is made, the employer must provide a copy, at no charge, to the employee. If the employee disputes information contained in the record and the employer does not agree to remove or revise the disputed information, the employee may submit a written statement explaining the employee's position. This statement must be included in the personnel file for as long as the employer maintains it. If an

employer violates the statute, employees may bring a civil action to compel compliance and for actual damages and costs. Employers may not retaliate against employees for asserting rights or remedies under the statute. If an employer unlawfully retaliates against an employee, the employee may bring a civil action to compel compliance and for actual damages, back pay, reinstatement, equitable relief, and attorney fees.

### **Background Checks/Physicals**

Pursuant to applicable law, Carleton College employees or prospective employees holding positions that allow access to campus housing units will be required to sign a consent form which allows Human Resources to conduct criminal background checks. Failure to comply with this will be grounds for dismissal or retraction of an employment offer. The College reserves the right to consider information received from the background checks to determine eligibility for employment or continued employment. The College may perform background checks for other positions.

Prospective employees receiving conditional offers of employment which require significant physical activity and lifting activities as part of the essential job functions will be required to undergo a workplace physical (without request of genetic information) to determine if the employee is capable of performing the essential functions of the position with or without reasonable accommodation.

## **2. Initial Review Period**

An initial review period of up to 90 days is necessary for some positions to determine whether an employee is fully qualified for regular employment and a good fit with the needs of Carleton College. This does not negate the At Will relationship of the employee and employer.

## **3. At Will Employment**

Employment with the College is not for any set period of time unless an individual is hired under the provisions of a letter of appointment which specifies length or conditions of employment. In other cases, the College or an employee may choose to end their work relationship at any time and for any lawful reason.

#### 4. **Discipline**

Disciplinary measures can include but are not limited to, in any order, verbal or written warnings, suspension, or termination. Specific disciplinary action will be determined by the supervisor, based on the specifics of each case and will depend on such factors as frequency, severity, and gravity of the situation. In general, the College will use progressive discipline but reserves the right to take any disciplinary action it deems appropriate to the circumstances.

#### 5. **Notice of Termination**

Employees must notify Human Resources of their termination date so that important information concerning various benefit continuation provisions are provided. An exit interview should be scheduled with a member of the Human Resources department. Upon termination of employment, all debts payable to the College must be settled; any items on loan (i.e., library books, computer software, etc.) must be returned. ID card, keys and other assigned property must be turned in to the supervisor.

#### 6. **Changes in Personal Status**

Changes in marital status or number of dependents often will affect payroll deductions, insurance coverage, beneficiary designations, and the status of other employee benefits provided by the College. Address and phone number changes are also important. Therefore, it is necessary that employees notify Human Resources of such changes. These events are called “qualifying events” and notification to Human Resources needs to occur within 30 days of the change. Please refer to the Human Resources website to complete the necessary form and also contact the Human Resources department directly for benefit changes due to personal changes.

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Last revised January 25, 2011

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For [Staff](#)

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Maintained by Human Resources

### **Dental Coverage**

The College offers a voluntary dental program through Delta Dental to all regular, benefit-eligible employees. Employees have a choice of two plans: value and comprehensive. Employees pay 100% of the cost of the premium

for all plans regardless of the level of coverage chosen. Participation in dental coverage is voluntary, and premiums are taken as a pre-tax deduction. Benefits are effective the first of the month following the first month of employment. If the employment date occurs on the first working day of the month, benefits become effective immediately. New employees have 30 days from the date of employment to enroll in this dental coverage. If the 30-day period has elapsed, the employee will be considered a late entrant and may be subject to pre-existing conditions. Delta Dental recognizes same sex domestic partners only. A change in options may be made once every year during the open enrollment process unless you experience a qualifying event. Open enrollment is offered on an annual basis.

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Last revised August 10, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Domestic Partners and the College Benefit Program

Domestic partners of eligible faculty and staff members may participate in many of the College's benefit plans. For purposes of this program, a domestic partner is an unrelated partner of either sex whose emotional and financial relationship to the employee is roughly equivalent to that of a spouse. Please contact the Office of Human Resources for further information.

### Tax Issues Related to Non-Qualified Dependents (Domestic Partners)

- **Qualified Dependents vs. Non-Qualified Dependents.** Employees adding dependents to their health insurance programs must indicate whether their dependents qualify as internal revenue code (IRC) "eligible dependents" under Section 152.
- **Treatment of Non-Qualified Domestic Partner Dependents** (*State and Federal Tax*). Employees adding coverage for domestic partners or children who do not meet the IRC Section 152 definition of qualified dependents, will be taxed on the value of the coverage for the dependent coverage. We have determined the fair market value of dependent coverage. The fair market value is different for the number of non-qualified tax dependents enrolled on your plan and the insurance plan selected. We will include this excess value of the non-qualified dependent in your gross income and it will be subject to federal and state withholding and FICA and be reported on your form



W-2 at the end of the year. There will be two taxation issues to be addressed.

- **Employer Share of Premium Paid to Insurance Carrier.** The fair market value (FMV) of the coverage provided for the non-qualified domestic partner and/or the partner's children, less any after-tax contributions, is taxable to the employee and subject to federal income tax, social security, and Medicare taxes. The FMV is not subject to retirement. The taxable amounts are to be regularly taxed as part of payroll reporting and reported in employees' paychecks and their annual Forms W-2 Wage and Tax Statements. The FMV captured will represent the actual premium paid by the College to BlueCross BlueShield for the coverage selected.
- **Treatment of the Employee Contribution for Non-Qualified Dependents.** The part of the employee contributions for non-qualifying Section 152 dependents cannot be deducted on a pre-tax basis because they are not eligible for the IRC Section 125 treatment. A rate sheet that reflects the correct combination of pre-tax and post-tax amounts, depending upon the plan option for non-qualified domestic partners is available on the Human Resources Web site.
- **Tax Issues Related to Dental Insurance Coverage.** Employee contributions for non-qualifying IRC Section 152 dependents cannot be deducted on a pre-tax basis because they are not eligible for the IRC Section 125 treatment. Therefore, employees covering domestic partners will have both a pre-tax and post-tax premium deduction. Please view the corresponding rate sheet on the Human Resources website which reflects the correct pre-tax and post-tax amounts by plan.

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Last revised June 8, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Driving Privileges

### Purpose

In order to protect the well being of its students, staff, faculty, and the public, and to comply with insurance company requirements, the College will conduct driver's record checks on students and employees who drive vehicles in the course of their jobs. The College has a responsibility to allow only individuals with driving records indicating a pattern of safe driving practices to operate Carleton owned or leased vehicles, golf carts, gators or

personal vehicles driven on behalf of the College.

### Procedure

1. Employees must be presently licensed to drive a vehicle in the United States and receive an “insurable” notice from the College and insurance company before they may drive a Carleton owned or leased vehicle. Anyone who either wishes or is required as part of his or her job to drive a College owned or leased vehicle must request insurance review by filling out a [waiver](#) allowing the College to review their Motor Vehicle Report. The College uses a point system to review the Motor Vehicle Report (MVR) results over a three year period in addition to any accidents on campus to determine whether a driver will be approved to drive on behalf of the College and be added to the Approved Drivers List. It is the responsibility of the employee to avoid driving a College vehicle or leased vehicle unless they are on the Approved Drivers List. Substitution of a personal vehicle for College business is prohibited.
2. Supervisors will be notified if an employee is classified as uninsurable with 15 points or more. The supervisor will make a corrective action plan for the employee within five (5) days of their notification. This plan would include immediate suspension of driving privileges until the points could be reduced to 14 or fewer points.
3. Employees required to drive as a part of their employment will have 30 calendar days from the date notified by the supervisor to become insurable by taking the appropriate driving course (defensive driving or alcohol education) to receive credit points to reduce their total points to less than 15 points. During those 30 days the employee may be suspended without pay. If the Risk Manager receives a certificate of course completion within 30 days, the Risk Manager will notify the insurance company of the certificate and will inform the supervisor. Failure to become insurable within the 30 days will likely result in termination from the position.
4. Employees whose driving license has been suspended or revoked by the Department of Motor Vehicles must inform their supervisor of that action within twenty-four (24) hours. Supervisors must then notify the Risk Manager and make the appropriate correction action plan for the employee within 5 days. Vehicles may not be issued to employees whose license is suspended or revoked and substitution of a personal vehicle for College business is prohibited. If an employee fails to report a suspended/revoked license or chooses to drive while in an uninsurable status, disciplinary action will take place up to and including termination.

5. Employees involved in a motor vehicle accident involving Carleton vehicles when on College property must notify the Security Department immediately and the point result from the accident will be included in the review of the MVR total.
6. Employees receiving traffic citations involving moving violations citations issued by a municipal, county or state law enforcement officer while operating a Carleton owned or leased vehicle must report the citation to their supervisor and the Risk Manager within twenty-four (24) hours.
7. Employees involved in a motor vehicle accident while operating Carleton owned or rental vehicles must call the state police before moving the vehicle. The Carleton Security Department must also be notified immediately.
8. The use of Cell phones (including texting) is prohibited while driving College vehicles or while you are driving on College business.
9. Individuals are encouraged to use a College owned vehicle for business travel by auto. It is important for employees to be aware that when using a personal car for Carleton business use, the employee's personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.
10. Supervisors may access the list of approved drivers by going to the I drive. The file path is Collab/Departments/BUSO/BUSO-Shared/Campus/Approved Drivers.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Employee Assistance Program

Because personal and family problems can have just as negative an effect as physical illness on a person's job performance, Carleton College provides an Employee Assistance Program. The program is entirely confidential and provides professional counseling and referral services to the employee, their dependents, and all household members. Carleton College has partnered with The Wellness Corporation to create a comprehensive employee assistance program that provides professional support for issues that can affect your personal and work life.

Call toll-free: 1-800-828-6025 for routine and urgent issues. Master's-level counselors are available to take your call 24/7. The EAP provides

confidential in-person assessment and short-term counseling by local professionals for any issue that causes concern.

There is no cost for up to three sessions per concern whether you are faculty, staff or a dependent or household member of a Carleton College employee. You may receive additional referrals and resources after in-person counseling.

- Legal Consultation Services
- Financial Consultation Services
- Budget and Debt Consultation Services
- Work/Life Referrals
- New Parent Transition
- Online Resource

The EAP Web site is your online toolkit for managing problems in your life anywhere, anytime, as long as you are connected to the Internet. Here you will find tools to help with behavioral health, financial, legal, and work issues. To log in and register, use “Carleton” as the company code and login at: [www.wellnessworklife.com](http://www.wellnessworklife.com).

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Last revised June 24, 2009

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Employee Family Relationships

In accordance with established College policy, relationship by family or marriage will be neither an advantage nor a hindrance in appointments or promotions. Employment or advancement shall be based on qualifications and experience. When relatives work in the same department or division, employment decisions must be subject to enhanced scrutiny, particularly in the areas of performance evaluations and salary recommendations.

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For [Staff](#)

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Maintained by Human Resources

## Enrollment in Course of Instruction

The College will waive tuition charges for regular staff employees who enroll, either for credit or audit, in up to three courses per year/one per term in regularly scheduled courses offered by any Carleton department of instruction. The employee must first obtain approval of the Registrar and

then the approval of their supervisor. The supervisor or department head may not be able to grant approval depending on operational requirements, but is urged to do so if at all possible. Course hours are unpaid and missed work time must be made up.

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For [Staff](#)

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Maintained by Human Resources

## Estate Guidance

A will is an important legal document that helps protect your family's future. The College's current provider, The Hartford, provides a service called EstateGuidance that creates a simple legal will quickly and conveniently online, with the support of licensed attorneys, if needed. Should you be interested in this benefit, please contact the Office of Human Resources for access information. This service is free of charge to you as long as you begin and end the process within 30 days.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Faculty Development (FDA) and Professional Development Accounts (PDA)

Each faculty member has a Faculty Development Account (FDA) for receiving professional development funds. Individual account numbers are assigned to each account holder upon receiving his or her first award.

### Professional Development Funds

Each member of the Carleton faculty holding a tenured or tenure-track appointment or holding regular appointments in the Department of Physical Education, Athletics, and Recreation is eligible for an annual Professional Development Account (PDA) of \$2,000. These funds are deposited each July into the faculty member's FDA. Faculty members who are on a leave of absence from the College for more than one term should consult with the dean of the college regarding their eligibility for this account. Faculty members who are on sabbatical leave and who meet the conditions identified above will be eligible for this account during the period of their leave.

This account may be used to support a wide range of professional development activities such as:

- attending professional meetings relevant to your field or pedagogy,

defraying the costs of travel for the purposes of scholarship or research (including transportation, lodging, and meals),

- purchasing books and other scholarly or research materials (such as scores, films, artifacts, software, and recordings),
- dues to professional organizations,
- subscriptions to publications relevant to your field or pedagogy, and
- supporting student research assistants.

The first trip to a professional meeting in each fiscal year must be financed through the PDA.

Charges to the PDA must be made in accordance with Business Office guidelines. Please see the [Business Office Web site](#) for further information or contact Accounts Payable.

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Last revised July 1, 2012

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For [Faculty](#)

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Maintained by Dean of the College Office

## Federal Social Security

All employees are required to participate in the federal Social Security program. For this purpose, deductions from salary payments and contributions by the College are made according to the prescribed tax schedules. Federal Social Security benefits, including survivor's insurance, are in addition to those provided by the College through the retirement plan and group insurance coverage.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Financial Planning Reimbursement

The College offers its employees numerous opportunities to enhance their ability to make informed decisions regarding financial planning concepts. Such opportunities include a comprehensive financial planning program series, individual counseling sessions with financial planners from the College's retirement plan provider, and a library of relevant resources.

Eligible employees are regular employees who work half-time or more for six continuous years OR are tenured OR have reached the age of 50 with one year of service.

Reimbursements up to \$300 per employee are available. Reimbursements up to \$150 will be available after an eligible employee has attained six continuous years of service or is tenured. An additional \$150 will be available when the employee has reached age 50 for a total reimbursement of \$300. For those employees 50 years or older with one year of service, the total of \$300 is immediately available.

Eligible employees may apply for reimbursement by completing an application and presenting to the Office of Human Resources a paid receipt from the recognized financial adviser for costs associated with long-term financial planning advice. The Office of Human Resources will authorize payment and forward the information to payroll for processing. Costs associated with product transactions should be identified separately and are not eligible for reimbursement under this program. Reimbursement amounts are considered taxable income, will be paid through payroll, and will be shown as "supplemental pay" on the employees' earnings statements.

Retired employees, who have not previously used this benefit, may apply for reimbursement within one year of their retirement date.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Flexible Benefits Program

All regular benefit-eligible employees of the College may voluntarily participate in the Flexible Benefits Program. The program allows eligible faculty and staff members to establish a reimbursement account for dependent care and/or out-of-pocket health care expenses. Since the accounts are funded by pre-tax salary dollars, the employee realizes an immediate tax savings on these expenses. If the full value of the account is not used during the year, the employee will forfeit the remaining amount. Full program details are available from the Office of Human Resources.

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Last revised April 1, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Flextime (Flexible Working Hours)

The College has adopted a Flextime Program to allow any department to permit employees to set flexible working hours under authorized parameters if such parameters have been approved as operationally feasible by the department head involved.

"Flextime schedule" means a work schedule which includes designated hours during which the employee may, with the approval of the supervisor and under work unit plans approved by the division head, elect an alternative time of arrival for and departure from work. It may also include required days or hours during which an employee subject to the work schedule must be present for work.

### **Definitions**

- Flextime: Full-time employees set their own hours within College and departmental parameters.
- Core time: Mandatory working hours for all full-time staff (except for those required to work different schedules).
- Flexbands: Periods during the workday during which staff may determine their own schedules subject to parameters and departmental needs.
- Available range of working hours each day.
- Summer: Reunion Weekend to Labor Day.

### **General Parameters**

The College is considered open:

- Academic year 8:00 to 5:00 p.m.
- Summer 8:00 to 4:30 p.m.

Full time staff work schedules:

- 40 hours per week; 8 hours per day.

Eligibility:

- All administrative and academic offices.
- Non-exempt (hourly staff).

Control:

- Department heads with approval of division head when flextime may affect interdepartmental work flow problems.
- Departmental "timekeepers" to double check time sheets before submission to Human Resources.

### **Specific Parameters**

- Flextime Schedule



- Core time: 8:30 to 12:00 a.m. 3 1/2 hours
- 1:30 to 4:00 p.m. 2 1/2 hours
- 6 hrs out of 8 official office hrs.
- Flexbands
  - 7:00 to 8:30 a.m. (early flex) 1 1/2 hours
  - 12:00 to 1:30 p.m. (mid-day flex) 1 1/2 hours
  - 4:00 to 6:00 p.m. (late flex) 2 hours
- Bandwidth: 7:00 a.m. to 6:00 p.m. 11 hours

### Staff Schedules

- Determined at departmental level.
- Changeable each academic term, winter and summer breaks or when departmental circumstances warrant.

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Last revised September 1, 1997

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For [Staff](#)

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Maintained by Human Resources

## Floating Holidays

### Eligibility

All regular, benefit-eligible employees are eligible to receive up to three floating holidays per year.

### Schedule

<b>Floating Holidays Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Floating Holidays annual accrual for Full-Time Employee</b>	<b>Maximum Balances for Full-time Employee</b>	<b>Maximum Negative Balance Allowed for Full-time Employee</b>
<b>Bi-weekly (Non-Exempt, Non-Union)</b>	.0116 per hour paid	3 days	48 hours (6 days)	12 hours (1.5 days)
<b>Monthly (Exempt)</b>	.25 days per	3 days	6 days	1.5 days

month			
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Floating holidays are accrued at the end of each pay period based on the employee's current accrual rate, the number of hours worked (excluding over-time) and/or the employee's budgeted FTE.

Staff working less than 12 months must use their floating holidays during their paid employment period. Staff positions are budgeted for the appointment period only and therefore there are no funds available for paid leaves outside of the appointment period.

When an employee reaches the maximum balance, their accruals will cease until their balance drops below the maximum. Carry-over maximums are equal to maximum balances.

Bi-weekly employees must record their floating holiday utilization in 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record utilization of floating holidays on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

The purpose for allowing employees to use accruals before they are earned (negative balance) is in response to the cyclical work of many offices around campus that may dictate when an employee can schedule time off. It is not the College's intent for employees to carry a negative balance for an extended period of time, and like other aspects of the floating holidays policy, supervisor approval is required before an employee can use unearned time off.

At separation, accrued floating holidays balances will be paid out to the employee. Any negative floating holidays balance will be deducted from the employee's final pay check.

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Last revised July 13, 2010

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For [Staff](#)

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Maintained by Human Resources

## **Genetic Information Nondiscrimination Act (GINA)**

Title II of the Genetic Information Nondiscrimination Act of 2008 protects applicants and employees from discrimination based on genetic information in hiring, promotion, discharge, pay, fringe benefits, job training, classification, referral and other aspects of employment. GINA also restricts employers' acquisition of genetic information and strictly limits disclosure of genetic information. Genetic information includes information about genetic tests of applicants, employees or their family members; the manifestation of diseases or disorders in family members (family medical history); and requests for or receipt of genetic services by applicants, employees, or their family members.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Headley Travel Fund for Professional Meetings

The College also supports professional development through the Headley Travel Fund. Faculty who are not eligible for the Professional Development Account (PDA) are able to apply to the Headley Travel Fund to support travel to professional meetings. Faculty eligible for the PDA can apply for supplemental support from the Headley Travel Fund as well. Since the first trip in each fiscal year must be financed through the PDA, faculty who apply for Headley Travel Funds will be asked to submit a list of expenses that have been charged to their PDA. [Application forms](#) for the Headley Travel Fund are available on the dean of the College Web site.

The College will contribute to travel expenses from the Headley Travel Fund, where the trip has been approved in advance, under the following conditions:

- Eligible expenses include: a) a competitively priced airfare for round-trip travel between Minneapolis and the meeting location, and b) \$100 per night for up to two nights in residence during one professional meeting each year.
- The faculty applying to this fund may normally expect to receive funding for only one such request a year.
- In general, expenses will not be paid for trips to points less than 100 miles from Northfield.
- For travel by private car, mileage will be paid at the regular College rate for the use of private vehicles, provided this cost does not exceed the cost of round-trip airfare.

- Headley Travel funds are intended for use only where the trip or a portion of it is made specifically and primarily to attend professional society meetings. They are not intended to support attendance at such meetings which is incidental to travel for other purposes, e.g., holiday trips and family vacations.
- Full-time visiting faculty members are eligible for up to \$1,500 per year.

Since the Headley Travel Fund cannot usually accommodate all the members of the faculty who apply for assistance from it, faculty who plan early and avail themselves of special incentive airfares can help to stretch the Headley Fund and allow more of their colleagues to travel. In addition, faculty who have received authorizations for travel funds, but due to a change of plans do not make use of them, are urged to inform the office of the dean of the college immediately of such a cancellation. Prompt notification sometimes makes it possible for a colleague's application to be approved.

Applications for grants from the Headley Travel Fund should normally be submitted to the office of the dean of the college before January 1, for approval in advance, and will be considered in the order in which they are received. A limited portion of the budgeted funds may be reserved until later in the year to allow for applications from faculty members who do not have adequate information before the January 1 deadline.

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Last revised June 26, 2013

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For [Faculty](#)

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Maintained by Dean of the College Office

## Health Coverage

Regular benefit-eligible employees are offered health coverage effective the first of the month following the first month of employment. If the employment date occurs on the first working day of the month, benefits become effective immediately. Employee-only, employee plus one, or family coverage is available. Participation in the plan is voluntary. The plan allows for same sex and opposite sex domestic partner coverage.

**AWARE Preferred Provider Organization (PPO).** This option offers preventative and catastrophic coverage through a large network of health care providers. Preventative care is covered at 100%, and eligible services are covered at 80%. Office visits require a \$35 co-pay. Preventive care is covered at 100%. Prescription drugs require a \$15 co-pay for generic drugs, a \$35 co-pay for brand name formulary drugs, or a \$55 co-pay for non-

formulary brand name drugs. Coverage is available with non-network providers, but higher out-of-pocket costs and other restrictions can be expected.

**Options Blue (Aware).** This is a deductible option offering preventative and catastrophic coverage with an employer-funded health reimbursement account (HRA). This plan also offers a large network of providers. Preventive care is covered at 100% to a maximum of \$500. Routine cancer screenings are covered at 100%. Prescription drugs require a \$15 co-pay for generic drugs, a \$35 co-pay for brand name formulary drugs, or a \$55 co-pay for non-formulary brand name drugs. Coverage is available with non-network providers, but higher out-of-pocket costs and other restrictions can be expected.

**Accord HRA.** This is a deductible option offering preventative and catastrophic coverage with an employer-funded health reimbursement account (HRA). This plan also offers a large network of providers, however differs slightly from the Options Blue Aware network (Mayo Clinic and Hazelton are not in network). Preventive care is covered at 100% to a maximum of \$500. Routine cancer screenings are covered at 100%. Prescription drugs require a \$15 co-pay for generic drugs, a \$35 co-pay for brand name formulary drugs, or a \$55 co-pay for non-formulary brand name drugs. Coverage is available with non-network providers, but higher out-of-pocket costs and other restrictions can be expected.

Plan availability, plan design, and premium rates for coverage levels are established on an annual basis. The premium is shared by the College and the employee. There is an annual contract renewal period each year during which participants may change plan options. "Off-cycle" enrollments are not guaranteed and are available only under specific circumstances. Information regarding the Carleton group health insurance plan may be obtained from the Office of Human Resources.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Holidays

The College observes the following holidays:

- New Year's Day
- Fourth of July
- Labor Day
- Thanksgiving Day (Thursday and Friday)

- Christmas Eve Day
- Christmas Day

In addition, the College provides three floating holidays.

When a holiday falls on a Sunday, whenever possible, the following Monday will be observed. If the holiday falls on a Saturday, whenever possible, the preceding Friday will be observed.

Regular, benefit-eligible, non-exempt, part-time employees will be paid holiday pay for every College holiday based on their budgeted FTE. The floating holidays accrue based on hours paid.

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Last revised April 1, 2010

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For [Staff](#)

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Maintained by Human Resources

## **Job Postings/Upward Mobility Program**

Notices of job vacancies within the College will be posted as dictated by the Division Head and/or Department Head and as part of the Carleton Upward Mobility Program an employee may request to be considered for transfer to fill an opening.

An employee interested in a job change must apply to a posted vacancy through the Human Resources office. The College will fill all vacancies with the best qualified applicant.

### **Specific Guidelines Pertaining to All Openings for Staff Positions**

This is a guideline and Carleton College reserves the right to vary from it as necessary.

- Job openings will be posted for a minimum of five days. Some regular, continuing openings may not be posted at the discretion of the Division Head and/or Department Head. Temporary jobs of less than ninety days duration may or may not be posted at the discretion of the Division Head and/or Department Head.
- If the pool of Carleton applicants consists of even one candidate who would seem to have qualifications which meet job requirements, that candidate will normally be interviewed before a non-Carleton applicant is interviewed. If the College has identified a strong internal candidate, the posting notice will so state.
- The internal position posting and any external advertising will run concurrently in most instances.

- It is the specific responsibility of the department head or supervisor to review a prospective candidate's qualifications and determine whether or not he or she qualifies within the framework of all minimum requirements of the job (the division head will be asked to participate in this process in most instances and particularly if the decision is difficult or border-line).
- In the interest of departmental morale, it is assumed that, qualifications being satisfactory, a current department member will be given priority of selection over a candidate from another College office or department; this is considered highly important for the maintenance of departmental "esprit de corps".
- When an internal candidate is successful, he/she will immediately be notified, and all other candidate(s) will, as soon as possible, be advised regarding the decision and diplomatically told of any qualifications which were lacking in their experience or training. Great care is exercised in carrying out this notification process which is usually performed by the Hiring Supervisor. Notification of all concerned is felt to be absolutely necessary to avoid erroneous impressions, minimize disturbance of morale and allow routine counseling of unsuccessful candidates with regard to qualifications.
- When the responsible supervisor (and division head) come to the conclusion that internal candidate(s) are not qualified or are not clearly as well qualified as outside candidates, the proper procedure involves first notifying those internal candidates who are not qualified and then advising those possibly qualified candidates that they will be considered along with outside candidates and given priority when qualifications are deemed to be essentially equal.

The following occurrences are typical of problems which may develop with the above procedure:

- An internal candidate may apply late (after five working days), and after outside candidates have been contacted, in which case the Carleton employee will be given careful consideration but, unless obviously possessing the highest qualifications, will have to be considered along with outside candidates (this is the case even if the late application may not necessarily be the fault of the internal candidate).
- In the event of need for considerable speed in recruiting either in the interest of maintaining or supporting a major operational requirement or in any similar pressing situation, and it is uncertain that a qualified interested candidate will be available from within the College work force, classified ads may be placed which will actually appear before

the posting notice period has elapsed; however, in the event of response to the advertisements, outside applicants may be told that we will be able to discuss possibilities only after internal candidates, if any, are first considered.

### **Philosophy Relative to the Upward Mobility Program**

Guidelines will be followed within the allowances and constraints mentioned above. All of this must be accomplished with full allowance made for unprecedented or untimely developments such as unexpected business trips, vacation, sickness, operational emergencies, and so forth. The details of such developments are to be communicated to all parties involved. Normal practice will always be adhered to within the context of reality, reason, and the sometimes limited ability of the Director of Human Resources to anticipate unusual or difficult recruitment situations.

In summary, then, it should be understood that the underlying and motivating force behind the existence and continuation of the Upward Mobility Program has always been dual in nature. There are definite benefits to be gained by individuals within the community such as the opportunity for advancement, change, new direction, different interests, additional challenges, and so forth, and at the same time there is the advantage which the College accrues concurrently from increased career development and greater utilization of available skills and talent.

In the case of union employees, the Labor Agreement governs.

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Last revised November 1, 2004

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For [Staff](#)

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Maintained by Human Resources

## **Leaves of Absence**

### **Definitions: Immediate Family/Extended Family**

Immediate family is defined by the College as persons related to the employee as follows: the employee's wife, husband, child, mother, father, mother-in-law, father-in-law, sister, brother, grandchild, domestic partner (same sex or opposite sex partners) or step family. Extended family is defined as persons related to the employee as follows: grandparent, grandparent-in-law, sister-in-law, brother-in-law, uncle, aunt, cousin, niece, or nephew.

#### **1. Leaves of Absence**



Carleton College will comply with all applicable laws such as FMLA, federal, state, and any applicable regulations. We recognize that situations may arise requiring an employee to request a leave of absence. The leave may be personal, medical, or for military service. Leaves of absence will generally be for less than six months although longer leaves up to twelve months may be considered if circumstances are determined by the College to be extenuating. Employees will meet with Human Resources to determine the proper designation of the type of leave, its applicable provisions and forms, and how the leave is to be monitored. Human Resources will keep the supervisor informed of the necessary details of the leave. Human Resources receives requests for leaves for multiple reasons, and we check, when appropriate, the applicable statutes and regulations related to each. In order to ensure we have up to date information on all these leaves, we prefer to check the governmental websites instead of listing statutes in our handbook. Personal leaves will be approved by the supervisor. Any accrued sick, vacation or holiday hours will be used during a leave of absence (see Sick Leave Eligibility section). The amount of paid leave is calculated based on the employee's budgeted weekly hours. If the absence is due to illness or injury, accumulated sick leave will be paid out according to amount of time indicated by the employee's physician, time off in addition to the physician's request will require the use of employee's accrued vacation and/or floaters. College holiday hours will be paid during a leave of absence, based on the budgeted FTE. Any unpaid time in lieu of absence accruals will be at the discretion of the supervisor. During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. If the employee is still on leave after a six-month period, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

## 2. **Bone Marrow Donor Leave**

A leave of absence will be granted to those employees who seek to undergo a medical procedure to donate bone marrow to another person. Employees must notify their immediate supervisor at least two

weeks prior to their need to use this leave. The length of the leave shall be determined by the employee, but may not exceed 40 work hours, prorated based on FTE. Time off for this leave will be paid using the “Paid Day Not Worked” pay code. Verification by a physician of the purpose and length of each leave requested by the employee to donate bone marrow will be required. If there is a medical determination that the employee does not qualify as a bone marrow donor, the paid leave of absence granted to the employee prior to that medical determination is not forfeited. Questions on eligibility should be directed to Human Resources.

### **3. Catastrophic Leave-Sharing Program (CLSP)**

The Catastrophic Leave-Sharing Program gives non-exempt staff a chance to support their co-workers who are experiencing a catastrophic illness or injury. The program allows eligible staff to donate sick leave to a Catastrophic Leave Sharing Pool to be used by other eligible staff members. Catastrophic illness or injury means a physical or mental illness or injury as certified by a licensed physician that will result in the inability of the employee to perform the essential functions of the job, with or without reasonable accommodations, for more than 30 work days on a consecutive or intermittent basis. Contact Human Resources for specifics on donating and receiving from this program. The amount of paid leave is calculated based on the employee’s budgeted weekly hours.

### **4. Family Medical Leave (FMLA)**

The College will grant an employee who has worked at least 12 months (which do not have to be consecutive) for the employer and who have worked at least 1,250 hours during the 12 months immediately before the date FMLA leave begins; a leave can be applied for up to 12 work weeks in a 12-month period rolling backwards. We comply with the Family and Medical Leave Act of 1993. Employees should give at least 30 days prior notice of need for a FLMA leave. Where the need for a leave is not foreseeable the employee is expected to give as much notice as practical and comply with normal call-in procedures. Supervisors are to inform Human Resources when they have an employee request a leave in excess of three days. When medically necessary, FMLA leave may be taken on an intermittent basis or the employee may work a reduced schedule. Intermittent leave must be certified by a health care provider as necessary and should be scheduled to avoid disruption to the College

insofar as is reasonable. Employees will meet with Human Resources to determine the proper designation of the type of leave, its applicable provisions/forms, and how the leave is to be monitored. Human Resources will keep the supervisor informed of the necessary details of the FMLA leave.

FMLA leave may be applied for the following reasons:

- Incapacity due to pregnancy, prenatal medical care or birth or adoption of a son or daughter. If both husband and wife work for the College, they are entitled to a combined total of 12 weeks' leave in a 12-month period for the birth, adoption, or foster care placement of their child.
- A serious health condition involving the employee who is unable to perform job functions (including Workers' Compensation injuries, if applicable).
- Care of the employee's spouse, son, daughter, parent, or domestic partner who has a serious health condition. If both the mother and father work for the College, both are entitled to take 12 workweeks of leave to care for a seriously ill child.
- To attend to a medical emergency or impending death of the employee's spouse, son, daughter, parent, or domestic partner.
- Eligible employees whose spouse, son, daughter or parent is covered active duty or call to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Employees may use their 12-week leave entitlement for qualifying exigencies that may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefing.
- A special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserved, who is undergoing medical treatment, recuperation or therapy, is other wise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness\*; or a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment,

recuperation. or therapy for a serious injury or illness. \*The FMLA definitions of "serious injury or illness" for current service members and veterans are distinct from the FMLA definitions of "serious health condition".

### **FMLA Pay**

When FMLA leave is approved, the employee would qualify for the first five days paid (maximum of five days (40 hours) per rolling 12 month period). Once approved, Human Resources will make the FMLA pay option available through web time entry. The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. Any leave time beyond the first five days requires the use of accrued absences (vacation, sick leave, or floating holiday time) to cover the leave. If leave is for other than self, see sick leave section for the particular family member provisions. Any unpaid time in lieu of absence accruals will be at the discretion of the supervisor. If the absence is due to a health condition of the employee (i.e. surgery), accumulated sick leave will be paid out according to amount of time indicated by the employee's physician. Time off in addition to the physician's request will require the use of employee's accrued vacation and/or floating holiday.

### **Continuation of Health, Dental and Life Benefits**

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

### **FMLA Eligibility Notice/Rights and Responsibilities**

Once Human Resources is notified of a need for a FMLA leave, HR will provide employees within 5 days a notice of their eligibility for their leave or a reason why they are not eligible. At the same time, employees will be provided with a statement of their Rights and Responsibilities, which is part of the Eligibility Notice.

## **FMLA Medical Certification Required**

Employees who request FMLA leave because of their own serious health condition or of a family member's serious health condition must submit a Medical Certification Form (or its equivalent) completed by the health care provider to support the leave request. This form is available from Human Resources. The Medical Certification Form should be returned to Human Resources within 15 calendar days after it is requested, or as soon as possible under the circumstances. If the Medical Certification Form returned to the College is not satisfactory, an employee will be told of the deficiencies in writing and given 7 calendar days to complete the Form. If the medical information is inadequate, designated Human Resources may contact the employee's health provider directly to authenticate or clarify information on the certification. Also, Human Resources may directly contact the employee's health provider, after receiving the employee's permission, to get more complete information regarding the nature of the ailment, the duration of the leave, the need for intermittent leave, etc. The College can request a second or third opinion regarding the employee's condition and treatment (at the College's expense). All employees requesting an extension of any FMLA leave must provide a new Medical Certification (or its equivalent) of the need for continued leave.

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a healthcare provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

## **FMLA Designation Notice**

Within 5 business days (unless extenuating circumstances) of having enough information to determine whether the requested leave is FMLA-eligible, the Human Resources will provide a Designation Notice, informing the employee whether or not leave is designated FMLA leave and the amount of leave that will be designated, if known. This designation may be retroactive.

Employees absent on medical leave will be required to provide medical certification of their fitness to return to work. A Fitness for Duty Certification Form is available from Human Resources.

In the sole discretion of the College, any leave that they determine qualifies as FMLA leave may be designated as FMLA leave, regardless of whether all possible obligations are met by the employee. Workers' compensation is also designated as FMLA leave.

### **FMLA Re-certification**

An employee may be asked to re-certify a serious health condition every 30 days (if the employee is absent during that period) for chronic/long-term illness or pregnancy. A re-certification may be requested in less than 30 days if the employee asks for extension of leave; Circumstance have changed; or the College has doubts about the employee's FMLA status (e.g. Mon. /Fri. absences). Employees will be required to have **annual** medical certifications for their own serious health conditions or that of a spouse/family member lasting more than one year, including chronic/lifelong ailments. Employee on a chronic, on-going intermittent leave may require 2 visits to their health care provider per year where self care is allowed by the health care provider (i.e. asthma, migraines, etc). Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified.

### **Return to Work after a FMLA Leave**

Employees returning to work from FMLA leave will be returned to the same or an equivalent position as held prior to leave, unless the position has ceased to exist because of business necessity. If the employee does not return to his or her original held position or an equivalent position as soon as he or she is able, the College will consider the employee to have voluntarily resigned. Certain "key employees" may not be eligible to be reinstated to the same or an equivalent position at the conclusion of their FMLA leave. The College will notify such employees of their "key employee" status and the conditions under which they may be reinstated, if applicable.

### **[Text of FMLA Employee Rights and Responsibilities](#)**

## **5. Funeral Leave**

To assist a staff member in making funeral arrangements and attending the funeral, the following leave provisions are listed below.

Regular, benefit-eligible, exempt or non-exempt staff members are eligible for:

- Up to five days (40 hours) paid funeral leave in the event of the death of a member of the immediate family (wife, husband, child, mother, father, mother-in-law, father-in-law, sister, brother, grandchild, domestic partner or step family). Staff may request to use up to an additional five days of accrued sick time. Additional vacation or floating holiday time may be requested.
- Up to one day (8 hours) of paid funeral leave in the event of the death of the extended family member (grandparent, grandparent-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, uncle, aunt, cousin, niece, or nephew). Staff may request to use up to an additional two days of accrued sick time. Additional vacation or floating holiday time may be requested.
- Up to one day (8 hours) of paid funeral leave in the event of the death of a co-worker or friend with a limit of four days per rolling year. The OFNR funeral leave code should be used on the time sheet for a co-worker or friend's funeral.

For immediate and extended family there are no restrictions as to the number of occasions this funeral leave may be used.

The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. Employees must notify their immediate supervisor of their need to use this leave and must record the specific type of leave on their time sheet (funeral-immediate family or other). The supervisor's signature on the time sheet constitutes approval for the leave. Questions on eligibility should be directed to Human Resources.

## **6. Military Leave/Uniform Services Employment and Reemployment Rights Act**

Unpaid leave of absence will be granted to those called to military duty as a result of induction, enlistment or Reserve/National Guard duty. The College will comply with all applicable laws regarding the employment and reemployment of such individuals. Those who participate in Reservist or National Guard training will be allowed necessary time off for annual training duty. A special leave entitlement permits an eligible employee to take leave to care for a covered service member who has a serious injury or illness incurred in the line of duty. An employee may also take a leave for a "qualifying exigency"

arising out of the fact that the employee's spouse, child, or parent is on active duty or has been notified of an impending call or order to active duty. The employee must notify the supervisor and Human Resources as soon as possible regarding participating in these military service programs.

Please see [Military Leave Policy](#) for more information.

Please see [Uniform Services Employment & Reemployment Rights Act](#) (USERRA) for information on rights of employment and reemployment of active military from leave of absence.

## 7. Parental Leave

Any regular, benefit-eligible exempt or non-exempt staff member who becomes either a birth or adoptive parent and who is the *primary caregiver* (designated biological or adoptive parent) may receive 12 weeks of paid parental leave. The 12 week leave is to be taken in a continuous time period within one year of birth/adoption. A parental leave will run concurrently with any FMLA leave. Maximum amount of paid parental leave will not exceed 12 weeks.

Any regular, benefit-eligible exempt or non-exempt staff who is either a birth or adoptive parent and who is the *secondary caregiver* (spouse or recognized domestic partner of the designated biological or adoptive parent) may receive three weeks of paid parental leave. A secondary caregiver may elect to use up to nine weeks of paid (sick, vacation, or floating holiday accrued hours) or unpaid time. If the primary caregiver experiences medical complications prohibiting full care of the newborn child, the secondary caregiver may assume the role of the primary caregiver.

If the primary and secondary caregivers are both Carleton employees, the parental leave granted to the family will be a total 12 weeks and will be shared by the caregivers. If additional leave is applied for beyond the shared 12 weeks, by one or both of the caregivers, it is the supervisor's discretion to approve this additional leave time based on the affect of the operations of the department. Any additional approved leave time would be paid by the employee's absent accruals (vacation or floating holiday time). Sick time would only be used if either authorized by a physician or if the child becomes ill.

To qualify to receive paid parental leave, a staff member must have worked continuously at the college for at least one year. Employees are to meet with Human Resources to inform them of on the type of



leave needed (primary or secondary or shared caregivers) and to discuss its applicable provisions and forms. Human Resources will keep the supervisor informed of the necessary details of the leave. The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. If a staff member terminates employment while on a paid parental leave, the pay will cease as of the date of termination.

## 8. Parental Leave to Attend Conferences and Classroom Activities

The College will grant an employee leave of up to a total of 16 hours each year to attend school conferences or classroom activities related to the employee's child, if the activities cannot be scheduled during non-work hours. The staff member must provide his or her supervisor with reasonable notice of the leave and make a reasonable effort to schedule the leave so as not to unduly disrupt department operations. A staff member may use accrued vacation, floating holiday, or unpaid time to cover the absence.

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Last revised November 30, 2010

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For [Staff](#)

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Maintained by Human Resources

## Life Insurance

Regular, benefit-eligible employees are provided with group term life insurance coverage. The amount is dependent on salary and age. All premiums are paid by the College. Contact the Office of Human Resources for more information.

### Employee Term Life Coverage

A benefit is payable under this coverage if death occurs from any cause. If totally disabled when insurance ends, there are special provisions that may extend the death benefit protection. Under certain conditions life insurance may be converted to an individual contract.

### Benefit Classes

- Less than age 50: 3.5 times your annual earnings, subject to a maximum of \$250,000 rounded to the next higher \$1,000 if not already a multiple of \$1,000.
- Age 50-64: 2 times your annual earnings, subject to a maximum of \$250,000 rounded to the next higher \$1,000 if not already a multiple of

\$1,000.

- Age 65 or more: 1 times your annual earnings, subject to a maximum of \$250,000 rounded to the next higher \$1,000 if not already a multiple of \$1,000.

**Reduction in Coverage Due to Age:** The Hartford will reduce the life insurance benefit for you by the percentage indicated in the table below. The reduction applies to the amount of life insurance in force immediately prior to that anniversary date.

Percentage by which current amount of coverage (after all previous reductions) will be reduced is as follows:

<b>Your Age</b>	<b>Your % Reduction</b>
65	35%
70	35%
75	35%
80	25%
85	25%
90	25%
95	25%

The "attained age" for a calendar year is the age as of January 1 of that calendar year. The entire cost of the insurance is paid by Carleton College. For complete details please review the Certificates of Coverages available on the Human Resources Web site or contact the Office of Human Resources.

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Last revised November 18, 2011

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## **Long-Term Disability Insurance**

Disability insurance is available to eligible employees. The program, in combination with Social Security and/or Worker 's Compensation, will provide a disabled participant 60% of salary up to \$10,000 per month beginning with the fourth month of disability. This benefit coordinates with

benefits from other sources such as Social Security.

The College and the employee each contributes approximately one-half of the total cost of the total premium for long-term disability insurance against the interruption of income because of long-term total disability. Benefits for participants begin after three consecutive months of total disability and continue during such disability as follows:

**Age at start of disability    Benefits Payable**

Prior to age 60	to age 65
60 -64	5 years
65 - 68	to age 70
69 and older	1 year

Benefit-eligible faculty and staff members are entitled to enter this program effective the first of the month following the first month of employment. If the employment date occurs on the first working day of the month, benefits become effective immediately.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Longevity Bonus

Since 1976 the College has awarded annual longevity bonuses to eligible non-exempt, non-union staff members. All full-time and regular, benefit-eligible part-time (20 hours per week or more) non-exempt, non-union staff members become eligible after the completion of five years of continuous service. The credit for previous service is accrued after completing three continuous years of service in the employee’s current employment period.

Bonus amounts are calculated on hours worked and accrued through the most recent July 1, and are listed as “long pay” in the last non-exempt pay period for the month in which the anniversary date occurs. All bonus amounts are subject to income tax and will be deposited into the same bank account as your regular payroll.

### Bonus amounts

Bonus amounts are based on length of continuous service attained using years in which the greatest number of hours (best years) are worked according to the following table:

Completion of Continuous Service to	Bonus	Pro-rated
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Anniversary Date	Amount	Adjustments
After 5 years but less than 10	\$100	5 best years
After 10 years but less than 15	\$200	10 best years
After 15 years but less than 20	\$400	15 best years
After 20 years	\$600	20 best years

Employees who work 2,080 hours per year receive full bonus amounts. Those who worked fewer than 2,080 hours in any given year used for the bonus calculation will receive pro-rated amounts.

Longevity bonuses do not apply to those employees who change status from non-exempt, non-union to any other employee classification or designation.

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Last revised April 1, 2010

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For [Staff](#)

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Maintained by Human Resources

## Moving Expense Reimbursements

Individuals who have been pre-authorized to receive a moving expense reimbursement must complete the moving form and have it signed by Human Resources for non-faculty or the Dean of the College for faculty personnel. **Itemized original** invoices are required for reimbursement. Contact information on moving contractors can be found on our consortium's websites:

- [E&I \(Educational & Institution Cooperative\)](#)
- [ACTC \(Associated Colleges of the Twin Cities\)](#)
- [Provista](#)

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*Carleton College follows the IRS regulations for reimbursing moving expenses. Carleton College requires original receipts for the amount to be reimbursed.*

### Distance Test

Your new main job location is at least 50 miles farther from your former home than your old main job location was from your former home. (For example, if your old job was 3 miles from your former home, your new job must be at least 53 miles from that former home.)

### **Time Test**

If you are an employee, you must work full time for at least 39 weeks during the first 12 months after you arrive in the general area of your new job location. Count only your full-time work as an employee.

### **Moving household & personal effects**

You may deduct cost of packing, crating, and transporting your household goods and personal effects and those of the members of your household. You can include the cost of storing and insuring household goods and personal effects within **any period of 30 consecutive days** after the day your things are moved from your former home and before they are delivered to your new home.

### **Traveling expenses**

Not meals; shortest, most direct route available by conventional transportation

#### **Travel by car**

- **Use actual expense** (such as gas and oil for your car) if you keep an accurate record of each expense
- **Or \$.24/mile for 2013** (attach mileage log or MapQuest type documentation), parking fees, toll, and lodging

### **Non-Reimbursable Moving Expenses**

Carleton College **cannot** reimburse for the following items as **non-taxable** moving expenses:

1. Pre-move house hunting expenses
2. Temporary living expenses
3. Meal expenses
4. Any part of general repairs, general maintenance, insurance, or depreciation for your car
5. Expenses of buying or selling a home
6. Expenses of getting or breaking a lease
7. Security deposits (including any given up due to the move)
8. Home improvements to help sell your home
9. Loss on the sale of your home
10. Mortgage penalties
11. Losses from disposing of memberships in clubs
12. Any part of the purchase price of your new home
13. Real estate taxes

14. Car tags
15. Driver's license
16. Refitting carpets and draperies
17. Storage charges except those incurred in-transit and for foreign moves.

For more information on Moving Expenses, look on the Web site

<http://www.irs.gov/pub/irs-pdf/p521.pdf>

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Last revised August 30, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Open Enrollment (Renewal Option)

Each year a specific time is designated as the Open Enrollment/Renewal Option Period for Carleton benefit plans. During this time employees will be informed of premium rate and plan design changes and may change from one medical and/or dental plan to another. Enrollment in the health care spending account and/or dependent care spending account is done at this time as well. Human Resources will notify employees via e-mail of the Open Enrollment Period.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Outside Employment

The College does not intend to interfere with the private or personal life of employees. The College recognizes that outside work, in modest amounts of time and service, can advance the professional development of an individual and magnify Carleton's contribution to society. However, proper performance of College duties may be hampered by outside employment, defined as working for another employer, being self-employed, or providing consulting arrangements or corporate board services. Advance approval of the employee's supervisor is necessary when considering outside employment.

Regular full-time employees should not take paid employment outside the College which might affect their efficiency on the job at Carleton, constitute a conflict of interest, cause work schedule conflicts, result in the misuse of College resources, and/or otherwise have an adverse affect on the College.

A conflict of interest may be defined as any situation in which private outside employment would or could reasonably be perceived to conflict with the best interests of the College or with the employee's performance of his or her College duties. Use of College resources to perform outside work (e.g. supplies, facilities, equipment, staff) may not be charged to or supplied by the College. Only in cases where there is a direct benefit to the College from the work itself (exclusive of the individual performing the work) and only with prior approval would such use be appropriate. A serious breach of this rule, in fact or public appearance, may result in appropriate disciplinary procedures.

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For [Staff](#)

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Maintained by Human Resources

## Parental Leaves (Birth or Adoption)

**Unpaid Parental Leave:** Under federal law, all employees are entitled to an unpaid family leave under the Family Medical Leave Act (FMLA) of up to 12 weeks during any twelve month period rolling backwards. If the Family Medical Leave extends beyond three consecutive days the employee will need to provide appropriate medical documentation. While on leave, employees on a Family Medical Leave are entitled to continue to receive health benefits as though working.

**Paid Parental Leave:** In addition to the basic employee rights provided by the FMLA, the college will grant paid parental leaves under the terms given below. Parental leave may be taken any time within 12 months of the birth/adoption of the child, and will count as time in service for salary increases. During all paid parental leaves, the College's contribution to benefits will continue during these 12 weeks for medical, dental, life insurance, and retirement benefits. Appropriate medical documentation will need to be submitted. If the primary and secondary caregivers in a family are both Carleton employees, the 12-week leave to the family can be flexibly shared by the caregivers, in consultation with department heads and chairs. If such leaves involve faculty, the dean of the college should also be consulted.

**Primary Caregiver** is the designated biological or adoptive parent.

**Secondary Caregiver** is the spouse or recognized domestic partner of the designated biological or adoptive parent.

### **Primary Caregiver Benefit:**

Any full-time regular faculty member who becomes either a birth or adoptive parent and who is the primary caregiver may receive either: (a) a two-course reduction (equivalent of one term); or (b) a one-course reduction in

each of two terms, at full pay, to be taken within one year of birth or adoption of a child. Course releases may be scheduled flexibly and should be in consultation with departments and the dean of the college. Faculty on paid leave will normally be relieved of non-teaching duties. It is anticipated that a portion of these primary caregiver leaves will be replaced, in consultation with departments and the dean of the college.

**Secondary Caregiver Benefit:**

Any full-time regular faculty member who is either a birth or adoptive parent and who is the secondary caregiver may elect to receive a one-course reduction receiving two-thirds pay (for the term in which the course reduction occurs) and some short-term reduction in non-teaching duties, in negotiation with the department chair.

Part-time regular faculty may be eligible for one of the benefits described above, though prorated depending upon the terms of their part-time status. Other faculty are not normally eligible for paid parental leave.

**Delay in Reviews and Tenure**

Faculty who take parental leave prior to tenure may request a delay in the third year review and tenure decision, in consultation with the department/program and the dean of the college.

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For [Faculty](#)

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Maintained by Dean of the College Office

## Pay and Hours

### Fair Labor Standards Act

All non-exempt employees of the College are subject to the provisions of the Fair Labor Standards Act regarding the payment of minimum wages and premium pay for overtime.

- Non-exempt employees: those covered by the provisions in the Act for minimum wage and entitled to overtime pay for hours worked beyond 40 hours in the work week.
- Exempt employees: those who are professional, administrative and executive personnel and are paid on a salaried basis are exempt from the overtime provisions of the Act.

Exempt employees are paid monthly. All non-exempt employees are paid biweekly. Human Resources will advise each employee of his or her status when hired or transferred.

### Work Week/Hours



The work week, for payroll purposes for non-exempt employees, begins at 12:01 a.m. Sunday morning. Hours of employment are 40 per week generally from 8:00 a.m. to 5:00 p.m., Monday through Friday unless otherwise specified. The letter of appointment will contain the expected work schedule.

Exempt or salaried employees are paid on the accomplishment of duties performed without regard to specific hours or work week. They are normally expected to observe general business hours and to work additional hours to meet work requirements when necessary. Exempt employees are expected to keep their supervisors aware of any planned time off. Exempt employees are paid monthly regardless of the number of hours worked and are not eligible for overtime pay.

### **Rest Periods/Meal Periods**

A paid rest period of 15 minutes is allowed each four-hour work period (excluding lunch periods) for non-exempt employees at a time approved by the supervisor. Unused rest periods will not shorten the scheduled work day. The Flextime Program may govern changes in scheduled hours.

Meal periods are different than paid rest period. The College requires those working more than five hours each day to take an unpaid meal period. Unpaid meal periods are typically one hour in length but may not be less than one half hour. Employees required to complete timesheets/web-time entry must record the start and end time of their meal period.

### **Overtime**

If, in the judgment of the supervisor, it is necessary for non-exempt employees to work beyond their normal schedule, they will receive pay at one and one-half times their regular rate for all hours worked beyond 40 hours per week. Employees must never work and are not authorized to work overtime without first obtaining the advance approval of their supervisor. Vacation, floating holiday and sick leave hours are not counted in the calculation to determine overtime pay. College holiday hours are counted in the calculation. The overtime provision does not apply to exempt employees.

### **Payroll Time Sheets/Web-Time Entry**

The Fair Labor Standards Act requires that a time sheet or web-time entry be filed for each pay period for non-exempt employees. Since pay is computed on the basis of time recorded, the time sheet/web-time entry must be complete, accurate, and promptly turned in at the end of each payroll period. The time sheet/web-time entry must be signed or approved (electronically if by web-time entry) by the employee, thereby verifying its

accuracy. The supervisor must approve all hours, including any overtime hours with a signature/electronic approval. Time sheets/web-time entry is due to the Payroll Office by 12:00 p.m. the Monday following the time sheet/web-time entry work period.

For control purposes for time sheets, the College requires that only an original, green time sheet be submitted for payment if not using web-time entry. Copies, faxes, or Excel-edited versions are not accepted.

Carleton has a policy for dealing with time entry questions. If, through review, the Payroll Specialist questions any portion of an employee time sheet/web-time entry, the Payroll Specialist will contact the employee's supervisor for clarification.

At no time will an employee's time sheet/web-time entry be changed without the direct consent and acknowledgement by the employee or their direct supervisor for worked hours. For hours not worked, such as vacation, holiday, sick leave, overtime, etc. the same procedures will apply to the extent they fall within the policies of the College.

### **Payroll Schedule**

Non-exempt earnings are calculated according to time recorded on time sheets/web-time entry and will ordinarily be distributed to employees every other Friday to cover the two week period completed one week prior to the issuance of payroll. All earnings are reported to employees on a pay advice. Individual earnings are directly deposited in any bank as designated by each employee.

Exempt salaries are calculated through the end of each month. Pay advices reflect the amount directly deposited to any bank as designated by each monthly paid employee. Payroll is deposited electronically on the last business day of the month.

### **Payroll Deductions**

Payroll deductions made according to law include Social Security Taxes (F.I.C.A.), and state and federal Withholding taxes. Social Security includes retirement, disability, survivor, and dependent benefits. Carleton College matches the F.I.C.A. tax contribution.

Payroll deductions will be made for other authorized benefit programs in which eligible employees choose to enroll with a signed authorization for payroll deduction. Normally a specific payroll deduction will be made from each paycheck.

### **Daily Rate for Exempt Staff**

The daily rate for exempt staff shall be applied when partial months are worked. Partial months worked may be the month as a new hire, the month in which an unpaid, approved absence begins, or the month in which final pay occurs due to termination. The daily rate is calculated by determining the number of workdays in the activity month (ranges from 20 to 23 days depending on the month). The exempt staff member's individual monthly salary is divided by the number of work days in the current month resulting in the daily average pay for the exempt individual.

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Last revised April 1, 2010

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For [Staff](#)

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Maintained by Human Resources

## Personal Appearance

Business appropriate attire and other aspects of personal appearance reflect the good judgment expected of each employee.

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For [Staff](#)

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Maintained by Human Resources

## Personnel Practices Review & Procedure

Each regular employee, beyond the initial review period, is guaranteed the right without prejudice to initiate a review of personnel practices which affect his or her working conditions. The best way to solve a concern is to discuss it openly before it has a chance to grow. Therefore, if an employee should have a specific concern, follow the procedure suggested below:

- First, discuss the difficulty with the immediate supervisor to see if things can be worked out by just "talking it over."
- If not satisfied, go to the supervisor next in line.
- If the employee feels the concern is still unresolved, take it to the Director of Human Resources. Employees are encouraged to discuss any work concern freely so the conditions causing dissatisfaction can be understood and solutions sought.
- If the matter cannot be settled on an informal basis, the Director of Human Resources will assist in putting the concern in writing for joint consideration by the Director of Human Resources and the appropriate Division Head. They will review the matter and will reach a decision.

Union staff members have recourse in the procedure outlined in the Labor

Agreement which includes steps similar to those outlined above.

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For [Staff](#)

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Maintained by Human Resources

## Retirement - regular and phased

Carleton offers the option of phased retirement in addition to regular retirement. Whereas in a regular retirement plan one goes directly from full-time employment to retirement, Carleton's phased retirement provides the option of teaching part-time for a period of one to three years before retiring completely. Full details of the phased retirement plan are described below.

Faculty members who are considering retirement should consult with the dean early in their planning. Faculty members are also encouraged to consult with a financial planner. The College will reimburse qualified employees up to \$300 for costs incurred for financial planning advice provided by a certified financial planner, accountant, attorney or other planning professional. Additional information can be found on the Human Resources Web site.

Faculty members who will be between the ages of 60 and 65 at the time of their retirement and who have at least 20 years of service at Carleton College may choose to continue on the College medical insurance plan until age 65. In that case, Carleton will pay 50% of the premium for the faculty member and the faculty members' spouse/domestic partner, if applicable. If the faculty member is over 65 and is carrying medical coverage for a spouse/domestic partner who is under 65, the spouse/domestic partner can continue on Carleton's plan through COBRA for up to three years (or until age 65), and Carleton will pay 50% of the premium.

Retired faculty members are encouraged to remain active in their departments and programs and throughout the College as a whole. Retired faculty members retain many privileges, such as library privileges, email account, and others. Information about these privileges can be found on the Dean of the College Web site [here](#).

### Phased Retirement Option

A voluntary Phased Retirement Option is currently offered to eligible faculty members. The option is designed to permit a systematic staffing change period for the College and a reduction in hours of work for faculty members, allowing additional time to plan for full retirement.

**Availability.** The Phased Retirement Option is available to all faculty

members who meet the eligibility requirements. The College will, at least in five-year intervals, review the program and the benefits of such a program to determine if the needs of the institution are being fulfilled. The College reserves the right to discontinue the program if institutional needs are not being met. If the College elects to discontinue the program, the faculty will be notified at least two years in advance in order to provide sufficient time for them to plan.

**Eligibility.** Regular faculty members are eligible to participate voluntarily in the Phased Retirement Option after completing 20 years of service at Carleton College. Faculty members electing this option must give the College and their departments advance notice of their intentions by January prior to the September in which they plan to begin the Phased Retirement Option. When entering into a Phased Retirement Agreement, faculty will indicate a firm date for their full retirement and will agree to resign tenure effective on that date. Upon reaching full retirement, a professor electing this option will be eligible for consideration for promotion to emeritus status.

### **Provisions.**

- Eligible faculty members choosing the Phased Retirement Option prior to March 31, 2013, will receive the benefits provided under the retirement plan option as it existed in the 2011-2012 academic year, provided that phased retirement commences on or before September 1, 2013. These faculty members will teach half-time for up to three years. The salary paid will equal 70% of the full-time equivalent salary each year during the phased period. Specific teaching assignments during the phased period will require approval by the departments and programs involved. Sabbatical eligibility will cease at the commencement of the phased option. However, the Professional Development Account will continue.
- Eligible faculty members choosing the Phased Retirement Option after March 31, 2013, will receive the benefits outlined below. (Please note that faculty members choosing the Phased Retirement Option prior to December 31, 2013, will be permitted to participate in the revised phased retirement program for up to three years, regardless of whether full retirement occurs after age 70, provided that phased retirement commences on or before September 1, 2014.) Faculty members electing the Phased Retirement Option must complete phasing and reach full retirement by age 70. Faculty members electing the Phased Retirement Option will teach part-time for up to three years. The part-time teaching requirement for faculty members electing the Phased Retirement Option will be as follows: Those electing to phase for a period of one year will teach 3 courses;

those phasing over two years will teach 5 courses, typically distributed as 3 courses in one year and 2 in the next. Faculty members phasing over three years will teach a total of 7 courses, typically distributed as 3 courses in the first year, and 2 in each of the two subsequent years. The salary paid will equal 70% of the full-time equivalent salary during the first year of the phased period, and 50% of the full-time equivalent salary in each of the second and third years of the phased period. Specific teaching assignments during the phased period will require approval by the departments and programs involved. Sabbatical eligibility will cease at the commencement of the phased option. However, the Professional Development Account will continue. Faculty members will not be required to fulfill committee service or advising duties during their phasing period; however, should a faculty member on phased retirement be in residence all three academic terms of a given academic year and wish to continue these duties, such responsibilities may be negotiated with the Dean.

**Benefits.** Faculty members electing the Phased Retirement Option will retain all employee benefits provided by the College. Those related to salary (such as contributions to the Regular Retirement Plan provided by TIAA-CREF) will be based on actual salary paid.

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*Adopted by the Board of Trustees on November 18, 1999.*

*Revised and approved by the Board of Trustees on May 15, 2004.*

*One-year extension approved by the Board of Trustees on May 14, 2011.*

*Revised and approved by the Board of Trustees May 12, 2012.*

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Last revised May 12, 2012

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For [Faculty](#)

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Maintained by Dean of the College Office

## Retirement Criteria

Carleton College considers a staff employee to have retired from Carleton if at the time of their departure they have completed at least 15 years of service, are at age 55 or older and are not working full-time at another job. Retirees retain certain Carleton related privileges including a OneCard, access to the recreation center and library, as well as bookstore and dining discounts.

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For [Staff](#)

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Maintained by Human Resources

## Retirement Plan

The College makes Retirement Plan contributions for regular, benefit-eligible employees 21 years of age or older, to the Teachers Insurance and Annuity Association of America-College Retirement Equities Fund (TIAA-CREF) and allows eligible employees to invest discretionary salary reduction contributions in tax deferred annuities and custodial accounts.

The Terms of the Carleton College TIAA-CREF Plan (herein-after sometimes referred to as the "Plan") are as follows:

### Eligibility

Subject to the provisions set forth hereafter, participation in the Plan shall begin on the first of the month following the first month of employment. If the employment date occurs on the first working day of the month, the benefit becomes effective immediately and shall be based on the following:

An active employee who meets all of the following requirements is required to participate in the Plan and must submit an application to the Office of Human Resources:

1. He or she is ordinarily scheduled to work 1) not less than 20 hours per week or the academic instructional equivalent and not less than 9 months in a pension plan year or 2) not less than 1,000 hours in a pension plan year. Notwithstanding the foregoing, an active employee will be treated as having satisfied this requirement if such employee worked 1,000 hours in the one-year period commencing with the individual's employment date or in any pension plan year.
2. Eligibility of employees in a collective bargaining unit to participate in the Plan shall be subject to negotiations with the representative of that unit. During any period that an employee is covered by the provisions of a collective bargaining agreement between the College and such representative, he or she shall not be eligible for participation in this Plan unless the agreement expressly so provides. For purposes of this section only, such an agreement shall be deemed to continue after its formal expiration during collective bargaining negotiations pending the execution of a new agreement.

Any employee who is participating in a shared appointment and who meets requirements 1 and 2 must participate in the Plan and submit an application to the Office of Human Resources.

For accounting and reporting purposes, the pension plan year shall be the calendar year.

## Plan Contributions

Employees contribute 2% of their salary and the College contributes an additional 10% for a total contribution of 12% of salary to the Retirement Plan. Notwithstanding the preceding, the contribution on behalf of any participant cannot exceed the amounts permitted under IR Code 403(b)(12).

Each participant shall make a contribution of not less than 2 percent of his or her salary to the Plan as follows:

1. Each participant must enter into an agreement with the College to reduce his or her salary by an amount equal to 2% for purposes of such contribution. Reduced amounts are tax deferred until benefits are paid out.
2. In addition, each participant may, but is not required to do so, enter into an agreement with the College to make additional contributions for the purpose of acquiring additional benefits to reduce his or her annual compensation by a specified dollar amount not in excess of the amount permitted as a reduction under section 403(b) of the Internal Revenue Code, which for 2010 is \$16,500. The total does not include the 2% as referred to in 1 above.
3. Participants over the age of 50 may defer an additional \$5,500 (or a total of \$22,000 for 2010) unless the further excess amount is expressly permitted by the Code. For participants with 15 years of service or more at Carleton College, an additional catch up contribution of \$3,000 is possible. Please contact human resources for specifics. However, any such contribution may not be in excess of the amount permitted under Section 415 of the Internal Revenue Code.

For purposes of this Article II, "salary" means base salary excluding overtime, bonuses, summer and other supplementary pay. In accordance with IRS Code 401(a) (17), salary taken into account under the plan cannot exceed \$245,000 (in 2010, as indexed per IRS Code 415(d)).

The College shall forward the combined contributions to TIAA-CREF for the purpose of retirement benefits for the participants as follows:

- At the election of the participant, any split of such combined contribution will be applied as a premium for a TIAA retirement annuity certificate and/or a CREF certificate. Contributions to TIAA may be designated to the Regular Annuity, Real Estate Account, Lifecycle Funds or Mutual Funds. Contributions to CREF may be designated to the following funds: Stock, Money Market, Social Choice, Bond Market, Global Equities, Equity Index, Growth, and/or Inflation-Linked



## Bond Account.

At the election of each TIAA-CREF participant, funds accumulated under the Plan may be transferred a) among the Plan's approved CREF accounts and TIAA Real Estate Account; b) to the TIAA Retirement Annuity; or c) from the TIAA Retirement Annuity in substantially equal payments over a ten-year period.

No contribution will be made under the Plan with respect to any payments made in connection with an agreement by a faculty member to terminate employment.

## Leaves of Absence

During a leave of absence, contributions made by the College and by the individual will be based on the compensation paid to a participant during such time.

## Contracts

Each TIAA retirement annuity contract and CREF certificate is for the sole purpose of providing a retirement and/or death benefit and is the property of the individual participant.

## Spouses' Rights

Benefits may only be paid for married participants in the Plan under a qualified joint and survivor annuity or qualified pre-retirement survivor annuity meeting the requirements of the Retirement Equity Act of 1984, unless a written waiver of the benefit by the employee and a written consent to the waiver by the spouse is filed with TIAA-CREF. This provision applies to Repurchase, Retirement Benefits, and Death Benefits.

## Cash Withdrawal

A participant who has attained age 55 may receive a cash withdrawal as permitted by the funding vehicle. Cash withdrawals may not be received while the participant is employed at Carleton College. Amounts paid to the participant on cash withdrawal shall be in full satisfaction of the participant's, and his or her spouse's, rights to retirement and/or death benefits attributable to such amounts paid out. A participant electing such a cash withdrawal should review tax consequences of the action with a TIAA-CREF representative and/or personal tax adviser prior to the transaction.

## Annuity Income

Although annuity income usually begins on the normal retirement date, participants may begin to receive income from the plan at any time, which may be earlier or later than the normal retirement date. However, if a participant is employed by the College on the date when benefits under the plan commence, he or she will cease to be a participant of the plan and no further contributions will be made on his or her behalf.

Retirement benefits must normally begin no later than the calendar year in which the age of 70 1/2 is reached unless still employed by Carleton College. Failure to begin annuity income by the required beginning date may subject a participant to a substantial federal tax penalty. If still employed at Carleton College after age 70 1/2, a participant must begin distributions following termination of employment.

## **Effective Date**

The effective date of this retirement plan shall be September 1, 1970. The plan is amended and restated as of July 1, 2009.

## **Tax Deferred Annuities and Custodial Accounts**

### **Description**

Carleton College offers a Group Supplemental Tax-Deferred Annuity plan in addition to its regular retirement plan. Also for those employees who might prefer to use "403(b)7's" as a means of tax deferral, the College processes 403(b)7 custodial accounts (available in the form of "mutual funds"). Through a properly drawn salary reduction agreement with the College, employees may reduce the portion of compensation which is currently subject to taxes, and contribute that amount toward the purchase of one of these tax-deferred investment options.

There is a limit to the amount of tax-deferred contribution the College can make on an employee's behalf, called the "exclusion allowance." There is an exact computation process which establishes the absolute maximum available to an employee for any given year. The Office of Human Resources will provide instructions for obtaining this important calculation from TIAA-CREF.

### **Administration**

The vice president and treasurer is authorized to act on behalf of the College in connection with these annuities and custodial accounts and to establish such rules and regulations as deemed appropriate for them.

## Regulatory Requirements

The College's activities shall be limited to those permitted in Labor Department Regulation 25010.3-2(f) such that this program will not be deemed to be a pension plan maintained by the College and will not result in additional reporting obligations for the College.

## Effective Date

The effective date of this program was September 1, 1992.

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Last revised January 25, 2011

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Sabbatical Leaves and Leaves of Absence

Under normal conditions, tenured and tenure-track members of the teaching faculty and full-time faculty in the Department of Physical Education, Athletics, and Recreation in all academic ranks are eligible to apply for sabbatical leaves on Schedule I or on Schedule II below.

### Schedule I.

- A. One term at full salary and benefits after nine terms of service at Carleton; or
- B. Two terms at full salary and benefits after eighteen terms of service at Carleton.

### Schedule II.

- A. One term leave at full salary and benefits after twelve terms of service with one-course release during the twelve terms. Eligibility for a one-course release requires at least six terms of service; or
- B. Two terms leave at full salary and benefits after twenty-four terms of service with two one-course releases during the twenty-four terms. Eligibility for the first one-course release requires at least six terms of service, and the second requires at least fifteen terms of service. The first and second course releases cannot be in the same term.

All faculty members anticipating a sabbatical leave must receive prior approval of the schedule and the precise timing of the leave by the dean and the department chair, after appropriate discussion. Attention will be given to the needs of the department's and College's academic programs.

If a faculty member teaches less than full-time, leave eligibility will be determined according to the above schedules but with salary and benefits prorated to be proportional to his or her full-time equivalent level of service over the period since the last sabbatical leave.

Up to three extra terms taught before a sabbatical leave but not required for eligibility will be carried over and credited toward the next sabbatical.

Faculty members who defer their sabbatical leaves at their own choice beyond three terms will lose the accumulated time beyond this maximum. But faculty members who are requested in writing by the College to defer their leaves because of exigencies within the department or College will receive credit toward subsequent leaves for the time that the sabbatical leave is deferred. A faculty member will normally teach six consecutive terms between leaves of absence, including sabbatical leaves.

It is understood that sabbatical leaves may be expanded by additional unpaid leaves of absence on the basis of proper arrangements with the dean and department chair. A leave of absence for more than two consecutive academic years will normally not be approved. Requests for sabbatical leaves to pursue work toward an advanced degree will usually not be considered. Both sabbatical and unpaid leaves are subject to the approval of the Board of Trustees. Sabbatical credit does not accrue while a faculty member is on leave from the College.

Application forms for sabbatical leaves and unpaid leaves of absence are available on the dean of the college Web site.

For faculty on the payroll for at least half-time for the year (including sabbatical pay or internally funded leaves such as Faculty Development Endowment grants), the College will continue to pay its share of fringe benefit costs (with salary-based benefits pro-rated for actual salary paid) throughout the year. If a one-term sabbatical or other internally funded leave is combined with two terms of unpaid leave within a given academic year, the College will continue to pay its share of fringe benefit costs for the salaried term only; the faculty member will be allowed to pay the total benefit costs, if desired, for the terms of leave without pay to continue the benefits. If unpaid leave for more than half of the academic year is supported by an outside grant that does not support payment of faculty benefits, the faculty member should apply to the dean of the college to ask for College assistance with benefits, to be covered by discretionary funds.

Applications for funds from outside sources for assistance during a leave of absence, including applications for fellowships, should be discussed with the dean of the college prior to submission of a formal proposal. The dean of the college and Corporate and Foundation Relations will assist faculty members in preparing applications or in making special presentations for foundations that may be able to provide financial assistance.

The nature of replacements for those on sabbatical leave will be determined by the department in consultation with relevant interdisciplinary programs and the dean. In the case of one-term sabbatical leaves, departments will normally attempt to make replacements from within.

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*Adopted by the Board of Trustees on June 15, 2000.*

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Last revised June 15, 2000

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For [Faculty](#)

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Maintained by Dean of the College Office

## Salary Payments

Faculty salaries are based on the academic year from September to June, and payments are made in 12 equal installments on the last day of each month beginning on September 30, through a direct deposit in the faculty member's designated bank(s). A faculty member will be advised in writing of any prospective change in salary.

A faculty member on a full-time appointment at Carleton is expected to devote full time to teaching, scholarly activity, and related duties while the College is in session. It is assumed that the faculty member's professional development and contributions to his/her field will involve occasional off-campus activities such as attendance at professional meetings, lecturing, performing, consulting, or research.

In addition to specified salary payments, the College provides numerous collateral benefits which constitute part of the total compensation of faculty members. Any faculty member at Carleton who normally carries at least a one-half time teaching load for at least two terms of the academic year is eligible for benefits on a prorated basis. If a one-term sabbatical is combined with two terms of unpaid leave within a given academic year, the College will continue to pay its share of fringe benefit costs for the sabbatical term only; the faculty member will be allowed to continue some benefits during terms of leave without pay by paying the total benefit costs. Questions concerning salary payments or collateral benefits may be discussed with the College's Human Resources Office. Changes may occur which would amend, modify, or delete portions of the benefit package at any time. Details of the various benefits plans are available in the College's Office of Human Resources.

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For [Faculty](#)

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Maintained by Dean of the College Office

## Short-Term Medical, Funeral or Compassionate Leaves

A member of the faculty should notify the department chair and the dean of the college of short-term absences up to five days in length due to serious personal circumstances. Examples include, but are not limited to, a faculty member's acute illness preventing him or her from being able to work, the death of a family member, or the necessity of providing short-term care to a sick child, spouse, domestic partner, or parent. Regular salary and benefits will continue during such short-term leaves. Arrangements for classes and other responsibilities will be made with the department chair. If it becomes necessary to extend a leave beyond five days in any of these circumstances, further leave benefits may be considered, in negotiation with the department chair and dean of the college.

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For [Faculty](#)

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Maintained by Dean of the College Office

## Sick Leave

### Eligibility

All regular, benefit-eligible employees are entitled to sick leave with pay for personal illness, injury, pregnancy, miscarriage, abortion and childbirth. The amount of sick leave is pro-rated for all staff members working less than full-time or less than 12 months in the year.

### Schedule

<b>Sick Leave Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Annual Sick Leave Accrual for Full-Time Employee</b>	<b>Maximum Balances for Full-Time Employee</b>
<b>Bi-Weekly (Non-Exempt, Non-Union)</b>	.0462 per hour paid	96 hours (12 days)	No maximum
<b>Monthly (Exempt)</b>	1 day per month	12 days	No maximum

Sick leave hours are accrued at the end of each pay period based on the employee's current accrual rate, the number of hours worked (excluding over-time) and/or the employee's budgeted FTE.

Upon termination, bi-weekly employees with 15 or more years of service will be paid 20% of their accrued sick leave balance. Monthly employees are not eligible for sick leave payout.

Bi-weekly employees must record their sick leave utilization in 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record sick leave utilization on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

### **Provisions**

Accumulated sick leave may be used for temporary disabilities caused by illness, injury, pregnancy, miscarriage, abortion and childbirth. Absences caused by pregnancy, miscarriage, or abortion are considered temporary disabilities and are covered under the sick leave policy like any other disability due to injury or illness.

A physician's written statement confirming the inability to return to work is required. The College may also request from the employee's physician or other authorized medical authority, evidence of proper recovery from an injury or illness before allowing the employee to resume full or part-time duties or medically restricted work activities. The College reserves the right to have employees examined by a doctor of its choice and to require a second opinion in cases of illness or disability. This policy is to protect both the employee and their co-workers.

### **Medical Appointments**

When it is not possible to schedule a doctor, dentist, or human services appointment for the employee during non-duty hours, time for such appointments may be charged against sick leave accrual for non-exempt staff. Exempt employees scheduling larger time blocked medical appointments should record medical appointments via utilization of sick time in no less than half-day increments.

### **Sick Child**

An employee may use accrued sick leave for absences due to an illness or injury for the employee's child for such reasonable periods as the

employee's attendance with the child may be necessary, just as if personally ill. The amount of paid sick leave available is determined by the amount each staff member has accrued. A child is defined as a person younger than 18 years of age or younger than 20 years of age if still attending school.

### **Sick Adult Children, Parents, Spouse, Domestic Partner**

An employee may use up to two days (16 hours) maximum of accumulated sick leave within a 12 month rolling period for the illnesses for any combination of adult children, parents, spouse or domestic partner. Absence time used for this purpose must be requested in advance of the time off and approved by an individual's supervisor.

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Last revised July 13, 2010

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For [Staff](#)

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Maintained by Human Resources

## **Travel (or Non-Travel) Accident Insurance**

**College-Provided Travel Accident Insurance:** Employees of the College who are full-time or part-time (working 17.5 hours per week) are covered under an Associated Colleges of the Midwest Travel, Accidental Death, and Dismemberment policy when in a business travel status for the College. The benefit amount under this program is equal to two (2) times base annual salary, subject to a minimum of \$50,000 and a maximum of \$300,000. The benefits are paid to the group life insurance beneficiary in the event of death.

**Travel Assistance Program:** The Hartford offers benefit-eligible employees a travel assistance benefit with several unique services including visa, passport, and inoculation and immunization requirements; travel advisories; foreign exchange rates; embassy and consulate referrals; medical referrals (referrals to medical providers worldwide); medical evacuation; and many more. Service is available 24 hours a day, seven days per week.

**Voluntary Travel/Non-Travel Group Accident Insurance:** The College offers a voluntary plan of group accidental death and dismemberment insurance, which covers both occupational and non-occupational accidents. This insurance is available to regular benefit-eligible employees. This is 24-hour protection designed to cover not only travel accidents but other kinds of accidents as well (with certain standard exclusions) whether or not the employee is on College business. The cost of this protection is based on the benefit amount selected for either the employee-only plan or the family plan. This insurance is available in amounts ranging from \$50,000 to



\$500,000 in increments of \$25,000. The premium is payable on a monthly basis through payroll deduction.

Further details and applications can be obtained from the Office of Human Resources.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Tuition

### Tuition for Dependents

**NON-EXEMPT STAFF.** Non-exempt employees are eligible for dependent education benefits at Carleton College of one-half tuition plus one-half actual board charge if the employee is:

- a benefit-eligible employee;
- an employee hired on or after 7/1/90 and has been on the payroll for at least six consecutive years (completion of six consecutive years); and
- the dependent is accepted as a full-time Carleton student.

This benefit will be pro-rated for part-time employees. This benefit does not apply to summer program courses. Receipt of this educational credit would not preclude the possibility of additional student aid from the College if approved under the provisions of the appropriate financial need analysis. The benefit will not exceed four regular academic years per child and a maximum of twelve regular academic years per eligible member of the non-exempt staff. Any child may receive only one benefit under this policy even if both parents fall in the eligible category.

**FACULTY AND EXEMPT STAFF.** Carleton College extends tuition benefits to faculty and exempt staff whose employment began on or after September 1, 1974. This benefit is limited to children of tenured faculty and exempt staff with six years of continuous employment at Carleton. The following provisions also apply:

- The benefit is limited to the legal children of eligible faculty and staff.
- The benefit is limited to children attending accredited undergraduate colleges or universities.
- The benefit will not exceed four regular academic years per child and a maximum of twelve regular academic years per eligible member of the faculty or staff.

- Eligibility is limited to students of 26 years of age or less as of September 1 in any given year.
- The benefit may not be used for expenses in summer school, special programs, or other special fees.
- Any child may receive only one benefit under this policy even if both parents fall in the eligible category.
- The benefit will be continued for children of deceased faculty and staff who were eligible at the time of their death, subject to the other conditions on this benefit and financial need.
- For part-time employees who are employed at least half-time and who meet the other conditions of eligibility, the benefit will be based on the employee's current FTE.

**Benefit:**

- At Carleton: one half of Carleton's tuition.
- At fully accredited colleges and universities other than Carleton:
  - *Either:* 50 percent of tuition up to a maximum of 33 percent of Carleton's tuition,
  - *Or:* payment of guarantee fee and loan interest on a loan equal to 70 percent of tuition up to 33 percent of Carleton's tuition while the child is a full-time undergraduate student. The subsidy would continue whenever eligible siblings are full-time undergraduate students.

Tuition benefit payments will be made directly to the institution the student attends. Contact the Office of Human Resources for policy and tuition reimbursement process information.

## Tuition for Spouses or Domestic Partners

The College will waive tuition charges for faculty and staff spouses or domestic partners who enroll as special students for one course per academic term at Carleton. All special students register for courses through the Office of the Registrar. Please refer to the Special Student section in the *Academics* section of this handbook.

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Last revised August 31, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Vacation

### Eligibility

All regular, benefit-eligible employees will accrue paid vacation time. The supervisor will review and either approve or deny each vacation request to ensure operational needs are met. There is no waiting period for staff to use allotted vacation days, however, prior supervisor approval is required. The amount of vacation is pro-rated for all staff members working less than full-time or less than 12 months in the year.

### Schedule

<b>Vacation Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Vacation for Full-Time Employee</b>	<b>Maximum Balances for Full-time Employee</b>	<b>Maximum Negative Balance Allowed for Full-Time Employee</b>
<b>Bi-Weekly (Non-Exempt, Non-Union)</b>				
At start of employment	.0385 per hour paid	2 weeks	160 hours	1 week
Upon completion of the 5th year	.0577 per hour paid	3 weeks	240 hours	1.5 weeks
Upon completion of the 10th year	.0770 per hour paid	4 weeks	320 hours	2 weeks
<b>Monthly (Exempt)</b>				
	1.67 days per month	4 weeks	40 days	2 weeks

Vacation time is accrued at the end of each pay period based on the

employee's current accrual rate, the number of hours worked (excluding over-time) and/or the employee's budgeted FTE.

Staff working less than 12 months must use their vacation during their paid employment period. Staff positions are budgeted for the appointment period only and therefore there are no funds available for paid vacations outside of the appointment period.

When an employee reaches the Maximum Balance, their vacation accruals will cease until their balance drops below the maximum. Carry-over maximums are equal to maximum balances.

Bi-weekly employees must record their vacation time utilization in 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record vacation utilization on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

The purpose for allowing employees to use vacation before it is earned (negative balance) is in response to the cyclical work of many offices around campus that may dictate when an employee can use vacation, sometimes before they have earned it. It is not the College's intent for employees to carry a negative balance for an extended period of time, and like other aspects of the vacation policy, supervisor approval is required before an employee can use unearned vacation time.

At separation, accrued vacation balances will be paid out to the employee. Any negative vacation balance will be deducted from the employee's final pay check.

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Last revised July 13, 2010

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For [Staff](#)

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Maintained by Human Resources

## **Voluntary Group Term Life Insurance**

In addition to the life insurance benefit provided by the College, benefit-eligible employees may elect to purchase voluntary group term life insurance. This would be in addition to the life insurance benefit provided by the College. The cost to the employee is based on age and the benefit amount chosen. All premiums are paid by the employee on an after-tax basis. For those purchasing voluntary life, coverage amounts are subject to

reduction due to age. Full benefit information is available in the Office of Human Resources.

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Last revised November 18, 2011

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Whistleblower Policy

### Objectives and Purpose

The objectives of this policy are to:

- Formally establish procedures to help provide a workplace conducive to open discussion of the business practices of the College; and
- To positively reinforce and influence compliance with federal and state laws.

Employees and representatives of Carleton College are expected to practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations. The purpose of this policy is to comply with all applicable laws that protect employees of the College against unlawful discrimination or retaliation by their employer as a result of their lawfully reporting information regarding, or their participating in, investigations involving fraud or other violation by the College or its agents of federal or state law.

### No Retaliation

No director, officer or employee who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the College prior to seeking resolution outside the College.

### Reporting Violations

In most cases, an employee's supervisor is in the best position to address an area of concern. However, if you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with someone in the Human Resources Department or anyone in management whom you are comfortable in approaching. Supervisors and managers are required to report suspected violations to the Compliance Officer, who has specific and exclusive responsibility to

investigate all reported violations. For suspected fraud, or when you are not satisfied or uncomfortable with the process above, individuals should contact the Compliance Officer directly.

### **Compliance Officer**

The Compliance Officer is responsible for investigating and resolving all reported complaints and allegations concerning violations and, at their discretion, shall advise the President and/or the Audit Committee of the Board of Trustees. The Compliance Officer has direct access to the Audit Committee and is required to report to the audit committee at least annually on compliance activity. The Compliance Officer is appointed by the Audit Committee.

### **Accounting and Auditing Matters**

The Audit Committee of the Board of Trustees shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Audit Committee of any such complaint and work with the committee until the matter is resolved.

### **Acting in Good Faith**

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of federal or state law. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

### **Confidentiality**

Violations or suspected violation may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

### **Handling of Reported Violations**

The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

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*Approved by the Audit Committee of the Board of Trustees May 16, 2007.*

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Last revised May 16, 2007

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## **Workers' Compensation**

### **Report of Injury**

The College carries workers' compensation insurance to reimburse medical expenses and to continue wages in the event of occupational illness or accident incurred in the course of employment. Staff employees must immediately notify their supervisor (faculty members should notify the Office of Human Resources) of any such injury. Within 24 hours, the employee and supervisor are expected to fill out the Employee Accident Report form and forward the form to Human Resources. The law requires that the First Report of Injury be filed immediately with the insurance carrier; Human Resources will process and file the First Report of Injury.

### **Workers' Compensation Pay**

Carleton has the philosophy that it is best for the employee to return to work as soon as possible after a work related injury and will make every effort to work with restrictions that are assigned by the physician. At times it is necessary for an employee to be off of work during the healing process and Carleton will abide by the Workers' Comp regulations regarding the payment of wages. The State of Minnesota has a three-day period in which the employee does not receive income through Workers' Compensation. For these first three days following an injury, an employee will use their accrued sick, vacation or floating holidays. If an employee is unable to return to work after three days, the Workers' Compensation agent will issue a check to the employee for all authorized continued loss time. Time off needed for doctor appointments and therapy appointments is to be made outside of the employee's work schedule, if at all possible. If not able to schedule appointments outside the work schedule, then absent accruals would need to be used (sick, vacation, then floating holiday hours). FMLA leave will apply, if applicable, to loss time due to workers' compensation.

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the

employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

### **Workers' Compensation Fraud**

Fraud is when a person deliberately misrepresents or fails to disclose information about an important fact to receive benefits to which he or she is not entitled. Carleton College has zero tolerance for fraud and will actively pursue an offender.

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Last revised November 30, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

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**Campus**  
HandbookStudent  
HandbookFaculty  
HandbookStaff  
Handbook[Academic  
Regulations &  
Procedures](#)[Buildings &  
Grounds](#)[College  
Governance](#)[Communications](#)[Community](#)[Employment &  
Benefits](#)**Events**[Faculty  
Appointments](#)[Financial](#)[Health & Safety](#)[Housing &  
Residential Living](#)[Information  
Technology,  
Documents, &  
Records](#)[Research](#)[Travel &  
Transportation](#)


## Events

### Convocation

Convocation is scheduled each Friday at 10:50 a.m. during the academic year. Supervisors may grant time with pay to any employee who wishes to attend. There are many other activities on campus you may be invited to or wish to attend. While you are welcome to take advantage of these opportunities (with supervisory approval), please also keep in mind the operational needs of your department.

For [Staff](#)

Maintained by Human Resources

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The Campus Handbook is the one place to find all official Carleton College policies and guidelines. It contains the Student, Faculty, and Staff handbooks.

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HandbookStudent  
HandbookFaculty  
HandbookStaff  
Handbook[Academic  
Regulations &  
Procedures](#)[Buildings &  
Grounds](#)[College  
Governance](#)[Communications](#)[Community](#)[Employment &  
Benefits](#)[Events](#)**[Faculty  
Appointments](#)**[Financial](#)[Health & Safety](#)[Housing &  
Residential Living](#)[Information  
Technology,  
Documents, &  
Records](#)[Research](#)[Travel &  
Transportation](#)

## Faculty Appointments


### Appointment to the Faculty\*

All appointments to the faculty are made by the Board of Trustees, on the recommendation of the President, advised by the Dean of the College and the chair and other members of the appropriate department.

Reappointments with tenure are made by the Board of Trustees, upon recommendation of the president and dean of the college according to the procedures stipulated in the **TENURE REVIEWS** section of this *Handbook*.

The College makes *regular* full- and part-time faculty appointments and promotions to the ranks of professor, associate professor, assistant professor, and instructor; these may be with or without the possibility of tenure. It also makes adjunct appointments, without the possibility of tenure, to the ranks of instructor, lecturer, and senior lecturer. Adjunct appointments are made on a year-to-year basis and are usually part-time (half-time or less). Since they are not tenurable, there is no maximum limit upon the number of years a faculty member may remain in such an appointment. If a faculty member in an adjunct appointment is later granted a regular appointment, his or her years of service in the former are not normally recognized in calculating the pre-tenure period. Adjunct faculty members are not required to advise students, to serve on faculty committees, or to take part in department obligations other than teaching one's assigned courses, unless such duties are designated in the contract.

Appointments in the Department of Physical Education, Athletics, and Recreation are made to the ranks of professor, associate professor, assistant professor, and instructor; these are without the possibility of tenure. They can, however, be made with the possibility of "continuing appointment" in a series of three-year renewable contracts. Those in the instructor and assistant professor ranks not on continuing appointment, but whose appointments carry the possibility of being so, will have all the rights, privileges and responsibilities ascribed to tenure-track faculty elsewhere in this *Handbook*; those on continuing appointment will enjoy the rights (other

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than tenure) and responsibilities herein ascribed to tenured faculty.

Initial appointments are established in the form of a letter from the president, specifically stating title, salary and collateral benefits, length of appointment, responsibilities, and any qualifying conditions or other considerations. The signed return of the letter by the faculty member being appointed will be taken to mean acceptance of the appointment and understanding of all its particulars; the letter thus becomes the contractual instrument.

Any appointment or reappointment to the faculty, if it is not with tenure, is either with or without the possibility of tenure and will be so designated in the letter of appointment. A faculty member may be appointed with the possibility of tenure when an appropriate continuing position exists or will become available within the first seven years of his or her employment at Carleton (the first six years in the case of an associate professor). Faculty may also be appointed with the possibility of tenure when the opening of such a position within the required amount of time is a probability but not a certitude. Clear written communication between the Dean, the department chair and the appointee is a requirement for appointments of the latter sort. It must be clear to all that any type of appointment with the possibility of tenure can actually lead to tenure only if a continuing position exists or becomes available, and that unforeseen factors such as economic exigency or changes in educational priorities might cause the College to abolish a position expected to be continuing. All other appointments are made without the possibility of tenure. Faculty so appointed include visiting professors, administrators who are granted faculty status, and those part-time faculty who are ineligible for tenure (as noted in this section and under **Regular Part-Time Faculty**).

Regular faculty members will normally undergo a formal review (described below) in the third year of their service to determine whether their contracts should be continued. Those in the sixth year of an appointment with the possibility of tenure will undergo a more intensive review (also described below) in that year to determine whether they should be awarded tenure. In addition, departmental chairs shall annually review and discuss with untenured members of their departments the latter's performance and professional development.

The maximum pre-tenure period is seven years for an instructor or assistant professor and six years for an associate professor. Previous service elsewhere at a faculty rank is normally not recognized in these calculations at Carleton, although at the time of a particular appointment, the president may write into the contract letter recognition of a precise period of previous service.

Faculty members with tenure are on permanent appointment. Tenured faculty members are required to participate in the Senior Faculty

Development Forum (see below) roughly every ten years. Adjunct faculty members will normally undergo a review periodically during the course of their employment, at intervals to be agreed upon by the faculty member, the department, and the dean.

The following persons may vote at faculty meetings:

1. Regular full-time faculty;
2. Regular part-time faculty;
3. Visiting faculty;
4. Adjunct and emeritus faculty during terms they are teaching at least half time;
5. Administrators during terms they are teaching, unless they have a vote on the College Council.

No proxy votes are allowed.

Because Carleton is a residential college, faculty members will sometimes be expected to participate in evening and weekend activities. This should not be construed, however, as a directive to live in Northfield. The degree to which faculty members fulfill their professional obligations will be judged independently of their place of residence.

As soon as possible following the adoption of the subsequent year's budget by the College Council, faculty members will be notified in writing of any change in appointment, rank, or salary.

All personnel matters will be kept confidential by the College.

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For [Faculty](#)

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Maintained by Dean of the College Office

## **Appointments and Tenure (Terms of)\***

[Preface](#)

[Third-Year Reviews](#)

[Tenure Reviews](#)

[Reappointment and Tenure Appeals](#)

[Disciplinary Procedures](#)

[Procedures for Dealing with Non-disciplinary Incapacities](#)

[Grievance Procedures](#)

[Termination of Appointments](#)

[Tenure and Terms of Service](#)

[Promotion of Regular Faculty](#)

[Senior Faculty Development Forum](#)

[Amendment of Regulations Governing Reappointment, Tenure, Appeals and](#)

## Dismissals

### 1. Preface

#### **FACULTY PERSONNEL COMMITTEE**

The faculty committee charged with monitoring third-year reviews and participating in tenure reviews is the Faculty Personnel Committee (FPC).

The committee shall consist of five elected tenured members of the faculty, one from the social sciences, one from the natural sciences/mathematics, two from the combined divisions of humanities and arts/literature, and one who has been tenured five years or less at the time of election; and the president and dean of the college, *ex officio*.

The five elected members of the committee shall be elected by the voting faculty and shall serve for three-year terms. Because continuity on the committee is very important, no one should stand for election who plans to interrupt the first two years of the term with a sabbatical leave, leading an off-campus program, etc. No two elected members may be from the same department.

There shall be no alternate members on the Faculty Personnel Committee. If a tenure candidate is from the same department as an elected Faculty Personnel Committee member, that member shall remove him- or herself during the deliberation about the candidate and shall not participate in the voting concerning the candidate. In such a case, if no other elected member of the committee is from the same division as the tenure candidate, the most recently retired Faculty Personnel Committee member from a different department in the candidate's division shall serve as a non-voting consultant to the Faculty Personnel Committee to provide discipline-specific advice.

#### **CLOSE PERSONAL RELATIONSHIPS**

In faculty personnel decisions, the College wishes to avoid all possible questions about the propriety of an individual's serving as judge or advocate in situations involving a person with whom he or she has a close personal relationship (e.g., relationship such as spouse or parent). In a small college such as Carleton, personnel decisions may often be complicated by friendships among the parties; this is a difficulty we must live with. But close personal relationships may

introduce a conflict of interest, or the potential for or the appearance of conflict of interest, that we must avoid. Therefore, a tenured faculty member who has such a relationship with someone holding an appointment in the non-tenured ranks of his or her own department 1) will not participate in the third-year or tenure reviews of that person, and 2) should discuss with the dean and department chair the appropriate level of participation in other departmental decisions or recommendations on faculty appointments or promotions. Of course, no faculty member should participate in a hiring decision involving someone with whom he or she has a close personal relationship. At the College-wide level, a faculty member should not serve on the Faculty Personnel Committee during the years when someone with whom he or she has a close personal relationship is in a tenure track position in any department in the College.

Close professional relationships (e.g., extensive cooperative work or co-authorship) also may lead to a conflict of interest, but this is impossible to anticipate and specify in advance.

Anyone with questions or concerns about a possible conflict of interest stemming from a close personal or professional relationship should discuss the matter with the chair of the Faculty Affairs Committee or the dean of the college.

## **REVIEW SCHEDULES FOR PART-TIME REGULAR FACULTY**

In the case of part-time or joint appointments, since the accumulation of three or six full years of service might take a great deal of time, the dean, the department chair, and the faculty member in question may agree to accelerate the normal schedule of reviews. (cf. **Regular Part-Time Faculty**).

### **"STOPPING THE CLOCK"**

Provisions for delaying the review process during leaves of absences prior to the tenure decision are explained in the section on tenure and terms of service (See **TENURE AND TERMS OF SERVICE**).

## **2. Third-Year Reviews**

### **PURPOSE**

During the third year of service of a faculty member on a tenure-track

or on a continuing appointment (in the case of PEAR), the dean and the department conduct a thorough evaluation of the faculty member's work. This evaluation of progress after the first years of service provides the principal evidence used in deciding whether the faculty member should be reappointed and, in addition, provides the candidate with guidelines for priorities and improvements in his or her teaching and scholarly work following the review. A decision to reappoint after three years is not a prejudgment of a later tenure decision. Unless otherwise specified in the contract letter, a regular faculty member hired before completing the Ph.D. or comparable terminal degree must complete all requirements for that degree prior to September 30 of his or her third year of teaching at Carleton. Failure to complete the degree by September 30 of the third year of service will result in cancellation of the review and non-renewal of the faculty member's contract.

## **PROCEDURES**

Since a departmental assessment of a faculty member is generally the most important factor taken into account by the dean and the president, the review process is departmentally based. The departmental assessment is arrived at by the chair and the tenured members of the department; other members of the department and any other members of the faculty may make their views known directly to the dean if they wish. The dean shall be responsible for ensuring that the procedures for evaluation are known to the faculty member before the review begins, are agreed upon by the department, are consistent with the review considerations of the College, and are thoroughly and fairly administered. Tenured members of the department on leave are expected to make prior arrangements with the dean, the department chair and the candidate for participation in the third-year or tenure review.

When a department has fewer than three tenured members (or in other exceptional circumstances), a Special Review Committee will be formed for a tenure-track faculty member. This committee will function as the tenured members of a department for purposes of personnel evaluation and recommendation. The chair of the committee will conduct annual end-of-year conversations with the candidate. The committee will normally be formed when a faculty member is hired and will normally continue in existence through both the third-year review and the tenure review. The dean of the college will appoint the committee in consultation with the candidate and his or her department chair and with the advice of the Faculty Personnel



Committee; the composition of the Special Committee will be reassessed at the end of the third-year review. A Special Committee will consist of at least three tenured members of the faculty, but could have more participants if appropriate.

If a candidate has participated in cross-disciplinary curricular activities, such as a concentration, an Area Studies Program, etc., or has team taught with someone outside the candidate's own department, a letter of evaluation may be solicited by the dean of the college from the appropriate person, such as the director of the Area Studies Program or the co-teacher. Appropriate people from whom to solicit such letters will be identified by the dean, in consultation with the candidate, and with the advice and consent of the Faculty Personnel Committee. Such letters will be included in the candidate's dossier when it is sent to the department for review.

In making its assessment the department shall thoroughly review and appraise the quality of the faculty member's teaching. Each department member should gather evidence from:

- a. repeated personal visits to the faculty member's classes (and, if applicable, laboratories, studios, rehearsals, athletic practices, etc.), as agreed upon by the candidate, the dean, and the department before the commencement of the third-year or tenure review. For third-year reviews these visits should normally occur during winter or spring of the candidate's second year of teaching or fall of the candidate's third year of teaching. For tenure reviews these visits should normally occur during fall, winter, or spring of the academic year prior to the tenure review. As soon as is convenient, the individual members of the department should discuss their observations of the faculty member's teaching with him or her and make recommendations if these are warranted;
- b. student evaluation forms supplied by the Dean (see below);
- c. a career prospectus provided by the candidate;
- d. and other sources agreed to by the candidate and the department as may be appropriate.

The tenured members of the department shall read and review the candidate's scholarly writing (or other creative work or research as appropriate to the discipline), published and unpublished.

In addition, the faculty member being evaluated may submit any relevant supporting evidence in his or her own behalf.

The College encourages the involvement of students in its faculty and curricular decisions. Students take part in the hiring process within departments and in the review and evaluation of courses, programs and departments through the departmental curriculum committees, the Education and Curriculum Committee, departmental reviews and other departmental and College-wide committees. All instructors have the right, and are encouraged, to secure student evaluations of their own courses.

In formal reviews for tenure or reappointment, student involvement comes through the use of special student evaluation forms distributed and processed by the dean. For this evaluation, a list of twenty to thirty names of current and recently graduated students is solicited from the faculty member concerned. A second list of names is obtained by the Office of Institutional Research and Assessment through a random sample, with appropriate balances between men and women, majors and non-majors, and those who have done well or poorly in the faculty member's courses. (Any student who has been the subject of a judicial proceeding involving the faculty member being evaluated will be barred from participating in this review at the latter's request.) After showing the covering letter and the evaluation form to the faculty member being evaluated, the dean of the college writes to each student whose name appears on the lists, requesting the student's evaluation of the faculty member. Evaluations from current students are normally sought when students are away from the campus.

After the evaluations have been received, the dean prepares a copy of the letters, deleting the student's name and address and other material in the letter that is not appropriate to the review. The concerned faculty member is then given the opportunity to read the edited letters in, or in the immediate environs of, the dean's office. At a later date, the faculty member meets with the dean to discuss the letters. The edited letters are also made available to the tenured members of the department and to the Faculty Personnel Committee. Only the dean and the president see the full letter from each student.

Student evaluations provide evidence to assist all participants in the process in making their decision. Used with sensitivity, they ought also to provide valuable assistance to the faculty member in evaluating his or her own teaching.

Once the above evidence has been gathered, tenured members of the department shall meet together to discuss and arrive at a departmental recommendation, basing their deliberations on this

evidence and also upon their own knowledge of the candidate. The chair of the department shall then write a letter to the dean summarizing the discussion and communicating the departmental recommendation together with the reasons for that recommendation. A copy of this letter is also to be sent to each tenured member of the department, but it should not be shared with the candidate. In addition, each tenured member shall convey his or her own evaluation of the candidate in a formal letter to the dean, with a copy to the department chair. No tenured member's letter should be shared with the candidate.

Once a departmental recommendation has been made, the dean, president, and two elected faculty members from the Faculty Personnel Committee review the departmental letters (including those of the individual tenured members), the student letters, and the material submitted by the candidate in his or her own behalf, along with any other materials the dean considers relevant.

The dean meets in strict confidence with the entire Faculty Personnel Committee to summarize and discuss his or her perceptions of the review. After the Faculty Personnel Committee's discussion, the dean and president meet to make a preliminary decision about reappointment.

If the dean and president's preliminary decision differs from the majority recommendation of the department, then the dean and president shall convene a meeting to consult about that decision with the available tenured members of the department.

If the dean and president have made a positive final decision regarding reappointment, the dean shall draft a letter summarizing the review, including the student letters and the department letters. The draft is shared and discussed with the entire Faculty Personnel Committee. The dean then shares the draft with the department or review committee chair. The chair may supply written feedback on the letter within 24 hours, and then the dean will meet with the candidate and department chair to discuss the substance of the dean's letter. The candidate and department chair will have the opportunity to read a copy of the draft letter at least 48 hours prior to their meeting with the dean. During that meeting, they will have the opportunity to suggest revisions to the letter. The dean will send the final version of the letter to the candidate and the chair. The chair will make the letter available to all tenured members of the department or review committee.

If the dean and president have made a negative final decision

regarding reappointment, the candidate is informed of that decision in writing by the dean of the college and, if he or she so requests, told in writing the reasons for that decision, within three weeks of requesting such a letter.

### 3. Tenure Reviews

#### CONSIDERATIONS

Carleton is primarily a teaching institution. Thus, demonstrated excellence in teaching is the most important concern in the consideration of a candidate for tenure. At the same time, teaching effectiveness and the quality of a faculty member's interaction with students and colleagues over the long term of a career depend on a commitment to and a capacity for scholarship and continuing intellectual growth. Accordingly, the following will be considered as evidence of such commitment to and promise of sustained intellectual growth: scholarly publications, creative work, presentations at professional meetings, and contributions to the discipline and to the College's intellectual life. Other factors that enter into a decision on tenure include the faculty member's contributions to his or her department, to the College outside the classroom, and to the academic community at large.

Contributions to the tenure decision are made by students, faculty colleagues, outside evaluators, the dean, and the president. A decision to grant tenure remains a matter of judgment by the relevant individuals at the College, based on their reading of the evidence and projection of the candidate's future performance. The decision is reached after careful attention to the procedures authorized in **PROCEDURES** below.

Variations among the academic disciplines, in the modes both of teaching and scholarship, imply that there be flexibility in the manner of evaluating academic and scholarly performance. Recognizing this, the College strives to develop and implement effective and fair procedures appropriate to the candidate's discipline and/or the candidate's special faculty role, if such should exist. In the letter of appointment or reappointment, a faculty member shall be advised of any special considerations affecting reappointment and the tenure recommendation in his or her particular case.

The College has not fixed a maximum percentage, or quota, of the faculty to be allowed to hold tenured positions.

## PROCEDURES

Since a departmental assessment of a faculty member is generally the most important factor taken into account by the dean, the president, and the Faculty Personnel Committee (FPC), the review process is departmentally based. The departmental assessment is arrived at by the chair and the tenured members of the department; other members of the department and any other members of the faculty may make their views known directly to the dean if they wish. The procedures for the tenure review include those in the third-year review process (see above) with several additions.

The tenured members of the department read and review the candidate's scholarly writing, research, or other work appropriate to the discipline in order to evaluate the promise of sustained intellectual growth. In addition, four scholarly reviewers outside the College are asked to appraise the quality of the candidate's scholarly (or other creative) work and, at his or her option, course syllabi and its indication of the potential for a long-term career in teaching and scholarship. Three of these reviewers are chosen by the dean from a list of at least ten agreed upon by the department chair and the faculty member being evaluated. In most cases, potential reviewers who have been involved in the tenure candidate's career in the following ways should not be solicited to review the candidate's scholarly or creative work:

- a. served as the tenure candidate's dissertation advisor,
- b. served on the tenure candidate's dissertation committee,
- c. collaborated closely on a publication or creative work that will be part of the candidate's file,
- d. previously written a letter on behalf of the candidate as part of the candidate's initial application to Carleton College.

The fourth outside reviewer is selected from a list of at least four names prepared by the dean of the college. Names on this list are arrived at by the dean in consultation with one or several acknowledged experts in the candidate's areas of specialization. The list is submitted to the candidate who, with the department chair, may strike the names of individuals included on this list who they believe might not be best able to judge the candidate's work. The dean then selects the reviewer. The reviews, having advisory status, are submitted to the dean and to the department. The candidate may read the letters with identifying marks omitted.

Once a departmental recommendation concerning tenure has been made, the dean submits the departmental letters, along with the complete file of materials considered by the department, to the Faculty Personnel Committee. The dean may also, at his or her discretion, make available to the committee any other materials in his or her possession relevant to its deliberations. Any such written documents specific to the candidate's case which the dean distributes to the committee will also be shared with the tenured members of the department. The members of the committee, both the elected faculty and the president and the dean, meet in confidence to examine and discuss fully each tenure candidacy. During the deliberations, the committee shall meet with the candidate's department chair or the chair of the candidate's special review committee. The committee may convene a meeting to consult with all available tenured members of the department if it deems such a meeting desirable and appropriate. After further deliberations, if the committee anticipates an advisory recommendation that differs from the majority recommendation of the candidate's department, it shall convene a meeting to consult with all available tenured members of the department. In each case, the committee will make clear why the meeting has been called.

Members of the Faculty Personnel Committee, including the president and the dean of the college, vote formally on the case by a show of hands. The vote taken will be of an advisory nature to the president and the dean, who in turn make recommendations to the Board of Trustees, which is empowered to make the final decision on tenure recommendations.

If the president and dean's decision differs from the majority recommendation of the department, then they shall convene a meeting with all the available tenured members of the department to inform them of that decision. At this meeting, the president and dean will inform the department whether their decision differs from the Faculty Personnel Committee's advisory recommendation. The faculty member under review shall be informed of the final decision in writing by the dean of the college and, if he or she so requests, told in writing the reasons for that decision, within three weeks of requesting such a letter.

Every substantive aspect of the deliberations by the Faculty Personnel Committee, department, and the dean and president on each tenure candidate shall be kept in strict confidence.

#### 4. Reappointment and Tenure Appeals

A candidate for reappointment or for tenure, feeling either unjustly treated because a violation of his or her academic freedom or improper discrimination has occurred or unjustly judged because established procedures have not been followed, may lodge an appeal and request a hearing with the Faculty Affairs Committee (FAC). In investigating appeals the FAC will be guided by the standards set forth in the American Association of University Professors' 1940 "Statement of Principles on Academic Freedom and Tenure" with 1970 Interpretive Comments and its 1989 "Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments."

Insofar as the candidate believes a violation of his or her academic freedom or improper discrimination has occurred and is considering a formal appeal, the FAC:

1. Will receive from the candidate, within thirty days of a negative decision regarding reappointment or tenure unless a time extension is granted by the chair of the FAC, a written notification that the candidate has met with the dean and the president to hear the reasons for the decision not to recommend reappointment or tenure and that a formal appeal is being considered. The chair of the FAC and the candidate will discuss the candidate's concerns and the chair of the FAC will inform the president and the dean that a formal appeal is being considered. Every substantive aspect of the informal process will be kept in strict confidence. The committee (or its designees, chosen in consultation with the candidate, the dean and the president) will investigate informally the areas of concern. In the informal investigation, the candidate will be permitted to have an advisor, chosen in agreement with the chair of the FAC, from the Carleton faculty. In conducting the informal investigation, the committee (or its designees) will involve the candidate and others as appropriate, such as the tenured members of the candidate's department and the FPC. The committee (or its designees), but not the candidate or the advisor, may also examine any documents in the candidate's dossier reviewed by the FPC, and these will be made available by the dean. The committee (or its designees) will convene a meeting to discuss the results of their investigation with the candidate, the candidate's advisor, the dean and president of the College, and the chair of the FAC. The dean and the president of the College will consult with the chair of the candidate's department and the chair of the FAC prior to finalizing any resolution resulting from

the informal investigation. If the matter cannot be settled to the candidate's satisfaction by informal methods:

2. Upon receipt by the Faculty Affairs Committee from the candidate of a written appeal citing the alleged violations, within ninety days of the negative decision unless a time extension is granted by the chair of the FAC, the chair of the FAC will inform the dean and the president that a formal appeal has been received. Before the appeal can proceed the candidate must request and receive a letter of reasons from the dean for the decision not to recommend reappointment or tenure. When this letter is received by the candidate, the committee shall convene a formal hearing on the appeal. Given the current FAC Chairs' role in the informal appeal process, the formal appeal committee will be chaired by the most recent former FAC Chair who is available and eligible (See **FACULTY PERSONNEL COMMITTEE** and **CLOSE PERSONAL RELATONSHIPS**).
3. The formal hearing will follow the procedures recommended in the relevant sections of the AAUP 1982 "Recommended Institutional Regulations on Academic Freedom and Tenure", section 5c, nos.2, 4-7, 9-11, 13-15.

An appeal upheld on the grounds that academic freedom has been violated or improper discrimination has occurred normally leads to a reversal of the original decision. In the event that the president and the dean of the college decide to sustain the original decision, they shall provide to the Committee in writing the reasons for their action, and the committee shall have an opportunity to reply.

Insofar as the candidate believes that he or she has been unjustly judged because established procedures have not been followed and is considering a formal appeal, the Committee:

1. will receive from the candidate, within thirty days of a negative decision regarding the candidate's reappointment or tenure unless a time extension is granted by the chair of the FAC, a written notification that the candidate has met with the dean and the president to hear the reasons for the decision not to recommend reappointment or tenure and that a formal appeal is being considered, and will investigate the matter with the candidate informally as set forth above. If the matter cannot be settled to the candidate's satisfaction by informal methods:
2. upon receipt by the Faculty Affairs Committee from the candidate of a written appeal citing the alleged violations, within



ninety days of the negative decision unless a time extension is granted by the Chair of the FAC, the Chair of the FAC will inform the dean and the president that a formal appeal has been received. Before the appeal can proceed the candidate must request and receive a letter of reasons from the dean for the decision not to recommend reappointment or tenure. When this letter is received by the candidate, the Committee shall convene a private, formal hearing on the appeal. Given the current FAC Chairs' role in the informal appeal process, the formal appeal committee will be chaired by the most recent former FAC Chair who is available and eligible (See **FACULTY PERSONNEL COMMITTEE** and **CLOSE PERSONAL RELATONSHIPS**).

3. The formal hearing will follow the procedures recommended in the AAUP 1982 "Recommended Institutional Regulations on Academic Freedom and Tenure," section 5c, nos. 2, 6-7, 9-11, 13-15. In this hearing, the candidate will be permitted to have an advocate chosen in agreement with the FAC Chair from the Carleton faculty. The advocate, but not the candidate, may examine in strict confidence any documents in the candidate's dossier reviewed by the FPC, and these will be made available by the dean. No party will be represented by legal counsel during the formal hearing.
4. The Faculty Affairs Committee will determine whether the decision was the result of adequate consideration under the relevant standards and procedures of Carleton College (as set forth above), with the understanding that the Committee is not reviewing the merits of the case on substantive grounds. The decision must have been based on:
  - a. consideration of all the evidence provided for above (although the omission of relevant and proper evidence or standards will not be grounds for a reconsideration unless there is a reasonable likelihood that omission of such evidence or standards materially affected the decision);
  - b. consideration which excluded irrelevant and improper evidence, standards, or procedures (although the inadvertent introduction of irrelevant or improper evidence or standards will not be grounds for a reconsideration unless there is a reasonable likelihood that such evidence or standards materially affected the decision); and
  - c. adequate deliberation over the evidence in light of the relevant standards and procedures of the College.
5. The Faculty Affairs Committee will direct reconsideration by the

College and, if appropriate, the department when it finds in favor of the appellant. When the Committee finds in favor of the Appellant, it will indicate in what respects the consideration was found to have been inadequate.

6. The Faculty Affairs Committee shall provide copies of its report to the faculty member, the department or departments involved, the president of the College, and the dean of the college.

In all appeals made under the provisions set forth in this section, the burden of proof of the allegations shall rest with the faculty member who lodges the appeal.

## 5. Disciplinary Procedures

Disciplinary action against a faculty member should be primarily concerned with violations of the essential rights, freedoms, and responsibilities of teaching and inquiry. The following shall be adequate causes for disciplinary action: the failure to fulfill academic obligations; the physical interference with members of the academic community exercising their rights of free inquiry and expression; disruption of teaching, research or other legitimate College business; violation of the College's statement on consensual relations; and/or any other unprofessional behavior that renders a faculty member unfit in his or her professional capacity as a Carleton faculty member.

Sexual Harassment or sexual assault will also be cause for disciplinary action in accordance with the administration of the College's Policies Against Sexual Misconduct.

The preparation of charges regarding disciplinary action:

1. Any charge that could lead to disciplinary action against a faculty member is a matter of utmost gravity and the decision to press charges must be weighed with a jealous regard for the academic freedom of all parties directly concerned and, indeed, for the entire academic community.
2. All charges regarding disciplinary action against a faculty member who has tenure or whose term appointment has not expired, wherever they may originate, should be prepared by the president of the College or by his or her designated representative and set forth with a proposed sanction in a formal communication to the faculty member being charged. All cases involving a severe sanction (see **SANCTIONS** below) will be heard by the Faculty Judiciary Committee. The president or

the designated representative should proceed with all reasonable dispatch in the handling of cases involving possible disciplinary action.

3. If the President or the designated representative thinks that a minor sanction (see **SANCTIONS**, below) should be imposed on a faculty member, that person will notify the faculty member of the reasons for the proposed charges and/or sanction and provide an opportunity for the faculty member to contest the sanction. If a faculty member believes he or she has not been treated fairly, the faculty member may appeal the matter on substantive or procedural grounds to the Faculty Affairs Committee for final adjudication of the matter.

### **HEARING PROCEDURES:**

1. In hearing a case involving possible severe sanctions, the Faculty Judiciary Committee will follow the procedures set forth for such hearings in the AAUP 1982 "Recommended Institutional Regulations on Academic Freedom and Tenure," section 5 and 6.\* This hearing will deal with the substantive issues of the case and the appropriateness of the proposed sanction. In all such cases the burden of proof shall rest with the College, as stated in 5 (c) 8\* of that document.
2. After all parties have been heard and all relevant evidence has been gathered, the hearing committee shall make explicit its decision with respect to the charges and sanctions brought against the faculty member in a written report to the president. The faculty member shall also be notified in writing of the Faculty Judiciary Committee's findings, and both parties shall be given a transcript of the proceedings on which the Faculty Judiciary Committee's recommendation is based. Should the Faculty Judiciary Committee determine that the sanction proposed by the president in the initial communication of charges brought against a faculty member is inappropriate but that disciplinary action is warranted, it should include in its decision an alternative sanction with a statement of reasons for that recommendation.
3. If the president rejects the decision of the Faculty Judiciary Committee, he or she will state the reasons for doing so, in writing, to both the faculty member and the Faculty Judiciary Committee. The president will provide an opportunity for response before transmitting the case to the Board of Trustees.

4. If the faculty member disagrees with the decision of the Faculty Judiciary Committee the president will, on request of the faculty member, transmit the record of the case to the Board of Trustees.
5. In the event that a disciplinary case is referred to the Board of Trustees by action taken above, the Board's review will be based on the record of the Faculty Judiciary Committee hearing, and the Board will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives. The decision of the Faculty Judiciary Committee will either be sustained or the proceeding returned to the committee with specific objections. The committee will then reconsider the case, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the committee 's reconsideration.
6. A faculty member facing disciplinary action shall not be suspended by the president of the College during the proceedings involving him or her unless the continued service of the faculty member poses an immediate and serious danger to the College or any member of the College community. Furthermore, a faculty member facing charges shall have the right to request a suspension of some or all of his or her teaching duties for a reasonable time in order to prepare his or her defense. However it originates, suspension during the hearing procedures shall be with pay.
7. A faculty member found guilty of the charges brought against him or her will be so notified in writing.

## **SANCTIONS**

The following are examples of the range of appropriate sanctions:

Minor Disciplinary Sanctions:

1. Oral reprimand
2. Written reprimand

Severe Disciplinary Sanctions:

1. Suspension without pay for a specified period of time
2. Dismissal

## COMPOSITION OF THE FACULTY JUDICIARY COMMITTEE

This committee shall consist of five members of the faculty and five faculty to serve as alternates, each group of five to include at least two women, two men, one non-tenured, one minority (minority to mean African American, Hispanic, Asian, or Native American). All faculty members regardless of other elective or appointive committee positions, with the exception of membership on the Faculty Affairs Committee, are eligible to serve. Selection of the committee is by nomination and election by a majority of those present and voting at the faculty's annual elections meeting. Members shall serve for a term of three years.

The proceedings of all disciplinary procedures will be treated as confidential by the College.

\*AAUP 1982 "Recommended Institutional Regulations on Academic Freedom and Tenure," AAUP Policy Documents and Reports (Redbook), 1995 edition, pp. 21-30. The committee cited in 5 (b) 2 is the Faculty Affairs Committee. The committee cited in 5 (c) is the Faculty Judiciary Committee.

### 6. **Procedures for Dealing with Non-disciplinary Incapacities**

It may be necessary for the College to take action against a faculty member who claims normal faculty status but is unable to fulfill professional responsibilities due to such factors as medical incapacity or professional incompetence. Every effort shall be made to find a mutually acceptable resolution of any such allegations. If the College and the faculty member cannot reach agreement, action against the faculty member may be undertaken following the procedures presented in the sections above.

### 7. **Grievance Procedure**

The Faculty Affairs Committee will act as a grievance committee in accordance with section 15 of the AAUP "Recommended Institutional Regulations on Academic Freedom and Tenure\*" if any faculty member feels that he or she has cause for grievance in any matter not covered under **DISCIPLINARY PROCEDURES**.

### 8. **Termination of Appointments**

Except in the case of appointments for one year or less, a faculty

member not on tenure will be notified by October 1 if his or her services are not needed for the following academic year.

Dismissal for cause shall follow the procedures set forth in **REAPPOINTMENT AND TENURE APPEALS** above.

Termination in extraordinary circumstances because of financial exigency shall follow the relevant procedures recommended by the AAUP (ref. AAUP Redbook, 1995 edition; AAUP 1982 "Recommended Institutional Regulations on Academic Freedom and Tenure," pp. 21-30, especially 4(c), pp. 23-24; also AAUP 1978 "On Institutional Problems Resulting from Financial Exigency: Some Operating Guidelines," pp. 193-194.)

\*AAUP 1982 "Recommended Institutional Regulations on Academic Freedom and Tenure," AAUP Policy Documents and Reports (Redbook), 1995 edition, pp. 21-30. The committee cited in 5 (b) 2 is the Faculty Affairs Committee. The committee cited in 5 (c) is the Faculty Judiciary Committee.

## 9. Tenure and Terms of Service

1. A tenure-track faculty member whose initial appointment at Carleton is at the rank of professor is normally considered to be on tenure if reappointed after completion of two academic years of service at that rank at Carleton.
2. An associate professor is normally considered to be on tenure if appointed after completion of six academic years of service at Carleton in any rank.
3. An assistant professor is normally considered to be on tenure if appointed after completion of seven academic years of service at Carleton.
4. A faculty member on a tenure track appointment who has not finished all requirements for the terminal degree by September 30 of the second year of teaching at Carleton will have the formal review process delayed for one year.
5. A faculty member on a tenure-track appointment who is granted a year's sabbatical or other professional leave prior to a tenure decision is entitled to a one-year delay in the review process. Similarly, anyone on a tenure-track appointment who takes a year's leave of absence for childbearing or childrearing is entitled to a one-year delay in the review process. Arrangements for a delay based on fewer than three terms or

more than three terms of leave are negotiable. All arrangements must be discussed with the dean of the college and the chair of the faculty member's department.

6. Any exceptions to these tenure provisions will be specifically stated in writing in particular cases, following consultation with the department in which the appointment is made.
7. The rights and responsibilities of tenure start at the beginning of the academic year following notification of a positive tenure decision.

## 10. Promotion of Regular Faculty

- A. PROMOTION TO ASSISTANT PROFESSOR - Instructors are automatically promoted to the rank of assistant professor upon receipt of the Ph.D. (or equivalent degree in certain fields).
- B. PROMOTION TO ASSOCIATE PROFESSOR - Assistant professors are recommended by the president and dean to the Board of Trustees for promotion to associate professor to take effect concurrently with their tenure appointment.
- C. PROMOTION TO FULL PROFESSOR - Promotion to full professor is a college-wide recognition of the post-tenure accomplishments of its faculty. Consideration for promotion focuses on a candidate's intellectual engagement and achievement in teaching, scholarship and/or creative work, and service, and on the promise of continuing contributions to the College.
  1. By the end of the second year following the granting of tenure, the faculty member will write a biennial report summarizing recent professional activities and plans for future development. A conversation among the candidate, the dean, and the available full professors of the department will follow soon thereafter to ensure good communication about appropriate levels of support for teaching, service, and scholarship. A conversation will also take place among the candidate, the dean, and the available full professors of the department after the submission of the fourth year biennial report. At the end of the sixth year, the candidate will submit an expanded biennial report and a current c.v.
  2. During the fall term of the seventh year following the granting of tenure, the available full professors in the candidate's department will read and discuss the

candidate's biennial reports and c.v. Full professors in the candidate's department will submit a joint letter reflecting the departmental perspective(s) on the candidate's professional activities after having consulted with the candidate, all tenured faculty in the department and appropriate other faculty.

3. Before making decisions, the dean and the president will review and discuss the biennial reports, the c.v., and the departmental letter with two full-professor members of the Faculty Personnel Committee. If there are unanswered questions or serious reservations concerning the candidate's promotion, then the dean and the president shall convene a meeting to discuss the candidate's case with the two FPC members and all the available full-professor members of the department. If the dean and the president make a positive decision, they will recommend the candidate's promotion to the Board of Trustees.

**NOTE: For faculty tenured in 2014 (and those tenured from 2011-2013 who choose this option), the following procedure will apply:**

**C. PROMOTION TO FULL PROFESSOR - Promotion to full professor is a college-wide recognition of the post-tenure accomplishments of its faculty. Consideration for promotion focuses on a candidate's intellectual engagement and achievement in teaching, scholarship and/or creative work, and service, and on the promise of continuing contributions to the College.**

1. **By January 1 of the third year after tenure, the faculty member will write a Post-Tenure Prospectus, and a subsequent First Post-Tenure Meeting will follow as soon as possible thereafter. The Post-Tenure Prospectus should include both reflections on accomplishments (in teaching, research and service), and plans for the near future. It should include a current c.v. It should speak to the faculty member's research agenda, and should include a basic timeframe that will be followed for pursuing research, writing, and presenting scholarly work. The Prospectus will outline expected changes, developments or enhancements to pedagogy, curricular development, etc. It should reflect the**



nature of the service work done by the candidate for promotion not only within the college and community, but also at the broader level of professional service (such as membership or leadership in professional organizations, etc.) Candidates will submit a portfolio of supplemental materials, like syllabi, scholarship, etc.

2. **The First Post-Tenure Meeting should include all full professors in the faculty member's department, or on his/her review committee, and will be called by the dean, who will also be present. During the meeting, the full professors of the department/committee, the dean and the candidate will engage in a discussion of the Post-Tenure prospectus. They will give feedback on the feasibility of the candidate's plans. Together, the candidate, dean and department members should identify additional resources (if any) that are needed to accomplish those plans. Written feedback will be provided to the candidate, the dean and the department in the form of an outline of notes from the meeting taken by the chair of the department (if a full professor) or another full professor designated by the dean. These will not be prescriptive, but will rather serve as a written record of the conversation that was held. All members of that meeting will sign off on the notes to ensure that they adequately and accurately reflect the conversation.**
3. **During the fall term of the seventh year following the granting of tenure the faculty member will normally submit a Prospectus for Promotion to Full Professor. It will follow the same outline as the Post-Tenure Prospectus, but also will include specific reflection on how the candidate has progressed relative to the plans outlined in the Post-Tenure Prospectus and in the subsequent First Post-Tenure Meeting. With their Prospectus for Promotion to Full, candidates will submit a portfolio that includes materials such as syllabi, scholarly publications, creative work, conference papers, etc.**
4. **The full professors in the candidate's department or review committee will meet with the candidate during the Fall of the candidate's seventh year to discuss the Prospectus for Promotion to Full. This meeting is**

meant to ensure the collaborative and constructive nature of the review process and to discuss the candidate's contribution to the department's overall curriculum. The department will review the candidate's scholarship so that they will be able to help the FPC contextualize the candidate's scholarly work.

5. **Following that meeting, the chair of the department (if a full professor) or another full professor designated by the dean, will prepare a letter, signed by all full professors in the department, summarizing the department's views on the Prospectus and dossier, and they will submit that letter to the dean. At the dean's discretion, the candidate and the dean may meet to discuss the candidate's Prospectus.**

**a. Before making decisions, the dean and the president will review and discuss the prospectus and dossier, the c.v., and the departmental letter with two full-professor members of the Faculty Personnel Committee (FPC). If there are fewer than two full professors currently on the FPC, former members of the FPC will be asked to help evaluate the materials, to ensure that there are always at least two faculty representatives involved in this process. If there are unanswered questions or serious reservations concerning the candidate's promotion, then the dean and the president shall convene a meeting to discuss the candidate's case with the two FPC members and all the available full-professor members of the department or review committee. If the dean and the president make a positive decision, they will recommend the candidate's promotion to the Board of Trustees.**

When a department has fewer than two full professors (or in other exceptional circumstances such as joint appointments), a Special Promotion Committee will be formed. This committee will function as full professors of a department for purposes of recommendation for promotion. The committee will normally be formed when a faculty member is awarded tenure. The dean of the college will appoint the committee in consultation with the candidate and his or her department and/or program chair and with the advice of the Faculty Personnel Committee.

**In the event of a decision to delay promotion,** the dean will meet with the candidate and a full professor representing the department (usually the chair) to discuss the reasons for the delay and to formulate a revised plan. The candidate will be reconsidered for

promotion the following year or later, as determined by the candidate in consultation with the dean.

**Modification of timing:** The above schema is to be considered normal. In exceptional circumstances, should the candidate, the dean, or the department wish to propose early or late consideration, such a request could be made. The timing for early consideration, for example, would involve the submission of the sixth-year report at the end of the fifth year.

## 11. Senior Faculty Development Forum

The Senior Faculty Development Forum is a program intended for faculty who have earned the rank of Full Professor.

According to the College's mission statement, the program of Carleton College is "to provide an exceptional undergraduate liberal arts education." The principal responsibility for achieving that purpose rests with the faculty. In order to be effective educators, faculty members need to grow and develop, as teachers, scholars, and citizens, throughout their careers. Every Carleton faculty member is required to submit a biennial report to the College president and dean of the college, and considerable self-assessment often accompanies the writing of these reports. Faculty undergoing formal third-year and tenure reviews write an extended Prospectus. Beyond that, for faculty members on tenure, the College has in place two programs, one that leads to promotion to Full Professor (described in **PROMOTION OF REGULAR FACULTY**) and the Senior Faculty Development Forum.

The Senior Faculty Development Forum provides a regular opportunity for faculty who are Full Professors to reflect on teaching, scholarship, creative and service activities and to plan a course of professional development for the future in an atmosphere of collegial and institutional support. During a long career, senior faculty will all have important questions about a variety of issues related to scholarly, creative and teaching work and about how this work relates to the larger field of study. The Forum places its emphasis on allowing senior faculty to pursue these questions through a combination of discussions on campus and sustained, intentional interaction with colleagues from outside of the College. Because a professor should have the freedom to determine the direction and nature of personal scholarship and creative endeavors, this process of reflection on the direction of one's career is self-directed, incorporates the benefits of the outside reviewers' role and provides a sense of structure.

The Forum includes self-assessment, conversations with disciplinary colleagues outside the College, and a report to the dean of the college and president (in lieu of the biennial report). The Senior Faculty Development Forum is managed by the coordinator of the Perlman Center for Learning and Teaching who will provide advice and assistance to individual faculty.

The Senior Faculty Development Forum consists of the following steps:

- The professor selects two to three colleagues from outside of the College. These could be faculty from other institutions, former students, or people from related professions. These colleagues would receive a small stipend for their efforts from the dean of the college office.
- The professor prepares a short version of a career prospectus (much shorter than is required for third-year review and tenure) posing specific questions about scholarly and creative work, teaching and service, and the arc of one's career to the outside colleagues. This should be both retrospective, and prospective, outlining plans for new projects and areas for development. It might include suggestions of ways the College could provide assistance. A current C.V. and a work sample, if appropriate, would be included in the materials sent to outside colleagues.
- These outside colleagues would respond either with a letter or with sustained conversations with the professor.
- In lieu of the biennial report, the professor would summarize the experience in the senior faculty development forum at the end of the year, identifying what had been gained. This summary would be submitted to the dean of the college and the president.
- Faculty members participating in the forum would meet as a group two to three times during the year at sessions conducted by the coordinator of the Perlman Center for Learning and Teaching. These sessions would be designed to facilitate this process of professional reflection and encourage the exchange of ideas among senior faculty.

Under normal circumstances, all regular faculty would be expected to participate in the Senior Faculty Development Forum at intervals of seven to ten years after promotion to Full Professor. There is considerable flexibility in the scheduling that allows for individual circumstances. Ideally, participation would be timed to coincide with appropriate developments in the professor's career--sabbaticals, intervals between major projects, etc. The timing of each faculty

member's specific participation and the specifics of the individual's process would be negotiated with the coordinator of the Perlman Center for Learning and Teaching and the dean of the college. Thus, individual faculty members may propose an alternative process to the one described here.

During the year of participating in the senior faculty development forum, the dean of the college will provide a small supplement (\$500) to the professor's PDA to be used in support of activities that particularly foster this process of reflection. It is expected that faculty participating in the Faculty Development Forum may be in a particularly strong position to submit applications for FDE grants and/or Targeted Opportunity grants; the dean and president will take Senior Faculty Development Forum participation into account (as one of many factors) as they review these proposals.

## 12. **Amendment of Regulations Governing Reappointment, Tenure, Appeals and Dismissals**

Amendment of the procedures set forth in the sections above shall be the province of the Faculty Affairs Committee, acting either upon its own initiative, that of the Trustees, of the Faculty Personnel Committee or of the dean of the college. No action of the Faculty Affairs Committee respecting these provisions shall be binding without the express approval of the faculty and the concurrence of the Board of Trustees.

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*Third-Year Reviews: Adopted by the Board of Trustees July 1, 2004.*

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*Tenure Reviews: Adopted by the Board of Trustees June 8, 2007.*

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*Reappointment and Tenure Appeals: Adopted by the Board of Trustees on June 15, 2000.*

*Revised and approved by the Executive Committee of the Board of Trustees on January 19, 2012.*

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*Disciplinary Procedures: Adopted by the Board of Trustees June 20, 2002.*

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*Tenure and Terms of Service: Adopted by the Board of Trustees, July 1, 2004.*

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*Promotion of Regular Faculty: Adopted by the Board of Trustees April 18, 2002.*

*Revised and approved by the Board of Trustees May 15, 2010.*

*Revised and approved by the Board of Trustees May 18, 2013.*

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*Senior Faculty Development Forum: Revised and approved by the Board of Trustees February 13, 2009.*

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For [Faculty](#)

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Maintained by Dean of the College Office

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## Emeritus Status

Faculty members retiring from active service may be designated by the Board of Trustees as emeriti members of the faculty, provided that they have completed at least 15 years of service in faculty rank in the College. Normally emeriti status will be designated only if the faculty members have tenure; however, on the recommendation of the president and dean of the college, untenured faculty satisfying the other conditions may also be designated as emeriti by the Board.

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*Adopted by the Board of Trustees February 8, 2008.*

*Revised and approved by the Board of Trustees May 12, 2012.*

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Last revised May 12, 2012

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For [Faculty](#)

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Maintained by Dean of the College Office

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## Regular Part-Time Faculty

A regular part-time faculty member at Carleton is one who meets the following conditions:

- A. A regular part-time faculty member normally carries at least a half-time teaching load for the school year (half of the normal teaching load in the particular department) and teaches during at least two terms.
- B. A regular part-time faculty member is expected to take part in non-teaching service to the College. He or she is expected to serve on committees and act as an academic advisor. However, for regular part-time faculty members such responsibilities should be roughly proportionate to teaching load.
- C. Regular part-time faculty members share with the regular full-time faculty a commitment to long-range professional aims and improvement.

All regular faculty, part-time as well as full-time, may enjoy the privileges of tenure, leaves with pay, and grants in support of scholarship. Except when they are officially on leave, regular part-time faculty have the same voting privileges as full-time faculty members. Tenure criteria and procedures for regular part-time faculty are the same as those for regular full-time faculty, but the tenure decision is made at a later time than is usual for full-time faculty. The pre-tenure period for a regular part-time faculty member is normally the equivalent of six years of full-time teaching, the decision coming in the final year. A regular part-time faculty member undergoes a "third-year review" after at most five years of service. These periods may be shortened at the suggestion of the dean, the department chair, or the faculty member and with the agreement of all three.

Faculty on regular part-time appointments are eligible to participate in the College's sabbatical leave program. They may qualify for one term of leave with partial sabbatical support (the amount proportionate to their teaching load) after twelve terms of service, or for one term of leave with full sabbatical support after the equivalent of 12 terms of full-time teaching. Eligibility for leaves without pay will be the same as that for full-time faculty. A part-time appointment within the tenure system does not confer the right to a full-time appointment.

If requested to do so by a member of the faculty, the dean of the college and the chair of the relevant department(s) will attempt to negotiate with that faculty member a change from full-time to part-time status. Every effort will be made to accommodate such requests, provided that suitable means can be found to maintain the department's instructional program. A position converted to regular part-time status has only such rights of return to full-time status as are agreed upon in writing by the dean, the department chair, and the faculty member at the time of the initial conversion. The possibilities of other career patterns are so diverse and specific that a general description of them would be impossible. In each such case, negotiations will take place among the faculty member, the department chair, and the dean; and arrangements concerning time of tenure decision, eligibility for leaves, participation in the Senior Faculty Development Forum and the like will be made within the spirit of these regulations.

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For [Faculty](#)

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Maintained by Dean of the College Office

[Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

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## Campus Handbook

Student  
Handbook

Faculty  
Handbook

Staff  
Handbook



Academic  
Regulations &  
Procedures

Buildings &  
Grounds

College  
Governance

Communications

Community

Employment &  
Benefits

Events

Faculty  
Appointments

**Financial**

Health & Safety

Housing &  
Residential Living

Information  
Technology,  
Documents, &  
Records

Research

Travel &  
Transportation

# Financial

## Bills, Fines and Fees

Students are held responsible for payment of their bills and should refer to the College Catalog "Expenses" section or their quarterly billing statement for detailed information. Special plans for payment of the comprehensive fee may be arranged through the [Controller's Office](#). Student accounts, which include fines and other charges, are payable each term as they are incurred.

- Students with outstanding accounts will not be permitted to register for courses, nor will transcripts be released.
- Occasionally, the Office of the Dean of Students is called by a downtown merchant about a delinquent student account or bad check. In such cases, the College will not act as a collection agent but will inform the student that the College has been told about the matter and urge the student to resolve it with the merchant directly.

For [Students](#)


Maintained by Dean of Students

## Cellular Device

### PURPOSE

This policy assumes most employees currently use and maintain personal cell phone plans. It provides guidance for Carleton supervisors and employees who use cell phones and personal data assistants to conduct business on behalf of the College in excess of the plan they maintain for their personal use. This policy was created to establish consistent guidelines for employees throughout the institution; ensure compliance with IRS regulation and stabilize spending within available budgets.

The IRS considers a supplemental allowance for cellular devices to be a non taxable benefit if there is documentation to support the business

 [Text Only/ Printer-Friendly](#)

requirement for a plan and a record substantiating the cost of the plan.

## **POLICY**

Carleton College will provide a “supplemental cellular allowance” for employees whose job duties include the frequent need for a cellular device.

The allowance will be processed through payroll. The employee will be responsible for selecting and paying for the cellular service they desire. This allows employees to choose a plan that fits both their professional and personal lives. **If you choose an all-in-one device, please consult Carleton Information Technology Services for recommended equipment.** Employees will not be required to itemize their professional versus personal calls. A detailed monthly invoice will be required in June each year to substantiate the benefit and meet documentation IRS requirements and confirm their eligibility for continued participation in the program.

Supplemental cellular allowances will not be approved when alternative means of communication –e.g., land-lines, pagers, and radio phones – provide an adequate and less costly service option.

## **PROCEDURE**

### **I. Frequent Use of Cellular Devices for Business Purposes**

#### **A. Establishment and Payment of Allowance.**

If a direct supervisor determines it is necessary and appropriate for an employee to receive a cellular allowance, the supervisor may submit the Cellular Allowance Request Form to the Purchasing Department for processing. This allowance does not constitute an increase to base pay, and will not be included in the calculation of percentage increase to base pay due to annual raises, job upgrades, etc.

#### **B. Determination of Eligibility**

The guiding principle for eligibility is that the use of a cell phone or cellular PDA by an employee is for the primary **benefit of the College**. In making a monthly allowance determination, College employees are eligible if they meet **all** of the following criteria:

**1)** The employee must be readily accessible for frequent contact with the public or with College faculty, staff or students;

**and**

**2)** The employee spends a minimum of 6 weeks traveling and must have regular access to telephone and/or Internet service while off-campus;

**and**

3) Monthly usage for business purposes is consistently 50% or more of total contract minutes.

or

4) The employee is required to provide extended hour support for critical services at the college or is responsible for operational or decision making for critical services at the college both during the work day and beyond normal work hours. Alternatively, the employee is required to be mobile across campus and off campus for a significant portion of their work hours. The extended hour support for critical services eligibility criteria does not ordinarily apply to faculty/student communications, even though these communications may occur outside of regular business hours.

#### C. Determination of Dollar Amount of Allowance (Revised 7/1/12)

The “monthly cellular allowance” is set up to accommodate various levels of business use. Allowances are revised as cellular market conditions evolve and institutional operating budgets change:

MONTHLY EST. BUSINESS MINUTES	MONTHLY ALLOWANCE	ANNUAL COST TO DEPARTMENT PER EMPLOYEE	ONE-TIME EQUIPMENT *
0-450	\$20	\$240	\$0
451-899	\$ 45	\$ 540	\$0
Unlimited Voice & Data 900 Minutes	\$ 75	\$900	\$200
Device Only	\$0	\$0	\$200
Add ons: International Access, GPS	\$10 (MAX)	\$120	\$0

\* The One-time equipment purchase is based on a 2 year period of time and is provided at the time of new contract (documentation required). Most cellular carriers offer numerous contracts with free or low cost phones. Accessories, lost, stolen or broken equipment are the responsibility of the employee. If an individual chooses to purchase insurance, it is at their own expense.

The supervisor must have the Cellular Allowance Request Form approved by the budget manager responsible for the expense and submit the form with the most recent detailed cell phone invoice to the Purchasing Department for processing.

Supervisors are responsible for an annual review of employee business-related cell-phone use, to determine if existing cellular device allowances should continue, change, or discontinue. Individual users must supply their

last month's detail invoice to their supervisor who will review and forward the documentation to the Purchasing Department every June to substantiate the benefit per IRS guidelines. A cell phone allowance may not transfer to a new position and must be evaluated by the new supervisor and budget manager.

The cellular device contract will be in the name of the employee responsible for all payments to the service provider. Only one cell phone allowance will be provided per employee. The college reserves the right to remove a participant from this plan if there is insufficient budget in the designated fund to meet the cost of monthly allowances.

Carleton will pay only the agreed upon cellular device allowance even if monthly costs exceed the allowance. Changes to the allowance may be made during the annual review process by submitting a new approval/change form. The allowance for a joint family plan will be half of the basic 2 person invoice but not more than the applicable allowance.

The employee is responsible for the purchase of the cell phone equipment to be used for basic cell service (most basic cell service plans provide free phones). Costs for cosmetic or technical extras that have no business purpose are the responsibility of the employee. Insurance, if purchased, is the responsibility of the employee.

## **II. SPECIAL SITUATIONS**

### **DEPARTMENTALLY OWNED CONTRACTS**

Certain departments may have special needs that justify departmental ownership of cell phones. Club sport programs, resident advisors, maintenance personnel, custodians, and security are examples, of areas where phones may be assigned or rotated among employees. This would also include departments that have multiple employees sharing a single cellular phone for on-call rotations. **Employees should not use departmental cell phones for personal calls.**

### **PAGERS**

Some departments currently use pagers for their communication needs. Since the cost of pagers is very nominal (\$10.00 per month) and potential personal use unlikely, it is recommended that departments pay for pagers directly.

### **DEVICE ONLY OPTION**

In situations where access to a device is a critical professional requirement, the College will provide a device only allowance. There is no other support for ongoing expenses related to using and maintaining the devices. There will be a two year replacement cycle for the devices subject to budget

constraints.

### **INTERNATIONAL EXPENSES**

This policy allows for reimbursement of incremental expenses incurred when international travel is involved for official business calls and data transfer.

### **III. DIRECT PAYMENTS BY THE COLLEGE TO A VENDOR FOR CELLULAR SERVICE**

The College will not provide direct payments to a vendor for the purchase of equipment or monthly cellular devices for an individual employee. Additionally, the College will not enter into contracts with vendors for employee use of cellular devices service. The employee will be the direct holder of a contract with the cellular company.

The Carleton College purchase cards will no longer be allowed for monthly cellular devices service fees or for related equipment purchases. Existing College contracts for employee-used cellular service should be transitioned from Carleton to the employee and begins the taxable monthly allowance as soon as possible. The Purchasing Manager will assist individuals in this transition.

### **IV. USE OF PHONE**

Carleton does not accept any liability for claims, charges or disputes between the service provider and individual employee. Recipients of a cellular device allowance must notify Carleton of the cellular phone number and must continue to maintain the cellular device while in receipt of the allowance.

Use of the cellular device in any manner contrary to local, state, or federal laws will constitute misuse, and will result in immediate termination of the cell phone allowance.

**Phones must not be used while you are driving a vehicle.** Please let someone else in the car talk on the phone or pull over to the side of the road to talk or use the phone in any manner.

### **V. REIMBURSEMENT FOR BUSINESS CALLS ON PERSONAL WIRELESS PHONE**

If an employee's job duties do not include the frequent need for a cellular device, the employee is not eligible for an allowance. Such employees may request reimbursement for their business related cellular calls. The individual should make personal payment to the provider, and then submit a request for reimbursement.

The reimbursement rate is \$0.45 per minute for domestic business calls which exceed the base plan. International calls will be reimbursed at the

rate detailed on the invoice. When requesting reimbursement, a copy of the cellular bill, **detailing the individual calls to be reimbursed along with the business purpose, needs to accompany the reimbursement request.**

**No reimbursement for minutes covered by a base plan will be provided.**

## **VI. PAY AS YOU GO PLANS**

Business calls made on Pay As You Go Plans will be reimbursed at the invoiced rate. A copy of the cellular bill detailing who was called and the business purpose must accompany the reimbursement request.

## **VII. PAYROLL PROCESSING**

Once the Purchasing Department receives the Allowance Request Form and service in the employee's name is confirmed, the Payroll Department will add the allowance to that individual's payroll check.

## **VIII. FEES FOR CONTRACT CHANGES OR CANCELLATIONS**

If, prior to the end of the cell phone contract, a personal decision by the employee, or employee misconduct, or misuse of the phone, results in the need to end or change the cell phone contract, the employee will bear the cost of any fees associated with that change or cancellation.

If, prior to the end of the cell phone contract period, a departmental decision (unrelated to employee misconduct) results in the need to end or change the cell phone contract, the department will bear the cost of any fees associated with that change or cancellation. For example, the employee's supervisor has changed the employee's duties and the cell phone is no longer needed for business purposes. If the employee does not want to retain the current contract, change or cancellation fees will be reimbursed by the department with proof of fees incurred. The department shall notify Purchasing of the change in the cell phone contract.

## **IX. DOCUMENTATION AND REVIEW REQUIREMENTS**

The Allowance Request Form and a copy of the employee's most recent detailed cellular device invoice must be submitted to Purchasing to initiate an allowance.

On an annual basis, Purchasing will review and refresh the cell phone stipend authorizations.

Supervisors will be asked to review employee business-related cell-phone use, to determine if existing cellular device allowances should be continued as-is, changed, or discontinued. This information and documentation to substantiate current coverage must be submitted to Purchasing each June

for compliance with the IRS documentation requirements.

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*Approved by President's Tuesday Group January 2012*

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Last revised July 24, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## **Contributing to Landscape Improvements and Maintenance**

The College welcomes gifts which will provide funding to improve or support the maintenance of the campus, Cowling Arboretum, and other College-owned land. Proposed gifts for those purposes will be subject to the following policies and procedures.

1. The College strongly encourages donors to support operations and capital improvements through undesignated gifts, affording the College the greatest flexibility in applying funds to objects of the greatest need.
2. Designated gifts are appropriate in some circumstances but should provide support for existing needs, plans, intentions or programs.
  - Will be improvements rather than maintenance.
  - Will have a special or unique character.
  - Will provide opportunity for identification or recognition, if desired.
  - Will not be feasible to execute within the annual budget because other improvement and maintenance needs, of necessity, must be given higher priority
3. Projects will be selected from the list of current needs prepared by the Facilities staff and Development office. This list will be updated annually and will include the approximate cost of each project. Items and projects included typically:
4. Initial contact with the College and all proposals must be made through the Development Office, which also will coordinate project selection and gift arrangements. The Development Office will consult with the Facilities staff to determine feasibility and for preparation of plans, designs and cost estimates.
5. Donations for special projects or objects should provide funding for the entire project, from planning through acquisition and construction

or installation, including the cost of professional consultation if required. Support of any kind that is to be provided by the College must be approved, in advance, in consultation with the affected departments.

6. Many projects will be subject to review and comment by the Campus Landscape Committee, acceptance of the Development Office in consultation with affected departments, and approval of the Vice President and Treasurer, the President of the College and the Board of Trustees.
7. The method and content of donor identification or inscription will be subject to approval of the Development Office in consultation with the Facilities Department, the President of the College and the Board of Trustees.
8. The College retains the right, subject to approval by the Trustees, to alter, relocate or remove any and all trees, plants or landscape objects as the future needs of the College may dictate.
9. No human remains in any form shall be buried or interred at any memorial site.

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*December 14, 1989 by the Board of Trustees of Carleton College*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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Maintained by Development

## Faculty Entertaining Students Program

Academic departmental budgets receive a special annual allocation to subsidize faculty-student interaction **outside the classroom**. These funds are intended to encourage faculty members and departments to think creatively about ways to engage with students outside the classroom in meaningful ways.

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Last revised August 30, 2012

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For [Faculty](#)

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Maintained by Business Office

## Financial Conflict of Interest (FCOI) for Faculty and Academic Staff Applying for Carleton-Administered Federal Grants

### INTRODUCTION AND SUMMARY



In August 2012, Carleton updated the College's policy related to financial conflicts of interest (FCOI) to ensure compliance with the FCOI policy of the National Institutes of Health.

Beyond the fact that the College actively seeks NIH funding, the College chose to conform to the NIH's policy because we expect that other federal funders, including the National Science Foundation, will adopt the NIH standards.

The full NIH statement on FCOI can be found on the Institutes' website at [http://grants.nih.gov/grants/compliance/42\\_CFR\\_50\\_Subpart\\_F.htm](http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm); additional information can be found at <http://grants.nih.gov/grants/policy/coi/>.

Carleton's revised FCOI policy can be found below, but the **key elements of the policy** can be summarized as follows.

A project director (a.k.a. principal investigator) must disclose to the College all "significant financial interests" on his or her part and/or the part of his/her immediate family that include

- at least \$5,000 of payments from and/or equity interests in publicly-traded entities, or
- any equity interest in non-publicly traded entities, or
- reimbursed or sponsored travel such as a conference trip paid for by a corporate sponsor.

All interests related to a PD's institutional responsibilities, not just his/her NIH (or other federal grant) project must be disclosed to the College, with two exceptions:

- Income from seminars, lectures, or teaching, and service on advisory or review panels for government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with an institution of higher education.
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.

The disclosure process can be initiated by completing the Compliance and Disclosure Form available at <https://apps.carleton.edu/cfr/forms>.

For further information, contact Christopher Tassava (x5833, ctassava) or Dee Menning (x4441, dmenning) in the Office of Corporate & Foundation Relations.

## **POLICY ON FINANCIAL CONFLICT OF INTEREST (FCOI) FOR ALL**

## FACULTY AND ACADEMIC STAFF APPLYING FOR CARLETON-ADMINISTERED FEDERAL GRANTS

*As set by relevant federal regulations, including*

National Science Foundation:

[http://www.nsf.gov/pubs/manuals/gpm05\\_131/gpm5.jsp#510](http://www.nsf.gov/pubs/manuals/gpm05_131/gpm5.jsp#510)

National Institutes of Health:

[http://grants.nih.gov/grants/compliance/42\\_CFR\\_50\\_Subpart\\_F.htm](http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm)

Federal Register: <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>

1. **SCOPE.** The following statement of policy applies to each member of the faculty or academic staff (Investigator) applying for a Carleton-administered grant from a federal agency or foundation. The policy was developed in response to 1995 federal rules and revised to meet 2011 regulations that govern institutional and researcher responsibilities in identifying and monitoring conflicts of interest. By assuming this responsibility for themselves, colleges and universities may avoid outside monitoring and regulation by the federal government.
2. **FIDUCIARY RESPONSIBILITIES.** Employees, officers, and members of the board of the College serve the public trust and have a clear obligation to fulfill their responsibilities in a manner consistent with this fact. All decisions of the board and officers of the administration and the faculty and academic staff are to be made solely on the basis of a desire to promote the best interests of the College and the public good. The College's integrity must be protected and advanced at all times. College faculty or academic staff applying for grants may be involved in the affairs of other organizations. It is unlikely that an effective faculty will consist of individuals entirely free from at least perceived conflicts of interest. Although most such potential conflicts are and will be deemed to be inconsequential, everyone is responsible for ensuring that the College is made aware of situations that involve business relationships that could represent a conflict of interest with respect to an outside grant. ***Thus, the College requires that applicants for a grant of College-administered funds from a federal agency (1) review this policy; (2) disclose any possible business relationships that reasonably could give rise to a conflict of interest for the investigator and/or his or her spouse/dependent children; and (3) acknowledge by his or her signature that he or she is in accordance with the letter and spirit of this policy. In addition to making this statement at the time of application, investigators must renew this statement a) within 30 days of identification of a new conflicting interest, and b)***

***annually for previously identified FCOI.***

3. **DISCLOSURE.** Faculty or academic staff are required to list on the Compliance & Disclosure Form only those substantive business relationships (in federal parlance, “significant financial interest”) that could directly affect the design, conduct, or reporting of federally funded research. “Significant financial interest” or SFI\* includes any payments or equity interests in the 12 months preceding the disclosure that, when aggregated, exceed \$5,000 in remuneration and/or in equity interest in any publicly traded entity **AND/OR** \$5,000 in remuneration or *any* equity interest in a non-publicly traded entity that might affect the investigator or the research. In the event that a faculty member is uncertain as to the appropriateness of listing a particular relationship, the Dean of the College, as Institutional Grants Administrator, should be consulted. This policy per federal guidelines applies to the investigators responsible for the design, conduct, or reporting of federally-funded research; **and their spouses and dependent children.** This policy also applies to subgrantee investigators. Conflicts of interest frequently are matters of degree and judgment, and the College expects faculty and academic staff to be alert to the possible effect of outside activities on the integrity of their decisions and on their ability to fulfill their obligations to the institution and/or to funding agencies. As potential or actual conflicts of interest arise, the Institutional Grants Administrator will determine which conditions or restrictions might be imposed to manage, reduce, or eliminate actual or potential conflicts of interest. Records of financial disclosures will be maintained for at least three years from the date of submission of final expenditures reports. The College will make conflict information available, upon request, to federal agencies. Under the federal regulations listed above, **Carleton College has certain obligations related to financial conflict of interest:**

- provide public accessibility to the FCOI policy: available online at [https://apps.carleton.edu/handbook/research/?a=faculty&policy\\_id=867902](https://apps.carleton.edu/handbook/research/?a=faculty&policy_id=867902).
- inform investigators of regulation, institutional policy, SFI disclosure responsibility, training requirements. CFR will obtain and file signed Compliance and Disclosure Forms upon proposal submission to NIH, NSF, and other select federal agencies. The Dean's office will email annual reminders for investigators to update their FCOI status and forward to CFR, and will track and verify training of faculty/staff/students involved in research.
- provide investigator FCOI *training* for NIH-funded grants: prior to engaging in research and at least every four years, and immediately

when FCOI policies significantly change or when an investigator is new to Carleton or an investigator is found noncompliant.

- incorporate language as part of **subrecipient** agreement contracts that establish FCOI policy (include terms that establish whether the FCOI policy of the awardee institution or that of the subrecipient will apply to the subrecipient investigators, and includes time periods to meet SFI disclosure, if applicable, and FCOI reporting requirements).
- designate an *institutional official* (Dean of the College, acting through CFR/Sponsored Research Office) to (a) solicit and review disclosure statements from each investigator planning to participate in federally funded research at time of application and annually, (b) oversee guidelines to identify conflicting interests, (c) develop and maintain management plans that specify the actions that have been, and shall be, taken to manage FCOI.
- provide *disclosure* of FCOI to NIH, when FCOI is identified: prior to expenditure of funds, annually during the period of the award (at time of annual progress report or extension ask, via eRA Commons FCOI Module), and within 60 days of discovering or acquiring a new SFI.
- maintain *records* of all investigator disclosures of financial interests and of the institution's review of and response to such disclosures, for at least three years from submission of final expenditures report; provide initial and ongoing reports per NIH specifications through the eRA commons FCOI Module; make information available upon federal agency request.
- respond, within 120 days of determination, to *non compliance* by completing and documenting a retrospective review of the investigator's activities and NIH-funded research project to determine if there was bias in design, conduct, or reporting.
- address these particulars if/when a *management plan* for FCOI Reporting is needed: 1) role and principal duties of the conflicted investigator in the research project; 2) conditions of the plan; 3) how the management plan design will safeguard objectivity in the research project; 4) confirmation of the investigator's agreement to the plan; 5) how the plan will be monitored to ensure investigator compliance (following guidelines of Federal Register Vol. 76, No. 165, section 50.605 "Management and reporting of financial conflicts of interest" <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>).

## DEFINITIONS

### ***Investigator***

For the purposes of this policy, a researcher or is a person, regardless of title or position, responsible for the design, conduct, or reporting of research

funded by a federal agency, or proposed for such funding. Collaborators, consultants, and subgrantees may thus be considered “investigators,” and an investigator’s spouse and dependent children are also considered (for the purposes of this policy) to be “investigators.”

### ***Significant Financial Interest (SFI)***

A **significant financial interest** consists of interests that reasonably appear to be related to the investigator’s institutional responsibilities:

- with regard to any *publicly traded entity*, a SFI exists if the remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000. “Remuneration” includes (i) salary, and any payments for services such as consulting fees or honoraria, paid authorship, reimbursed or sponsored travel and (ii) equity interest includes any stock, stock option, or other ownership interest.
- with regard to any *non-publicly traded entity*, a SFI exists if the value of any remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000, or when the investigator holds *any* equity interest.
- intellectual property rights and interests such as patents or copyrights, upon receipt of income related to such rights and interests.

An investigator also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of and not reimbursed to the investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities, provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by certain *excluded sources* provided in regulation:

- salary, royalties, or other remuneration paid by the institution to the investigator if the investigator is currently employed or appointed by the Institution;
- intellectual property rights assigned to the institution and agreements to share in royalties related to such rights;
- income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a governmental agency, an Institution of higher education, or a research institute affiliated with a higher education Institution.

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Last revised August 1, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Corporate and Foundation Relations

## Financial Obligations

Permission to register, as well as the release of an official transcript, will generally be denied to students who have an outstanding financial obligation.

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For [Families](#), [Students](#)

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Maintained by Dean of the College Office

## Financial Regulations for Student Organizations

### Applicability

1. All student organizations receiving dues, donations, allocations, or other funds are required to conform to the following financial regulations. These regulations are an expression of Carleton College Policy with similar stature to those in the Carleton College Code of Conduct.
2. All student organizations officers should be familiar with the Carleton Student Association (CSA) Financial Regulations at [http://apps.carleton.edu/orgs/csa/guiding\\_documents/](http://apps.carleton.edu/orgs/csa/guiding_documents/)

### CSA Funding

1. Each spring all CSA chartered organizations that desire funding for the following fiscal year (July 1-June 30) must submit their proposed budgets to the CSA Budget Committee. The proposed budget must include any anticipated income.
2. During the year, requests for additional funds or capital reserve funds must be presented to the Budget Committee for Approval. To transfer more than \$500.00 to another CSA chartered organization or department, the transfer request form must be signed by the CSA Treasurer and a SAO representative..
3. CSA allocations are for a given fiscal year. Under standard operating procedures, any surplus funds in an account revert to the CSA at the end of the given fiscal year. Dependent surplus funds, as described in paragraph 10 of the CSA Financial Regulations, may carry over to the following year. It is the organization treasurer's responsibility to submit the appropriate request to the CSA Treasurer at year's end.

### Financial Operations

1. The Business Office provides the technical support for the student organization's bookkeeping operations; that is receiving income, issuing payments and billing for internal charges.
2. Individual organizations are responsible for knowing their account balances. Financial records are considered open for inspection at any time by the CSA Treasurer, CSA Budget Committee, and the Business Office.
3. All student organization income must be deposited with the Business Office Cashier into the relevant student organization account.
4. All student reimbursements for bills and charges which have been properly authorized by organization officers and a Student Activities Representative with appropriate substantiation, such as an invoice, statement, or original receipts must be submitted within 60 days from the date of purchase or return from travel.
5. Student Organization Payment Request Forms are available in the CSA office, Business Office and on the Business Office website and must be approved by either the organization's president or treasurer. All payment requests must also be approved by the CSA treasurer and a Student Activities Office representative. Please allow seven business days for payment processing.
6. Student organizations may not incur any charge that will overdraw their accounts, even if the overdraft is only temporary.
7. All CSA funds and other funds raised through outside activities must be spent in a way consistent with the organization's goals as stated in its charter.
8. CSA Funds may not be spent to reimburse individual students for food or drinks unless those expenses are part of a group activity authorized by the CSA Budget Committee. Alcoholic beverages will never be funded by CSA funds. (Refer to College Alcohol Policy). Travel expenses to approved conferences, meetings, or other events may not include food or drink. Mileage for personal vehicle use is reimbursed at the student activities rate, which can be obtained in the Business Office.
9. No group may use CSA funds to pay for performances by a Carleton student(s) without explicit prior approval from the CSA Budget Committee and Senate.

### **Sanctions Against Individuals**

1. The judicial authority of the College extends to violations of these regulations. Sanctions as outlined in the Statement of Rights and Responsibilities may be imposed against students who as individuals

or as organization officers are determined to have violated these financial regulations.

2. When, in the opinion of the CSA Treasurer and the Student Activities Office, it appears that an individual has improperly used organization funds through willful deceit, he or she will be so advised by the Student Activities Office and asked to justify his or her actions. If after ten academic days or thirty calendar days, whichever comes first, the individual has neither made a satisfactory explanation nor informed the Dean of Students that he or she wishes to challenge the assertion through the judicial process, the student will be billed if the transaction in question is \$100.00 or less. Amounts over \$100.00 must be handled through the College Judicial System.

### **General Information**

1. Organizations are encouraged to use the College purchasing department when making large purchases. The Student Activities Office has a Carleton credit card that can be utilized for organization purchases.
2. **NO STUDENT MAY ENTER INTO A CONTRACT ON BEHALF OF THE COLLEGE OR A STUDENT ORGANIZATION.** Contact the Student Activities Office to negotiate all legal contracts.
3. Funds collected and in the possession of duly elected financial officers or member duly appointed to have these funds are insured against loss by "burglary or hold-up" up to \$2000.00. Burglary is here defined as forcible entry of which there must be visible signs. The insurance is valid only when the Business Office is not open. Any negligence in this or any other respect (such as leaving money where it can be easily taken) will make recovery impossible under this policy.
4. Failure to abide by these regulations may result in the freezing of the organization's account, and may result in the imposition of the penalties described in Article X, Section 8 of the CSA by-laws.

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For [Students](#)

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Maintained by Student Activities

## **Government Grants - Allowable Expenditures**

Grant expenditures are subject to additional restrictions imposed by OMB Circular A-21. All grant expenditures must be evaluated to ensure they are allowable under the terms of the grant, within the allowed time period, properly authorized and adequately documented.

An electronic **Grants Manual** has been prepared as a resource for faculty



who have received external or federal funding in order to provide the necessary resources to ensure a successful project. Although the College is legally accountable to the grant sponsor as the official recipient of a grant, the Principal investigator is responsible for the proper fiscal management and conduct of the project.

<https://apps.carleton.edu/campus/business/govgrantmanual/>

The policies have been provided in order to provide clear guidance as to what costs constitute appropriate charges to federally funded projects, as well as to achieve consistency with other college policies.

The cost principles relating to expenditures on federal awards are contained in the OMB Circular A-21. While the list is long, some excluded items to note are:

- Alcoholic beverages
- Entertainment costs
- Personal expenses or purchases
- Lobbying
- Participant support costs not specifically addressed in your award letter
- International travel costs not specifically addressed in your award letter

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## Insurance

Carleton College provides a level of insurance protection for employees, students, and College organizations acting on behalf of the College. College coverage does not extend to persons acting on their own or acting outside of the scope of their relationship with the College. The coverage provided by the College is not a replacement for, but rather, a supplement to their own coverage.

### Liability Protection

Carleton College insurance policies address claims and suits as follows:

1. Instructors, teachers, professors, and all salaried employees of the College are protected by the College liability insurance against claims for injury occurring anywhere in the world, brought against them by anyone, provided they were acting within the scope of their duties for

the College at the time of the injury. Exceptions are claims arising out of the use of motor vehicles (see 2 below) and claims brought by another College employee who is acting within the scope of his or her employment.

2. All employees, all students, and all other persons are protected by the College automobile liability insurance for injury claims brought against them arising out of their use of a College owned automobile or a hired automobile, provided the College has given permission for such use and the use is within the scope of such permission. The listing of Approved Drivers can be found at Collab/Departments/Buso/Buso-Shared/Campus/Approved Drivers and the Driving Privileges policy can be found in the handbook.
3. Faculty and staff traveling internationally on College business and students on Off-Campus programs, are covered for emergency assistance through International SOS. [International SOS](#) provides medical referrals, evacuation assistance, and a wide range of travel assistance. Please notify the Purchasing and Risk Manager, X4178 before leaving. Faculty traveling with students should include student information in their communication. Travelers wishing to travel to countries on the US State Department Warning list, need to contact the Purchasing and Risk Manager at x4178 to ensure that insurance is not excluded for travel to these countries.
4. Beyond the protection set forth in 1, 2 and 3 above, employees and students have to rely on their own individually purchased insurance for protection. In particular, employees, students, or others using their personal or a borrowed automobile (i.e., not a College-owned or hired automobile) on College business are not protected by College automobile liability insurance in the event that a claim is made against them, they must rely on their own or the automobile owner's insurance. Only the College itself is protected against claims arising out of use of such non-owned automobiles.

**Protection, beyond College insurance policies:**

1. The College requires evidence that buses and vans contracted for transportation are insured.
2. The State of MN requires every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance.
3. Carleton College requires general liability insurance for all approved "third parties" to use College facilities for specific events. If the "third party" is unable to obtain general liability insurance on their own, they can purchase coverage through the [University Risk Management and](#)

[Insurance Association's TULIP Program](#) (Tenants' and Users' Liability Insurance Policy, also known as "Events Coverage").

### **Vendor Insurance**

Any vendor demonstrating or loaning to the College a product, machinery, equipment, or a vehicle shall provide evidence of insurance covering damage to and loss of destruction of that property while in our care, custody, or control.

1. Carleton has contracted with Bon Appétit to provide alcohol service on the Carleton campus. Bon Appétit has applied for and been granted a Minnesota Liquor License and must provide the college with evidence of liquor liability insurance coverage.
2. Sponsors of events on Carleton College property may be required to provide certificates of insurance and/or hold-harmless agreements. Additional information about certificates of insurance for vendors and others coming to campus can be found on the Business Office web site.
3. Certificates of insurance and hold-harmless agreements should be on file with the Business office, and if required, verified with the vendor before commencement of the work or event in question.

### **Employee Insurance**

1. Carleton employees have access to a significant portfolio of insurance through the Carleton employee benefit program. Please reference the Employee Handbook for additional information
2. Employees should have their own personal liability coverage to protect against risks involved in acts which might not be judged to be in the course of or pursuant to the normal duties or behavior of persons in their position. This coverage is readily available and its cost is not exorbitant.

### **Student Insurance**

1. All enrolled students must carry health insurance. Students, who do not, through their parents or otherwise, have health insurance, must enroll in the Student Injury & Sickness Plan through USI Affinity Collegiate Insurance Resources. Coverage runs for one year beginning August 15. Coverage must be renewed on an annual basis.
2. Student athletes participating in intercollegiate or club sports at Carleton College must be covered under an insurance policy that will cover sports related injuries.

- The NCAA requires varsity athletes participating in intercollegiate athletics to carry athletic injury insurance of at least \$90,000. Check with your current insurance company to make sure you have the required \$90,000 coverage for athletic injuries. To acknowledge you have athletic injury insurance of at least \$90,000, complete the required [Sports Participation Agreement and Injury Insurance Acknowledgment Form](#) online.
  - Varsity athletes who do not have athletic injury insurance of at least \$90,000 must purchase the Student Injury and Sickness Insurance Plan AND the add-on Athletic Injury Insurance.  
ACKNOWLEDGEMENT OF ATHLETIC INSURANCE MUST BE COMPLETED BEFORE ATHLETES ARE ALLOWED TO PRACTICE.
  - Purchasing the add-on Athletic Injury Insurance is optional for club sport athletes, but the Student Injury and Sickness Insurance plan only covers the first \$500 of a club-sport injury.
3. Students, or parents, may choose to purchase tuition insurance offered from A.W.G. Deware, Inc. to add protection for tuition.

### **Property Insurance**

Carleton College does not maintain fire, theft, or damage insurance coverage for the personal property of faculty, staff, students, or guests. The theft or damage of items left in storage on College property is not the responsibility of the College. College personnel are not authorized to extend coverage for personal property without the written consent of the Vice President & Treasurer or Comptroller.

Students should remove or otherwise take actions to protect their personal property left in College buildings over breaks. Everyone is responsible for maintaining adequate safeguards for an insurance coverage of their personal property. Employees, or parents in the case of students, should consider coverage under their homeowner's or renter's insurance. More information is available at [www.salliemaeinsurance.com/protectmystuff](http://www.salliemaeinsurance.com/protectmystuff)

**Further insurance information may be found at**  
<http://apps.carleton.edu/campus/business/riskmanage>

**Please direct questions to the Purchasing and Risk Manager, X4178**

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Last revised August 30, 2012

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For [Faculty](#), [Families](#), [New Students](#), [Staff](#), [Students](#)

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Maintained by Business Office

## Outside Employment

The College does not intend to interfere with the private or personal life of employees. The College recognizes that outside work, in modest amounts of time and service, can advance the professional development of an individual and magnify Carleton's contribution to society. However, proper performance of College duties may be hampered by outside employment, defined as working for another employer, being self-employed, or providing consulting arrangements or corporate board services. Advance approval of the employee's supervisor is necessary when considering outside employment.

Regular full-time employees should not take paid employment outside the College which might affect their efficiency on the job at Carleton, constitute a conflict of interest, cause work schedule conflicts, result in the misuse of College resources, and/or otherwise have an adverse affect on the College.

A conflict of interest may be defined as any situation in which private outside employment would or could reasonably be perceived to conflict with the best interests of the College or with the employee's performance of his or her College duties. Use of College resources to perform outside work (e.g. supplies, facilities, equipment, staff) may not be charged to or supplied by the College. Only in cases where there is a direct benefit to the College from the work itself (exclusive of the individual performing the work) and only with prior approval would such use be appropriate. A serious breach of this rule, in fact or public appearance, may result in appropriate disciplinary procedures.

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For [Staff](#)

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Maintained by Human Resources

## Petty Cash

### Policy Statement

Carleton College permits departments to maintain a limited petty cash fund. All departments maintaining petty cash funds are required to exercise specific controls over its use and safeguard the fund at all times.

### Purpose and Use

The purpose of the petty cash fund is to provide departments with ready cash for the payment of various small expenditures, such as cab fare, postage, and other reimbursements less than \$25.

The petty cash fund can also be used as a "change fund" in the department for handling ticket sales at events.

## Guidelines

- Petty cash funds are established with the Business Office. The total fund balance is established collaboratively by the Comptroller and the Department Chair in consultation with the Department Petty Cash Custodian. The total fund balance is usually between \$50-\$250, based on the needs of the department. Individual circumstance or events may dictate a need for a higher limit or a temporary increase in the limit. As a guideline use \$25 for the individual transaction limit. You should collect receipts for all petty cash transactions.
- Accountability for the petty cash fund should be assigned to one employee in the department, designated as the Department Petty Cash Custodian. The Departmental Petty Cash Custodian is appointed by the Department Chair. The Department Chair cannot appoint himself/herself as Petty Cash Custodian. Notify the Business Office if there is a change in the Petty Cash Custodian. In order to ensure accountability for the new custodian, the fund should be reconciled with the Business Office at the time of the change.
- It is the responsibility of the Petty Cash Custodian to safeguard the fund by limiting access to the fund, securing the fund, distributing cash to others upon request, obtaining supporting documentation for disbursements from the fund, maintaining receipts, balancing and reconciling the fund. Petty Cash Custodians are prohibited from cashing personal checks from petty cash funds, for themselves or others.
- The petty cash fund should be kept in a locked drawer or cabinet with the key in the custodian's possession. Any losses of petty cash are the responsibility of the department.
- The Petty Cash Reconciliation should indicate the amount disbursed, the purposes of the disbursement, and the signature of the person receiving the cash. The receipts, plus cash on hand, should equal the total amount of the fund at all times. Petty cash funds should be reconciled with the Business Office on at least a monthly basis.
- Petty cash funds not in use during the summer should be deposited with the Business Office on or before June 30. New funds will be issued September 1.

### Reconciliation and Reimbursement of the Fund

The Petty Cash Custodian should properly document transactions in the following manner:

- Document each transaction on the Petty Cash Reconciliation, identifying all pertinent information (who, purpose, transaction detail

and date of expense). Identify the department and expense code to be charged.

- For reimbursement of business meals the names of the individuals in attendance, the business purpose, date, and place of meeting must be clearly stated on either the Petty Cash Reconciliation or the supporting documentation.
- The individual receiving the payment must sign the Petty Cash Reconciliation to acknowledge the receipt of cash.
- Attach all original receipts to the Petty Cash Reconciliation. Reference each receipt to the corresponding transaction on the reconciliation. Detail receipts for all transactions should be obtained.
- The Petty Cash Custodian will be reimbursed by the Cashier in the Business Office for amounts paid out of the petty cash fund upon presentation of Petty Cash Reconciliation.

### **Restrictions on Use**

Petty cash should **not** be used for the following:

- Travel expense reimbursements. Continue to use the payment request form.
- Payments to vendors for invoices submitted directly to the department where a purchase order was issued. Continue to send these invoices to the Business Office for processing and payment in order to appropriately clear the purchase order from the system.
- Payments to independent contractors, consultants, awards, etc., to non-Carleton employees. These should be processed with a check request through Accounts Payable in the Business Office in order to ensure appropriate IRS reporting.
- Payments to employees for services, awards, prizes, bonuses, etc. These should be processed through the Payroll process.
- Personal borrowing (IOUs) or salary advances.
- Never cash personal checks.

### **Reporting Stolen or Lost Petty Cash**

In the event that petty cash is stolen, the following procedures should be followed:

1. Inform Security of the theft at ext. 4444.
2. Obtain a copy of the incident report and attach to the Petty Cash Reconciliation. Submit the reconciliation and report to the Business Office.

### **Closing a Petty Cash Account**

The petty cash fund should be closed with the Business Office when the purpose for which the fund was established has been completed, as determined by either the Department Head or the Business Office. In addition, **The Business Office reserves the right to conduct periodic usage reviews and, based on the results, can request closure or reduction of the fund.**

### **Audit**

Each reimbursement request will be subject to audit by the Business Office Cashier. In addition, the Business Office may perform periodic unannounced audits of the fund to ensure proper controls are maintained.

### **Contact**

Any questions concerning the petty cash fund or this policy can be directed to Linda Thornton, Comptroller, via e-mail at [lthornto@carleton.edu](mailto:lthornto@carleton.edu), or by phone at x4171.

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Last revised June 26, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## **Purchasing**

Purchasing involves the procurement of goods and services that meet community needs at the lowest possible cost consistent with the quality needed for the proper operation of the various departments. In general, purchases should be handled in a manner that creates the greatest ultimate value per dollar expended.

The Purchasing Department is responsible for assisting with purchasing for the College by providing the community with "best procurement practice" guidelines; maintaining College procurement systems, and communicating the purchasing policies and procedures of the College. Operating within the guidelines described in this document, authorized department representatives may initiate purchases with funds available in their approved budgets.

1. Conduct all purchasing in accordance with College policy as outlined in this guide and the [National Association of Educational Buyers \(NAEP\) Code of Ethics](#).
2. Stimulate competitive bidding and provide interested vendors with an opportunity to offer their products to the College.



3. Strive to maintain strong and enduring relationships with vendors of proven *ability* and desire to meet our needs. To accomplish this, our purchasing activities will be conducted so that vendors will value our business and make every effort to furnish our requirements on the basis of quality, service and price.
4. All bidders must be afforded equal opportunities to quote and are to compete on equal terms.
5. Employees must not become obligated to any supplier. No member of the staff of the Purchasing Department or College employee shall receive any benefit or profit from any contract or purchase made by the College.
6. The Purchasing Department shall not knowingly issue a purchase order when there is evidence of a conflict of interest.
7. There must be funds available in the departmental budget before considering any purchase.
8. Employees are not allowed to make purchases with College funds for personal use.

#### **Methods of Procurement**

1. Carleton Purchasing Card (VISA) - employees authorized to purchase on behalf of the college are issued a Carleton Purchasing Card to create an efficient and convenient method of procurement and payment. This is our preferred method of procurement and payment.
2. Direct Vendor Invoice Payment - payment may be authorized directly from the vendor invoice for goods and/or services received.
3. Payment Request Form - used when a vendor invoice is not present or employee reimbursement. Sales tax paid may not be reimbursable.
4. Purchase Order Request Form – to obtain a purchase order from the Business Office. Purchase orders may be required by some vendors. Purchase order are required for all construction contracts and are recommended for large purchases (over \$25,000).

**Use preferred vendors whenever possible see [Vendor Contracts](#) for additional information.**

**Only individuals with purchasing authority may initiate purchases on behalf of the College. Refer to the [Purchasing Authorization](#) Guide for details.**

#### **1. Purchasing Card**

College employees may be granted the privilege of using a Carleton Purchasing Card to conduct business-related purchases. Cardholders are required to maintain original detailed receipts, reconcile transactions monthly, manage account codes, and add notes to document the business purpose of each transaction. New cardholders are required to complete the following forms:

[Purchasing Card Application](#)

[Purchasing Card Agreement](#)

Authorized cardholders must complete training and sign the cardholder agreement, including a code of ethics, anti-kickback clause and complete the conflict of interest statement.

### **Cardholder Responsibilities**

The cardholder agreement stipulates that the cardholder:

- has attended the required purchasing card training
- is aware of and understands card policies and procedures
- is held accountable for all transactions made using his or her card(s), including those cards delegated to other employees or graduate students
- is responsible for the timely reconciliation of his or her card(s)
- is responsible for returning his or her card(s) upon termination, suspension or leave of absence
- may not purchase any personal items with his or her card
- may not transfer his or her physical card(s) or card responsibility to any other individual.
- should use preferred suppliers if at all possible for negotiated purchases, using good judgment for purchases outside of the card process
- is responsible for reporting lost or stolen cards immediately to JP Morgan Chase Bank

### **Overview of the Card Program**

Using a Carleton purchasing card closely resembles using one's personal credit card, except that use is **restricted to business-related purchases**. Each cardholder is required to keep the card secure and is encouraged to use it for every possible college-related purchase.

Each purchasing card has been set with spending limits, account distribution and transaction information. Transactions on each card default to a specified department number and expense code which can be modified by the cardholder as needed. Cardholders are responsible for assuring that their transactions are charged to the correct department and object.

Cardholders may use the card to place an order in person at the supplier site, on a secure site on the internet, over the phone or by fax.

Carleton College is a tax-exempt organization. The college's Minnesota sales tax-exempt identification number has been labeled on each card. The cardholder must give this number to all suppliers at the time of any transaction to exempt payment for Minnesota state sales tax. In the event sales tax is billed to the cardholder's account, it should be rectified directly with the supplier. You are liable for sales tax you approve for which Carleton is exempt. A copy of the Carleton [exemption form](#) is always available on the Business Office's webpage.

**Using another employee's purchasing card is not in accordance with the conditions set forth in this policy.**

*Purchasing cards are not transferable.* If someone's card use is to be discontinued, their card number must be given immediately to the college card coordinator. Immediately report name changes for a particular cardholder to the college card coordinator so files may be updated and an updated card issued.

The following individuals are not permitted to have a card:

- courtesy employees (who do not receive a college paycheck)
- employees who have had a card previously revoked. (An employee may regain card use only at the request of their department card coordinator, following review by the college card coordinator.)
- employees not authorized as cardholders by department administration
- untrained employees or employees who have not signed and returned the cardholder agreement form, code of ethics and conflict of interest statement
- employees on personal leave of absence or on sabbatical for more than six months. (Returning nine-month faculty members and those employees planning to return following sabbaticals of

six months or less are permitted to retain and use their cards.)

- non-employees, including consultants
- suspended employees

### **Card Delegation**

College cardholders, upon approval from the college card coordinator, may authorize use of their card to any other college employee. **This is not a transfer.** The card remains in the employee's name, not that of the person delegated; any misuse of the card is the responsibility of the employee. However, the college reserves the right to initiate disciplinary action against a delegated cardholder in the case of misuse, as detailed in the section of this policy on [Misuse of the Purchasing Card](#).

*Ultimately, the employee who delegates the card is always responsible for all transactions on his or her card and must sign the monthly cardholder statement.*

### **Card Security**

Only authorized cardholders (including delegated users) may use the card. It is the responsibility of every cardholder to safeguard cards and card numbers against use by unauthorized individuals within or outside the college.

### **Lost/Stolen Cards**

Immediately upon discovering that a card has been lost or stolen, a cardholder must report this by phone directly to Visa (1-800-VISA-911) and to the college card coordinator (x5934). In an emergency, a card will be reissued within two days for a minimal fee to the department. Otherwise the card will be replaced within 10 days, at no cost, directly to the cardholder from the bank. The college's liability per cardholder is limited to the established restrictions on that particular card. Any charge against the card before it has been reported lost or stolen are the responsibility of the cardholder's department, which will be appropriately charged.

### **Fraud**

The Fraud Department of JP Morgan Chase (888-307-2990) may call you if they see any suspicious or unusual activity on your card. They may ask you for your billing address as one of their questions to determine that you are the cardholder. Your billing address is your office address; it is the same as the address on your statements.

They may also ask you for your 4 digit password and this is the last 4 digits of your social security number or the number you listed on your application as your social security number.

### **Misuse of the Purchasing Card**

Liabilities of the card remain with the college, rather than the cardholder, for all transactions made in compliance with this purchasing procedures and policy document.

Using a purchasing card, the following transactions are currently prohibited:

- personal purchases
- computer equipment unless with the consent of ITS
- purchases of furniture unless with the consent of Facilities
- personal expressions of gratitude/sympathy in the form of flowers, gifts, birthday cakes, etc
- cell phones
- gift cards and/or gift certificates

Within 60 days of the transaction date, a cardholder may dispute a charge that appears on his or her monthly purchasing card statement. If the cardholder does not recognize a charge or it appears to be incorrect, he or she should attempt to work directly with the supplier for resolution. In the event resolution is not made, the cardholder *must* dispute the charge through the JP Morgan Chase Paymentnet site.

During the investigation by JP Morgan Chase, a credit will automatically be issued to the cardholder's account for the amount questioned. When JP Morgan Chase has completed the investigation, the cardholder will be notified of the resolution. If the dispute is not settled in the cardholder's favor, the account will be charged for the disputed transaction amount.

To return an item, the cardholder should contact the supplier of the item for information on how to do a return. Following the supplier's procedures, the item should be returned directly from the cardholder to the supplier and payment adjustment should be agreed upon at that time. Should a discrepancy in charges occur, the cardholder should note the charge as a discrepancy in the reconciliation process and follow proper procedures for disputing a charge, above.

Individuals given purchasing card access by their departments are held accountable for all the transactions related to their card(s),

including those transactions made with cards they have delegated to another. Consequences for misuse of the purchasing card are serious.

Misuse of the card can be either personal or administrative. Personal misuse includes, but is not limited to: using the purchasing card for personal (i.e., non-college-related) purchases; use of the purchasing card by a suspended or terminated employee; allowing an unauthorized person to use the card (see the section on **Card Delegation** for the correct procedure to allow another employee to use your card).

Administrative misuse includes, but is not limited to: lack of proper reconciliation of the cardholder account (see the section on **Reconcilements** below); card use in direct violation of the purchasing card policies and procedures contained in this document (e.g., neglecting to use the card for commodities available through preferred suppliers; neglecting to perform monthly reviews).

When appropriate, supervisors should attempt informal resolution by bringing the misuse, and consequences of further misuse, to the employee's attention.

If informal resolution is inappropriate or ineffective, the supervisor must contact the college card coordinator. The following consequences of misuse have been established. Not all consequences will be applied to every violation; there are situations that may lead to disciplinary action, including suspension or termination of employment, without following all these steps. The college card coordinator reserves the right to use discretion in applying these guidelines, depending on the type and severity of the specific violation being addressed.

1. A formal warning will be delivered to the cardholder by the college card coordinator. The cardholder's immediate supervisor and department card coordinator will also be notified of the violation. In some cases, written notification of misuse may be included in the employee's central personnel file. The reprimand will include a warning for possible card revocation pending further misuse.
2. If violations continue after notification of misuse, card use will be revoked. The cardholder's immediate supervisor, the department card coordinator and, in the case of staff, the employee's personnel file will be notified. The employee may regain use of a college card only at the request of the department card

coordinator and following review by the college card coordinator.

3. Based on the severity of the misuse, the college can decide to initiate disciplinary action, up to and including possible termination and/or legal action.

In addition, in the case of personal purchases repayment of the purchase by the cardholder to the college is required following resolution of the discrepancy. Repayment may be made by cash or check. Payment for this misuse must be made within 10 days following resolution, or appropriate disciplinary measures will ensue. It is the responsibility of the cardholder to ensure that repayment is made for personal items charged to a delegated card.

### **Reconcilements**

Cardholders are individually responsible for monthly reconcilments of their purchasing card transactions on Paymentnet, the JP Morgan Chase website. This website details transactions occurring in the current month, including the transaction date, supplier name, and the amount of the transaction. **Review this information for accuracy, correct accounting codes, and add notes to document the business purpose of the transaction.** Any exceptions must be resolved on the website.

The cardholder is responsible for **all** charges on his or her monthly statement, including resolution of charges in error. After final review is completed by the cardholder, all necessary original receipts and packing slips are attached to the printed statement form and signed by the cardholder. The statement and receipts are then forwarded directly to the second review person for their review and initials and then on to the college card coordinator.

### **Monthly Review and Reporting Timeline**

1st - 31st Transactions available for review on the web

1<sup>st</sup> – 9<sup>th</sup> Individual cardholder review and changes online; send initialed statement and receipts on to the second review person.

9<sup>th</sup>-14<sup>th</sup> Second review person to review charges online and initial statement and receipts to be sent to Business Office.

15th Transactions downloaded into the college financial system.

### **Record Keeping**

The cardholder is responsible for keeping all credit card slips, order acknowledgements, cash register receipts, packing slips and other

sales records related to any purchase using the card until reconciliation is done. This *original* documentation is then forwarded with the monthly reconciliation unless the cardholder needs it to resolve a disputed charge. Ultimately, all original documentation must be forwarded to the college card coordinator in the Business Office. Longer term record retention is managed by the Business Office.

### **Cost Allocation**

Each card is tied to one specific account number. Cardholders are responsible for allocation of transactions to the appropriate account numbers. Continued improper designations and/or neglect of proper card transaction allocations are considered administrative misuse of the card. As such, appropriate action will be taken as detailed in the **Misusing the Purchasing Card** section of this policy.

The cardholder is responsible for ensuring receipt of materials and services and for resolving with the supplier any delivery problems, discrepancies and damaged goods.

Any packing slips, receipts, net zero invoices, along with the credit card statement, must be kept for reconciliation purposes. For telephone or catalog orders, complete shipping instructions must be given along with cardholder name and the desired delivery location (specific building name, room number, etc.). The cardholder should inform the supplier to include the sales receipt (detailing the exemption of taxes) with the package. Save the credit card receipt and shipping documentation, including packing slips, which will be needed for reconciliation.

Renewal cards are sent out automatically by Visa at the end of the expiration month.

If, for any reason, a cardholder wishes to cancel their card, the card must be cut in half and forwarded to the college card coordinator.

The suspension or termination of a cardholder must be reported directly to the college card coordinator upon official notification of termination. The card should be returned to the college card coordinator and use will be eliminated at the termination date. In the case of termination, the cardholder is responsible for returning the card and for final reconciliation prior to separation.

Audits will be performed periodically to randomly review and audit cardholder activity for compliance with college policy and procedures.



Cardholders found not in compliance with these policies and procedures will be subject to those actions contained in the section of this policy on **Misusing the Purchasing Card**.

Questions concerning this policy, help in obtaining a replacement card, or resetting your password should be directed to:

Kara Lloyd, Purchasing Card Coordinator, x5934

Payment.net Log in information available at

[https://apps.carleton.edu/campus/business/purchasing\\_cards/cardprogram/](https://apps.carleton.edu/campus/business/purchasing_cards/cardprogram/)

## 2. Vendor Payments

### **Budget Authorization**

Supervisor or Division Head authorization is required for payment requests reimbursed through department funds. The [Budget Authorization Grid](#) provides guidance on budget authorizations for cash disbursements and purchase order requests. Accounts Payable will review payment requests to ensure that the appropriate budget authorizations are in place before invoices are paid

### **Invoices/Receipts**

Submit itemized original invoices and/or receipts to Accounts Payable for payment.

- Invoices and/or receipts received for payment must include proper authorization, a valid Carleton general ledger account number, including a [vendor expense code](#).
- Employee reimbursement requests, not utilizing Faculty PDA funds, require Supervisor or Division Head approval.
- If the business purpose of the transaction is not clearly evident, please include a brief explanation.

### **New Vendor Set-up**

Accounts Payable requires all vendors to have an IRS W-9 on file with the College. The IRS W-9 confirms the vendors legal company name and taxpayer identification number. Vendor payment will not be made without a W-9 on file.

Vendors may now receive payment through ACH Direct Deposit, eliminating the need for a paper check. Vendors who would like to receive ACH payments must fill out the [Vendor ACH Authorization Form](#) (along with a voided check) and return it to the Carleton College Business Office.

Carleton College  
Attn: Accounts Payable  
One North College Street  
Northfield, MN 55057

**Note: A W-9 is not required for current students and employees, and prospective students.**

### 3. Payment Requests

#### Payment Requests

The Business Office processes payments each week on Thursday. Please allow 7 **business** days for processing. **The deadline to submit requests is 12:00pm Thursday to be included in the following Thursday's check run.** Payment will be delayed if Accounts Payable is required to seek additional information or returns a request which does not have adequate support or proper approval.

#### [Payment Request Forms](#)

- Payment Request Forms marked "dept. pick-up" are available for pick-up after 3:00 p.m. on Thursday at the Business Office. If a check has not been picked up within one week, the check will be mailed directly to the payee/vendor.
- Payment Request Forms marked "E-Check" will be reimbursed through electronic deposit ([Reimbursement Bank Account](#)) "Non-Payroll" to the account on record. Please sign up via Internet Explorer.
- Payment Request Forms marked "US Mail" will be mailed directly to payee/vendor.

### 1. Employee Reimbursements

This policy is intended to be used as a guide for college related entertainment and business expenditures. It supports our belief that all business related expenses for the College should be undertaken in the most economical way consistent with achieving the objectives of the College.

In their regulations, the IRS states that ordinary and necessary business related expenses are deductible and reimbursable. The IRS defines ordinary as "common in your field of trade, business or profession"; and necessary as "helpful and appropriate for your business".

To the greatest extent possible, business expenses of the college should be charged directly to a Carleton College purchasing card or billed directly to the College following the guidance provided in the Purchasing and Travel Policies.

When an employee incurs out-of-pocket expenses in their work for the college, which comply with the Purchasing and Travel Policies, they should submit a Payment Request Form with all appropriate IRS documentation, including original receipts to the Business Office within 60 days of their return to campus.

All employee reimbursements are processed as ACH payments to the employee bank account on record with Accounts Payable.

## 2. Honorariums and Prizes

The IRS requires that all payments for honorariums, prizes, and certain other payments be reported as income to the individual.

An honorarium is a payment that is primarily intended to confer distinction or to symbolize respect, esteem or admiration. Honorariums may be provided to individuals such as guest speakers or presenters who participate in educational events or projects. The IRS classifies honorariums as income and they are subject to taxation. **A W-9 form must be on file with Accounts Payable prior to payment.** Payment cannot be made prior to services rendered unless otherwise specified in the terms of the agreement.

A **Prize** recognizes performance as part of a judged competition, e.g. best design, highest score, academic achievement, etc. or winnings from a raffle or drawing. Prizes are reportable as taxable income (IRS Form 1099-MISC).

When processing a Payment Request for an honorarium, or prize, a Social Security or Federal ID# and home address must be on record. Information about the event including dates, location and description of activity must also be provided.

**Note: Performances for athletes or entertainers living outside Minnesota are subject to 2% State Entertainer Tax withholding.**

Payment of honorariums and/or prizes to Foreign Nationals are

required to be reported, mandatory tax withholding may apply. Tax withholding may be exempted by applicable tax treaty articles, providing the individual claims the exemption by completing the necessary forms. Please contact Shari Mayer at [smayer@carleton.edu](mailto:smayer@carleton.edu) for assistance.

### 3. **Payment for Services of an Independent Contractor or Consultant**

Periodically services are required for a limited or intermittent period of time through an independent contractor/consultant.

Please contact Human Resources before hiring an independent contractor. If an independent contractor does not meet specific qualifications, they may need to be hired as an employee.

*All payments for services to independent contractors/consultants must be made directly from Carleton College to insure compliance with all IRS withholding and reporting requirements.*

[Independent Contractor/Consultant Form](#)

[IRS resource information to assist with the determination of Independent Contractor vs. Employee classification](#)

### 4. **Purchase Orders**

#### **Purchase Order Request Form**

A [purchase order request form](#) is the basic document used for initiating the procurement of supplies, services, or equipment and may be obtained from the Purchasing Department or retrieved from <http://apps.carleton.edu/campus/business>. Purchase Order Request Forms must be signed by an authorized department employee prior to sending the request form to the Purchasing Department.

Please make sure all information is accurate and that proper signatures and account codes are obtained. Frequently used expense codes can be found at <http://apps.carleton.edu/campus/business>. Use the account code which best describes the type of expenditure.

ALWAYS, check your budget to ensure you have sufficient funds to cover the expenditure.

## Requests for Quotations

Price negotiations are always an important consideration, and comparing pricing between vendors is encouraged at any dollar amount. The College tries to match the procurement strategy closely with the specific item being purchased in order to minimize procurement costs while getting the best results. As a general rule, the higher the expenditure, the more care must be taken to plan and execute a careful procurement strategy.

Consistent use of the E&I (Educational & Institution Cooperative) and ACTC (Associated Colleges of the Twin Cities) contracts will save time and effort and get the best price. When purchasing products, please visit the websites <http://www.eandi.org/> and <http://www.associatedcolleges-tc.org/jntpurch/contracts.htm> for a listing of the contracts.

If using an E&I or ACTC contract, no other price checking is required on any item. When no contract applies, follow these guidelines in deciding how best to check prices and attach your quotes to the [Purchase Order Request Form](#):

- Under \$1,000: Check one or more prices first
- \$1,000<\$10,000: Compare two or more prices. Telephone or faxed quotes are acceptable.
- Over \$10,000: A formal Request for Proposal or Request for Quotation is required, unless using an existing contract.
- Construction Projects Over \$25,000: A formal Request for Proposal or Invitation for Bid is required, unless using an existing contract.
- Keep strictly confidential all information and quotations submitted by competing vendors until the purchase award has been made.

Purchasing recognizes that departments have specific expertise in their area and may wish to do their own price checking or write their own bid. Departments can choose to do it themselves, ask the Purchasing Department to handle it, or work in conjunction with the Purchasing Department using a team approach. Consult with the Purchasing Department to work out a strategy. When possible, alternative sources of supply will be developed to encourage competition and provide goods and services in emergency situations.

## Requirements for a contractor or consultant

Did you know that prior to a contractor or consultant performing work or providing service, they must submit the following:

- Insurance Requirements and Indemnification Agreement
- Certificate of Insurance listing Carleton College as additional insured.

Please contact Randie Johnson at 222-4178 for assistance with this process.

### **Bids and Quotations for Purchases over \$10,000.**

It is the policy of the College to obtain competitive bids and price quotations, whenever practical, on all purchase requests for material and equipment purchases with an aggregate value of \$10,000 or more. This is accomplished by negotiated pricing agreements, soliciting requests for proposal, and formal bidding procedures. Departments can obtain quotes on their own as part of their decision making process or the Purchasing Department can assist the departments.

Note: For equipment purchases over \$5000 involving Federal funds, completion of the [Vendor Selection Form](#) is required.

All vendor bids and quotations are evaluated on the basis of product quality, technical compliance with specifications, total cost, and the vendors acceptance of the Colleges terms and conditions. Bids should be requested from at least two (2) vendors, whenever possible.

The primary objective of this procedure is to obtain goods and services at the lowest overall cost commensurate with quality and service. As a result the College benefits when suppliers realize they are vying for the award of business and must be competitive in cost and service.

The requirement for competitive quotations depends upon the total cost of goods or services to be procured during the term of the agreement; such cost may be incurred either at one time or over a period of time, as in the case of a lease or rental agreement.

The requirement to obtain competitive quotations may be waived in certain situations such as the following:

Procurement can be made under an existing agreement.  
An emergency situation exists.

The price and terms are known to be substantially identical among all suppliers.

The request is for an identical requirement that has been procured recently through the quotation procedure.

The available supply is limited and procurement must be made immediately or an opportunity will be lost.

The vendor is the only vendor in the world who sells the particular item requested.

The decision to do so is in the best interests of the College.

**DESCRIPTION AND/OR STATEMENT/SCOPE OF WORK (SOW):**

The item description/statement/scope of work describes the quality and quantity of goods and services required by the College. Quality is determined by our needs. The purpose is to procure those items to suit the intended use at the lowest ultimate cost. Be as specific as possible; cite the specific performance, service, or deliverables that are required. Brand names may be used to establish a baseline comparison, but the words or equal must be included whenever possible and appropriate. A brand name may also be used when it is needed to match existing equipment or the item has been pre-approved as a standard by the College. In this instance "NO SUBSTITUTES" will be accepted.

**BID DEPOSITS:** When deemed necessary by the Department, bid deposits and/or performance bonds and payment bonds may be required. Unsuccessful bidders will be entitled to return of the deposit after award of bid. Successful bidder's deposit will be returned after satisfactory performance of the bid contract. It has been the policy of the College not to require bid deposits and performance bonds and payment bonds except when necessary. We believe this facilitates and encourages more competition with less cost to the bidders and the College. However bid deposits and performance bonds are required when it is in the best interest of the College such as in construction bids. Payment bonds ensure that our contractors pay their subcontractors.

**BID SUBMITTALS:** All formal bids must be submitted in a sealed envelope and identified with the following information; BID TITLE, BIDDERS NAME AND ADDRESS, DATE AND TIME OF BID OPENING. Bids may be delivered personally or by mail. It is the sole responsibility of the bidder to have his bid in the office of the Using Department by the date and time designated.

**BID OPENINGS:** Bids are opened privately by the Using Department after the designated bid opening time.

**REJECTION OF BIDS:** Read the bids carefully. Any deviation, alteration, or omission in the bid document may disqualify your bid. Read the specifications carefully to ensure all requirements are met. Below is a list of the most common errors found in bid documents.

1. Be sure you have properly signed and provided a seal on ALL required pages.
2. NO ERASURES ARE PERMITTED. If a correction is necessary, draw a single line through the entered figure and enter the corrected figure above it. All corrections (manual, typewriter, or whiteout) **MUST BE INITIALED BY THE PERSON SIGNING THE BID**. Any illegible entries, pencil bids or corrections not initialed will not be tabulated and will result in disqualification.

**BID RECOMMENDATIONS:** After all documentation is reviewed, a recommendation is made as to the lowest and best.

**AWARD:** The Using Department reserves the right to reject any or all bids and to waive any technicalities in bids received. A College purchase order or letter of intent is sent to the vendor awarded the bid. The College purchase order is a binding contract between the College and the Vendor and the bid is by reference made part and parcel of this contract.

### **Insurance Certificates**

If a vendor will be performing any work or service on the Carleton campus, an insurance certificate must be obtained before they begin their work. Insurance is required to protect Carleton in the event of an accident. The vendor would contact their insurance carrier to provide a certificate which complies with current insurance requirements:

Comprehensive General Liability

\$1,000,000 occurrence

\$3,000,000 aggregate

Comprehensive Automobile Liability (including owned, non-owned and hired autos)

\$1,000,000 combined single limit

Workers Compensation as required by law

***Carleton College must be listed as named insured on the certificate.***



## Legal Contracts

The Vice President and Treasurer must sign all legal contracts, leases, agreements that will obligate the College to any vendor with a value exceeding \$25,000.

## Purchase Orders

The Purchase order is a contract that legally obligates the College when accepted by the Vendor. Purchase Order Terms & Conditions are detailed at

[https://apps.carleton.edu/campus/business/purchasing\\_cards/poterms/](https://apps.carleton.edu/campus/business/purchasing_cards/poterms/)

Complete a [purchase order request form](#) in detail, to include the description, quantity, unit price and estimated cost of each item and have the worksheet signed by the Department Chair or supervisor.

Submit the [purchase order request form](#) to Purchasing in the Business Office. A purchase order will then be generated. Purchase order request forms received in Purchasing prior to noon will turn into a purchase order in the afternoon. If you list a fax number on the worksheet, it will be faxed directly to the vendor.

Please use these 6 easy steps when processing a purchase request for goods and services

1. Fill out the [Purchase Order Request Form](#): Be certain to include as much information as possible. Catalog number(s), description of item(s), size(s), color, grade (if applicable), contact person and fax number, costs and the budget number should be noted on each requisition. The purchasing staff will be happy to assist you in attaining this information.
2. Forward the completed form to the Purchasing Department: If any of this information cannot be determined, the Purchasing Department will obtain them after the request form arrives for processing. Bear in mind that Purchasing may be able to secure the requested good/services from another more effective source and will advise you on vendor selection when appropriate.
3. Estimated prices are to be entered on the requisition when actual costs are not known.
4. Enter a date wanted (delivery date) on each requisition: Please specify a date. ASAP, RUSH, IMMEDIATELY are usually ineffective.

5. To insure your requisition is processed as quickly as possible, please be sure all appropriate signatures are attained BEFORE forwarding to the purchasing office. If you submit the request form prior to noon it will be mailed or faxed out after 3:00pm the same day.
6. Please include any bid documents with your requisition. When a department specifies a single vendor for materials, service or equipment costing \$10,000 or more, the requisitioner must provide a supporting statement as to why competitive prices cannot be obtained.

### **Blanket Orders**

**Blanket Order:** You may find yourself using a particular supplier many times during the course of the year for small dollar purchases. In this case, a "Blanket Purchase Order" may be the best means of conducting business. A blanket Purchase Order is a simplified method of filling repetitive needs for small quantities of supplies or services with qualified sources. Blanket Purchase Orders are designed to reduce administrative costs in accomplishing small purchases by eliminating the need for issuing individual orders. If you think you need a blanket Purchase Order, please contact the Purchasing Department to discuss your options.

**Standing Orders:** A Standing Blanket Order is used by a requesting department when a specified quantity is to be delivered at a specified set time. The requesting department will set up a specified delivery schedule with specific quantities to be delivered on a specific day, week, etc.

### **FOB Terms**

FOB Origin means that the seller bears the risk until it loads the goods onto an appropriate carrier, after which the buyer assumes risk of loss and must claim against the carrier for damage or loss in-transit. Also, the buyer assumes the cost of freight.

FOB Destination means that the seller bears the risk until the goods are transported to the buyers dock, after which the risk will pass to the buyer. Also, the seller bears the cost of freight.

### **Damaged Goods**

When your order is received, compare the invoice or packing slip to

the purchase order. Open cartons immediately to check for damage. The truck driver can wait until you do this. If you see obvious damage to the carton or goods upon delivery, either refuse the delivery or make note on the bill of lading that goods were damaged. If you accept the shipment and find hidden damage, save the carton that the product came in and report the damage to the vendor.

### **Returned Goods Procedure**

Occasionally it becomes necessary to return materials ordered because the goods are no longer required, excess material was ordered, or the material, as received, is not acceptable. In order to document the return of goods, the following procedure will be used.

The end user will contact the vendor, negotiate a return, get the returned goods authorization number and set up pick-up of the return materials. The following information may be required by the vendor:

- Purchase Order number
- Reason for return
- Description of item
- Action required (e.g., credit, replacement, or repair).

### **Recycled Products**

The College's commitment to integrating social and environmental responsibility into the educational enterprise extends to all aspects of its affairs, including the purchasing function. As a vital part of this commitment, emphasis is placed on locating and promoting suppliers for products which promote waste reduction, either through the product's recycled content, or through the product's ability to be reused or recycled. Please consider product alternatives containing recycled content when the quality and price are comparable.

As the primary source of paper used in copiers and printers on the Carleton College campus, Printing Services has adopted the policy and practice of filling such orders with uncoated white paper with a minimum of 30% post-consumer recycled content. Use of virgin paper is discouraged; however it will be available for customers who deem it necessary for their work.

### **Energy Star Products**

As the American College and University Presidents Climate Commitment, Carleton College is committed to purchasing Energy Star Certified products and appliances in all areas where such ratings exist.

Look for the ENERGY STAR label when you're shopping for items like copy machines, computers, refrigerators, and washing machines.

[http://www.energystar.gov/index.cfm?fuseaction=find\\_a\\_product.showProductCategory&pcw\\_code=OEF](http://www.energystar.gov/index.cfm?fuseaction=find_a_product.showProductCategory&pcw_code=OEF)

ENERGY STAR certification means that the product meets rigorous energy-efficiency guidelines set up by the Federal Department of Energy.

ENERGY STAR qualified products work just as well as standard products and will help Carleton reduce its energy consumption and greenhouse gas emissions.

### **Protective Clothing**

Employees who are required as part of their job to wear protective clothing such as safety shoes or boots, safety glasses, hard hats, and/or work gloves, will be reimbursed for the cost of the clothing based on the current limits set by the Facilities Department.

### **Surplus Property**

Items declared as surplus by any department must be offered or placed within the College to the extent feasible or may be used as a trade-in if economically feasible. Employees are not allowed to personally take surplus property. Surplus property may be contributed to other non-profit organizations with a Deed of Gift authorized by an officer of the College. Contact the Business Office for more information.

### **Prohibition of Firearms**

Carleton College prohibits contract employees, to the maximum extent permissible under Minnesota law, from carrying or possessing any firearms on campus. Contractors who fail to comply with this paragraph shall be determined to have a material breach of contract and shall entitle Carleton to terminate their Agreement immediately and without notice.

### **Sweatshop Verification**

Carleton is a member of two groups that can give you information on the garment industry and they monitor factories for violations of codes of conduct. Worker Rights Consortium can be found at <http://www.workersrights.org/> Click on "Factory Disclosure Database" and you can search by college, by vendor, by country, or by factory. Fair Labor Association can be found at [www.fairlabor.org](http://www.fairlabor.org) Click on "Factory Database". The information given is contact information for the vendor, not actually factory information. It's not as useful as the WRC site. You can, however, enter "Carleton" and see a partial list of the vendors from whom we purchase.

### **Centralized Purchasing**

**Computers:** In order to secure and standardize computer hardware and peripherals, Carleton College requires all computer equipment purchases to be coordinated with Information Technologies Services.

**Furniture:** In order to ensure buildings across campus are consistent in quality and the ambiance of the buildings is maintained, carpeting, furniture, and wall coverings are purchased through the Facilities Department. Please reference the Facilities Work Order and/or Facility Change Request.

**Paper:** If copy paper is needed, use the [online order form from Print Services](#).

**Door Signs:** Door signs should be coordinated with Facilities. It is the desire of Carleton College to standardize these purchases. The department obtaining the purchase will be charged for the cost.

**Stationery - letterhead & business cards:** Letterhead and business cards should be coordinated with Publications. It is the desire of Carleton College to standardize these purchases. The department obtaining the purchase will be charged for the cost.

**Telephones:** Telephones can be acquired and installed by contacting Telecommunications. Any telephone request must be approved by the Department Head as there is a monthly charge assessed for each telephone used and each department is responsible for paying any long distance charges incurred. If a voluntary telephone move is requested, the department must pay for the charge.

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Last revised August 30, 2012

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For [Faculty](#), [Staff](#), [Students](#)

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## Related Party Disclosure Statement (Conflict of Interest Policy)

### Purpose

The Board of Trustees, officers, and management employees of Carleton College have responsibility for administering the affairs of the College honestly and prudently, and for exercising their best care, skill and judgment for the sole benefit of Carleton College. This policy is intended to ensure the transparency of related party relationships and affirm that the interest of Carleton College has first priority in all decisions and actions. Persons acting on behalf of the College shall exercise good faith in all transactions involved in their duties, and they shall not use their positions with Carleton College or knowledge gained from their work with Carleton College for their personal benefit.

This policy serves to protect Carleton College's tax-exempt organization status. The IRS as well as state regulatory and tax officials view the operations of Carleton College as a public trust, which is subject to scrutiny by and accountable to governmental authorities as well as to members of the public. Maintenance of its tax-exempt status is important for both its continued financial stability and public support.

### Interested Person

This statement is directed at the Board of Trustees, officers, management employees and other employees who can influence the actions of Carleton College. This includes all employees who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning Carleton College.

### Areas Where a Conflict May Exist

Conflicts of interest may arise in the relations of Board of Trustee, officers and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to the College.
2. Persons and firms from whom the College leases property and equipment.
3. Persons and firms with whom the College is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting the College.
6. Agencies, organizations and associations which affect the operations

of the College.

7. Family members, friends, and other employees.

### **Nature of Conflicting Interest**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3 above. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interest in any third-party dealing with the College.
2. Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) with any third party dealing with the College.
3. Receiving remuneration for services with respect to individual transactions involving the College.
4. Using the College's time, personnel, equipment, supplies, or goodwill for other than College approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with the College. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

### **Interpretation of this Statement of Policy**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to a conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the Board of Trustees, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described in Section 3 exists does not necessarily mean that a conflict exists; or that the conflict, if it exists, is material enough to be of practical importance; or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of the College.

An interested person has a duty to disclose the existence of a conflict of interest described in Section 4 or other potential conflict of interest along with all material facts to the Audit Committee of the Board of Trustees at least annually and before any transaction is consummated. It shall be the continuing responsibility of the Board of Trustees, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

## Disclosure Policy and Procedure

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the following are observed:

1. The conflicting interest is fully disclosed.
2. The person with the conflict of interest is excluded from the discussion and approval of such transactions;
3. A competitive bid for comparable valuation exists; and
4. The Audit Committee of the Board of Trustees has determined that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the Chair of the Audit Committee), who shall bring the matter to the attention of the Board of Trustees. Disclosure involving directors should be made to the Chair of the Audit Committee (or if she or he is the one with the conflict, then to the Chair of the Board of Trustees) who shall bring these matters to the Board of Trustees.

The Audit Committee shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to the College. The decision of the Audit Committee on these matters will rest in their sole discretion, and their concern must be the welfare of the College and the advancement of its purpose.

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The Vice President and Treasurer's office offers a [Related Party Disclosure Form](#) for the purpose of providing disclosure statements.

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*Adopted by the Audit Committee: May 16, 2007*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Vice President and Treasurer

## Student Marriage

Students who wish to marry and remain in student status must inform the Dean of Students by filing a copy of the marriage certificate in the Office of the Dean of Students. Financial aid status may be affected. The College does not provide married student housing.

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For [Students](#)

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Maintained by Dean of Students



## Tuition Charges for 2012-2013

Tuition is charged as part of the comprehensive fee, which is regarded as an annual charge rather than the sum of charges for each term. The 2012-2013 fee totals \$55,998 allocated as follows:

- Tuition: \$44,184
- Room: 6,069
- Board: 5,484
- Activity Fee: 261  
(View the [refund policy](#).)
- Special Fees\*
  1. For Special Students, the tuition fee is \$4,908 for one six-credit course.
  2. Off-Campus Independent Study up to six credits (including summer, winter, and spring break):
    - 1-2 credits: 1/6 of Course Tuition = \$818
    - 3-4 credits: 1/3 of Course Tuition = 1,636
    - 5-6 credits: 1/2 of Course Tuition = 2,454
  3. Independent Reading Course fees up to six credits are charged at the same variable rate as Off-Campus Independent Study.

\*Note: Special fees for course work done in the summer of 2013 will be charged at the 2013-2014 rates which have not yet been established.

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For [Faculty](#), [Families](#), [Students](#)

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Maintained by Business Office

## Tuition Refunds

Students will be eligible for a refund of tuition, room, board and student activity fees if they have paid for the upcoming term and then decide to withdraw or take a leave of absence and they notify the Dean of Students before the term starts.

If a student leaves during the first two weeks of the term, as defined by the academic calendar; a 25% tuition refund is available:

<b>Term</b>	<b>Last day available</b>
Fall 2012	September 21, 2012

Winter 2013      January 16, 2013

Spring 2013      April 12, 2013

If a student leaves due to illness during the first half of the term, as defined by the academic calendar; a 50% tuition refund is available:

<b>Term</b>	<b>Last day available</b>
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Fall 2012	October 11, 2012
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Winter 2013	February 6, 2013
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Spring 2013	May 2, 2013
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Room charges will not be refunded if a student leaves after the term starts.

Board charges will be refunded for the remaining weeks of the term.

Financial aid will be reduced according to federally mandated guidelines.

Applied music fees will be refunded, with charges deducted for lessons received, only if the student notifies the department of music within the first two weeks of the term.

In the event of a national emergency all charges will be refunded pro rata to students drafted or called as military reservists unless they have attended courses a sufficient length of time to earn academic credit.

If a student wishes to transfer to another institution he or she must settle their student account in the Business Office by making necessary payments or arrangements for extension before a transcript of credits will be issued.

No refunds will be made to students suspended or dismissed from the College.

A more restrictive refund policy governs withdrawal from Carleton off-campus programs. This policy is explained in the Off-Campus Studies Planning Guide for each program.

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Last revised August 30, 2012

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For [Families](#), [Students](#)

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Maintained by Business Office

The Campus Handbook is the one place to find all official Carleton College policies and guidelines. It contains the Student, Faculty, and Staff handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

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# Health & Safety

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.


### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.

 [Text Only/ Printer-Friendly](#)

- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

## II. Regulations

The provisions regulating student conduct in the *Community Standards Policy* apply. The following regulations apply to alcohol and other drugs:

1. Notwithstanding this or any other College regulation or policy, the provisions of Northfield city ordinances and laws of Minnesota and the United States including the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.
2. The College prohibits the unlawful possession, use, and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. (see also [Smoking Policy](#))
3. The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia, bong, pipes, drugs, kegs, beer bong, etc. Once confiscated, the items will not be returned. Persons under 21 years of age are prohibited from drinking alcoholic beverages. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
4. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
5. All kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol are allowed on campus **only** if the following two criteria are met: 1) the event is registered in advance

through the Social Event Registration process through either Student Activities or Residential Life, and 2) the alcohol is served by a College approved licensed third party vendor.

6. No kegs or common containers of alcohol are allowed in private residential spaces (village apartments, residence hall rooms, floor lounges, etc.)
7. Hard alcohol is allowed at registered events, but must be approved and served by a College approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
8. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
9. Public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Office of Residential Life (for events in residences) or the Student Activities Office (for all other events). A full description of the regulations and responsibilities to which event sponsors are subject is found on the following websites:

Residential Life -

<https://apps.carleton.edu/student/housing/forms/> and/or

Student Activities Office -

<https://apps.carleton.edu/campus/campact/planninganevent/eventregistration/>

10. The College recognizes the disruptive effects that alcohol and other drugs can have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- a. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
- b. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.

11. Small gatherings in private residential rooms need not be

registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.

12. The sale of alcohol is permitted in the Cave as determined by the management, within the context of local and state laws.

13. Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students, (and/or his/her designee) has the authority to remove a student from the program under these circumstances.

14. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bong, and similar behaviors are prohibited.

15. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.

16. Social Host Liability: Anyone over 21 who knowingly serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.

17. Social Host Ordinance - City of Northfield (enacted May 2011)

The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.

Reasonable Steps May Include:

- a) Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
- b) Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
- c) Checking identification of the attendees of the gathering to

determine age; or

d) Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.

### III. **Sanctions and Responsive Action**

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines, community services, and/or evaluation, conducted on or off-campus.

2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;

b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.

c. Any violations of this policy by students, including violations of the “Social Event Registration Guidelines,” will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.

d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

### IV. **Resources**



Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080

2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-800-554-6931
- Personnel Services: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities:

<http://ricecountychc.com/resources/>

### Endnote

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must

prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001.  
Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[A Matter of Facts](#) (8.7 MB PDF)

(Available by permission from the [Minnesota Prevention Resource Center](#))

- Risks Associated with Substance Use
- Health Risks by Drug Category
- Digest of select Minnesota Controlled Substances and Tobacco Laws: Crimes and Penalties
- Selected Minnesota Alcohol Laws: Crimes and Penalties
- Freedom to Breathe Act Categories of Drugs
- Selected Federal Laws: Crimes and Penalties



*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Automated External Defibrillators (AEDs)

### Scope

Carleton College is committed to the health and safety of its students, faculty, staff, other members of the Carleton community and visitors. College departments and other administrative units may acquire an Automated External Defibrillator (AED) with College approval.

### **Standard**

All AEDs on campus will satisfy applicable Minnesota law and guidance relating to the use and maintenance of AEDs.

### **Good Samaritan Laws**

Minnesota's Good Samaritan statute, as amended in the 2011 Minnesota Statutes, section 604A.01 provides immunity both to persons operating an AED to render emergency care and to persons or entities providing or maintaining AEDs for use in rendering emergency care. This law was designed to encourage people to use AEDs to save lives by reducing or eliminating the fear that they could be held liable for ordinary negligence in rendering such care. Carleton does encourage personnel to have prior training when using an AED. Staff should be aware that they are not required to use an AED.

### **Reason for the Carleton AED Policy**

Each year, more than 250,000 Americans die from sudden cardiac arrest. According to medical experts, the key to survival is timely initiation of a "chain of survival", including CPR (cardiopulmonary resuscitation). An AED is used to treat victims who experience sudden cardiac arrest and/or a heart attack. The AED must only be applied to victims who are unconscious and not breathing (however, when in doubt, attach the pads to an unconscious victim). Non-medical personnel can use these simplified electronic machines to treat a person in cardiac arrest. The American Heart Association notes that at least 20,000 lives could be saved annually by prompt use of AEDs.

### **Definitions**

- **Automated External Defibrillator (AED):** a device used to treat victims who experience sudden cardiac arrest.
- **Cardiopulmonary Resuscitation (CPR):** is an emergency medical procedure for a victim in cardiac or respiratory arrest. CPR involves physical interventions to create artificial circulation through rhythmic pressing on the patient's chest to manually pump blood through the heart, called chest compressions.
- **Good Samaritan Laws:** in the United States are laws or acts

protecting from liability those who choose to aid others who are injured or ill. They are intended to reduce bystanders' hesitation to assist, for fear of being sued or prosecuted for unintentional injury or wrongful death.

- **Heart Attack:** A heart attack is the death of, or damage to, part of the heart muscle because the supply of blood to the heart muscle is severely reduced or stopped.
- **Sudden Cardiac Arrest:** is the abrupt cessation of normal circulation of the blood due to failure of the heart to contract effectively during systole.
- **Systole:** the contraction, or period of contraction, of the heart, especially of the ventricles, during which blood is forced into the aorta and pulmonary artery.

### Deployment

1. The AEDs, where available and accessible, may be used in emergency situations when sudden cardiac arrest occurs. Individuals, who have volunteered, will be trained in the use and operation of the device. Such training shall be in accordance with the standards set forth by the American Red Cross or the American Heart Association.
2. The "AED Medical Advisor" will provide medical oversight for AEDs under this program and provide the prescription required to obtain an AED.
3. AEDs will be placed in an accessible location and will be inspected in accordance with the operational guidelines of the manufacturer by the Director of Recreational Sports & Manager Recreation Center or designee.
4. The Carleton College Emergency Medical alert system should be activated immediately upon the discovery of a situation in which the use of an AED is anticipated. Activation will be by dialing 9- 911 (from a campus phone) and then immediately calling Carleton Security at 507.222.4444.
5. College Departments and Offices interested in learning more should contact Director of Recreational Sports & Manager Recreation Center at 507.222.4481.

See below for a list of AED locations on campus. Also, please see the Recreation Center Web site for additional information on department/employee responsibilities, incident reporting, and AED maintenance.

### AED Locations

<b>Building Location</b>	<b>Specific Location</b>	<b>Defibrillator Type</b>	<b>Inventory Identification Number</b>	<b>Building AED Coordinator</b>
Public Safety emergency response vehicle	Security Services Office  Sayles Hill  209 College St. N	Defibtech DDU-100  Semi-automatic External Defibrillator	SN 101217367  Purchased 2011	Wayne Eisenhuth  x4427  weisenhu@
Athletics Department – portable units for Athletic Trainers	(1) Rec. Center Training Room 209.	(1) Medtronic Lifepak 500	SN 34656497 Purchased 2006	Mikki Showers  x4481
	(1) Cowling Athletic Training Room 114	Defibtech DDU-100  Semi-automatic External Defibrillator	SN AHAERC  Purchase 2010	mshowers@
Alumni Guest House  100 College St. S	College & First Entrance.  North side of the door.	Defibtech DDU-100  Semi-automatic External Defibrillator	Purchased 2012  SN 101220966	Linda Mueller  x4513  lmueller@
Center for Math and Computing  509 Goodsell Ave	509 Goodsell Circle Entrance (Main Entrance)  On the Pillar to the left	Defibtech DDU-100  Semi-automatic External Defibrillator	Purchased 2012  SN 101220086	Candy Lelm  x4286  clelm@

Chapel 405 First Street	First Street Entrance On the East wall	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2012 SN 101220971	Jan Truax x4003 jtruax@
Cowling Gym 714 Evans Drive	First floor right of front desk. (Wall cabinet unit).	LifePak 500 Biphasic Automated External Defibrillator Medtronic Physio-Control	Purchased 2005 SN 33137874	Mikki Showers x4481 mshowers@
Davis Hall 104 Union St N	First Street entrance. Left hand side of the Foyer	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2012 SN 101220975	David Wolff x5596 dwolff@
Gould Library 405 Gould Lane	4 <sup>th</sup> Floor Main Entrance East wall	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2012 SN 101215313	Merry Hoekstra x4261 mhoekstr@
Hulings Hall 208 Winona St N	208 Winona Street entrance Left wall at entrance	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2012 SN 101220105	Randy Hagen x4529 rhagen@
Laird Stadium 215 Division St N	Upper level room 106 left wall (Wall unit).	WelchAllyn Automated External	Purchased 2009 SN NA050052	Mikki Showers x4481 mshowers@

		Defibrillator 10		
Language and Dining 206 Maple St	206 Maple Street entrance West wall of lounge	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2012 SN 101220098	Mary Tatge x4252 mtatge@
Olin/Mudd 215 Goodsell Circle	First Floor of Olin East Stairwell near Mudd connector	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2012 SN 101220088	Pamela Groves-Gaggioli x4380 pgaggioli@
Recreation Center 501 Three Oaks Drive	Right hand wall of Laundry Room 107.(Wall cabinet unit).	LifePak 500 Biphasic Automated External Defibrillator Medtronic Physio-Control	Purchased in 2006 SN 34656511	Mikki Showers x4481 mshowers@
Sayles Hill 209 College St	First Floor South wall of the Foyer outside Student Activities	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2011 SN 101217357	Mary Amy x4480 mamy@
Weitz Center 320 3 <sup>rd</sup> St E	First Floor Theatre Lobby. North Wall	Defibtech DDU-100 Semi-automatic External Defibrillator	Purchased 2011 SN 101217354	Charlene Hamblin x4192 chamblin@
West Gym	Upper level	LifePak 500	Purchased	Mikki

321 Division St N	just outside room 207. (Wall cabinet unit).	Biphasic Automated External Defibrillator  Medtronic Physio-Control	2005  SN 33137875	Showers  x4481 mshowers@
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*Approved by the Carleton Safety Committee July 1, 2012.*

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Last revised July 10, 2012

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Physical Education, Athletics, and Recreation

## Drug-Free Workplace

### Introduction

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### Policy Requirements

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### Conditions

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace by college employees is absolutely prohibited.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.



## **Definitions**

### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

## **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

## **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

## **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## HIV Infection

It is the policy of Carleton College, to the extent of its control and ability, to facilitate the prevention of HIV infection and the mitigation of its consequences to both infected and non-infected persons.

The College also recognizes that persons with HIV infection are often further afflicted with a public ignorance, fear, and stigma that does not attend to other, more contagious, diseases. Therefore, the College:

1. does not require HIV testing as a condition of admission or employment,
2. does not restrict the activities of those known to have HIV infection,
3. does not tolerate discrimination against or harassment of those with HIV infection,
4. considers those with HIV infection as included under the College's general policies with respect to disability, and
5. treats knowledge of HIV infection cases on campus with confidentiality.

This policy applies to all those employed by or enrolled in the College and is subject to laws in effect from time to time.

## Response and Procedures

### PREVENTION

Faculty, staff, and students share the responsibility to prevent the spread of HIV infection. The primary response to HIV infection must be education. This includes both those with the disease and those not afflicted with the disease. Education about HIV infection is not only central to prevention but also to creating a proper campus atmosphere free from discrimination and unwarranted fear. Human Resources, Health Service, the Office of the Dean of Students, and the Office of the Chaplain will assist in providing information regarding HIV infection to all members of the community and developing a plan for general education, identification of risk, and intervention. The Director of College Health has a particular opportunity to counsel and inform the College community on how to minimize the risk of spreading infection.

Current medical experience indicates that students and employees in the normal academic setting of classrooms, residence halls, student unions,

gymnasiums, swimming pools, and other recreational facilities, and other common areas, do not face a significant risk from those with HIV infection. Therefore, the College will not restrict the normal activities of those with HIV infection. If in the judgment of the Director of College Health, however, a person with HIV infection is engaged in an activity that poses a significant risk to either the infected person or another member of the community, the Director will take appropriate action. If the College becomes aware of activity that poses a significant risk of exposure, the College also reserves the right, following appropriate medical consultation, to take whatever actions are, in its judgment, necessary or appropriate to protect either the infected person or another member of the community from exposure to infection. Both the College and the Director will act in accordance with current legal and ethical principles.

It is the responsibility of departmental managers, coaches, and laboratory supervisors, first, to ensure that employees or students engaged in activities under their supervision that might render people susceptible to the transmission of HIV have access to information concerning the nature of HIV transmission and how it relates to their specific jobs or activities and, second, to monitor their employees and students concerning use of any proper, established procedures for those jobs or activities.

### **SUPPORT SERVICES**

The College has support services through which concerned persons can receive counseling, assistance in locating and using social services, and referrals for further assistance, such as Health Service, Counseling Services, the Employee Assistance Program, Office of the Chaplain, etc.

### **DISCRIMINATION**

HIV infection is considered a disability under federal civil rights laws. This includes protection from harassment and provision of reasonable accommodation for education and employment. Refer to either the Student, Faculty, or Staff Handbook for the Statement of Non-Discrimination and the Statement on Discrimination and Academic Freedom.

### **CONFIDENTIALITY**

All information regarding HIV infection of students of employees will be considered confidential. Except as required by law, necessary to administer College benefit programs, or otherwise fulfill the legitimate obligations of the College, this information will be given out only to parties authorized by the specific, written permission of the HIV-infected employee or student. The duty of physicians and other health care providers to maintain the confidentiality of information may be superseded by their legal requirement to others in certain specific circumstances.

*Adopted by the Board of Trustees on April 18, 1991.*

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Last revised April 18, 1991

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Inline Skating

The College encourages inline skating, roller skating and skate boarding outdoors under conditions where these activities are safe for the participant, other pedestrians, other activities and College property. As is the case with bicycles and all other vehicles, safety, courtesy and consideration of others must always be foremost in the minds of persons using such equipment.

### Outdoors

Because the College is concerned about safety and bears some responsibility for the use of campus property, Security Services is specifically directed, and all others are encouraged, to look out for disruptive or unsafe inline skating, roller skating and skate boarding and to request participants cease the activity or report such instances to Security Services. Recurring problems may result in designating and posting certain areas as off limits to such equipment.

### Indoors

Inline skating, roller skating and skate boarding indoors is disruptive, may be dangerous, and may cause damage in College buildings. Such activities are categorically inappropriate within all Carleton buildings. Those wearing inline and roller skates must remove them upon entering any Carleton building. Instance of noncompliance will be subject to disciplinary action in accordance with the Student Judicial Code for students and in an appropriate manner as circumstances dictate for all others.

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*Approved on April 22, 2003.*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Students](#)

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Maintained by Dean of Students

## Official Closings and Winter Storms

### Official Closings

On rare occasions the College may officially close (although classes may

still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement winter weather. In such events, the process for an official closing will be determined only through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following:

- E-mail (if operational) by one of the determining listed administrators;
- Voicemail message by the Telecommunications Department;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining administrators (i.e. President, Vice President and Treasurer, Dean of the College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of the College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus. For instructions on how to do this, please reference the Carleton College Telecommunications Guide.

When the College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is a question as to optional task completion, please confer with your supervisor for direction.

**NOTE:** Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storms**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same

pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail and/or telephone.

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Last revised December 7, 2005

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Security Escort Service

The Department of Security Services provides security escorts for Carleton students, faculty, and staff. The escort service is available at any time and between all locations within college-owned property and the area immediately surrounding the campus. For escort service, call ext. 4444.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Sexual Misconduct

The **Policies Against Sexual Misconduct** include the *Policy Against Sexual Assault*, the *Policy Against Sexual Harassment* and the *Policy Against Sexually Inappropriate Conduct*.

## Definitions

**Consent.** Consent means the mutual understanding of words or actions freely and actively given by two informed people, which a reasonable person would interpret as a willingness to participate in mutually agreed upon sexual activity. Consent is not effective if it results from the use of physical force, there is intimidation or coercion, or the recipient party is incapacitated, or if a person is under the influence of drugs or alcohol such that they lack necessary judgment to give consent to sexual activity. Silence or non-communication should never be interpreted as effective consent.

**Incapacitated Sex:** Sexual Contact with an Incapacitated Person:

Incapacitation is the physical and/or mental inability to make informed, rational judgments. To have sexual contact with someone whom you know to be, or should know to be incapable of making a rational, reasonable decision due to his or her consumption of substances, in other words,

unable to give effective consent, is a violation of policy.

**Sexual Contact:** Sexual contact includes but is not limited to: sexual intercourse, penetration of an orifice (anal, oral or vaginal) with the penis, finger, or other object in a sexual manner, intentional touching of the genitals, buttocks, or breasts, or coercion to force someone else to touch one's genitals, buttocks, or breasts. Sexual contact can occur over clothing.

**Sexual Exploitation:** Acts committed by a person for sexual gratification, financial gain and/or advancement, entertainment, or for any other reason that abuses or exploits the privacy of another person's sexuality. Examples may include but are not limited to: non-consensual recording of sexual activity or nudity, unauthorized presentation or distribution of said recordings in any form, allowing others to observe a sexual act without the knowledge or consent of the individuals involved, or prostituting another person.

## I. Policy Against Sexual Assault

### Policy Statement

Carleton College prohibits sexual assault or sexual violence in any form, including non-stranger rape. When sexual assault or sexual violence occurs at Carleton, the standards of the community—as well as the criminal laws of the state of Minnesota—are violated. The goals of this policy are to create a community free of sexual assault, to provide avenues for those affected by sexual misconduct to obtain assistance, and to provide a clear and fair complaint and investigation procedure.

Sexual assault committed in connection with any College program, whether on or off campus, is prohibited. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

Carleton College strongly recommends that people who believe they have been victims of sexual assault pursue criminal charges against the person or persons they believe to have committed the sexual assault. Victims are also urged to make a complaint to the College. A criminal charge and an internal complaint can be pursued at the same time. Retaliation against anyone involved in the complaint process or anyone who pursues legal action—including the complainant, the respondent, or anyone participating in the investigation—is prohibited

and will not be tolerated.

Students, faculty members, and staff members should understand that apparently consensual sexual relationships, particularly those between individuals of unequal status, may be or become a violation of this policy. Anyone who engages in a sexual relationship with a person over whom he or she has any degree of power or authority must understand that the validity of the consent involved can and may be questioned. The College particularly recognizes the abuse potentially inherent in sexual relationships between faculty members and students and between staff supervisors and their student employees. (See “Statement on Consensual Relations,” Carleton College Faculty Handbook and Staff Handbook.)

### **Definition of Sexual Assault**

Sexual assault is intentional sexual contact with another person without that person’s consent (see definitions of sexual contact and consent). Consent exists when a person freely and knowingly agrees at the time to participate in a particular sexual act with a particular person. Consent is not effective, for example, when force, threat, or coercion is used. Consent is not effective when sexual contact is with a person who is unable to say no or otherwise resist because of the use of alcohol or drugs or because he or she is asleep or unconscious (see definition of incapacitated sex).

The initiator of sexual contact will be found in violation of this policy if it is determined that he or she knew or should have known that the other person could not give effective consent as defined by this policy. Being intoxicated or under the influence of any substance at the time of sexual contact is never an excuse for violation of this policy.

Sexual assault can be committed by a man or a woman against a person of the same or opposite sex. Sexual assault can be committed by current or former lovers, friends, or acquaintances.

## **II. Policy Against Sexual Harassment**

### **Policy Statement**

Carleton College will not tolerate sexual harassment in any form. When sexual harassment occurs at Carleton, the standards of the community are violated.

The goal of this policy is to create a community free of sexual harassment.



Sexual harassment committed in connection with any College program, on or off campus, is prohibited. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

A violation of the Carleton College Sexual Harassment Policy also may be a violation of state and federal law. Therefore, individuals who feel they have been sexually harassed may have the right to bring legal action, in addition to making a complaint to the College. Legal action and an internal complaint can be pursued at the same time. Retaliation against anyone involved in the complaint process or anyone who pursues legal action—including the complainant, the respondent, or anyone participating in the investigation—is prohibited.

Students, faculty members, and staff members must understand that apparently consensual sexual relationships, particularly those between individuals of unequal status, may be or become a violation of this policy. Anyone who engages in a sexual relationship with a person over whom he or she has any degree of power or authority must understand that the validity of the consent involved can and may be questioned. The College particularly recognizes the abuse potentially inherent in sexual relationships between faculty members and students and between staff supervisors and their student employees. (See “Statement on Consensual Relations,” Carleton College Faculty Handbook and Staff Handbook.)

The essential importance of academic freedom is recognized, and a standard of reasonableness will guide the College. A claim of academic freedom is not a defense to actions intended to harass or actions which would be understood to be harassing by a reasonable person. Carleton College believes that ideas, creativity, and free expression thrive—and indeed can only exist for students, faculty members, and staff members—in an atmosphere free of sexual harassment or coercion.

### **Definition of Sexual Harassment**

Sexual harassment under this policy includes unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact, or other verbal or physical conduct or communication of a sexual nature when:

1. Submission to that conduct or communication is made a term or condition, either explicitly or implicitly, of obtaining employment or education; or
2. Submission to or rejection of that conduct or communication by

an individual is used as a factor in decisions affecting that individual's employment or education; or

3. That conduct or communication has the purpose or effect of substantially interfering with an individual's employment or education, or of creating an intimidating, hostile, or offensive employment or educational environment.

For purposes of this definition, communication may be oral, written, or electronically transmitted.

Stalking is a form of sexual harassment. Stalking may include persistent attempts to contact the person by phone, electronic communication, or regular mail; vandalizing the person's property or leaving unwanted items for the person; and/or constantly appearing at the person's classroom, residence, or workplace without permission.

Sexual harassment can be committed by a man, a woman, or a group of people against a person or persons of the same or opposite sex. Sexual harassment can be committed by friends, acquaintances, classmates, supervisors, co-workers, faculty members, and/or any other person. Acts of sexual harassment may or may not be directed at a specific person. The use of alcohol or drugs by any party will not diminish the responsibility for sexual harassment under this policy.

### **III. Policy Against Sexually Inappropriate Conduct**

#### **Policy Statement**

Carleton College prohibits sexually inappropriate conduct in any form. When sexually inappropriate conduct occurs at Carleton, the standards of the community are violated. The goal of this policy is to create a community free of sexually inappropriate conduct.

Sexually inappropriate conduct committed in connection with any College program, whether on or off campus, is prohibited. This applies to academic, educational, extra-curricular, athletic, residential, work place, and other College activities and programs.

Individuals who feel they have been the victims of sexually inappropriate conduct have the right to make a complaint to the College. Retaliation against anyone involved in the complaint process or anyone who pursues legal action—including the complainant, the respondent, or anyone participating in the investigation—is prohibited.

#### **Definition of Sexually Inappropriate Conduct**

Sexually inappropriate conduct includes unwelcome sexual conduct that may not rise to the level of sexual harassment but is still sexual in nature. For example, conduct that may be considered to be sexually inappropriate conduct may be an isolated occurrence or not sufficiently serious to be considered sexual harassment under this policy. Sexually inappropriate conduct may include, but is not limited to, crude, obscene, or sexually offensive gestures or unwelcome sexual comments or communication. For purposes of this definition, communication may be oral, written, or electronically transmitted. Depending on the circumstances, this type of conduct can also be considered sexual harassment.

Sexually inappropriate conduct can be committed by a man, woman, or a group of individuals against a person or persons of the same or opposite sex. Sexually inappropriate conduct may or may not be directed at a specific person in order for a violation to occur. The use of alcohol or drugs by any party will not diminish responsibility for sexually inappropriate conduct under this policy.

### **Consensual Relations**

The well-being of the learning and teaching community at Carleton College depends upon the existence of a relationship of trust, respect, and fairness between the staff and the students. Romantic and/or sexual relations, even if consensual, between staff members and their students (those whom they currently supervise, coach, advise, teach, or evaluate in any way) violate the integrity of the student/staff relationship as described above. Such relations are therefore prohibited by the College and constitute grounds for disciplinary action up to and including dismissal.

Because any romantic and/or sexual relationship between a staff member and student, or between a staff member and any person he or she may supervise has the potential to jeopardize the quality of the academic, living or working environment of the community, the College strongly discourages such relations. The College will therefore take appropriate disciplinary action (up to and including dismissal) should such a relationship be found to undermine the trust, respect, and fairness that are central to the success of Carleton's educational mission.

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For [Faculty](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Dean of Students

## Smoking

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke.

The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

## Public Spaces and Private Offices

Smoking is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill "Great Space" and The Cave. Smoking is also prohibited in private offices. There are designated smoking areas outdoors.

## Residential Living Spaces

Smoking is prohibited in all residential facilities including student rooms, restrooms, lounges, hallways, and stairwells.

*All entrances, exits, ground floor windows, and areas around air intake vents of campus buildings are to be smoke free.* To prevent the problem of building entryways from becoming smoke-filled, those who smoke must be at least 50 feet from the entrance. This policy is concurrent with Minnesota law.

## Student Violations

Students who violate any aspect of the smoking policy will receive a disciplinary sanction which may include removal from residential living or suspension from the college and a fine up to \$200.

Minimum fines may include:

- First Violation: written warning
- Second violation: \$50 fine/per person and residential life probation
- Third violation: \$200 fine/per person and possible removal from residential living

Any student found in violation of the [Alcohol and Other Drugs Policy](#) (e.g., marijuana) may also be found in violation of the smoking policy.

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*Smoking Policy adopted February 1996.*

*Approved by College Council, May 2002. Approved by the Executive Committee of the Board of Trustees June 2002.*

*Revision approved by College Council February 23, 2004. Approved by the Board of Trustees June 2004.*

*Reviewed and updated August 2011.*

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Last revised August 1, 2011

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Unlawful Use of Drugs and Alcohol

### Introduction

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees. The College's failure to comply with the provisions in the Act would result in the immediate loss of our eligibility to receive all federal fundings and could require repayment, in full or in part, of any federal financial assistance previously awarded.

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### Policy Requirements

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited.

### Legal Sanctions

More detailed descriptions of applicable local, state or federal laws for the unlawful possession or distribution of illicit drugs and alcohol are on reserve in the College Library. Some legal sanctions that could be imposed include:

Consumption of alcohol by a minor: up to a \$700 fine/up to 90 days in jail

Illegal sale of alcohol: up to a \$3,000 fine/up to 1 year in jail

Possession of a small amount of marijuana: up to a \$700 fine/up to 90 days in jail

Sale or possession of controlled substances, such as cocaine, hallucinogens, marijuana, etc.: up to a \$1,000,000 fine/up to 30 years in jail

### **College Consequences**

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

#### **Internal Sources**

##### **Students**

Dean of Students Office, ext. 4248 or 4075

Residential Life, ext. 5465

Student Health and Counseling Center, ext. 4080

##### **Faculty and Staff**

Dean of the College, ext. 4303

Human Resources Office, ext. 7471

Employee Assistance Program, 888-828-6025

## External Sources

Alcoholics Anonymous: 507-645-6282

Fairview Ridges Hospital: 612-892-2510

Hazelden: 612-257-4010

Minneapolis Psychiatric Institute: 612-863-5327

Northfield Family Focus: 507-663-8882

WomanSafe Center: 800-607-2330

### Biennial Review

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Workplace Safety

Carleton College is responsible for furnishing its employees a safe place of employment, free from hazards, causing or likely to cause, injury or serious physical harm. For the safety of its students, faculty, staff, and guests, Carleton will exercise its right to prohibit firearms on campus, including at all public events. Each employee has an obligation to comply with all safety and health standards, rules, regulations or orders issued by the College as well as those of the Federal Occupational Safety and Health Act. Working conditions judged to be unsafe should be immediately reported by the employee to his or her supervisor or department head, and the supervisor then is responsible for reporting the problem to the director of facilities for evaluation and, if needed, corrective action. Detailed provisions of the Act are available in the Facilities Management Office.

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Last revised September 25, 2003

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

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Handbook[Academic  
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Benefits](#)[Events](#)[Faculty  
Appointments](#)[Financial](#)[Health & Safety](#)**[Housing &  
Residential Living](#)**[Information  
Technology,  
Documents, &  
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Transportation](#)

# Housing & Residential Living

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.


### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.

 [Text Only/ Printer-Friendly](#)

- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

## II. Regulations

The provisions regulating student conduct in the *Community Standards Policy* apply. The following regulations apply to alcohol and other drugs:

1. Notwithstanding this or any other College regulation or policy, the provisions of Northfield city ordinances and laws of Minnesota and the United States including the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.
2. The College prohibits the unlawful possession, use, and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. (see also [Smoking Policy](#))
3. The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia, bong, pipes, drugs, kegs, beer bong, etc. Once confiscated, the items will not be returned. Persons under 21 years of age are prohibited from drinking alcoholic beverages. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
4. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
5. All kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol are allowed on campus **only** if the following two criteria are met: 1) the event is registered in advance

through the Social Event Registration process through either Student Activities or Residential Life, and 2) the alcohol is served by a College approved licensed third party vendor.

6. No kegs or common containers of alcohol are allowed in private residential spaces (village apartments, residence hall rooms, floor lounges, etc.)
7. Hard alcohol is allowed at registered events, but must be approved and served by a College approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
8. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
9. Public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Office of Residential Life (for events in residences) or the Student Activities Office (for all other events). A full description of the regulations and responsibilities to which event sponsors are subject is found on the following websites:

Residential Life -

<https://apps.carleton.edu/student/housing/forms/> and/or

Student Activities Office -

<https://apps.carleton.edu/campus/campact/planninganevent/eventregistration/>

10. The College recognizes the disruptive effects that alcohol and other drugs can have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- a. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
- b. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.

11. Small gatherings in private residential rooms need not be

registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.

12. The sale of alcohol is permitted in the Cave as determined by the management, within the context of local and state laws.

13. Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students, (and/or his/her designee) has the authority to remove a student from the program under these circumstances.

14. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bong, and similar behaviors are prohibited.

15. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.

16. Social Host Liability: Anyone over 21 who knowingly serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.

17. Social Host Ordinance - City of Northfield (enacted May 2011)

The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.

Reasonable Steps May Include:

- a) Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
- b) Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
- c) Checking identification of the attendees of the gathering to

determine age; or

d) Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.

### III. Sanctions and Responsive Action

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines, community services, and/or evaluation, conducted on or off-campus.

2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;

b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.

c. Any violations of this policy by students, including violations of the “Social Event Registration Guidelines,” will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.

d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

### IV. Resources

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080

2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-800-554-6931
- Personnel Services: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities:

<http://ricecountychc.com/resources/>

### Endnote

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must

prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001.  
Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[\*\*A Matter of Facts\*\*](#) (8.7 MB PDF)

(Available by permission from the [Minnesota Prevention Resource Center](#))

- Risks Associated with Substance Use
- Health Risks by Drug Category
- Digest of select Minnesota Controlled Substances and Tobacco Laws: Crimes and Penalties
- Selected Minnesota Alcohol Laws: Crimes and Penalties
- Freedom to Breathe Act Categories of Drugs
- Selected Federal Laws: Crimes and Penalties



*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Animals on Campus

**Definition:** Animal--for these purposes, any species that is not human.

**Applicable Public Law.** Any person bringing an animal(s) onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98.

**Animals in Buildings.** No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of College departments. Faculty, staff, or students may not pet-sit or invite an animal into College housing. The following are exempt from this policy because of their required long-term residential nature: Nutting House, Headley House, Headley Cottage, Hilton House, Seecomb, and all Hall Director apartments, currently located in Severance, Burton, Musser, Nourse, Watson, Evans, Myers, Parish, Cassat, and Goodhue.

**Animals on the Grounds.** Animals must be leashed and under the direct control of their owner. Animals running freely will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code. Animals that are tied up and unattended are not under the direct control of their owner and will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal feces must be picked up and properly disposed of by the associated owner.

**Service Animals.** Service animals are legally defined (Americans With Disabilities Act) and are trained to meet disability-related needs of their handlers. Federal laws protect the rights of individuals with disabilities to be accompanied by their service animals in public places.

**Public Safety.** Persons who wish to report violations of this policy may call Carleton College Security at x4444.

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Last revised July 1, 2009

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Facilities

## Break and Summer Housing

Limited housing is available during the College's winter and spring breaks for students who are international, live at least 450 miles from Northfield,



taking courses at St. Olaf that extend past the end of our term, athletic team members with authorization from the Athletic Department, students working at least 20 hours per week on campus, and seniors working on their comprehensive exercises. Students who wish to stay must find a resident of a hall designated for break housing and receive permission from the current occupant to reside in the room during break. Students are charged for the use of the room only and no food service is provided. [Applications](#) for break housing are available from the Residential Life Office one month prior to the break.

Burton and Davis Halls are designated for Winter Break and Myers and Watson Halls are designated for Spring Break housing. This information is included in the [Room Draw Policy](#). Students residing in the residence halls designated for use as Break Housing should be aware that their rooms may be used to house students approved to live in Break Housing. All upper class students who draw into Break Housing areas are required to allow their rooms to be used by students needing Break Housing. Although first year students are not required to allow their rooms to be used for break housing, they also are not discouraged. Storage will be provided free of charge to students who are required to let someone use their room and don't want to leave personal belongings in their room.

Current full-time students who will be enrolled at Carleton during the next academic year and who have a paid position at Carleton College which averages a minimum of 20-hours per week are eligible to live in College-owned housing for the summer. Space is limited and housing for the summer is **not** guaranteed. Applications for the entire summer receive first consideration. [Applications](#) for summer housing are available on line or from the Office of Residential Life.

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*Approved by Residential Life on June 21, 2005.*

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For [Students](#)

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Maintained by Residential Life

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## **Campus Use by Unenrolled Students**

The events and activities of the College exist for the benefit of enrolled students. Students who are not enrolled in the College but living in Northfield during a particular year or term are to be regarded as members of the local community and welcomed to the College as such, but they are not to take part in events, productions, trips, College services, etc., that are ordinarily reserved for Carleton students. Students on leave or withdrawn may stay in the residence halls only under the terms of our guest policy, which limits

stays by custom to three or four days.

When a student is not enrolled, their OneCard account will retain any remaining Schiller's value, but other privileges will be deactivated. To review OneCard features, please see [OneCard Information Center](#) website.

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For [Students](#)

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Maintained by Dean of Students

## Climbing on College Buildings and Structures

Climbing on any building or structure, including the Water Tower, scaffolding, roofs, scaling buildings, tall trees, etc. is prohibited. Violation of this rule may result in a fine of up to \$250 or other disciplinary sanctions. This rule exists because a fall could cause severe injury or death. The College is not responsible for injuries resulting from climbing on college buildings or structures.

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For [Students](#)

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Maintained by Dean of Students

## Conditions of Occupancy

**All students are expected to abide by the [Conditions of Occupancy](#) listed below to ensure safe and well-maintained facilities. Students will be subject to disciplinary sanctions, including fines, for violating any regulations.**

**All rooms are furnished with beds, mattresses, desks, desk chairs, window treatments, dressers, wardrobes or closets, and garbage and recycling cans. Students are responsible for maintaining the room and furnishings in good condition and returning the room to its original condition when moving out. Completion of a Room Condition Report when moving into and vacating a room provides detailed information regarding the room and furnishings.**

**1. Students are responsible for all activity which occurs in their rooms, even if they are not present. For this reason, rooms should be locked at all times.**

**2. Damages and missing articles** will be charged to student college accounts. Any charges will reflect the cost to repair or replace the damaged or missing items. All occupants of a room/house/apartment will be held equally responsible for any charges incurred and for returning the room to move-in condition when they move out (remove all personal items, remove

trash, and thoroughly clean and vacuum room, bathroom, kitchen, lounge, etc.) There is a minimum charge of \$25 per resident of a room/house/apartment for excessive cleaning required in any bathroom, lounge, kitchen or other common space within the room/house/apartment. If an individual resident accepts responsibility for a particular damage or cleaning, a written agreement should be signed by all occupants and submitted to Residential Life with the RCR. Residents who fail to complete the room check-out process will be assessed a \$25 fine. Students leaving after the designated time will be assessed \$50 for the first hour, and an additional \$50 for each additional three hours beyond the posted departure time.

**3. Furniture:** Room furniture must remain in a student's room. Residents may provide additional furnishings such as carpets, chairs, and sofas. All personal articles must be removed prior to departure from the room at the end of the academic year or departure from the College. Lofts and non-Carleton bunk beds are not permitted. Lounge furniture is not allowed in student rooms.

**4. Walls, Ceilings and Floors:** Screws, nails, staples, tape and glue should not be used on ceilings, walls, furniture, doors or floors. Ceilings, walls and floors must be kept free of any fire or safety hazards (please see fire safety guidelines posted on hall bulletin boards for more information). Decorations used for seasonal and/or special events must be of fire retardant materials.

**5. Wall partitions, paneling, electrical system modifications, and water beds** violate insurance regulations and are prohibited. No alterations or modifications shall be made to the room accommodations.

**6. Painting:** Rooms and public areas are painted by College staff on a cyclical maintenance schedule. Students are not permitted to paint any rooms.

**7. Windows:** No items should be placed on windowsills as they pose a hazard to pedestrians below. Screens are not to be removed or unhooked for any reason. Objects are not to be thrown from windows or balconies. Students violating this policy are subject to disciplinary sanctions including a fine.

**8. Roofs and Decks:** Students are not to be on the roofs or decks of any buildings with the exception of the decks connected to the main lounges of Nourse and Evans Halls and the deck off the west stairwell landing of Severance Hall. Students violating this policy are subject to disciplinary sanctions including a fine up to \$250.00.

**9. Porches and Balconies:** Grills and other flame producing devices may

not be used on porches or balconies. No furniture other than the porch furniture provided by the College is permitted outside the house without written permission from Residential Life staff. Objects are not to be thrown from windows or balconies.

10. **Antennas:** The installation of outside antennas for TVs and/or radios and the splitting or tapping into any antenna or antenna cable are prohibited. The unauthorized connection to a cable TV signal is a crime and prosecution by the local cable company may result. Students will be charged for removal/repair.

11. **Common Areas** (i.e., lounges, kitchens, bathrooms, hallways, stairwells, and entries) are intended for the use of all students residing in the building. Furnishings in these areas are not to be removed. All residents of a hall/house/floor will be charged a minimum of \$5 for cleaning, repair or replacement of furnishings in the common areas.

12. **Storage:** Bicycles and other personal belongings may not be stored in lounges, hallways, or stairwells because they create a fire or safety hazard. Custodial Services, Ext. 4133, has designated areas available for bicycle and secure storage.

13. **Safety considerations** prohibit the possession of flame- or spark-producing items including candles, incense burners, oil-burning lamps, halogen lamps and lanterns, lighter fluid, etc., in residential facilities. No athletic equipment may be used in the residence halls, e.g., no hockey equipment, Frisbees, skateboards, skates, footballs, basketballs, volleyballs, tennis rackets and tennis balls, golf clubs and balls, dart boards, in-line skates, etc.

14. **Life Safety:** Damage to or tampering with the sprinkler system, smoke alarms or CO2 detectors in the residence halls/houses will result in a charge to the student account to cover the cost of repair/replacement. The sprinkler fixture and smoke alarm must not be blocked or used as a hanger for any item. Removal of a smoke detector or fire extinguisher will result in a \$200 fine to each individual involved.

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*Approved by Residential Life on June 21, 2009.*

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For [Students](#)

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Maintained by Residential Life

## **Deliveries and Solicitors**

Trades people, solicitors, or peddlers (except those who have received

written approval from the Office of Residential Life) are not permitted in the residence halls/housing. Student organizations may be granted permission by Residential Life to raise funds or provide information within the residence halls. In such cases, student organizations may be allowed to participate at floor study breaks or be in lounges to ask for funds or share information. Student organizations should submit the request to the Hall Director of the building. No door-to-door solicitation is allowed. Individual students will not be given permission to raise funds or to sell products for profit within the residence halls.

Candidates for election to public offices are allowed by Minnesota State Law to go door-to-door for the purpose of campaigning. They must receive permission from the Dean of Students Office or Residential Life before entering any residential building. Candidates are not allowed to solicit funds while campaigning in the residential buildings.

Maintenance, custodial and contracted employees carry Carleton ID cards. Please contact Security Services at Ext. 4444 if unknown individuals are in the residence halls/houses.

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*Approved by Residential Life on July 31, 2006.*

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For [Students](#)

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Maintained by Residential Life

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## Drug-Free Workplace

### Introduction

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### Policy Requirements

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### Conditions

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace by college employees is absolutely

prohibited.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### **Definitions**

#### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

#### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

#### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

### **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

### **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

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Last revised April 8, 1989

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Electrical Devices and Appliances

Heat producing electrical devices may only be used in designated areas. Appliances such as hot plates, coffeemakers, irons, and space heaters are not acceptable for use in student rooms by order of the State Fire Marshal. These types of appliances may be used in the kitchens or laundry rooms only.

Each room carries an electrical load limit of approximately 10-15 amps. The electrical capacity within student rooms does not permit the use of any appliance rated over six amps (700 watts). For example, stereos, TVs, and small refrigerators each draw two to three amps. Refrigerators larger than 3.6 cubic feet and air conditioners are not permitted in residential facilities. With the exception of the micro-fridge rental units, the use of microwaves in student rooms is discouraged. Microwaves are available in public kitchens.

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*Approved on July 31, 2006.*

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For [Students](#)

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Maintained by Residential Life

## Fireplace Use

This policy is currently under review.

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*Approved by Residential Life on June 21, 2005.*

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For [Students](#)

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Maintained by Residential Life

## Governance and Student Privacy

“Living Unit” means a residence hall floor, residence hall section, or College-owned or College rented off-campus dwelling used to house students.

Each living unit or residence may adopt regulations appropriate to their needs or interests and may enforce them through their Resident Assistants or Hall Directors, providing such regulations and enforcement procedures are not contrary to or inconsistent with other College policies and procedures, and providing such regulations do not violate the prohibitions set forth in the Community Standards section of the Handbook. Rules or floor contracts made by living units must be submitted in writing to the Hall Director for review at the beginning of each academic year. Subsequent changes in these regulations must also be submitted to the Hall Director.

Students have the same rights of privacy as any other citizen and surrender none of those rights by becoming members of the academic community. These rights of privacy extend to residence hall living. Nothing in the College relationship or resident hall contract may expressly or by implication give the institution or residence hall officials authority to consent to the search of a student's room by police or other governmental officials, unless under legal compulsion.

When College maintenance, custodial, or security staff seek access to a student room in a residence hall to make improvements or repairs, the occupant shall be notified of such action not less than twenty-four hours in advance. The exceptions to this procedure would be when the resident has requested that such improvements or repairs be made, when the occupant gives permission for an earlier entry, or when there is an emergency situation where there is reasonable fear of danger to life, safety, health, or property. A request for improvements or repairs is considered authorization to enter a student's room during a 10 academic day period from the date of the request. If repairs or improvements cannot be made in a 10 academic day period, the students shall be so notified and another 10 academic day period established. Student rooms may be entered during breaks by College employees to inspect furnishings, provide custodial or maintenance service, and inspect for safety.

The Dean of Students or his or her designee shall not enter a student room without permission of an occupant unless there is sufficient cause to believe that non-compliance with a specific College policy or multiple dwelling unit law is occurring or has occurred. Such entry shall be only for the purpose of investigating the specific violation. These conditions apply throughout the academic year, including vacations.

Notwithstanding the provisions of the prior paragraph, items belonging to the College which are not part of room furnishings (for example, lounge



furniture, dining room equipment, library books), or items which are illegal by law or College policy (for example, drugs, guns, etc.), may be removed if they are in plain view of the Dean of Students or his or her designee, if the Dean of Students or his or her designee is in a student's room in the course of a permitted entry. Discovery of such items may constitute the basis of subsequent disciplinary action.

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*Adopted by Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Students](#)

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Maintained by Residential Life

## Guests

The College welcomes “short-term guests” (weekend, mid-term breaks, etc.) but expects that students will not entertain guests at the expense of a roommate or without regard for the privacy and needs of other students. Guests are allowed to stay for a maximum of three days. Guests who overstay their welcome (more than three days) or are not respectful of the hall regulations and rights of other students will be asked to leave. Hosts are responsible for the behavior of their guests on campus and are subject to consequences resulting from a guest's behavior, including fines and repair costs.

For safety and security reasons, please inform your Resident Assistant or House Manager of a guest's presence. There is no fee for guests. Roll-away beds and linens are available from the Custodial Services Office at a minimal charge. Custodial Services staff must have 24-hour notice to honor requests for these services. Roll-away beds are not available for Evans Hall or off-campus houses. Guests are welcome in the dining halls or at the Snack Bar. Students may use Schillers to pay for their guests meals.

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*Approved on July 31, 2006.*

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For [Students](#)

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Maintained by Residential Life

## Housing Checkout

### End of Term Checkout

- Return room to original condition.
- Residential Life staff will assess the room and complete a Room

### Condition Report (RCR).

- Return room keys to residential staff or the Express Check Out box prior to leaving campus. There is a \$40 charge for keys not returned within five days of departure.
- Charges will be assessed for any damages, extra cleaning, missing furnishings, or missing keys.
- Students leaving after the designated time will be assessed \$50 for the first hour and an additional \$50 for every three hours beyond the posted departure time.
- Items may not be stored in the room even if you are planning to return the following term.

### Mid-term Checkout

Students taking a leave of absence or withdrawal while classes are in session are expected to check out of the residence halls/houses within five (5) days of the official notification and remove their personal belongings prior to departure following the procedure above.

Should the circumstances of leaving be unexpected or sudden and not allow the students time to pack personal belongings, the student may designate a friend to pack and arrange for the storage. If required, the College will use the following guidelines:

- A contracted moving company will pack up personal items remaining in the room and store them in a designated storage area. Contact Residential Life if you would like personal items packed and shipped.
- Students must make arrangements for payment with the moving company.

Students suspended by the College, taking a leave of absence or withdrawing from the College during winter or spring breaks are required to check out of their rooms prior to the start of classes the following term.

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*Approved on July 31, 2007.*

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For [Students](#)

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Maintained by Residential Life

## ID Cards

All Carleton students, excluding non-degree candidates, are issued a picture identification card by the [OneCard Office](#). This card provides students with access to all residence halls. A lost card compromises the security of the

residence halls due to its universal access capabilities. It is extremely important that lost or damaged OneCards are immediately reported to the [OneCard Office](#).

Information regarding the replacement fee and purchase of Schillers is available from the [OneCard Office](#).

Cards are produced in Campus Services, Sayles Hill 10.

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*Approved on July 31, 2007.*

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For [Students](#)

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Maintained by Residential Life

## Intruders and Theft

Intruders and theft in residence halls are, unfortunately, recurring problems. The College is not responsible for the personal belongings of students. Students are advised to lock their room doors and the outside doors of the houses. Do not let anyone "tailgate" or enter an outside entrance without a College OneCard. It is recommended that valuables, such as computers, be insured and the serial numbers recorded. The Office of Residential Life provides information on how to obtain [personal property insurance](#) through a national insurance carrier.

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*Approved on July 31, 2007.*

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For [Students](#)

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Maintained by Residential Life

## Maintenance and Cleaning

The College provides custodial services for the public areas of each residence hall including common student bathrooms, hallways, lounges, and kitchens on a daily basis Monday through Friday. Limited weekend services, such as emptying trash, restocking bathrooms, and checking lounges and hallways, are also provided. All residents of a floor/house/hall are billed for damages or extra cleaning. See Conditions of Occupancy for details.

Private areas are the responsibility of the occupants. Private areas include: the student rooms or apartments (including the Village Apartments), private bathrooms or private living spaces (i.e., spaces that can be entered only by going through a private room or is part of a private area). Custodial Services staff do routine cleanliness checks during the breaks and, if necessary, clean private areas. Charges will be assessed for any private area that

requires cleaning during a break or at the end of the year.

College-owned, house common areas such as kitchens, lounges, stairwells, bathrooms, laundry rooms, and porches are cleaned on a weekly basis. All other spaces in houses are the responsibility of the occupants.

A resident who needs a repair due to a breakdown or malfunction should submit a [Facilities Work Request](#) (FWR). Located online, the FWRs are used to expedite repairs. Each repair requires a separate request form. For emergency repairs after working hours, contact Security Services. The right to inspect or repair rooms at times convenient to the College or its authorized agents is unconditionally reserved by the College. (See Governance and Student Privacy Section)

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*Approved on July 31, 2007.*

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Last revised July 31, 2007

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For [Students](#)

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Maintained by Residential Life

## Medical and Disability Accommodations

There are limited housing spaces available for accommodations and priority will be given to individuals who are eligible to receive accommodations under Section 504 of the Americans with Disabilities Act (ADA). Under the ADA, individuals must document the impact of their disability on major life activities. For example, individuals experiencing vision, physical and hearing impairment, neurological impairments, chronic life threatening systemic disabilities such as cancer, HIV, or Epstein Barr and/or traumatic brain injuries are eligible for academic and physical accommodations. All disabilities and medical history pertaining to the disability must be documented by a licensed and board certified medical provider with the competence and expertise in the area of diagnosis.

[Special housing accommodations](#) are not standard academic accommodations. In order to determine if special housing is a reasonable accommodation, we must receive [Medical Document for Housing](#) from your physician detailing the correlation between your academic and cognitive deficits and the need for special housing that either cannot be secured through the Room Draw process or completed after a room has been drawn.

Documentation must be from a medical doctor or licensed professional with expertise in the area of diagnosis. Official documentation should come from

an outside person. Campus staff in the Wellness Center can provide support or can answer questions, but rarely can provide enough documentation to support an accommodation.

Students who intend to request special housing arrangements due to their eligibility for disability accommodations must contact Residential Life in Severance G10, Ext. 4072.

- Students will receive a letter from the Office of Residential Life requesting a meeting prior to Room Draw to secure housing.
- Students may select to live in a single or a double (with a roommate). Any student who needs medical housing and wishes to live in a triple, quad, quint, or sextet must go through the regular room draw process.
- The Room Draw lottery number will be taken into consideration when placing students in housing. (For example, a rising sophomore would not be placed in a single in areas that are highly sought after by seniors.)

Students who intend to request special housing due to a medical condition that does not meet the disability requirements should contact the Office of Residential Life. You will need to complete the [request form](#), provide current clinical documentation, and meet with the Director of Residential Life.

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*Approved on July 31, 2008.*

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For [Students](#)

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Maintained by Residential Life

## **Pets in Student Residential Facilities**

Animals and pets, except those necessary for disabled individuals, are not permitted in student residential facilities. Violations of this [policy](#) may result in eviction with forfeiture of room charges and additional disciplinary action including but not limited to a fine. If you fail to remove a pet or animal from a residential area within the specified time, the animal or pet will be sent to the local animal shelter and a \$100 fine and all costs associated with removal, cleaning, etc. will be assessed. Students may have properly maintained aquariums for fish in their rooms provided that the total capacity of all aquariums in a room does not exceed 20 gallons.

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*Approved on July 31, 2006.*

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For [Students](#)

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Maintained by Residential Life

## Quiet Hours

The most troublesome issue within a college residential community is unwanted distraction and noise while other students are studying, sleeping, or simply expecting quiet time. A student's right to study or sleep in an environment free from undue interference and disruption is a priority at Carleton. As a result, quiet hours have been established for all student residential areas. By the end of the second week of classes, each residence hall will determine the quiet hours for the building and agree upon expectations of each individual resident. Until that time, the following quiet hours are in effect: 11 p.m. to 7 a.m. Sunday through Thursday evenings and from 1 a.m. to 7 a.m. Friday and Saturday evenings. Individual living units may extend these hours; however, they may not reduce them since residents find these hours to be effective for the purposes of study and sleep. Twenty-four hour quiet hours are in effect beginning at 11 p.m. on the last day of classes each term through the end of exams.

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For [Students](#)

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Maintained by Residential Life

## Residence Hall Lounges and Public Areas

### Goodhue Superlounge

The Goodhue Superlounge is located in Goodhue Hall. It is a student lounge and activity area with billiards, table tennis and a large TV viewing area. The [Guidelines for Goodhue Super Lounge](#) and a reservation form are available in PDF format. This is a smoke-free and substance free area. Events held in the Superlounge must end by 11 p.m. Sunday through Thursday and by 1 a.m. on Friday and Saturday. The pool table may not be moved. Charges for repair, moving, rebalancing or other repairs will be billed to the responsible person/department.

This room may be reserved by contacting the Goodhue and Evans Hall Director at Ext. 4442. Any damage to the Superlounge or failure to properly clean it after use will result in a charge to a student account.

### Parish Dining Room, Kitchen and Lounge

The Parish Dining room, Kitchen and Lounge are located in the basement of Parish House and are available for student use. The lounge has a projection video player with a large screen. Individuals using the kitchen must supply their own cooking utensils.

Reservations may be made by contacting the Watson Hall Director at Ext.

4093. Failure to properly clean any areas after use will result in a charge to a student account.

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*Approved by Residential Life on July 31, 2006.*

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Last revised July 31, 2006

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For [Students](#)

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Maintained by Residential Life

## Residential Life Staff

The Residential Life staff consists of the Director, Associate Director, Hall Directors, Resident Assistants (RAs), and House Managers.

Each floor or living area has one or two RAs. Small houses have a House Manager. These upperclass students help provide opportunities in the residence halls in areas such as interpersonal communication, organization and time management, conflict mediation, and leadership development. They also play a primary role in developing social and educational programs, and serve as peer advisors and campus resources. Additionally, they conduct inventories of rooms and public spaces. These student leaders are the first people you should contact with a concern about anything related to your residence hall.

A full-time professional hall director is assigned to oversee each living unit. The hall directors supervise and work closely with RAs and House Managers. Additionally, they help develop residential programs and activities and serve as resources to students. They coordinate room changes, facilitate roommate discussions, and collect and disseminate Residential Life information. They also participate in the Residential Life emergency on-call system and work with student crises. These professionals live in apartments within the residence halls.

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*Approved by Residential Life on July 25, 2007.*

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For [Alumni](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Students](#)

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Maintained by Residential Life

## Residential Living Requirement

Residence halls and campus houses are an integral part of the Carleton learning environment. Living among other students provides many informal opportunities for students to learn about themselves, develop friendships,

and discuss new ways of thinking. The mission of Residential Life is: to create a healthy, safe and thriving environment where students can gain experience, be involved and develop their interpersonal, academic, and leadership potential. To fulfill this mission, our professional Hall Directors and student Resident Assistants (RA) help plan social, educational, and recreational activities in the halls and houses. These staff members are available to assist students in many ways throughout the academic year.

Carleton College is a residential college providing housing for all students who are enrolled full-time in classes on the Carleton College campus. All students except those married or having dependent children living with them, must live in College-operated residences and participate in the College dining plan for all four years.

The College offers a variety of housing options because it recognizes that residential options are desirable and beneficial for students. Housing opportunities include traditional residence halls, suites, houses, apartments and Northfield Option. The College recognizes the benefits associated with independent living environments and, as a result, offers a limited number of releases from the College housing requirement through the Northfield Option program. Students must receive prior approval from Office of Residential Life to be eligible for this option.

Students who are married or have dependent children living with them will be exempted from the residency and board requirements upon providing documentation to the Residential Life Office. Students with special dietary or medical needs should address their concerns to the Office of Residential Life.

Housing is available to full-time registered students only. Students who have withdrawn or who are on leave of absence are not permitted to reside in College-owned facilities and must vacate the residence halls/houses. Students leaving the College at any time during the academic year are responsible for packing their belongings and arranging for storage or shipping.

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*Approved by Residential Life on June 21, 2005.*

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For [Students](#)

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Maintained by Residential Life

## **Room Assignments and Room Changes**

All first-year students are assigned rooms and are informed of their room assignment by mail in early August. Roommate assignments are based



upon the information provided by the student in the Roommate Preference Questionnaire. Staff carefully review all questionnaires and house students based on their responses to questions regarding interests and living conditions.

Housing is available to full-time registered students only. During the Spring Term of each year, students who expect to enroll in on-campus classes for the subsequent Fall Term participate in Room Draw. The housing selection process is conducted in three phases with the assistance of a student Housing Selection Advisory Committee:

- Students are assigned random lottery numbers according to their class year.
- A limited number of senior students are released from the residency requirement through the Northfield Option Program. These students submit a request to seek their own living arrangements in the Northfield area for the subsequent academic year. Students are advised not to sign a lease for off-campus accommodations until they have been excused from the residency requirement. Release from the residency requirement occurs by about March 1 for the following academic year. Student lottery numbers determine placement on the Northfield Option wait list during the initial sign up period.
- The second phase consists of shared interest housing selection. Student interest groups petition for special group housing based upon programmatic goals. Shared interest houses in the past have included art, music, culinary, sustainability, environmental activism, and science fiction.
- The final phase is the actual selection of rooms which is known as Room Draw. Students select rooms in order of their class and lottery number.

Detailed information regarding room selection and housing options is made available prior to room draw online and through campus mail and various on-campus publications, as well as through the residence hall staff.

A student desiring a room change must contact his/her RA, House Manager, or Hall Director. The Residential Life staff will work with roommates to resolve conflicts, and permit room changes only when conflicts cannot be resolved. During the first and last two weeks of each term a room change freeze is in effect, during which time room changes are not permitted. Students may not change rooms unless approved by a Hall Director or a member of the Residential Life office staff. Unauthorized room changes will result in the forfeiture of a Room Draw lottery number, denial of release from the residency requirement, or possible disciplinary action. If a

vacancy occurs in a room the College reserves the right to place another student in the location. We reserve the right to move the remaining residents of two rooms with vacancies into one of the two rooms that has a vacancy. Whenever possible, vacancies are filled with the concurrence of the students involved.

The College reserves the right to use any residential facilities for break or vacation housing for those students or other groups who have permission to stay on campus during these periods.

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*Approved on July 31, 2007.*

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For [Students](#)

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Maintained by Residential Life

## Room Occupancy

The residential facilities open at noon two days prior to the first day of classes each term. All student residential facilities close between terms and students are expected to vacate their rooms by 2 p.m. the day after exams end. At the conclusion of the Spring Term, all underclass students are expected to vacate the halls by 2 p.m. the day after exams. We are unable to provide accommodations for dates beyond the normal closing days. Graduating seniors are expected to vacate the halls by 5 p.m. on the day of Commencement. Seniors graduating prior to spring term are expected to follow instructions from Residential Life on checking out of their room at the end of the term in which they complete their graduation requirements. Please refer to the [Residential Calendar](#) for a detailed listing of opening and closing dates.

Only first-year students who are invited to participate in New Student Orientation and upperclass students who assist with the Orientation program or participate in pre-season training for the athletic programs may arrive earlier than the dates noted on the calendar for first year and upperclass move in. There is a per diem charge for room and meals during this time which is paid by the sponsoring department. Only those students sponsored by a department will be housed on campus prior to the official opening date for upper class students.

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*Approved by Residential Life on July 11, 2005.*

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For [Students](#)

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Maintained by Residential Life

## Safety

**The safety of students is very important. As a result, the Carleton College has in place equipment, policies and procedures to help protect our residents. It is important that students be familiar with our policies and procedures so they can act responsibly to help keep themselves and others safe.**

### Fire Safety

The density of the population in the halls and houses, combined with the age of some of the buildings make fire safety an important issue for everyone. Like security, fire safety is the responsibility of every resident; one damaged smoke alarm or one overloaded extension cord can put the entire building at risk.

All residential facilities are protected by fire detection and fire fighting equipment. Each room has a smoke detector that will sound with a limited amount of smoke. Room detectors in the residence halls and the public areas of the houses are wired to a central alarm system. Should the battery in a smoke detector need replacement, contact the Maintenance Office at Ext. 4133 during the normal work week (M-F,8-5) and Security Services at Ext. 4444 after hours. Students are not to remove batteries. Always contact Security to silence/disconnect a detector (even if the detector is malfunctioning). When an extinguisher is used for any reason, inform Hall Staff immediately so they can contact Security Services or the Maintenance and Custodial Office to have the extinguisher recharged.

**If you spot a fire or smoke**, sound the alarm immediately.

Then, from a safe location call the fire department (9-911) and Security (ext. 4444), identify yourself, and give the appropriate information on the location.

**When a fire alarm sounds**, all residents of the hall/house **MUST** leave the building via the nearest exit. **NEVER USE THE ELEVATOR AS A MEANS OF ESCAPE.** Once the situation is resolved/investigated, the “all clear” will be given by Security and residents may reenter the building.

Students should acquaint themselves with the emergency escape plan of their living area. Throughout the year the fire alarm system is tested in each residence hall to assure that it is in working order. When an alarm sounds all residents must vacate the facility via the nearest exit to ensure their safety and to ascertain the cause of the alarm. Residents will be permitted to re-enter the building when Security Services personnel have determined it is safe to do so. If possible, before leaving the room, residents should

close all windows, turn lights on, and exit via the stairwells, not the elevators. Residents should notify their RA, House Manager, or Hall Director immediately if they believe that a smoke detector or other fire fighting equipment is malfunctioning.

Tampering with equipment is not only against College policy and federal law, it jeopardizes the safety of every resident of that building. Discharging fire extinguishers, setting off fire alarms under false pretenses or failing to leave the building when a fire alarm sounds have life-threatening implications. In addition to any local municipal action, the College reserves the right to initiate formal disciplinary charges for these offenses. The minimum fine for a first offense is \$200 plus the cost of restoring the equipment to its original condition.

Safety inspections are conducted by Residential Life Staff in all student residential facilities. During Fall term residents and staff identify any potential fire or safety hazards existing within rooms and alert residents as to hazards. Fire drills are conducted each term. Residents are expected to comply with the fire safety guidelines provided and to remedy any existing problem. Hallways should remain clear at all times as furniture or personal belongings left in the hallway block access and increase risk of personal injury. Electrical cords are not to be run through hallway doors due to increased risk of fire. Residents are not to have items or materials in their rooms, nor are they to decorate their rooms, in a manner that could increase the risk of fire.

### **Keeping Your Room Safe**

Security and safety are a primary concern. Since many students are away from home for the first time and are unaware of the normal difficulties of residence hall living, procedures have been established to try to help protect the occupants and the buildings.

Carleton provides locks on all residence rooms and our traditional residence halls (Burton, Davis, Evans, Goodhue, Musser, Myers, Nourse, Parish, Severance, Watson) and the Village Apartments are equipped with an electronic door locking system which requires use of the [OneCard](#). Students are issued both a room key and a OneCard. We ask that students carry their key and card at all times. Residents living in our houses are issued room and outside door keys and are encouraged to keep the outside door of the house locked.

Keeping doors locked is the best way to secure your property and yourself as well as those sharing your living quarters. Residents are encouraged to keep their rooms and the houses locked at all times, especially when

sleeping or absent from the room/house. Be careful not to allow strangers to enter your room.

When entering a door that has the electronic locking system, please be certain not to let others “tailgate” in with you unless you know they have a OneCard and are authorized to be in the building. If someone insists on coming in without authorization, contact Security Services (ext. 4444) immediately.

If you lose your room key, Carleton will replace the lock and issue new keys to the resident(s) of the room. If you lose your key, contact the Residential Life Office. A temporary key will be issued for three days allowing you time to look for the key. If you have not found the key within the three days, the door will be recored. The \$40 charge for a lost key will be billed to the student account. Each resident is responsible for creating a secure and safe environment through responsible use of keys and access cards and using some common sense.

All currently enrolled Carleton students are issued a [OneCard](#) that provides access to all traditional residence halls. To maintain the security of our buildings, report lost or stolen cards as soon as possible to Residential Life (Ext. 4072) or Security Services (Ext. 4444).

### **Security and Safety**

Safety is fundamental to group living. We need each resident to do his/her share in keeping our residential spaces safe for everyone. Please contact Security Services or Residential Life if you have any questions.

#### **EMERGENCY 9-911**

**Residential Life, Ext. 4072**

**Security Services, Ext. 4444 (24 hours a day)**

### **[Severe Weather and Tornadoes](#)**

Living in the Midwest, we must contend with the threat of severe weather which may include tornado activity. On the first Wednesday of each month the city of Northfield tests the tornado warning system at noon. In the event of a threat of a tornado approaching the area, the City will sound the warning siren. Should you hear the siren, please go immediately to the lowest level in the building. If there are windows at that level, please go to an inside corridor or any area without windows. Most buildings on campus have blue and white signs to identify safe areas. You should stay within the safe area until the all clear siren sounds. In the event of a tornado warning, Security Services and Residential Life will work with students and staff to

move individuals to safe areas.

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*Approved by Residential Life on July 25, 2007.*

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For [Students](#)

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Maintained by Residential Life

## **Selling on Campus**

Sales people are not permitted in College buildings except to do business with College officials. They are specifically prohibited from selling door-to-door in residence halls and other student housing units, and from mail solicitation. Students should ask sales people to show authorization and immediately report to the Office of the Dean of Students any unauthorized person who approaches them.

Carleton students who wish to run a business for their own profit must apply to the Director of Campus Activities for authorization to do so. Student organizations that wish to run a profit activity must apply to the Director or Assistant Director of Campus Activities for authorization to do so. For health and sanitation reasons, students may not engage in business that involves the cooking of food within the residence halls or on campus. By law, food items may not be offered for sale unless they are commercially prepared.

The College will make space available in the Sayles-Hill campus center for the orderly sale of appropriate items and materials. Limited space is available and a nominal fee is charged. Permission to sell and table reservations must be obtained from the Campus Activities Office.

Fund raising drives for charitable purposes may be conducted by students and organizations with permission from the Campus Activities Office.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of Students

## **Smoking**

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke.

The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

## Public Spaces and Private Offices

Smoking is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill “Great Space” and The Cave. Smoking is also prohibited in private offices. There are designated smoking areas outdoors.

## Residential Living Spaces

Smoking is prohibited in all residential facilities including student rooms, restrooms, lounges, hallways, and stairwells.

*All entrances, exits, ground floor windows, and areas around air intake vents of campus buildings are to be smoke free.* To prevent the problem of building entryways from becoming smoke-filled, those who smoke must be at least 50 feet from the entrance. This policy is concurrent with Minnesota law.

## Student Violations

Students who violate any aspect of the smoking policy will receive a disciplinary sanction which may include removal from residential living or suspension from the college and a fine up to \$200.

Minimum fines may include:

- First Violation: written warning
- Second violation: \$50 fine/per person and residential life probation
- Third violation: \$200 fine/per person and possible removal from residential living

Any student found in violation of the [Alcohol and Other Drugs Policy](#) (e.g., marijuana) may also be found in violation of the smoking policy.

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*Smoking Policy adopted February 1996.*

*Approved by College Council, May 2002. Approved by the Executive Committee of the Board of Trustees June 2002.*

*Revision approved by College Council February 23, 2004. Approved by the Board of Trustees June 2004.*

*Reviewed and updated August 2011.*

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Last revised August 1, 2011

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Social Events

Social events and parties, with or without alcohol, may be held in the residence halls and small houses so long as the rights of other residents and neighbors are respected. Social event hosts and the occupants of the room hosting the event are responsible for the behavior of their guests and for ensuring that all applicable College regulations are respected.

Normally, **small events** may be sponsored within individual rooms. A small event is defined as one at which no more than five guests per resident of the room shall be in attendance. As an example, three students in a triple may have a total of fifteen guests without needing to move or register the event. Events and parties which are larger than this generally disturb other residents or neighbors; therefore, larger events are allowed in locations which are less disruptive to others. As a courtesy, students hosting small events should consult with their neighbors. Small events must end by 11 p.m. weekdays and 1 a.m. on Friday and Saturday.

**Large events** or parties at which more than five guests per occupant are expected to attend or which are held in lounges within the residence halls or small houses must be registered. Large events must be approved by the RA/ House Manager and the Hall Director by noon on Thursday. In addition, the space must be reserved at least five days in advance of the event. Large events in public areas within residential facilities are normally scheduled for Friday or Saturday. Social events must conclude by 1 a.m. at which time guests should depart and the area should be cleaned. [Social Event Registration](#) forms are available from the Office of Residential Life or the Hall Director. All-campus social events and parties are not allowed in student residential areas. Events scheduled for non-residential areas are scheduled through the [Campus Activities Office](#). Large, all-campus parties are restricted to Carleton Students and their guests, who must be accompanied by their host.

**Alcohol** may be served at social events in accordance with College policy. Hosts of an event at which alcohol is to be present are responsible for ensuring that non-alcoholic beverages and food are present, that those who are visibly intoxicated are not served, and that only those of legal age are consuming alcohol. In addition, it is against Minnesota State law to sell or



charge for alcoholic beverages without a license; therefore, students may not charge or sell alcohol at either large or small events. The social event registration form provides detailed information regarding host responsibilities, which are discussed with each host prior to approval of the event. For reference, please visit the [Alcohol and Other Drugs Policy](#) on the Dean of Students page.

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*Approved by Residential Life on July 25, 2007.*

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For [Students](#)

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Maintained by Residential Life

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## Storage

[Limited storage is available](#) on a first-come basis for a minimal fee to currently enrolled students. Private facilities are also available within the Northfield area. Carleton College assumes no responsibility for loss, damage or theft of items placed in storage. We recommend personal property insurance. Storage is provided as an alternative to taking possessions off campus each year. Space is limited.

Fire codes limit what can be stored. While students are on campus, only empty suitcases and trunks may be stored.

During student absences from campus, storage space is available for boxes, suitcases, trunks, bicycles and small refrigerators. Limited space is available for bicycle storage in Watson Hall. Personal items other than bicycles or refrigerators must be stored in boxes, trunks or luggage displaying current storage tickets that can be purchased from the Business Office in Leighton Hall. See [detailed storage information](#) posted in each residence hall and house.

Carleton College does not assume responsibility for any personal belongings that are left in the room or placed in storage.

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*Approved by Residential Life on July 31, 2007.*

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For [Students](#)

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Maintained by Residential Life

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## Student Marriage

Students who wish to marry and remain in student status must inform the Dean of Students by filing a copy of the marriage certificate in the Office of the Dean of Students. Financial aid status may be affected. The College

does not provide married student housing.

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For [Students](#)

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Maintained by Dean of Students

## Student Motor Vehicles and Parking

It is the responsibility of all students who bring a motor vehicle to Northfield to be aware of the motor vehicle policies and regulations below.

### Registration

**All student motor vehicles, including students living off-off (Northfield Option), are required to be registered with Security Services.**

Applications may be submitted via the [Online Vehicle Registration Form](#), or may be picked up in the Security Services office, Sayles-Hill 205.

### Regulations

- **The MOTOR VEHICLE POLICY shall be in effect on the first day of classes Fall Term through the Final Exam Spring term, including midterm breaks, winter and spring vacation/break.** While attending Carleton College, students are not permitted to drive or possess motor vehicles (cars, trucks, motorcycles, and other such licensable motor vehicles) within the city limits of Northfield except as outlined in the policy.
- A student desiring to drive or park on campus for any other reason must first obtain permission from the Administrator of the Student Motor Vehicle Policy. The term “campus” is used as defined in Article I of the Student Judicial Code.
- **Any student desiring to maintain a motor vehicle in Northfield after the first day of classes must obtain permission to do so. Unauthorized student vehicles parked on campus or in Northfield after the first day of classes of each term will be subject to a fine, autoclamp, or towing at the owner's expense.** Applications for such approval must be submitted to the Administrator of the Student Motor Vehicle Policy. Students granted permission to keep a vehicle in Northfield will be issued a parking permit. The parking permit must be affixed to the rear bumper of the vehicle. Applications for Fall Term must be submitted and approved prior to the first day of classes, and applications to maintain a vehicle in Northfield for either Winter or Spring Term must be submitted prior to the end of the previous term. Those students whose applications are received after the available

spaces have been assigned will be asked to remove their motor vehicles from Northfield. For this reason it is required that students obtain permission before they bring motor vehicles to Northfield.

- A student may request permission to drive a vehicle to Northfield and to keep it in Recreation Center parking lot for the duration of the term. An off-street parking space will be assigned on a first come, first served basis and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a vehicle in Northfield or a fine. Once parking stalls reserved for student use are assigned to capacity, students will be responsible for securing their own off-street, off-campus parking space. No student enrolled at Carleton will be permitted to park a motor vehicle on the city streets, between the hours of 2 a.m. and 6 a.m.
- A fee of \$75 plus tax per term will be charged for storage or parking of a motor vehicle on campus. If students have arranged to store vehicles elsewhere and can provide their own off-street parking space (e.g., renting a garage), they may do so; however, the vehicle must still be registered with Security Services. A student may register their vehicle for the entire academic year during the Fall term at a fee of \$200 plus tax. If registering for the Winter and Spring term only, the fee is \$125 plus tax.
- Students of any of the following categories may apply to the Administrator of the Student Motor Vehicle Policy for a Inner Campus parking spot for one motor vehicle:
  - students living in College-owned housing who have one-half or less of a board contract with the College (limit of one vehicle per house or living unit). An off-street parking space will be assigned if available and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a motor vehicle in Northfield or a fine;
  - students showing proof of employment or internship during the term and demonstrating that a vehicle is required a) to get to and from the place of employment, internship or b) in the performance of the student's duties on behalf of the employer. An off-street parking space will be assigned if available and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a motor vehicle in Northfield or a fine.
- Any student will be permitted to drive a vehicle for any purpose except they may not be driven or parked on campus other than in their assigned parking lot. No student enrolled at Carleton will be permitted

to park their vehicle overnight on a city street. Students who use personal vehicles for College business are advised that by law every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance. Under the financial responsibility law for the State of Minnesota, an owner is legally responsible for his or her own automobile when the car is being used by a second party. He or she becomes liable for any negligence of the driver of the car. For this reason we ask that all faculty, staff, and students who use or loan their cars for authorized college trips be sure that satisfactory limits of insurance for bodily injury, property damage, and medical payments are carried.

- Students may drive commercially rented cars for personal use, provided that they drive them as directly and expeditiously as possible from the rental firm to a point outside of Northfield, and, upon returning to Northfield, drive them as directly and expeditiously as possible back to the rental firm.
- Students will also be permitted to drive their employer's vehicle in the performance of their duties on behalf of the employer.
- Students possessing a motor vehicle for a period of up to two weeks must obtain a temporary parking permit from the Administrator of the Student Motor Vehicle Policy. Vehicles issued a temporary permit must park in a lot assigned by the Administrator of the Student Motor Vehicle Policy. There is no fee for a temporary parking permit. Students are limited to one two week temporary parking permit per academic term.
- Students leaving their vehicle on campus during Winter/Summer vacation must obtain permission and parking assignment from the Administrator of the Student Motor Vehicle Policy. Failure to obtain such permission may result in the owner being responsible for substantial towing and storage fees.
- Students living in non-College housing off campus who will provide their own off-street parking space (vehicle registration for this category is valid for the entire academic year and there is no parking registration fee assessed).

## Where to Park

- STUDENT OWNED/OPERATED VEHICLES PARKED ANYWHERE OTHER THAN THEIR ASSIGNED PARKING LOT WILL BE

**SUBJECT TO FINE/TOW! Please note:** If you have been assigned to the **Townhouse parking lot**, you **must** park in the south lot. Do not park in the north stadium lot. Violators will be subject to ticket/tow.

- **City of Northfield parking regulations** state (1) no person shall park a vehicle in one space upon a street or municipally owned parking area for a period exceeding 48 hours, and (2) there shall be no parking on city streets between the hours of 2 a.m. and 6 a.m. from November 15 until March 15.
- Students living in non-college owned housing must provide their own off street parking space. **Vehicles cannot be stored or parked on a city street between the hours of 2 a.m. and 6 a.m.**

## Violations and Penalties

Any motor vehicle maintained in Northfield which has not been registered with the Administrator of the Student Motor Vehicle Policy constitutes an unregistered vehicle. The following system of penalties will be imposed upon offenders:

- possession in Northfield of an unregistered vehicle: first offense, \$50 fine; second offense, \$75 fine; subsequent offenses, \$100 fine, autoclamp, tow, or loss of parking privileges on campus;
- parking on a city street between 2 a.m. and 6 a.m. or unauthorized parking of a registered vehicle on campus: first offense, \$10 fine; second offense, \$20; subsequent offenses, \$40 fine, tow, or loss of parking privileges on campus; parking in a handicapped stall, up to \$200 fine and/or tow;
- parking in a fire lane, \$25 fine and/or tow;
- all other violations of Carleton College parking regulations, \$10 fine and/or tow;
- careless or reckless driving on any campus road or walkway; first offense, \$20 fine; second offense, \$40 fine; third offense, loss of right to operate a motor vehicle on campus for a period of one year.

In addition, offenders will be responsible for all fees incurred in determining ownership of a motor vehicle.

## Reporting Possible Violations

All complaints against students concerning Student Motor Vehicle Policy violations shall be submitted to the Administrator of that policy. Complaints may be filed by any member of the Carleton community, as well as by any resident of Northfield. Reports should include the following information if

available: a description of the vehicle, its license number and state, the location, time and date of the alleged violation, and details concerning the nature of the incident. Security personnel shall file regular reports concerning the status of vehicles sighted on or adjacent to College property. These reports shall also include details of any unauthorized violations actually witnessed. Security personnel shall have the right to question any students concerning their relationship to a specific vehicle, should probable cause for suspicion of a violation exist.

## **Processing of Reported Violations**

In the case of unauthorized use or parking of the reported vehicle, the offender shall be issued a violation report.

In the case of a vehicle that is suspected of being maintained in Northfield and unregistered by a student, an inquiry shall be made to the state in which the vehicle is licensed to determine its owner.

- Should the vehicle be legally registered in that state to a Carleton student, said student shall be issued a violation report.
- Should the vehicle be legally registered in that state to a member of the immediate family of a Carleton student, and there exists substantial indication that the student is in possession of said vehicle in Northfield (e.g., the vehicle is registered in New Jersey in a parent's name), the student shall be issued a violation report.
- A denial of possession in Northfield must be supported by a written statement from a third party who claims to have had the vehicle in his or her possession at the time of the alleged violation. If such information is received within five academic days, charges brought against the student may be dropped. Should the student fail to provide such information within this time limit, he or she shall be assumed to have had possession at the time of the reported violation.

## **Parking Fine Payment and Appeal Procedure**

- Fines imposed for violations of the Student Motor Vehicle Policy or Carleton College parking regulations will be due and payable in the Business Office or the Hub upon receipt by the student of a Violation Report.
- Any alleged violator may assert the existence of extenuating circumstances for a violation of the policy or that he or she can establish that he or she did not commit the alleged offense. (Ignorance of any part of the Policy will not be considered as a valid excuse for an offense.) Such assertion must be delivered in writing to

the Administrator of the Student Motor Vehicle Policy within five academic days after delivery of the notification. The matter will be dismissed or sustained in accordance with Carleton College parking regulations. The student relinquishes this right if he or she fails to contact the Administrator of the Student Motor Vehicle Policy within the prescribed time period.

- When a violation is accompanied or characterized by other behavior such as careless driving, driving while under the influence of alcohol or other drugs, or other behavior in violation of the Student Judicial Code, the student may be charged with additional violations of the Student Judicial Code and/or Minnesota State Statutes.

## Notification

Notification to the student offender shall include all the information supplied on the violation report. Violation reports will normally be issued through the campus mail system.

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Last revised December 12, 2012

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For [Families](#), [New Students](#), [Prospective Students](#), [Students](#)

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Maintained by Security

## Substance Free and Quiet Areas

Each year certain areas within residence halls are designated as special living environments. [Substance-free](#) and [quiet](#) areas are designated prior to room draw and signs are posted in these locations. These areas and the specific guidelines are listed in the [room draw policy](#). In all cases failure to adhere to the behavioral guidelines will result in relocation to other available housing at the discretion of the Residential Life Staff.

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*Approved by Residential Life on July 31, 2006.*

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For [Students](#)

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Maintained by Residential Life

## Telephones and Televisions

Telephone service in all College-operated housing is provided through the Telecommunications Department. A telephone is provided in each student room. Voice mail will be provided free if students go to the Telecom Office in Laird 6 to sign up for voice mail. Students are issued an authorization code for long distance privileges and receive monthly long distance bills.

Questions regarding equipment malfunctions or billing issues should be addressed to the Telecommunications Department located in Laird.

The larger residence halls have televisions and DVD players in the floor lounges and the main lounge. If you decide to bring your own TV, maintenance staff recommend a small set with self-contained antenna or rabbit ears. The installation of outside antennas for TVs and/or radios and the splitting or tapping into any antenna or antenna cable are prohibited. The cost for removal will be billed to the student account. The unauthorized connection to a cable TV signal is a crime and may result in prosecution by the local cable company.

Cable TV is currently available in all the residence hall lounges and houses with the exception of Allen, Geffert, Prentice, and Wilson Houses.

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*Approved by Residential Life on July 31, 2009.*

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For [Students](#)

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Maintained by Residential Life

## **Unlawful Use of Drugs and Alcohol**

### **Introduction**

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees. The College's failure to comply with the provisions in the Act would result in the immediate loss of our eligibility to receive all federal fundings and could require repayment, in full or in part, of any federal financial assistance previously awarded.

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### **Policy Requirements**

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its



activities is absolutely prohibited.

### **Legal Sanctions**

More detailed descriptions of applicable local, state or federal laws for the unlawful possession or distribution of illicit drugs and alcohol are on reserve in the College Library. Some legal sanctions that could be imposed include:

Consumption of alcohol by a minor: up to a \$700 fine/up to 90 days in jail

Illegal sale of alcohol: up to a \$3,000 fine/up to 1 year in jail

Possession of a small amount of marijuana: up to a \$700 fine/up to 90 days in jail

Sale or possession of controlled substances, such as cocaine, hallucinogens, marijuana, etc.: up to a \$1,000,000 fine/up to 30 years in jail

### **College Consequences**

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources.

Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

#### **Internal Sources**

##### **Students**

Dean of Students Office, ext. 4248 or 4075

Residential Life, ext. 5465

Student Health and Counseling Center, ext. 4080

##### **Faculty and Staff**

Dean of the College, ext. 4303

Human Resources Office, ext. 7471  
Employee Assistance Program, 888-828-6025

### **External Sources**

Alcoholics Anonymous: 507-645-6282  
Fairview Ridges Hospital: 612-892-2510  
Hazelden: 612-257-4010  
Minneapolis Psychiatric Institute: 612-863-5327  
Northfield Family Focus: 507-663-8882  
WomanSafe Center: 800-607-2330

### **Biennial Review**

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## **Vending and Laundry**

### **Vending Machines**

Vending machines are by the Carleton Student Association. All profits received from these services go directly to CSA for student use. This is intended to be a self-sustaining operation. Deficits are paid to the vendors out of student activity fees and profits are put into the activity fund. Auxiliary Services coordinates these services with a local vendor.

If you experience a problem with a vending machine or lose money in a machine, please contact Campus Activities.

### **Snack and Beverage**

Vending machines are located in many common areas of the residence halls, many of the houses, and several academic and non-academic buildings have snack and beverage vending machines.

### **Change Machine**

There is a change machine located in upper Sayles near the video games. Roles of quarters may also be purchased from the cashier in the Business Office (lower level of Leighton).

## Laundry

The washers and dryers located in the residence halls use prepaid funds stored as Schillers on your OneCard. You can add Schillers to your card in the Business Office or Bookstore during office hours, or on the web through the [OneCard](#) web site. The Village Apartments have washers and dryers for which residents of the apartments are charged a flat fee of \$25 per term. Many of the small houses have coin-operated washers and dryers.

If you experience a problem with a laundry machine, please fill out a [Facilities Work Request](#).

If you witness someone tampering with or breaking into a machine, call Security Services at Ext. 4444 immediately.

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*Approved by Residential Life on July 26, 2007.*

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For [Students](#)

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Maintained by Residential Life

## Weapons and Explosive Materials

The presence of weapons and explosives (including fireworks, firecrackers, volatile materials such as lighter fluid, gasoline, and weapons) are a potential threat to the safety of students and are prohibited. In accordance with Carleton's Community Standards, fireworks, firecrackers, firearms, BB Guns, explosive materials, or knives with blades in excess of four (4) inches are prohibited from all residential buildings.

Possession of the materials listed above will result in disciplinary action that may include expulsion. Residents who want to bring rifles or shotguns for hunting can do so providing they take them to Security Services for storage immediately upon bringing them to Carleton.

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*Approved on July 25, 2007.*

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For [Students](#)

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Maintained by Residential Life

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 1 August 2012.

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## Campus Handbook

Student  
Handbook

Faculty  
Handbook

Staff  
Handbook



Academic  
Regulations &  
Procedures

Buildings & Grounds

College Governance

Communications

Community

Employment &  
Benefits

Events

Faculty  
Appointments

Financial

Health & Safety

Housing &  
Residential Living

**Information  
Technology,  
Documents, &  
Records**

Research

Travel &  
Transportation

[Text Only/ Printer-Friendly](#)

# Information Technology, Documents, & Records

## Access to Personnel Files

Employees have the right to review their personnel files(s) every six(6) months while employed and once a year after their employment ends by submitting a written request to Human Resources.

For more information on Personnel file access, see the [MN Statute 181.961](#).

For [Staff](#)

Maintained by Human Resources

## Cellular Device

### PURPOSE

This policy assumes most employees currently use and maintain personal cell phone plans. It provides guidance for Carleton supervisors and employees who use cell phones and personal data assistants to conduct business on behalf of the College in excess of the plan they maintain for their personal use. This policy was created to establish consistent guidelines for employees throughout the institution; ensure compliance with IRS regulation and stabilize spending within available budgets.

The IRS considers a supplemental allowance for cellular devices to be a non taxable benefit if there is documentation to support the business requirement for a plan and a record substantiating the cost of the plan.

### POLICY

Carleton College will provide a “supplemental cellular allowance” for employees whose job duties include the frequent need for a cellular device. The allowance will be processed through payroll. The employee will be responsible for selecting and paying for the cellular service they desire. This allows employees to choose a plan that fits both their professional and personal lives. **If you choose an all-in-one device, please consult Carleton Information**

**Technology Services for recommended equipment.** Employees will not be required to itemize their professional versus personal calls. A detailed monthly invoice will be required in June each year to substantiate the benefit and meet documentation IRS requirements and confirm their eligibility for continued participation in the program.

Supplemental cellular allowances will not be approved when alternative means of communication –e.g., land-lines, pagers, and radio phones – provide an adequate and less costly service option.

## **PROCEDURE**

### **I. Frequent Use of Cellular Devices for Business Purposes**

#### **A. Establishment and Payment of Allowance.**

If a direct supervisor determines it is necessary and appropriate for an employee to receive a cellular allowance, the supervisor may submit the Cellular Allowance Request Form to the Purchasing Department for processing. This allowance does not constitute an increase to base pay, and will not be included in the calculation of percentage increase to base pay due to annual raises, job upgrades, etc.

#### **B. Determination of Eligibility**

The guiding principle for eligibility is that the use of a cell phone or cellular PDA by an employee is for the primary **benefit of the College**. In making a monthly allowance determination, College employees are eligible if they meet **all** of the following criteria:

1) The employee must be readily accessible for frequent contact with the public or with College faculty, staff or students;

**and**

2) The employee spends a minimum of 6 weeks traveling and must have regular access to telephone and/or Internet service while off-campus;

**and**

3) Monthly usage for business purposes is consistently 50% or more of total contract minutes.

**or**

4) The employee is required to provide extended hour support for critical services at the college or is responsible for operational or decision making for critical services at the college both during the work day and beyond normal work hours. Alternatively, the employee is required to be mobile across campus and off campus for a significant portion of their work hours. The extended hour support for critical services eligibility criteria does not ordinarily apply to faculty/student communications, even though these communications may occur outside of regular business hours.

**C. Determination of Dollar Amount of Allowance (Revised 7/1/12)**

The “monthly cellular allowance” is set up to accommodate various levels of business use. Allowances are revised as cellular market conditions evolve and institutional operating budgets change:

MONTHLY EST. BUSINESS MINUTES	MONTHLY ALLOWANCE	ANNUAL COST TO DEPARTMENT PER EMPLOYEE	ONE-TIME EQUIPMENT *
0-450	\$20	\$240	\$0
451-899	\$ 45	\$ 540	\$0
Unlimited Voice & Data 900 Minutes	\$ 75	\$900	\$200
Device Only	\$0	\$0	\$200
Add ons: International Access, GPS	\$10 (MAX)	\$120	\$0

\* The One-time equipment purchase is based on a 2 year period of time and is provided at the time of new contract (documentation required). Most cellular carriers offer numerous contracts with free or low cost phones. Accessories, lost, stolen or broken equipment are the responsibility of the employee. If an individual chooses to purchase insurance, it is at their own expense.

The supervisor must have the Cellular Allowance Request Form approved by the budget manager responsible for the expense and submit the form with the most recent detailed cell phone invoice to the Purchasing Department for processing.

Supervisors are responsible for an annual review of employee business-related cell-phone use, to determine if existing cellular device allowances should continue, change, or discontinue. Individual users must supply their last month’s detail invoice to their supervisor who will review and forward the documentation to the Purchasing Department every June to substantiate the benefit per IRS guidelines. A cell phone allowance may not transfer to a new position and must be evaluated by the new supervisor and budget manager.

The cellular device contract will be in the name of the employee responsible for all payments to the service provider. Only one cell phone allowance will be provided per employee. The college reserves the right to remove a participant from this plan if there is insufficient budget in the designated fund to meet the cost of monthly allowances.

Carleton will pay only the agreed upon cellular device allowance even if monthly costs exceed the allowance. Changes to the allowance may be made during the annual review process by submitting a new approval/change form. The allowance for a joint family plan will be half of the basic 2 person invoice but not more than the applicable allowance.

The employee is responsible for the purchase of the cell phone equipment to be used for basic cell service (most basic cell service plans provide free phones). Costs for cosmetic or technical extras that have no business purpose are the responsibility of the employee. Insurance, if purchased, is the responsibility of the employee.

## **II. SPECIAL SITUATIONS**

### **DEPARTMENTALLY OWNED CONTRACTS**

Certain departments may have special needs that justify departmental ownership of cell phones. Club sport programs, resident advisors, maintenance personnel, custodians, and security are examples, of areas where phones may be assigned or rotated among employees. This would also include departments that have multiple employees sharing a single cellular phone for on-call rotations. **Employees should not use departmental cell phones for personal calls.**

### **PAGERS**

Some departments currently use pagers for their communication needs. Since the cost of pagers is very nominal (\$10.00 per month) and potential personal use unlikely, it is recommended that departments pay for pagers directly.

### **DEVICE ONLY OPTION**

In situations where access to a device is a critical professional requirement, the College will provide a device only allowance. There is no other support for ongoing expenses related to using and maintaining the devices. There will be a two year replacement cycle for the devices subject to budget constraints.

### **INTERNATIONAL EXPENSES**

This policy allows for reimbursement of incremental expenses incurred when international travel is involved for official business calls and data transfer.

## **III. DIRECT PAYMENTS BY THE COLLEGE TO A VENDOR FOR CELLULAR SERVICE**

The College will not provide direct payments to a vendor for the purchase of equipment or monthly cellular devices for an individual employee. Additionally, the College will not enter into contracts with vendors for employee use of cellular devices service. The employee will be the direct holder of a contract with the cellular company.

The Carleton College purchase cards will no longer be allowed for monthly cellular devices service fees or for related equipment purchases. Existing College contracts for employee-used cellular service should be transitioned from Carleton to the employee and begins the taxable monthly allowance as soon as possible. The Purchasing Manager will assist individuals in this transition.

## **IV. USE OF PHONE**



Carleton does not accept any liability for claims, charges or disputes between the service provider and individual employee. Recipients of a cellular device allowance must notify Carleton of the cellular phone number and must continue to maintain the cellular device while in receipt of the allowance.

Use of the cellular device in any manner contrary to local, state, or federal laws will constitute misuse, and will result in immediate termination of the cell phone allowance.

**Phones must not be used while you are driving a vehicle.** Please let someone else in the car talk on the phone or pull over to the side of the road to talk or use the phone in any manner.

#### **V. REIMBURSEMENT FOR BUSINESS CALLS ON PERSONAL WIRELESS PHONE**

If an employee's job duties do not include the frequent need for a cellular device, the employee is not eligible for an allowance. Such employees may request reimbursement for their business related cellular calls. The individual should make personal payment to the provider, and then submit a request for reimbursement.

The reimbursement rate is \$0.45 per minute for domestic business calls which exceed the base plan. International calls will be reimbursed at the rate detailed on the invoice. When requesting reimbursement, a copy of the cellular bill, **detailing the individual calls to be reimbursed along with the business purpose, needs to accompany the reimbursement request.**

**No reimbursement for minutes covered by a base plan will be provided.**

#### **VI. PAY AS YOU GO PLANS**

Business calls made on Pay As You Go Plans will be reimbursed at the invoiced rate. A copy of the cellular bill detailing who was called and the business purpose must accompany the reimbursement request.

#### **VII. PAYROLL PROCESSING**

Once the Purchasing Department receives the Allowance Request Form and service in the employee's name is confirmed, the Payroll Department will add the allowance to that individual's payroll check.

#### **VIII. FEES FOR CONTRACT CHANGES OR CANCELLATIONS**

If, prior to the end of the cell phone contract, a personal decision by the employee, or employee misconduct, or misuse of the phone, results in the need to end or change the cell phone contract, the employee will bear the cost of any fees associated with that change or cancellation.

If, prior to the end of the cell phone contract period, a departmental decision (unrelated to employee misconduct) results in the need to end or change the cell phone contract, the department will bear the cost of any fees associated with that change or cancellation. For example, the employee's supervisor has

changed the employee's duties and the cell phone is no longer needed for business purposes. If the employee does not want to retain the current contract, change or cancellation fees will be reimbursed by the department with proof of fees incurred. The department shall notify Purchasing of the change in the cell phone contract.

## **IX. DOCUMENTATION AND REVIEW REQUIREMENTS**

The Allowance Request Form and a copy of the employee's most recent detailed cellular device invoice must be submitted to Purchasing to initiate an allowance.

On an annual basis, Purchasing will review and refresh the cell phone stipend authorizations.

Supervisors will be asked to review employee business-related cell-phone use, to determine if existing cellular device allowances should be continued as-is, changed, or discontinued. This information and documentation to substantiate current coverage must be submitted to Purchasing each June for compliance with the IRS documentation requirements.

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*Approved by President's Tuesday Group January 2012*

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Last revised July 24, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## **College Data on Mobile Devices**

### **Scope**

This policy governs the use of mobile devices to conduct college business or to access college data. Accessing college email and calendaring is considered to be conducting college business, and is therefore included in this policy. Carleton College has adopted this policy to safeguard the college's investments and data and to comply with various regulations. This policy applies to both college-owned and personally-owned mobile devices which connect to the Carleton network.

Mobile devices include any portable device that allows access to college information and data. These include but are not limited to laptops, mp3 players, smart phones, and iPads. The college data covered by this policy includes:

- Protected Data (any data protected by state or federal guidelines)
- Sensitive Data (any data that the college has determined to be confidential)

The college data not covered by this policy includes:

- General College Data (any data pertaining to the operation of the college and use is not considered protected or sensitive)

For further details regarding the types of college data, see the Data Management and Access Guidelines

(<http://apps.carleton.edu/campus/its/policies/dataguidelines/>).

## Policy

Employees must configure college and personally-owned mobile devices to safeguard college protected and sensitive data. Such data should only be stored on or accessed from mobile devices for the duration required for work purposes. If you are directly accessing college systems, such as Colleague, Slate, and Advance, you must use the identified secure connection method for that system, e.g. Citrix. If you are unsure of the appropriate connection type, consult with the ITS staff responsible for the system. Employees must also keep mobile devices physically secure, especially when left unattended.

College and personally-owned mobile devices must be configured with the following security measures:

- Protected by a PIN of at least 4 digits
- Screen must auto-lock after not more than 15 minutes of inactivity
- Device must accept remote wipe commands
- Device must be encrypted if protected data is stored on the device

If you are accessing Carleton email on your mobile device, it must be accessed directly and not forwarded to a personal email account.

To protect college data, the college reserves the right to remote wipe any college-owned mobile devices, or any personally-owned devices that have accessed college systems or data, including email servers. See the Information Security Plan (<http://apps.carleton.edu/campus/its/policies>) for further instructions regarding the protection of college data.

## Procedures

### Securing your device

ITS maintains a document (<https://wiki.carleton.edu/dashboard.action>) outlining the methods to secure your mobile device. If you will potentially be accessing data covered by this policy, you must adhere to these guidelines.

### Lost Devices

A lost or stolen device must be reported to Campus Security as well as local

law enforcement in the area where the device was lost.

## **Device Disposal**

At the end of its life, a college-owned mobile device must be returned to and disposed of by IT. Personally-owned mobile devices should be wiped of any protected data. See the Device Disposal Guidelines (<https://wiki.carleton.edu/dashboard.action>) for information on proper disposal.

## **Notifications for Breach of Security**

Minnesota's Security Breach law (Statute: § 325E.61) requires that "Any person or business that conducts business in [Minnesota] and that owns or licenses data that includes personal information, shall disclose any breach of the security of the system following discovery or notification of the breach in the security of the data to any resident of this state whose unencrypted personal information was, or is reasonably believed to have been, acquired by an unauthorized person. The disclosure must be made in the most expedient time possible and without unreasonable delay . . . ."

If you believe that college data containing personally identifiable information, or any other college protected or confidential data, may have been breached, the following steps should be taken immediately:

1. The individual who discovers the breach should immediately notify Campus Security.
2. Campus Security will contact the VP for Finance and Treasurer and the Director of Information and Technologies.
3. Campus Security, the VP for Finance and Treasurer, and the Director of IT will determine if a breach of security of data has occurred, and the appropriate action to take.

Campus Security, the VP for Finance and Treasurer, and the Director of IT may utilize guidance for dealing with a data breach and sample notification letter formats that can be found on the Federal Trade Commission website: <http://www.ftc.gov/bcp/edu/microsites/idtheft/business/data-breach.html>

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*Technology Priorities and Planning Committee (TPPC)*

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Last revised June 1, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Information Technology Services

## **Data Management and Access Guidelines**

### **Goals**

Data captured and maintained at Carleton College by the various administrative offices constitutes a College-wide resource. Although it may reside in different applications, spreadsheets, databases, etc., this data may be viewed collectively as a single logical resource—one to which an integrated set of guidelines needs to be applied. The purpose of this document is to outline these guidelines, articulate common principles, lay the groundwork for optimal use of the College's data, and address commonly asked questions. It is imperative that employees who access data understand these issues.

### **Whose data is it, anyway?**

The value of Carleton's data lies in its usability. Data that lies unused due to bad or missing documentation, errors, poor technical support, or unnecessary access restrictions has little value. In order to provide maximum value to the institution, therefore, our data must be well documented and supported, accurate, accessible, and as lightly encumbered as we can legally, reasonably, and ethically make it. Where appropriate and feasible, it must also be centrally accessible to employees using standard software tools and methods. Data may be stored in different systems and maintained by various offices, but the data is ultimately a resource owned by the College.

### **How should we maximize data access?**

Data access can be broken down into three parts: obtaining authorization to use a data system, entering and maintaining data, and extracting data out of a system.

The task of granting access to enter and maintain data in administrative systems typically falls to the office responsible for the relevant business process. For example, since the Business Office maintains invoices, it is responsible for deciding who can enter and maintain this data in the system of record. ITS or other system support people may set up security at the system level, but their job is to implement the decisions of the responsible office. If, therefore, you feel that you need access to information, you should contact the office responsible for the relevant business process.

Similarly, the task of granting access to take data out of a system, whether in the form of a report or a data extract, typically falls to the office responsible for the business process in question. For example, if an employee wants a file of information on current employees, that employee should contact Human Resources. It is the responsibility of everyone who accesses data to check with the primary owner to ensure that the data is interpreted, compiled, and distributed properly.

### **What is protected Data? Sensitive data? Public data?**

### *Protected*

Protected data consists of paper and/or electronic data that contains personally identifiable information concerning any individual and is therefore typically regulated by local, state, or federal privacy regulations and/or voluntary College standards. Any paper or electronic data that contain this information must be classified as protected data by default.

Examples include but are not limited to:

- Social Security numbers
- Credit card and debit card numbers
- User names with passwords
- Medical information

### *Sensitive*

Sensitive data is any paper and/or electronic data that is not classified as protected data but should not be distributed to the general public according to College practice. It is often acceptable to share sensitive data within the College in cases where there is a legitimate educational purpose or specific business need. The department responsible for stewarding the data makes this classification.

Examples of sensitive data include but are not limited to:

- Student educational records
- Admission files such as ACT, SAT, and TOEFL scores, high school and college transcripts, and other scholastic records
- Student account data and loan information
- Financial assistance application files, student work-study information, and scholarship and loan information not considered protected financial information
- Budgets and salary information
- Alumni information such as philanthropy, wealth, contact, and giving data
- Tenure review
- Disciplinary records
- Bank account numbers and routing information
- Database primary ID numbers

Be aware that any information classified as a student record requires special attention. Access to student records is governed by a variety of privacy laws

such as the Federal Educational Rights and Privacy Act (FERPA). Those who work with student records should be very familiar with the policy on student records in the online Carleton Student Handbook (see: [https://apps.carleton.edu/campus/dos/handbook/policies/other\\_policies/?policy\\_id=21759](https://apps.carleton.edu/campus/dos/handbook/policies/other_policies/?policy_id=21759)). In particular, a student's directory information may be released under certain circumstances, but not if the student has invoked his or her FERPA rights to suppress the release of this information. All questions about such FERPA issues and about the release of directory information should be addressed to the registrar. All employees are expected to take FERPA training as a condition of employment (see: [http://apps.carleton.edu/campus/human\\_resources/welcome\\_new\\_employees/ferpa/](http://apps.carleton.edu/campus/human_resources/welcome_new_employees/ferpa/)).

### *Public*

Public data is any paper and/or electronic data that the College is comfortable distributing to the general public. For department-specific data, this classification is determined by the responsible department. If more than one department is charged with stewarding the data, all involved departments should jointly classify the data; if they are unable to come to consensus, the data must be classified as sensitive data. Examples of public data are:

- Faculty and staff
- Department Web and mailing addresses
- Press releases
- Unauthenticated College Web site content

Any College data that does not contain personally identifiable information and has not been classified as protected data or sensitive data is classified as public data.

### **How do I send data off campus?**

Employees may occasionally field requests to send data to Carleton employees currently located off campus. The guidelines outlined in this document should apply to all such requests. Employees may also field requests to send data to parties not affiliated with Carleton College. If it is deemed appropriate for the data to be sent (e.g., if the party has a legitimate business or legal need to see this information), it is critical to ensure that the data is communicated securely and that, once communicated, is housed in a secure fashion.

For example, any electronic transmission of protected or sensitive data must be encrypted. Public data need not be encrypted during transmission, nor while at rest on a storage device. Please call the ITS helpdesk (**x5999**) if further guidance is required.

## **How do I store and share data on campus?**

Protected data may only be stored and shared by designated servers and applications. General-purpose file servers (e.g. Collab) may not be used to store protected data. ITS will scan general-purpose servers periodically to ensure that they remain free of protected data and will provide separate high-security file shares to departments with an identified business need to store protected data. Protected data must not be sent via e-mail unless the transmission is encrypted. For cases where secure electronic transmission is not practical, ITS will provide the means to encrypt portable media.

Sensitive data may be stored on general-purpose file and Web servers with appropriate access controls. The use of e-mail to send sensitive data is permitted, subject to the following caveats: Staff members must not forward an e-mail containing sensitive information to non-Carleton servers (Yahoo, Gmail, etc); staff members must not assume that their correspondents have complied with the previous requirement; staff members must be extremely careful to address messages properly; and staff members must be mindful that once sent via e-mail, information could be intercepted or forwarded beyond their control. Sensitive data stored on portable media must be encrypted, even if it is never intended to leave campus.

Public data, by definition, has no confidentiality requirement. However, it should be posted on supported servers to help maintain data integrity, availability, and cost effectiveness.

## **Are employees required to sign forms before gaining access to data?**

Employees at Carleton are required to sign a system request form in order to gain access to administrative systems. This form includes text regarding the confidentiality of data.

## **What must be done with protected or sensitive data that is no longer needed?**

Printed matter containing protected or sensitive data must be shredded. CDs and DVDs must be shredded or broken. Departments that regularly handle protected and sensitive data must obtain equipment and develop procedures sufficient to handle the volumes of material they generate.

Electronic devices, including computer hard drives, USB flash drives, and mobile phones can be difficult to wipe securely. It is important to understand that simply emptying a computer's recycle bin does not actually delete file data.



All devices containing protected or sensitive data—including computers and USB flash drives—must be brought to ITS to be encrypted and/or securely wiped before they are transferred to another employee with a different organizational role or before they are retired/resold/donated/recycled.

### **Who decides how long to retain data?**

Proper retention and back-up of records is essential to conduct the business of the College; to protect the legal interests of the College, students, and employees; to preserve the College's history; and to comply with applicable state and federal laws and regulations. In addition, the College is obligated to preserve records in certain cases, such as when litigation is threatened or pending. To ensure efficiency and effective management of physical and digital storage resources, it is also important that unneeded records be disposed of in a timely manner. This practice applies to all departments, divisions, offices, and employees of the College.

It is the responsibility of each department to destroy the data that it originates or receives when the data is no longer needed. All departments that maintain College data are responsible for establishing appropriate data management procedures and practices.

### **What do I do if I discover a breach of data security or other related incident?**

If you become aware of any acts that breach these guidelines, you should contact the ITS helpdesk (**x5999**) **immediately**.

If you suspect that a work computer containing protected or sensitive data has been compromised by a virus or other attack:

- Immediately stop using the computer. Do not close open files. Do not log out.
- Disconnect from the network. Physically disconnect the Ethernet cable and switch off wireless, if applicable.
- Call the ITS helpdesk (**x5999**).
- Do not run antivirus scans or allow the ITS helpdesk to run antivirus scans until the likelihood of data breach has been established.

### **If I work from home or travel for work, how can I securely take data off campus?**

All laptops, USB flash drives, or other portable devices that contain or are used

to access sensitive or protected data must be encrypted. Protected data must not be stored on general-purpose servers such as Collab or on Carleton's e-mail servers. Before an employee plans to leave campus with sensitive or protected data, he or she should ensure that devices that contain or will likely contain such data are encrypted and have VPN access to any required on-campus servers. Employees must not transfer such data to their home computers or storage devices, except under special circumstances determined by ITS. Contact the ITS helpdesk (**x5999**) for assistance.

If a computer or storage device containing College data is lost or stolen, contact the ITS helpdesk (**x5999**) **immediately**.

### **If I'm considering purchasing a system that will store Carleton data, what questions should I ask?**

There are sometimes good reasons to purchase new software systems that store or access data rather than use an existing enterprise system. Departments considering such purchase should always contact ITS to discuss the purchase and decide whether or not the new system has potential data security issues. If it is decided that a purchase will be made, data will either be stored locally at Carleton in a database, or off-site at a vendor database. If the data is to be stored off-campus, information will need to be gathered from the vendor regarding its security standards and practices. Typical questions that should be asked include, "Have you done any security audits?" and "Can you tell us who in your company can access our protected or sensitive data and/or who has in fact accessed that data?" Please call the ITS helpdesk (**x5999**) to get in touch with the ITS person who can help you with the process of going through these questions and collecting and assessing responses from the vendor.

### **Appendix**

- [IRB policy on Secondary Analysis of Existing Datasets](#)

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*Written by: Data Management Group*

*Approved by: Administrative Computing and Advisory Committee*

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Last revised November 1, 2010

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For [Faculty](#), [Staff](#)

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Maintained by Information Technology Services

## **E-mail as Official Communication for Students**

Electronic mail (e-mail), like postal mail, is a mechanism for official College communication with students. The College will exercise the right to send e-mail communications to all students, and will expect that students receive e-mail communications and read them in a timely manner.

### **SCOPE**

This policy applies to all matriculated students of Carleton College. Official communications using e-mail can include e-mail to a group, such as all students enrolled in a course, or an e-mail message to only one student.

### **E-MAIL ADDRESSES**

All students are assigned an official Carleton College email address and official College communications will be sent to this email address. The official Carleton email address for each student is listed in the official College directory.

The College provides several mechanisms so that a student may access his/her official Carleton email account on and off campus. A student may also choose to forward his/her email from his or her official Carleton email address to another email address of his/her choice. A student who chooses to forward email to another email address does so at his or her own risk. Carleton College is not responsible for email forwarded to any other email address. A student's failure to receive or read in a timely manner official communications sent to the student's official email address does not absolve the student from knowing and complying with the content of the official communication. The procedures for accessing and forwarding email are published on the ITS website.

### **EXPECTATIONS REGARDING FREQUENCY OF READING E-MAIL**

Students are expected to check e-mail on a frequent and regular basis in order to stay current with College-related communications, recognizing that certain communications may be time-critical. It is recommended that e-mail be checked daily, but at a minimum, twice per week. Regular e-mail management will also minimize the risk that the inbox will be full, causing the e-mail to be returned to the sender with an error. Undeliverable messages returned due to either a full inbox or use of a "spam" filter will be considered delivered without further action required of the College.

Students on off-campus study programs approved by the college are expected to check their email as regularly as time and facilities permit. In cases where the student is away from internet access for more than a week at a time and an urgent situation arises, every attempt will be made to contact the student through another means.

### **PRIVACY AND CONFIDENTIALITY**

Official College communications sent by e-mail are subject to the same public information, privacy and records retention requirements and policies as other official College communications.

### **INSTRUCTIONAL USES OF E-MAIL**

Faculty members retain autonomy in determining how e-mail or other forms of electronic communication will be used in their classes. Faculty may expect that students are checking e-mail regularly, and faculty may use e-mail for their courses accordingly. Faculty should inform students in the course syllabus of any special or unusual expectations for electronic communication. Under normal circumstances, students can expect faculty to be contactable through email. If a faculty member prefers not to communicate with students through email, he/she should inform the students of this in the course syllabus and provide information about his/her preferred form of communication.

### **IMPLEMENTATION AND ASSISTANCE**

The Director of ITS is responsible for the implementation of this policy. For assistance with email, contact the ITS Helpdesk in the first floor lab wing of the CMC (x5999). For questions about the policy or issues related to a student's failure to comply with this policy, contact the Dean of Students Office.

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*Adopted 4/07*

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Last revised April 1, 2007

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For [Faculty](#), [Students](#)

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Maintained by Information Technology Services

## **Information Technology Services Support**

A designated ITS Administrative Computing Coordinator is assigned to each administrative office for computing needs. Each Administrative Computing Coordinator will assist offices with computing problems, questions, projects and enhance Office business processes with new technology. Administrative Coordinators will also assist employees with planning for new equipment and software. When appropriate, student workers may also be asked to assist the Coordinator. Check with ITS at extension 4547 for the Coordinator assigned to your department.

### **Responsible use of Technology**

Electronic mail, voice mail, the Internet, and other communication technologies are essential work tools for Carleton College employees. The College expects its employees to be responsible with the use of technology in the workplace – that members respect the rights of others and comply with laws that govern communication and communication technology. Users should be aware that

while the College makes a reasonable effort to maintain the privacy of all user mail and files, it cannot guarantee privacy. Messages sent over the Internet can be intercepted in various ways. Although the computing staff does not routinely monitor computer files and electronic mail stored on Carleton's network services, designated staff members with authorization may need to examine selected individual files to ensure adequate and reliable performance of the College's communication systems. Network traffic also may need to be reviewed for security problems, as identified by authorized computing staff and senior officials of the College.

Appropriate and inappropriate uses of technology:

Technology tools are made available to employees to support College business: learning, teaching, research, internal and external communication, College administrative functions, and authorized co-curricular activities. Carleton's technology may also be applied to secondary uses that include personal communication, personal projects, and recreational activities, so long as they do not interfere with primary work duties.

Prohibited uses are those actions that jeopardize the viability of the College's including but not limited to, computer systems or uses that put the College in a litigious situation. Carleton also will not tolerate actions that result in the creation of a hostile or offensive work environment. Other inappropriate uses include playing games, surfing sexually oriented websites, and sending hostile or offensive electronic mail messages. Carleton's technology tools are for use for Carleton business only. Employees who misuse technology in the workplace will be subject to disciplinary action that may include a variety of sanctions in written and verbal form, up to and including dismissal from the College. See "Outside Employment" for applicable questions concerning equipment use.

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For [Staff](#)

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Maintained by Human Resources

## iPad Purchase Policy

### Purpose of Policy

This policy establishes standards, guidelines, and procedures for the purchase of Apple iPads in pursuit of college priorities and stewardship of resources.

iPad purchase policy table, at a glance:

	ITS Funded	External Grant Funded	Department Funded	PDA Funded
<b>iPad funded</b>	ITS	Grant	Department	PDA

**by:**

<b>Authorizing agent‡</b>	Dept. head & ITS	Dean of the College and ITS	Dept. head & Dean/V.P.	Dean of the College
<b>Replacement cycle:</b>	2-4 years	None	None	None
<b>iPad ownership:</b>	College	College	College/Dept.	College

‡ Authority needed for purchase.

## iPad purchase policy details

### 1. ITS Funded, College Owned

This is a college-owned device intended for college business. Funding for the device comes from the ITS budget. Purchasing, receiving and inventorying the device are handled by ITS.

Employees who would like to request an iPad, in place of a primary computer, need the approval of their department head. The request should be made through the annual ITS technology request process.

ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access.

In the event of damage or loss, replacement or repair will be funded by ITS.

iPads purchased by the ITS budget can be on a college replacement cycle.

If the employee leaves the college, the device returns to ITS.

### 2. Grant Funded, College Owned

This is a college-owned device intended for college business. Funding for the device comes from the grant. Purchasing, receiving and inventorying the device are handled by ITS. ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access. In the event of damage or loss, replacement or repair costs are the responsibility of the grant. iPads purchased with grant funds are not on a college replacement cycle. If the employee/PI leaves the college, the device remains with the college (ITS).

Internal Grant Use: ITS is allocating funds to be awarded through a grant approval process administered by the Academic Computing Technology Committee. iPads purchased through these internal

grants are considered college-owned and will be purchased, tagged, inventoried and supported by ITS. iPads purchased via this method are not on a college replacement cycle. In the event of damage or loss, ITS will not fund a replacement.

### **3. Departmentally Funded, College Owned**

This is a college-owned device intended for college business. Funding for the item comes from the departmental budget. Purchasing, receiving and inventorying the device are handled by ITS. There are two classes of departmentally-purchased iPads:

- Employees who would like an iPad, in addition to a primary computer, need the approval of their department head AND designated Dean/VP, and a completed iPad approval form.
- Academic departments choosing to purchase a group of iPads for instructional purposes need the approval of the department head AND the Dean of the College office, and a completed iPad approval form. ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access. In the event of damage or loss, replacement or repair costs are the responsibility of the department. Department-funded iPads are not on a college replacement cycle. If the employee (in 3.a above) leaves the college, the device remains with the department.

### **4. PDA Funded, College Owned**

This is a college-owned device intended for college business. Funding for the device comes from the PDA. Purchasing, receiving and inventorying the device are handled by ITS.

ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access.

In the event of damage or loss, replacement or repair costs are the responsibility of the PDA. iPads purchased with PDA funds are not on a college replacement cycle.

If the faculty member leaves the college, the device remains with the college (ITS).

#### **Notes**

- Base iPad model is college standard:
  - Includes Wi-Fi
  - Does not include cellular capability

All iPads purchased by ITS will include AppleCare Plus when purchased.

- All iPads need security solutions for accessing college data, including email and calendars.

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*Issuing Authority: Technology Planning and Priorities Committee Contact: Director of Information Technology Services*

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Last revised May 1, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Information Technology Services

## Records Retention

### Introduction

The College Archives is the official depository for non-current college records having lasting administrative or historical value. All documents, correspondence, accounts, files, manuscripts, publications, photographs, tapes, drawings, or other material regardless of physical form and characteristics, which are created or maintained by college officers, staff, or faculty members in the performance of assigned administrative duties are considered “college records” and are the property of the College. Pursuant to a 1974 action of the Board of Trustees, **no such records are to be discarded, destroyed, or otherwise disposed of except after consultation between the College Archivist and the administrative officers, department heads, or committee chairs responsible for the custody of these records during their active life.** Approval either to transfer inactive college records to Archives or to destroy them after an agreed-upon period may take the form of written records disposition schedules or other agreements between the Archivist and the custodian of the records. A number of general “blanket” authorizations for disposal of certain classes of routine records have already been issued – please contact the Archives if you have any questions. One copy of every publication issued by the College or any college agency should always be forwarded to the Archives. Restrictions on access to records transferred to Archives may be negotiated by the agency or office of transmittal. Reference service provided by the Archives to the College may include searching records to provide specific pieces of information, making copies of particular documents, or making records available for consultation in the Archives. Offices and departments which transfer records to Archives may request the return of records to the transmitting office, if transfer to Archives is found to have been premature. In addition to official college records as defined above, the Archives may also accept donations of professional and personal papers belonging to individual members of the College community, records of student organizations, or other material documenting aspects of the life or business of Carleton College that may be given to the Archives for preservation and use.



The need for this Record Retention Policy arose in light of new Federal Rules of Civil Procedure relating directly to document and data retention, including electronic documents and e-data. The new Rules establish procedures for discovery by litigation opponents of electronic information. The Rules also provide protections against sanctions being imposed on a litigant in the event that information which could be relevant to the case has been destroyed pursuant to a document or information retention policy. Although the Rules technically apply only in cases in federal court, the principles are likely to be applied by any court.

There are two basic concepts raised by the new Rules – general and specific. The specific is that if Carleton has notice that a claim which could end up in court has been or is reasonably likely to be asserted against it, then Carleton must place a “litigation hold” on the destruction of documents (electronic or hard copy) which are relevant to the case or may lead to the discovery of relevant evidence. Simply put, if Carleton has notice that it might get sued, it must take affirmative steps to preserve information, including sending notice to everyone at Carleton who might have information and instructing them not to destroy any documents or data, and putting a hold on, or stop to, any automatic destruction processes.

The general concept is that it is in Carleton’s interest to implement retention procedures that result in the destruction of documents and data which do not need to be retained either for legal or institutional reasons. There are a number of reasons why retention procedures make sense, four of which are:

1. the Rules state that “absent exceptional circumstances, a court may not impose sanctions under these rules on a party for failing to provide electronically stored information lost as a result of routine, good-faith operation of an electronic information system”;
2. the cost to the College of producing discoverable information will be lower if there is less information to produce;
3. variations in destruction practices by individuals in the absence of a retention policy could cause a court to infer that information was destroyed when it should not have been; and
4. relief from a significant burden on the College in the storing of data and documents for a period longer than required by law or in the College’s interest.

### **Data & Record Retention Team**

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## RECORDS RETENTION POLICY

### A. Purpose

Proper retention of records is essential to conduct the business of the College; to protect the legal interests of the College, students, and employees; to preserve the College's history; and to comply with applicable state and federal laws and regulations. In addition, the College is obligated to preserve records when litigation is threatened or pending. For the purposes of efficiency and management of physical and digital storage resources, it is also important that unneeded records be disposed of in a timely manner.

This policy applies to all departments, divisions, offices, and employees of the College. Personnel are required to be familiar with and to adhere to this policy, as it pertains to the types of records/documents in the Document and Data Retention Schedule below.

### B. Records Defined

For the purposes of this policy, "records" include documentary material, regardless of media, produced in the course of College business. The most common types of records generated and their retention periods are addressed in the Document and Data Retention Schedule. Any questions concerning records not specified in the schedule should be directed to the Data and Record Retention Team before a record is destroyed. "Records" also include copies of original materials that are themselves different from the original (e.g., a copy of a document with marginal handwritten notes).

"Records" do not include extra copies of materials of which an official copy has been retained, nor do they include personal or transitory correspondence/materials (see Section D below). "Records" also do not include "transitory documents" (including e-mails) that are not included in any of the categories in the records retention schedule. "Transitory documents" can be destroyed when no longer needed. "Transitory documents" include items such as letters of transmittal or acknowledgements; requests for routine information; notices of staff/department meetings or events; communications to students concerning class schedules or assignments; records that are kept in the sole possession of the maker, are used only as a personal memory aid, and are not accessible or revealed to any other person except a temporary

substitute for the maker of the record; personal correspondence or other documents not related to the business of the College; and the like.

### **C. Data and Record Retention Team**

The Data and Record Retention Team is responsible for implementing the College's records retention policy and procedures. The Data and Record Retention Team is authorized to perform the following functions:

1. Identify records generated by and received by the College that should be retained.
2. Publish a record retention procedure schedule that complies with any applicable state and federal laws and regulations.
3. Monitor state and federal laws and regulations affecting record retention.
4. Answer questions from college personnel concerning record retention.
5. Periodically review the record retention procedure and schedule and update as necessary.
6. Develop a training and awareness program on record retention for the College personnel.
7. Develop guidelines for appropriate destruction of College records.
8. Develop guidelines to maintain confidentiality of records as necessary.
9. Monitor departments for compliance with the record retention policy and procedure.
10. Authorize deviation from the retention procedures or schedule, usually for a research or other academic purpose, on a case-by-case basis.

### **D. General Record Retention Rules**

The following are general rules pertaining to record retention. There may be additional rules and procedures governing particular types of records.

1. College personnel are required to check the record retention schedule before disposing of materials generated in the course of College business.
2. If a particular type of document does not appear to be covered by the schedule, consult with the Data and Record Retention Team.
3. Only one copy of a document should be retained, by the party or department responsible for it (see Document Custodian). Where possible, the retained document should be the original. Permanent records may be transfer to College Archives by the Document Custodian on a scheduled basis.
4. Drafts and notes concerning a document should be destroyed unless they are important to documenting official business or action of the College, in which case they will be stored with the document.

5. Except as noted in the retention schedule, the retention period runs from the date the record was created or received.
6. In the case of pending or reasonably anticipated litigation, the college will impose a “litigation hold,” which will be communicated to all persons whom the college has reason to believe may be in possession of documents that are either relevant or may lead to the discovery of admissible evidence pertaining to the case. The imposition of a “litigation hold” means that all retention periods are suspended for applicable documents and no such documents shall be destroyed or altered until notification that the litigation matter has been concluded.
7. E-mails are computerized documents that should be treated like any other record and are subject to the same retention schedule.
8. Documents stored in OnBase should be treated like any other record and are subject to the same document retention schedule.
9. Any questions as to whether a particular type of document is “transitory” and can be destroyed should be directed to the Data and Record Retention Team.

**E. Records Retention Schedule**

The Document and Data Retention schedule includes records by office and category; the retention period in days, months, and years and the document custodian.

**F. Record Destruction**

Documents may be disposed of in a manner convenient to the person undertaking the destruction. Documents with confidential, private, or sensitive information should be shredded.

**G. Policy Management**

This policy will be reviewed on an annual basis by the Data & Record Retention Team. The policy will be posted on the Carleton web site; updates will be communicated on an annual basis.

**Document and Data Retention Periods**

Core institutional database records (i.e. Datatel Colleague; BSR Advance) are retained indefinitely; the retention period indicated below applies to paper records and ancillary files. Ancillary files including documents on personal computers and other servers (i.e. Collab; OnBase).

Type of Record	Time Period for Retention	Document Custodian
Academic Department Records Concerning Students	6 Years from Graduation or date	Registrar

	of last attendance	
<b>Accounting</b>		Business Office
Accounts Payable Ledgers and Supporting Documentation	5 Fiscal years	
Accounts Receivable Ledgers and Supporting Documentation	5 Fiscal years	
All Accounting Subsidiary Records	5 years	
Annual Budget	Permanent	
Annual Financial Reports	Permanent	
Bank Reconciliations and Bank Statements	5 Fiscal Years	
Capital Equipment Records (if purchased with federal funds)	3 Years after disposition of equipment	
Capital Equipment Records (unless purchased with federal funds)	Life of Asset	
Cash Receipts/ Deposits	5 Fiscal Years	
Depreciation Records	Life of Asset	
Sales Tax Returns	6 Years	
Other Student Loan Records	7 Years after loan paid in full, cancelled, or assigned elsewhere	
Perkins Loan Files	10 Years after loan paid in full, cancelled, or assigned elsewhere	
Tax returns and worksheets	Permanent	
Vendor Contracts	3 Years from completion of contract	
W-9 on file for Vendor	3 Years after last use	
<b>Admissions Materials for Students Who Do Not Enroll</b>		
Financial Aid Records (Students who do not Enroll)	3 Years from end of academic year in which student applied	Student Financial Services
All other Admissions Materials	3 Years from end of academic year in which student applied	Admissions

Documents Supporting other Selection Decisions	3 Academic years from date of decision	Admissions
Federal/State Required Statistics and Reports	Permanent	Admissions
<b>Admissions Materials for Students Who Enroll (see Student Records)</b>	Permanent	Dean of Students
<b>Alumni</b>		
Alumni Directories	Permanent	Alumni Affairs Office
Alumni Newsletters/ News E-Mails	Permanent	Alumni Affairs Office
Annual Fund Solicitations	Permanent	Alumni Annual Fund
Annual Fund Phonathon Materials	Permanent	Alumni Annual Fund
Alumni Database (Alumni, Parents; Friends)	Permanent	Development
Letters of Intent and Gift Agreements	Permanent	Business Office
Stewardship Reports	Permanent	Development
Prospect Reports	Permanent	Development
<b>Art Museum</b>		Gallery
Deed of Gifts	Permanent	
Exhibition Contracts	Permanent	
Exhibit Publications	Permanent	
Purchases and Sale Documentation	Permanent	
<b>Career Center and Career Placement Records</b>	Permanent	Career Center College Archives
<b>Corporate and Foundation Relations (CFR)</b>		
Grant Proposals	Permanent	CFR
Closed Grant File	Permanent	CFR
IDC Proposal and Supporting Documentation	Permanent	Business Office
<b>Corporate Records</b>		Office of the President Archives
Articles of Incorporation	Permanent	
Bylaws	Permanent	
Amendments	Permanent	
Board of Trustees Minutes	Permanent	
Board of Trustees Board Packets	Permanent	

Records of College – Affiliated Enterprises	7 years after enterprise dissolution or after College ceases affiliation	
<b>Dean of the College</b>		
Academic Search Committee Materials (advertising materials, applicant files, Search Committee records)	3 Full academic years from year search completed	Dean of the College
Course Offerings/Course Catalogue	Permanent	Registrar
Faculty Handbook	7 Years from end of academic year	Dean of College
Faculty Tenure Records	Permanent	Dean of the College Archives with Restricted Access (evaluation pending)
Faculty Contract Renewal Materials, if denied	Permanent	Dean of College
Grievances	Permanent	Dean of College
Minutes of Faculty Meetings and other Governance Meetings	Permanent	Dean of College
<b>Environmental Health and Safety Faculty Records</b>	8 years	Facilities
<b>External Relations</b>		
Commencement Programs	Permanent	External Relations
Press Releases	Permanent	Medial Relations
Sports Information Releases	Permanent	Sports Information
<b>Human Resources</b>		
Affirmative Action/Equal Opportunity Officer Investigations, if denied	6 Years from academic year of last employment	
Affirmative Action/Equal Opportunity Officer Investigations, if granted	Permanent	
COBRA Notices and Enrollment Forms	6 Years after termination	
Disability Benefits Records	Life of employee	
Employee Personnel Files	6 Years after	

	termination	
ERISA Documents including Benefit Plan Descriptions & Summary Plan Documents	6 Years	
Faculty CV's and Personal Information Card	Permanent	
FMLA Records	3 Years from end of leave	
Medical Records & Records of Exposure to Toxic Substances	Length of Employment plus 30 years	
Non – Academic Search Committee Materials (advertising materials, applicant files, interview records)	1 Year following search completed	
Retirement Benefits Accrued	Life of employee or beneficiary	
Sick Leave Benefits	Life of employee	
Staff Handbook	7 Years from end of academic year	
Workers' Compensation Files	Life of employee	
I9	3 Years after date of hir or 1 Year after employment ends whichever is LATER	
W4	4 Years after the end of the calendar year	
<b>Insurance</b>		Risk Manager
Certificate of Insurance	7 Years after expiration	
Insurance Policies	7 Years after expiration	
Accident Reports and Claims	7 Years after case is settled	
Litigation Records – Consent Orders, Judgments, Court Orders Disposing of Litigation, Releases and Settlement Agreements	Permanent	
Litigation Records – Documents of Historical Significance (e.g. Trial Transcripts, Deposition Transcripts, and Trial and Litigation Records – Documents of Historical Significance (e.g. Trial Transcripts, Deposition Transcripts, and	Permanent	



Trial and Deposition Exhibits in cases of significance to the history of the College)		
<b>Investments</b>		Investment Office
Subscription Agreements for Hedge Fund or Private Equity Investments	7 Years after termination	
NACUBO Endowment Study	Permanent	
Quarterly Valuation Reports	Permanent	
<b>Payroll</b>		Business Office
Time Cards	5 Years after the end of the calendar year	
Payroll Registers and Reports	5 Years after the end of the calendar year	
International Students – Copies of Passport, VISA, I94, FNIS Backup	5 Years after the end of the calendar year	
Wage Garnishments	5 Years after the end of the calendar year	
W2	5 Years after the end of the calendar year	
1042S	5 Years after the end of the calendar year	
941	5 years after the end of the calendar year	
<b>Property and Facilities Records</b>		Facilities
As Built Drawings	Permanent	
Building Permits	1 Year after final Completion	
Deeds	Permanent	
Leases	5 Years from expiration of lease	
Construction/Remodeling	Permanent	
Plans and Specifications	Permanent	
Purchase Agreements	Permanent	
Routine Incidental Maintenance	3 Years from completion	
Sale Agreements	Permanent	
Title Insurance Policies	7 Years after sale	

	of property	
<b>Publications</b>		
Carleton's Magazine – The Voice	Permanent	Archives
Other Printed Publications	Permanent	Archives
<b>Security</b>		Security
Accident/Incident Reports	7 Years	
Clery Act Logs	3 Years	
Clery Act Statistics	3 Years	
Clery Act Warning Notices	3 Years	
Property Loss or Damage Reports	7 Years	
<b>Student Records – reference AACRAO's Retention of Records: Guide for Retention and Disposal of Student Records</b>		
Academic Standing Committee Actions (Dismissal, Suspension, etc.)	Until graduation or 2 Years after withdrawal 5 Years after suspension ; 10 Years after expulsion	Dean of Students
Academic Advising Files	1 Year after Carleton graduation or date of last attendance; policy currently varies department	Academic Advisor
Academic Records	Permanent	Dean of Students
Advanced Placement and other Placement Test Records/Scores	5 Years from Carleton graduation or date of last attendance	Registrar
Change of Grade Forms	Permanent	Registrar
Class Lists	Permanent	Registrar
Commencement Program	Permanent	Dean of Student Archives
Curriculum Change Authorizations	1 Year from Carleton graduation or date of last attendance	Dean of Students
Enrollment Verifications and Good Student Discount Insurance Authorizations	1 Year	Registrar

Requests for Non – Disclosure of Directory Information	1 Year from Carleton graduation or date of last attendance	Dean of Students
Dean’s Recommendations/Consent to Release Personally Identifiable Information	Later of 5 years from Carleton graduation or 2 years from date of request	Dean of Students
Financial Aid Records (students who enroll)	5 Years from Carleton graduation or date of last attendance	Student Financial Services Office
International Student Forms	10 Years from Carleton graduation or date of last attendance	International Student Programs
Medical Leave Agreements	1 Year from Carleton graduation or date of last attendance	Dean of Students
Name Change Authorization	Permanent	Registrar
Non-grad Letter	Permanent	Registrar
SAT/UNSAT Requests	4 Years from Carleton graduation	Registrar
Student Education File - except for Admission Application, including Entrance Exam Reports, Advanced Placement Records; High School or other College Transcripts; Directory Information; Campus Job Evaluations; Notices of Awards or Honors; Evidence of Extracurricular Activities and other information provided by the student which is indicative of post-college activities, all of which is transferred to the Alumni Record maintained by Central Records permanently.	6 Years from Carleton graduation or date of last attendance	Dean of Students
Student Handbook	Electronic	Dean of Students
Student Health Records	7 Years from Carleton graduation or date of last attendance	The Wellness Center
Teaching Licensure Applications	Permanent	Registrar

Transcript Requests ( Registration Forms, Drop/Add, Pass/Fail or Registration Change Petitions)	Permanent	Registrar
Transcripts from Other Colleges and Consortia	Permanent	Registrar
Transfer Credit Evaluations	6 Years from Carleton graduation or date of last attendance	Registrar
Veterans Administration Certifications	3 Years after Carleton graduation or date of last attendance	
Withdrawal Authorizations/Leave of Absence	Carleton graduation or two years after withdrawal from the College	Dean of Students
<b>Information Technology - General Server Operation and Individuals' Files Managed by ITS (Retention of other information Limited by Specifications listed elsewhere.)</b>		Information Technology Services (ITS)
<b>Server Data Retention – System Logs</b>		ITS
<b>Web server logs (which may include account names)</b>	Log entries are kept for up to 1 year, after which general server backup retentions apply (see below).	
Any log that associates a User ID (account name) or other Personal Identification with an IP address and/or access to any web page or other Network Service on or off campus, except where required to record financial transactions, etc.	Logs are recoverable between 90 days and 365, depending on system. [Check with web server logs for exceptions]	
Network audit logs	30 days.	
<b>Server Data Retention – Network Access Control System</b>		ITS
Registration of Student – Owned computer's MAC addresses	Minimum 90 Days after device last active on the campus network; old entries purged as needed.	

IP/MAC address audit information	Indefinite	
<b>Server Data Retention – E-Mail Server (applies only to e-mail retained on the server)</b>		ITS
E-Mail Inbox	Opened and unopened e-mail is retained on the server until deleted by the user or the account is closed (see “Account Closing”, below).	
Sent Items	Until deleted by the user or account is closed.	
Junk Items	30 Days or until deleted by users.	
Trash Items	90 Days or until deleted by user.	
Back-Ups of E-Mail Server	14 Days	
Account Closing	Folders kept online for 1 year after account closing, with the exception of graduating seniors (30 days after graduation). Above backups apply after that time.	
<b>Server Data Retention</b>		ITS
Individual’s files in selected directories on the individual’s allocated desktop or notebook computer, initially set to back-up all personally created documents.	Periodic (not necessarily regular) review of client systems and removal of inactive or decommissioned systems.	
Individual’s home directory on network share.	Data may be transferred to supervisor for saving or disposal. Otherwise, folders kept online for 1 year after	

	<p>termination. Backups below then apply.</p>	
<p>Back-Ups of Other Servers (except as noted above)</p>	<p>Core institutional information systems: 1 year (fulls and incrementals). Colleague and course folders: bi-yearly archives kept 7 years. All other servers: 90 days (fulls and incrementals).</p>	
<p><b>College – Owned Computers – Migration by individual to a Replacement Computer</b></p>		ITS
<p>Data files on old computer.</p>	<p>All files in predetermined locations on the hard drive are copied onto new computer (deleted files not restored unless requested by Client).</p>	
<p>Old Computer Hard Drive</p>	<p>Faculty: removed drives kept by ITS for a period of a year or more. Staff: drives kept 1-2 months then securely erased.</p>	
<p><b>College – Owned Computers - Employee Exit from the College (employment termination)</b></p>		ITS
<p>Computer and Hard Drive</p>	<p>If computer returned to stock, hard drive is re-imaged prior to re-deployment. If computer is deployed to employee's replacement, the</p>	

hard drive contents may or may not be erased.
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*Adopted May 14, 2009 (effective for the fiscal year beginning July 1, 2008).*

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Last revised May 14, 2009

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## **Related Party Disclosure Statement (Conflict of Interest Policy)**

### **Purpose**

The Board of Trustees, officers, and management employees of Carleton College have responsibility for administering the affairs of the College honestly and prudently, and for exercising their best care, skill and judgment for the sole benefit of Carleton College. This policy is intended to ensure the transparency of related party relationships and affirm that the interest of Carleton College has first priority in all decisions and actions. Persons acting on behalf of the College shall exercise good faith in all transactions involved in their duties, and they shall not use their positions with Carleton College or knowledge gained from their work with Carleton College for their personal benefit.

This policy serves to protect Carleton College's tax-exempt organization status. The IRS as well as state regulatory and tax officials view the operations of Carleton College as a public trust, which is subject to scrutiny by and accountable to governmental authorities as well as to members of the public. Maintenance of its tax-exempt status is important for both its continued financial stability and public support.

### **Interested Person**

This statement is directed at the Board of Trustees, officers, management employees and other employees who can influence the actions of Carleton College. This includes all employees who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning Carleton College.

### **Areas Where a Conflict May Exist**

Conflicts of interest may arise in the relations of Board of Trustee, officers and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to the College.
2. Persons and firms from whom the College leases property and equipment.

3. Persons and firms with whom the College is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting the College.
6. Agencies, organizations and associations which affect the operations of the College.
7. Family members, friends, and other employees.

### **Nature of Conflicting Interest**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3 above. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interest in any third-party dealing with the College.
2. Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) with any third party dealing with the College.
3. Receiving remuneration for services with respect to individual transactions involving the College.
4. Using the College's time, personnel, equipment, supplies, or goodwill for other than College approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with the College. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

### **Interpretation of this Statement of Policy**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to a conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the Board of Trustees, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described in Section 3 exists does not necessarily mean that a conflict exists; or that the conflict, if it exists, is material enough to be of practical importance; or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of the College.

An interested person has a duty to disclose the existence of a conflict of interest described in Section 4 or other potential conflict of interest along with all material facts to the Audit Committee of the Board of Trustees at least annually and before any transaction is consummated. It shall be the continuing



responsibility of the Board of Trustees, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

### **Disclosure Policy and Procedure**

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the following are observed:

1. The conflicting interest is fully disclosed.
2. The person with the conflict of interest is excluded from the discussion and approval of such transactions;
3. A competitive bid for comparable valuation exists; and
4. The Audit Committee of the Board of Trustees has determined that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the Chair of the Audit Committee), who shall bring the matter to the attention of the Board of Trustees. Disclosure involving directors should be made to the Chair of the Audit Committee (or if she or he is the one with the conflict, then to the Chair of the Board of Trustees) who shall bring these matters to the Board of Trustees.

The Audit Committee shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to the College. The decision of the Audit Committee on these matters will rest in their sole discretion, and their concern must be the welfare of the College and the advancement of its purpose.

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The Vice President and Treasurer's office offers a [Related Party Disclosure Form](#) for the purpose of providing disclosure statements.

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*Adopted by the Audit Committee: May 16, 2007*

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Vice President and Treasurer

## **Student Records**

### **General information**

Student records and data are accumulated and used by officials of the College only in pursuit of our educational mission and to fulfill necessary institutional record-keeping functions. These records, known as education records, are kept in different offices around the campus by several different custodians. Carleton students have a right to inspect and review their education records pursuant to the Carleton College Policy and Procedures on Education Records. If, upon review, a student discovers that an education record is inaccurate, misleading,

or in violation of the student's privacy rights or other rights, the student may request that the appropriate portion of the education record be amended.

Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except that certain information may be revealed with the consent of the student or as otherwise permitted by law.

Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

1. name: the student's full name
2. addresses: permanent and local college and email address
3. all telephone numbers of record
4. date and place of birth
5. major field of study, area of concentration, certificate of advanced study in foreign language and literature or foreign language and area studies.
6. participation in officially recognized activities and sports
7. weight and height of members of athletic teams
8. dates of attendance
9. degrees and awards received
10. most recent previous school attended
11. photographs and video
12. class year
13. student ID number (The One Card issued to new students in the fall will show each student's id number.)

Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the [Dean of Students](#).

Students should understand that as long as their parents claim them as financial dependents the parents may have the right to access their education records. It is the policy of the College not to send parents information from education records without permission of the student except in the following cases: change of or jeopardy to a student's academic status by action of the Academic Standing Committee; change of a student's disciplinary status by action of the Dean of Students (or her/his designee) or the [Judicial Hearing Board](#) or the [Academic Standing Committee](#); necessities of physical or emotional health; and parents' inquiries about academic grades.

Students wishing to obtain a more detailed and comprehensive statement of their rights and responsibilities regarding education records may obtain a copy of the Carleton College Policy and Procedures on Education Records from the Dean of Students or may discuss any questions or concerns with the Dean. Any alleged failure to comply with the law regarding student records may be reported to the United States Department of Education.

## 1. Policies and Procedures Regarding Educational Records

### A. Definitions

For the purpose of this policy, we have used the following definitions of term:

- Student - any person who attends or has attended Carleton.
- Education Records - any record (handwritten, print, tape, film, or other medium) maintained by Carleton or an agent of Carleton which is directly related to a student, except:
  1. A personal record kept by a staff member if it is kept in the sole possession of the maker of the record and is not accessible or revealed to any other person except a temporary substitute for, or a permanent replacement for, the maker of the record.
  2. An employment record of an individual whose employment is not contingent on the fact that he or she is a student, provided the record is used only in relation to the individual's employment.
  3. Records created and maintained by [Carleton Security](#) that were created for the purpose of law enforcement.
  4. Records maintained by the [Health Services](#), the [Counseling Center](#), or the Office of the [Chaplain](#).
  5. Alumni records which contain information about a student after he or she is no longer in attendance at Carleton and which do not relate to the person as a student.
- Personally Identifiable Information - Information contained in any education record which reveals the identity of a student or from which the personal identity of a student could easily be traced. Personally identifiable information includes: (a) directory information, as described below, that may be disclosed without the specific consent of the student; and (b) information that will generally be disclosed only with such

consent, e.g., social security numbers or class registration.

- Directory Information - Information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed. It includes: (a) student's name; (b) permanent and local college addresses; (c) all telephone numbers of record; (d) date and place of birth; (e) major field of study and area of concentration; (f) participation in officially recognized activities and sports; (g) weight and height of members of athletic teams; (h) dates of attendance; (i) degrees and awards received; (j) most recent previous school attended; (k) photograph; (l) class year; and (m) e-mail address. Regulations governing the release of this information may be found in the [Disclosure Section](#).
- Party - an individual, agency, institution, or organization.

## B. Right of Access and Limitations

1. Carleton students have the right to review their own education records upon submitting a written request to do so.
2. Carleton reserves the right to refuse to permit a student to inspect the following records:
3. The financial statement of the student's parents.
  - Letters and statements of recommendation for which the student has waived his or her right of access, or which were placed in the file before January 1, 1975 (unless the letters were used for any purpose other than as recommendations).
  - Letters and statements of recommendation placed in the education record after January 1, 1975 if (1) the student has waived the right to inspect and review these documents and (2) the documents were related to the student's admission to an educational institution, application for employment, or receipt of an honor or honorary recognition.
  - Records connected with an application to attend Carleton or a component unit of Carleton if that application was denied.
  - Those records as set forth in the definitions above that are excluded from the definition of "education records."

Notwithstanding the last provision in 2. above, the College may not deny a student access to records maintained by the [Health Service](#), the [Counseling Center](#), or the Office of the [Chaplain](#). These are not education records; access to them is guaranteed by Minnesota statute.

### **C. Right to Copies and Limitations**

1. Carleton will provide copies of education records to students after receiving a written request.
2. The fee for copies will be 10¢ per page.
3. The Registrar's Office must have signed authorization from the student to release an official academic transcript. The authorization must include the student's name, ID number and the address the transcript should be sent to. There is a \$3 charge per transcript. Allow four working days processing time.
4. Carleton reserves the right to deny academic transcripts or copies of records in any of the following situations:
  - a. The student has an unpaid financial obligation to Carleton.
  - b. There is an unresolved disciplinary action against the student.

### **D. Procedures to Inspect Education Records**

Students may inspect and review their education records upon submitting a written request to the appropriate records custodian.

Students should submit to the appropriate records custodian (or to an appropriate Carleton staff person in the same office as the record custodian) a written request which identifies as precisely as possible the record or records the student wishes to inspect.

The records custodian or an appropriate Carleton staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and place where the records may be inspected. (Carleton is required to provide access in 45 days or less from the receipt of the request.)

When a record contains information about more than one student, the student may inspect and review only that portion of the record that relates to himself or herself.

### **E. Disclosure Of Education Records To Third Parties**

Carleton will disclose personally identifiable information from a student's education record only with the written consent of the student, except in the following cases:

1. Directory information, as defined above. Any student who wishes to designate directory information as confidential information not subject to disclosure should notify the Dean

of Students in writing.

2. To school officials who have a legitimate educational interest in the records.
  - A school official is:
    - A person employed by Carleton in an administrative, supervisory, academic or research position, or staff position—including a student employee—in support of one of these.
    - A person elected to the Board of Trustees.
    - Contractors, volunteers, and other non-employees performing institutional services and functions.
    - A person who is employed by or under contract to Carleton, or who is appointed by a Carleton administrator, to perform a special task (such as an attorney, auditor, or judicial hearing board member).
  - A school official has a legitimate educational interest if the official is:
    - Performing a task that is specified in his or her position description or by a contractual agreement; or is within the scope of the usual duties performed by a person in that position.
    - Performing a task related to a student's education.
    - Performing a task related to the discipline of a student.
    - Providing a service or benefit relating to the student or student's family, such as health care, counseling, job placement or financial aid.
3. To officials of another school, upon request, in which a student seeks or intends to enroll or is enrolled.
4. To certain officials of the U.S. Department in Education, the Comptroller General, and state and local educational authorities, in connection with certain state or federally supported education programs.
5. In connection with a student's request for or receipt of financial aid, as necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid.
6. If required by a state law requiring disclosure that was

adopted before November 19, 1974.

7. To organizations conducting certain studies for or on behalf of Carleton.
8. To accrediting organizations to carry out their functions.
9. To parents of an eligible student who claim the student as a dependent for income tax purposes.
10. To comply with a judicial order or a lawfully issued subpoena.
11. To appropriate parties in a health or safety emergency.
12. To an alleged victim of any crime of violence, the results of any disciplinary proceeding conducted by Carleton against the alleged perpetrator of that crime.
13. As of January 3, 2012, the U.S. Department of Education's FERPA regulations expand the circumstances under which your education records and personally identifiable information contained in such records — including your Social Security Number, grades, or other private information — may be accessed without your consent. First, the U.S. Comptroller General, the U.S. Attorney General, the U.S. Secretary of Education, or state and local education authorities ("Federal and State Authorities") may allow access to your records and personally identifiable information without your consent to any third party designated by a Federal or State Authority to evaluate a federal- or state-supported education program. The evaluation may relate to any program that is "principally engaged in the provision of education," such as early childhood education and job training, as well as any program that is administered by an education agency or institution. Second, Federal and State Authorities may allow access to your education records and personally identifiable information without your consent to researchers performing certain types of studies, in certain cases even when we object to or do not request such research. Federal and State Authorities must obtain certain use-restriction and data security promises from the entities that they authorize to receive your personally identifiable information, but the Authorities need not maintain direct control over such entities. In addition, in connection with Statewide Longitudinal Data Systems, State Authorities may collect, compile, permanently retain, and share without your consent PII from your education records, and they may track your participation in education and other programs by linking such personally identifiable information to other personal information about you that they obtain from other Federal or

State data sources, including workforce development, unemployment insurance, child welfare, juvenile justice, military service, and migrant student records systems.

## F. Record of Requests for Disclosure

Carleton will maintain a record of all (1) requests for disclosure of and (2) actual disclosures of, information from a student's education records. The record will indicate the name of the party making the request, any additional party to whom it may be redisclosed, and the legitimate interest the party had in requesting or obtaining the information. The record of disclosures or requests for disclosure may be reviewed by the student.

## G. Correction of Education Records

Students have the right to ask to have records corrected if they believe that the records are inaccurate, misleading, or in violation of their privacy rights. The procedure for correcting education records is as follows:

1. A student must ask the appropriate custodian to amend a record. In so doing, the student should identify the part of the record he or she wants changed and specify why it is believed to be inaccurate, misleading or in violation of his or her privacy or other rights.
2. Carleton may comply with the request or it may decide not to comply. If it decides not to comply, Carleton will notify the student of the decision at his or her last known address of record and advise the student of the right to a hearing to challenge the information believed to be inaccurate, misleading, or in violation of the student's rights.
3. A written request for a hearing must be submitted to the custodian of the record in question. Carleton will arrange for a hearing on the matter and will notify the student, reasonably in advance of the hearing, of the date, place, and time that the hearing will be held.
4. The hearing will be conducted by the [Judicial Hearing Board \(JHB\)](#). The student shall be afforded a full and fair opportunity to present evidence relevant to the issues raised in the original request to amend the student's education records. The student may be assisted by one or more individuals, including an attorney.
5. The Chair of the JHB will prepare a written decision based solely on the evidence presented at the hearing. The



decision will include a summary of the evidence presented and the reasons for the decision. A copy of the written decision will be provided to the student at his or her last known address of record within a reasonable time after the hearing, usually in ten academic days unless circumstances require a longer period for a decision to be prepared.

6. If the JHB decides that the challenged information is not inaccurate, misleading, or in violation of the student's right of privacy, they will notify the student of the right to place in the education record a statement commenting on e challenged information and/or a statement setting forth reasons for disagreeing with the decision.
7. The statement will be maintained as part of the student's education records as long as the contested portion is maintained. If Carleton discloses the contested portion of the record, it must also disclose the student's statement.
8. If Carleton decides that the information is inaccurate misleading, or in violation of the student's right of privacy, it will amend the record and notify the student, in writing at his or her last known address on record, that the education record has been amended.

#### **H. Annual Notification**

Students will be notified of their FERPA rights annually via the [Student Handbook](#) which is in electronic form (hard copy on closed reserve in the library) - referenced in the 'Carleton College Student Annual Notification & Quick Reference Guide' index card given annually to each student at the time of initial registration.

#### **I. Application of this Policy**

This policy shall be applied in accordance with the written Guidelines for Records Custodians. Questions or concerns about this policy and its interpretation should be directed to the [Dean of Students](#).

Adopted by the College Council, November 8, 1993

Updated October 9, 2002

Revised by the Board of Trustees on recommendation of College Council, June, 2003

#### **J. Types, Locations, and Custodians of Education**

## Records

The following is a list of the types of education records that Carleton maintains, their locations, and their custodians.

Types	Locations	Custodian
Admissions Records	Office of the Dean of Students, Severance 110	<a href="#">Dean of Students</a>
Advising Files	Office of the student's Academic Advisor	<a href="#">Academic Advisor</a>
Alumni Files	Central Records Office, Leighton 129A	Director of Central Records
Cumulative Academic Records	Office of the Registrar, Laird 7B (for current students, graduates, and withdrawals)	Registrar
Disciplinary Records	Office of the Dean of Students, Severance 110	<a href="#">Dean of Students</a>
Financial Aid Records	Office of Student Financial Services, Henry House	Director of <a href="#">Student Financial Services</a>
Financial Records	Controller's Office, Leighton 109	Student Account Specialist
Housing	Office of Residential Life, Severance G10	Director of <a href="#">Residential Life</a>
Placement Records	Career Center, Sayles-Hill 050	Director of the <a href="#">Career Center</a>
Progress Records	Office of the Dean of Students, Severance 110	<a href="#">Dean of Students</a>

*Occasional Records:* Student education records not included in the types listed above such as departmental memoranda, copies of correspondence in offices not listed, etc.

*Location:* The appropriate official will collect such records, direct the student to their location, or otherwise make them available for inspection and review.

*Custodian:* The Carleton staff person who maintains such occasional systems records.

## K. Retention of Student Records

In general, education records are retained only as long as it is necessary to serve the student's interest or further the necessary administrative functioning of the College. Academic records and a core set of the student record files maintained by the Dean of Students are designated as permanent records. The student's personal file is maintained by the Dean of Students for 1-5 years after the student's graduation or separation from the College, at which time it is cleared of all but the admissions application, directory information, campus job evaluations, notices of awards or honors, a list of extracurricular activities, and information provided by the student which is indicative of post-college activities. At that time the file is transferred to the alumni files maintained by the Central Records Office.

Records of disciplinary status up to and including disciplinary probation are maintained until graduation or until two years after withdrawal from the College; records of disciplinary suspensions, both academic and nonacademic, are maintained for five years; and records of expulsion are kept for ten years.

*[Disciplinary record retention updated by The Board of Trustees on recommendation of The College Council May, 2003]*

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

*Reviewed and updated June, 2012.*

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For [Alumni](#), [Faculty](#), [Families](#), [Staff](#), [Students](#)

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Maintained by Dean of Students

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 22 August 2012.

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# Research

## Copyright

### I. Overview

It is the goal of Carleton College to “liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives.” (Academic Catalog, Purpose of the College). To achieve this goal, the free and open exchange of ideas is vital. In this spirit, the College’s copyright policy is intended to encourage all members of the Carleton community to publish their papers, books, and other works in order to share their knowledge openly with colleagues and the public. The College adheres to the long-standing academic tradition that creators of works own the copyrights in works resulting from their scholarly, pedagogical, and creative activities. This principle is the foundation for the College’s policies on copyright ownership.


This principle also underlies the College’s commitment to fostering an environment of respect for and responsible use of the intellectual property of others. The College is committed to helping members of the Carleton community comply with copyright laws by providing resources to help individuals make informed, careful, and situation-sensitive decisions about the lawful and fair use of work created by others.

### II. Application

This policy applies to all faculty (including those on temporary appointments), staff, and students.

### III. Copyright Ownership

#### A. Creator Owns the Copyright

 [Text Only/ Printer-Friendly](#)

Individuals engaged in scholarly, pedagogical or creative efforts produce a great variety of copyrightable materials they may want to protect from unauthorized use. These include, for example, books, articles, monographs, bibliographies, lecture notes and handouts, musical compositions and recordings, artwork, photographs, films, audio visual works, and computer programs.

When a member of the faculty or staff or a student authors a copyrightable work, that individual will own the copyright in the work (and may voluntarily cede it to a publisher or distributor), unless the circumstances of IIIB, IIIC or IIID apply. Even though the College may provide some support in the way of facilities, materials, equipment, or personnel, individual ownership of the copyright in such works is appropriate.

It is understood, however, that the individual will allow the College to use without charge any copyrighted work that originally was designed for the express purpose of making such work available to individuals other than, or in addition to the creator for use in teaching, administration, or other College activities. Examples of such work include a computer program designed to improve an office procedure and developed by a faculty or staff member (not under the circumstances of IIIB, IIIC or IIID), or curricular materials created by a faculty member (not under the circumstances of IIIB, IIIC or IIID) to use in sections of a course that is taught by several department faculty. Such materials will be available to the College free of charge, even if the individual who wrote the program or curricular materials has left the College.

## **B. Rights Are Determined by Contract**

1. Ownership of the copyrights in works created in the course of projects or programs funded by an external agency, for example, under a grant or similar arrangement, will be determined in accordance with the terms of agreement with the external party and applicable law. An agreement regarding copyright ownership must be signed by the College, the external agency, and the appropriate individuals before acceptance of outside funding.

2. Generally, students own the copyright in the works they create, including their contributions to collaborative projects, unless the circumstances of IIIC or IIID apply or the student has signed a written agreement regarding copyright. Accordingly,

faculty and staff are strongly encouraged to obtain a written agreement from each student before involving students in scholarly research or other projects that may result in works the faculty or staff would want to use or publish. In addition, if there is any question whether IIC or IID will apply to works created by a student, a written agreement should be signed before the student begins work.

3. Faculty, staff and students are encouraged to engage in collaborative research and other collaborative projects. Because of the misunderstandings that may result when different individuals own rights in the results of a collaborative effort, a written agreement regarding copyright should be signed before beginning work.

### **C. College Owns the Copyright in Directed and Commissioned Works.**

The College will retain ownership of the copyright in works that are specifically directed or commissioned by the College or produced by an individual (or group of individuals) as a specific job requirement. Examples of works in this category are articles for the alumni magazine or other College publications written by Publications Office personnel; computer software developed by technical staff; and the output of a faculty member on special assignment to write a history of the College while receiving full salary.

This category does not include materials created by faculty in connection with their teaching, research, or other scholarly activities, even though faculty are expected to teach and engage in scholarly activities as part of their job, unless the works are specifically directed or commissioned by the College, as in the example of a faculty member on special assignment to write a history of the College while receiving a full salary. This category also does not include materials created by the staff outside the scope of their employment.

On occasion, the College may grant its copyright to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section IIC will be

deemed to apply.

#### **D. College Owns Copyright in Administrative Works**

The College will retain ownership of the copyright in works created in the course of an administrative assignment of the College, such as, internal policies and procedures, internal studies and plans, or a report for a university committee.

On occasion, the College may grant its copyright in an administrative work to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section IIID will be deemed to apply.

### **IV. Distribution of Income from Royalties**

#### **A. Copyright Belongs to an Individual or Group of Individuals**

If one or more individuals own the copyright, those individuals are entitled to 100% of the royalties, unless IIIB, IIIC or IIID applies. If the copyright is owned jointly by one or more individuals, a written agreement on division of royalties should be signed.

#### **B. Copyright Belongs to the College or to the College and Others, Jointly**

If the College owns the copyright, all royalties will be paid to the College, unless a special agreement to the contrary has been made in advance. If the copyright is owned jointly by the College and one or more individuals, a written agreement on division of royalties should be signed. If no written agreement is signed, all royalties will be divided equally among the copyright owners.

#### **C. Work Resulting From Outside Funding**

If the work will result from a project funded by an outside agency, an agreement on division of royalties must be signed before acceptance of outside funding.

### **V. Further Assurances**



The College, the faculty, the staff, and students will execute such written instruments or agreements as may be required to give effect to this policy.

## **VI. Use and “Fair Use” of Copyrighted Works**

### **A. Compliance with Copyright Laws**

Carleton College expects all faculty, staff and students to make a reasonable effort in good faith to comply with copyright laws in their use of copyrighted materials.

### **B. Fair Use of Copyrighted Works**

The College encourages its faculty, staff and students to take full advantage of the “fair use” exception to the exclusive rights of copyright owners. The College requires, however, that before relying on the fair use exception, faculty, staff, and students will educate themselves regarding the limits of fair use and will, in each instance, perform a careful, good faith fair use analysis based on the four factors identified in Section 107 of the federal Copyright Act. Faculty, staff and students are strongly encouraged to document their fair use analyses as a defense against claims of copyright infringement.

### **C. Assistance with Copyright Compliance**

Because of the complexity of copyright law and, in particular, the fair use exception, the College will provide resources to educate faculty, staff and students and help them make informed, careful and situation-sensitive decisions about the lawful and fair use of works created by others.

### **D. Violation of Copyright Laws**

Upon obtaining knowledge that material residing on College systems or networks is infringing or that College systems or networks are being used for infringing activities (or upon becoming aware of circumstances from which infringing activity is apparent), the College will act expeditiously to remove or disable access to the infringing materials and may deny the individuals responsible further access to College systems or networks. In addition, members of faculty or staff or students or other persons employed by the College who willfully disregard or violate copyright law may be subject to disciplinary action by the College in accordance with applicable disciplinary policies and procedures.

## VII. Administration of Copyright Policy

### A. Copyright Ownership and Distribution of Royalties.

The Vice President and Treasurer will adopt policies and procedures to implement Sections III, IV, and V of this policy. The Dean of the College will adjudicate in the case of disputes regarding copyright ownership and royalties.

### B. Use and “Fair Use” of Copyrighted Works

The Dean of the College will adopt policies and procedures to implement Section VI of this policy.

### C. Amendment

The College may amend this policy from time to time as it deems necessary or desirable, subject to applicable statutory and contractual restraints.

For additional information, please see [Copyright at Carleton](#).

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*Adopted by the Board of Trustees on October 21, 2006.*

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Last revised October 21, 2006

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of the College Office

## Effort Certification Policy

As a recipient of federal funds, Carleton College must comply with the Office of Management and Budget ([OMB Circular](#) A-21 (Cost Principals for Educational Institutions)). Section J.10 requires certification of effort to document salary expenses charged directly or indirectly against federally sponsored projects. This process ensures that salary and wages are properly expended and that actual effort is consistent with the originally budgeted effort. Carleton’s effort reporting policies and procedures are intended to meet this requirement.

Carleton uses an “after-the-fact effort reporting” system to comply with the federal effort certification requirement. Under this system, the distribution of salaries for employees working on federally funded projects will be supported by Time and Effort Certification Reports. *Hourly employees and*

*student workers will not receive a form as their time is certified via electronic time sheets. Recipients of workshop stipends and other onetime payments will not be required to complete the form either.*

Time and Effort Certification reporting will reasonably reflect the percentage distribution of effort by Carleton faculty and exempt employees charged to federally funded projects. Effort is not determined based on a 40 hour week, but rather on total hours worked. It is based on 100% of activities for which you are being compensated, including sponsored and non-sponsored activities, for a given time period. Effort is expressed as a percentage.

Each employee will complete and sign his/her effort certification. Federal requirements stipulate that anyone certifying another individual must have first-hand knowledge of that individual's actual effort.

Time and Effort Certification reports will be required twice per year as it applies to your specific grant. The Business Office will distribute the form in June for the academic year and again in September for the summer.

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## **Financial Conflict of Interest (FCOI) for Faculty and Academic Staff Applying for Carleton-Administered Federal Grants**

### **INTRODUCTION AND SUMMARY**

In August 2012, Carleton updated the College's policy related to financial conflicts of interest (FCOI) to ensure compliance with the FCOI policy of the National Institutes of Health.

Beyond the fact that the College actively seeks NIH funding, the College chose to conform to the NIH's policy because we expect that other federal funders, including the National Science Foundation, will adopt the NIH standards.

The full NIH statement on FCOI can be found on the Institutes' website at [http://grants.nih.gov/grants/compliance/42\\_CFR\\_50\\_Subpart\\_F.htm](http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm); additional information can be found at <http://grants.nih.gov/grants/policy/coi/>.

Carleton's revised FCOI policy can be found below, but the **key elements of the policy** can be summarized as follows.

A project director (a.k.a. principal investigator) must disclose to the College all "significant financial interests" on his or her part and/or the part of his/her immediate family that include

- at least \$5,000 of payments from and/or equity interests in publicly-traded entities, or
- any equity interest in non-publicly traded entities, or
- reimbursed or sponsored travel such as a conference trip paid for by a corporate sponsor.

All interests related to a PD's institutional responsibilities, not just his/her NIH (or other federal grant) project must be disclosed to the College, with two exceptions:

- Income from seminars, lectures, or teaching, and service on advisory or review panels for government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with an institution of higher education.
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.

The disclosure process can be initiated by completing the Compliance and Disclosure Form available at <https://apps.carleton.edu/cfr/forms>.

For further information, contact Christopher Tassava (x5833, ctassava) or Dee Menning (x4441, dmenning) in the Office of Corporate & Foundation Relations.

### **POLICY ON FINANCIAL CONFLICT OF INTEREST (FCOI) FOR ALL FACULTY AND ACADEMIC STAFF APPLYING FOR CARLETON-ADMINISTERED FEDERAL GRANTS**

*As set by relevant federal regulations, including*

National Science Foundation:

[http://www.nsf.gov/pubs/manuals/gpm05\\_131/gpm5.jsp#510](http://www.nsf.gov/pubs/manuals/gpm05_131/gpm5.jsp#510)

National Institutes of Health:

[http://grants.nih.gov/grants/compliance/42\\_CFR\\_50\\_Subpart\\_F.htm](http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm)

Federal Register: <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>

1. **SCOPE.** The following statement of policy applies to each member of the faculty or academic staff (Investigator) applying for a Carleton-administered grant from a federal agency or foundation. The policy was developed in response to 1995 federal rules and revised to meet 2011 regulations that govern institutional and researcher responsibilities in identifying and monitoring conflicts of interest. By

assuming this responsibility for themselves, colleges and universities may avoid outside monitoring and regulation by the federal government.

2. **FIDUCIARY RESPONSIBILITIES.** Employees, officers, and members of the board of the College serve the public trust and have a clear obligation to fulfill their responsibilities in a manner consistent with this fact. All decisions of the board and officers of the administration and the faculty and academic staff are to be made solely on the basis of a desire to promote the best interests of the College and the public good. The College's integrity must be protected and advanced at all times. College faculty or academic staff applying for grants may be involved in the affairs of other organizations. It is unlikely that an effective faculty will consist of individuals entirely free from at least perceived conflicts of interest. Although most such potential conflicts are and will be deemed to be inconsequential, everyone is responsible for ensuring that the College is made aware of situations that involve business relationships that could represent a conflict of interest with respect to an outside grant. ***Thus, the College requires that applicants for a grant of College-administered funds from a federal agency (1) review this policy; (2) disclose any possible business relationships that reasonably could give rise to a conflict of interest for the investigator and/or his or her spouse/dependent children; and (3) acknowledge by his or her signature that he or she is in accordance with the letter and spirit of this policy. In addition to making this statement at the time of application, investigators must renew this statement a) within 30 days of identification of a new conflicting interest, and b) annually for previously identified FCOI.***
  
3. **DISCLOSURE.** Faculty or academic staff are required to list on the Compliance & Disclosure Form only those substantive business relationships (in federal parlance, "significant financial interest") that could directly affect the design, conduct, or reporting of federally funded research. "Significant financial interest" or SFI\* includes any payments or equity interests in the 12 months preceding the disclosure that, when aggregated, exceed \$5,000 in remuneration and/or in equity interest in any publicly traded entity **AND/OR** \$5,000 in remuneration or *any* equity interest in a non-publicly traded entity that might affect the investigator or the research. In the event that a faculty member is uncertain as to the appropriateness of listing a particular relationship, the Dean of the College, as Institutional Grants Administrator, should be consulted. This policy per federal guidelines applies to the investigators responsible for the design, conduct, or reporting of federally-funded research; **and their spouses and**

*dependent children*. This policy also applies to subgrantee investigators. Conflicts of interest frequently are matters of degree and judgment, and the College expects faculty and academic staff to be alert to the possible effect of outside activities on the integrity of their decisions and on their ability to fulfill their obligations to the institution and/or to funding agencies. As potential or actual conflicts of interest arise, the Institutional Grants Administrator will determine which conditions or restrictions might be imposed to manage, reduce, or eliminate actual or potential conflicts of interest. Records of financial disclosures will be maintained for at least three years from the date of submission of final expenditures reports. The College will make conflict information available, upon request, to federal agencies. Under the federal regulations listed above, **Carleton College has certain obligations related to financial conflict of interest:**

- provide public accessibility to the FCOI policy: available online at [https://apps.carleton.edu/handbook/research/?a=faculty&policy\\_id=867902](https://apps.carleton.edu/handbook/research/?a=faculty&policy_id=867902).
- inform investigators of regulation, institutional policy, SFI disclosure responsibility, training requirements. CFR will obtain and file signed Compliance and Disclosure Forms upon proposal submission to NIH, NSF, and other select federal agencies. The Dean's office will email annual reminders for investigators to update their FCOI status and forward to CFR, and will track and verify training of faculty/staff/students involved in research.
- provide investigator FCOI *training* for NIH-funded grants: prior to engaging in research and at least every four years, and immediately when FCOI policies significantly change or when an investigator is new to Carleton or an investigator is found noncompliant.
- incorporate language as part of **subrecipient** agreement contracts that establish FCOI policy (include terms that establish whether the FCOI policy of the awardee institution or that of the subrecipient will apply to the subrecipient investigators, and includes time periods to meet SFI disclosure, if applicable, and FCOI reporting requirements).
- designate an *institutional official* (Dean of the College, acting through CFR/Sponsored Research Office) to (a) solicit and review disclosure statements from each investigator planning to participate in federally funded research at time of application and annually, (b) oversee guidelines to identify conflicting interests, (c) develop and maintain management plans that specify the actions that have been, and shall be, taken to manage FCOI.
- provide *disclosure* of FCOI to NIH, when FCOI is identified: prior to expenditure of funds, annually during the period of the award (at time

of annual progress report or extension ask, via eRA Commons FCOI Module), and within 60 days of discovering or acquiring a new SFI.

- maintain *records* of all investigator disclosures of financial interests and of the institution's review of and response to such disclosures, for at least three years from submission of final expenditures report; provide initial and ongoing reports per NIH specifications through the eRA commons FCOI Module; make information available upon federal agency request.
- respond, within 120 days of determination, to *non compliance* by completing and documenting a retrospective review of the investigator's activities and NIH-funded research project to determine if there was bias in design, conduct, or reporting.
- address these particulars if/when a *management plan* for FCOI Reporting is needed: 1) role and principal duties of the conflicted investigator in the research project; 2) conditions of the plan; 3) how the management plan design will safeguard objectivity in the research project; 4) confirmation of the investigator's agreement to the plan; 5) how the plan will be monitored to ensure investigator compliance (following guidelines of Federal Register Vol. 76, No. 165, section 50.605 "Management and reporting of financial conflicts of interest" <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>).

## DEFINITIONS

### *Investigator*

For the purposes of this policy, a researcher or is a person, regardless of title or position, responsible for the design, conduct, or reporting of research funded by a federal agency, or proposed for such funding. Collaborators, consultants, and subgrantees may thus be considered "investigators," and an investigator's spouse and dependent children are also considered (for the purposes of this policy) to be "investigators."

### *Significant Financial Interest (SFI)*

A **significant financial interest** consists of interests that reasonably appear to be related to the investigator's institutional responsibilities:

- with regard to any *publicly traded entity*, a SFI exists if the remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000. "Remuneration" includes (i) salary, and any payments for services such as consulting fees or honoraria, paid authorship, reimbursed or sponsored travel and (ii) equity interest includes any stock, stock option, or other ownership interest.
- with regard to any *non-publicly traded entity*, a SFI exists if the value

of any remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000, or when the investigator holds *any* equity interest.

- intellectual property rights and interests such as patents or copyrights, upon receipt of income related to such rights and interests.

An investigator also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of and not reimbursed to the investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities, provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by certain *excluded sources* provided in regulation:

- salary, royalties, or other remuneration paid by the institution to the investigator if the investigator is currently employed or appointed by the Institution;
- intellectual property rights assigned to the institution and agreements to share in royalties related to such rights;
- income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a governmental agency, an Institution of higher education, or a research institute affiliated with a higher education Institution.

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Last revised August 1, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Corporate and Foundation Relations

## Government Grants - Allowable Expenditures

Grant expenditures are subject to additional restrictions imposed by OMB Circular A-21. All grant expenditures must be evaluated to ensure they are allowable under the terms of the grant, within the allowed time period, properly authorized and adequately documented.

An electronic **Grants Manual** has been prepared as a resource for faculty who have received external or federal funding in order to provide the necessary resources to ensure a successful project. Although the College is legally accountable to the grant sponsor as the official recipient of a grant, the Principal investigator is responsible for the proper fiscal management and conduct of the project.

<https://apps.carleton.edu/campus/business/govgrantmanual/>



The policies have been provided in order to provide clear guidance as to what costs constitute appropriate charges to federally funded projects, as well as to achieve consistency with other college policies.

The cost principles relating to expenditures on federal awards are contained in the OMB Circular A-21. While the list is long, some excluded items to note are:

- Alcoholic beverages
- Entertainment costs
- Personal expenses or purchases
- Lobbying
- Participant support costs not specifically addressed in your award letter
- International travel costs not specifically addressed in your award letter

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

## **Institutional Review Board (Research on Human Subjects)**

### **Statement of Policy on Research Involving Human Subjects**

Carleton College is committed to academic freedom. Research will not be forbidden because it is innovative, unorthodox, sensitive or otherwise extraordinary. The College protects the right of faculty to conduct research when that research has been reviewed and approved by the Institutional Review Board (IRB).

Carleton College is guided by the ethical principles set forth in the Report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research (the "Belmont Report"): respect for persons, beneficence and justice. All persons involved in conducting research have an obligation to respect the dignity and integrity of the persons beings studied, including their right not to be the subject of potentially harmful research. Where possible, potential subjects should be provided the opportunity and means to decide freely whether to participate. Researchers who promise confidentiality are responsible for maintaining it and for informing subjects of the limits of their capacity to meet that responsibility. Research procedures should minimize the risk of harm and maximize the possible benefits to the subject and to society. Subjects should be selected for reasons directly related to the problem being studied,

not because of their easy availability, their compromised position, or their manipulability. Researchers must exercise special care when the subjects of research are especially vulnerable to harm because they cannot understand the risks or because they are not in a position to refuse their participation in the research.

All research on human subjects conducted by Carleton faculty, students and staff, at Carleton or at other institutions and research sites, must conform to these ethical principles. *Research that proceeds in violation of this policy is subject to disciplinary action by the appropriate college official, typically the Dean of the College or his or her designee.*

### **Applicable Regulations**

Carleton College has filed a Federal-Wide Assurance with the Office for Protection from Research Risks. This assurance (1) adopts the ethical principles set forth in the Belmont Report, (2) adopts the federal regulations for the protection of human subjects set forth in 45 Code of Federal Regulations Part 46\*, and (3) declares that these ethical principles and regulations apply to all research with human subjects regardless of whether and how it is funded.

\*Copies of 45 Code of Federal Regulations Part 46 are available [online](#) or from the Chair of the IRB.

Carleton College's policy on research with human subjects has been approved by the Dean of the College on 11/19/02.

### **Research Subject to Review**

#### **DEFINITION OF RESEARCH WITH HUMAN SUBJECTS**

"Research" means a systematic investigation calculated to develop or contribute to generalizable knowledge. It does **not** include educational activities whose results are not intended for publication and would not constitute original research in the field. It also does not include institutional research intended for use only at and by Carleton employees or students.

*However, it is the policy of Carleton College that **all** educational activities and institutional research involving human subjects be conducted in accordance with the ethical principles in the statement of policy above. Approval of such activities by the IRB is optional. However, it does offer institutional protection to the investigator and or faculty supervisor. In addition, the IRB is authorized to investigate complaints from subjects of such activities and report violations of this policy to the appropriate College administrator.*

"Human subject" means a living individual about whom an investigator obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.

Research that uses data on human subjects gathered in earlier research projects require IRB review, unless the data is "blinded" (so that the investigator is unable to identify the subjects). Some data sets available to Carleton faculty and students have been blinded, or the data is in aggregate form so that individual identification is very difficult. Research with this data does not need to be reviewed, provided the researcher does not attempt to discover identifiable private information.

#### RESEARCH WITH OTHER INSTITUTIONS AND INTERNATIONAL RESEARCH

Research conducted at other institutions must be approved by Carleton's IRB, even if approved by the other institution. *Research at schools, camps and other institutions without IRBs must be approved by the principal or other appropriate administrator.*

Research conducted by College investigators in foreign countries falls under the College's purview and guidelines. While we cannot impose our standards for written documentation on other cultures, we do not relax our standards for ethical conduct.

While human subjects in foreign countries merit the same level of protection as subjects in the United States, acceptable practices vary from place to place. Different mores, traditions, and institutions may require different research protocols, particularly in informed consent, recruitment practices, and documentation. Special attention should be given to local customs and to local cultural and religious norms in drafting written consent documents.

*Research projects must have been approved by the local equivalent of an IRB before they are presented to the College IRB. Where there is no equivalent board or group, investigators must rely on local experts or community leaders to provide approval. The IRB requires documentation of this "local approval" before it gives approval.*

#### STUDENT RESEARCH

Independent class projects (when intended as research and not simply as fulfilling a course requirement), senior theses, research projects and similar exercises must be independently submitted to the IRB by the student-researcher. However, when students conduct research as part of a course of study, a faculty member ultimately is responsible for the protection of the subjects, even if the student is the primary researcher and actually directs the project. Faculty advisors shoulder the responsibility for students engaged in independent research, and instructors are responsible for research that is conducted as part of a course.

As assurance that the College's guidelines will be followed, the advisor or instructor is required to sign the student's application for IRB approval.

#### POLICY ON SURVEYING MINORS

Many Carleton students are minors (under 18). The federal regulations normally require that parental consent be secured before minors are surveyed for research purposes. However, many colleges treat their students as adults and waive the parental consent rule. The Carleton College IRB has adopted the following principles for determining whether and how parental consent for surveys should be secured:

1. The IRB requires the consent of at least one parent before doing survey research on minors.
2. It's acceptable to secure blanket consent for several surveys, as long as it's reasonably specific regarding the kind of surveys being administered and the general kinds of uses researchers might put this data to. The parent should have a fairly good idea of the kind of research being done on his/her child, particularly the risks involved (if there are any).
3. The investigator should secure a signed letter or an electronic signature indicating consent. Simple failure to respond to a letter requesting consent should not be taken as evidence of consent.

### **Investigator Responsibilities**

Investigators are responsible for the ethical conduct of their research and the conduct of participating faculty, students, and staff. Investigators ensure that research involving human subjects is reviewed and that this review takes place **before** the research is initiated.

The investigator must also

- Seek approval for making changes in the research protocol
- Report to the IRB unanticipated problems or adverse events
- Reapply for approval when approval expires
- Retain copies of IRB approval documents
- Retain copies of signed consent forms for three years after the completion of the research

### **The Mechanics of Securing Approval for Research**

#### **PROCEDURES**

The investigator is responsible for (1) determining whether the project involves research with human subjects and (2) submitting a complete application for approval with all supporting documents. After reviewing the application and its supporting materials, the IRB may ask the investigator to explain some elements of the protocol and may require revisions in the protocol. When the investigator revises a project, the IRB reviews the

project again to see whether its concerns have been adequately addressed.

To fully protect subjects, the IRB must approve a project before investigators start to work on it—even before they begin to recruit subjects, since recruitment strategies are part of the review.

Research projects are reviewed at one of three levels, depending on the IRB's interpretation of the project's risk to the human subjects and on the federal guidelines that define the categories of review, which are:

- screening for exemption from full IRB review
- expedited IRB review
- full IRB review

**The level of review can be determined only by the IRB.**

### **Continuing Oversight**

All non-exempt research is subject to at least annual review and renewal. If research involves extreme risk to subjects, the IRB may require more frequent review and may ask to be kept apprised of all research activity. The investigator is responsible for re-applying for approval after the initial IRB approval expires. The IRB will conduct an expedited review of these applications, unless the research protocol has been modified or new subjects are to be added and full review is otherwise appropriate.

### **Procedure for Addressing Complaints from Research Subjects**

If possible, subjects must be told that they can direct complaints about the conduct of the research to the Chair of the IRB. *If the research is on-going, the IRB will document complaints and review research procedures. If the research is completed, the IRB will investigate the complaint, including discussing it with the investigator, and prepare a report. The report will be forwarded to the investigator and to the appropriate college administrator.*

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Last revised March 11, 2013

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Dean of the College Office

## **Misconduct in Science**

(Policies and Procedures for Dealing with Misconduct in Science for Faculty and Students Engaged in Research Supported by the Public Health Service)

### **Definition of Misconduct in Science**

Misconduct means falsification of data, plagiarism, or misappropriation of others' ideas, in the course of proposing, conducting, or reporting research

or in performing other professional duties.

1. **FALSIFICATION OF DATA CAN RANGE FROM SELECTIVE REPORTING**, SUCH as purposeful omission of conflicting data with the intent to falsify conclusions, to outright fabrication.
2. **PLAGIARISM IS REPRESENTATION OF ANOTHER's work** as one's own. Subtle forms of plagiarism include inadequate citation and footnoting, along with presentation of the same data in more than one publication without citation.
3. **MISAPPROPRIATION OF OTHERS' IDEAS MEANS THE UNAUTHORIZED USE** of privileged information, such as acting upon an idea obtained from someone's research proposal during peer review.

### **Goals of a Policy at Carleton**

Any institution of higher education having one or more faculty members who receive research support from the National Institutes of Health (NIH) or any other agency under the Public Health Service (PHS) is required to develop policies and procedures for handling allegations of scientific misconduct in projects supported by the PHS. In the face of some well-publicized incidents of fraud in research in recent years, the public is demanding that institutions take more responsibility for ethical conduct in research and related activities. Although Carleton strives to promote a climate of honesty in research, the College should nevertheless recognize the possibility of fraud in the conduct or reporting of research and be willing to address any cases of alleged fraud. At the same time, policies for handling fraud should not be so obtrusive as to dampen the spirit of inquiry or threaten the close working relationships and the trust among scientific colleagues. The process must distinguish deliberate fraud from honest errors and debatable interpretations of incomplete data. Errors and questionable interpretations are normally corrected by additional research and are part of the process of scientific investigation.

### **The Key Elements of the Policy**

Faculty engaged in research should be well-informed on what constitutes ethical conduct in research. To buttress this point, the dean of the college will send annually to appropriate faculty a reminder of their obligation to be cognizant of ethical issues. An orientation for each student beginning work with a faculty mentor should be standard practice and might include asking each student to read *On Being a Scientist* (22 pp.) by the Committee on the Conduct of Science, National Academy of Sciences, published by the National Academy Press, Washington, D.C., 1989.

Because of the possibility of misconduct, however remote, the ethical climate must include the understanding that someone bringing a complaint

will be heard and that his or her rights, as well as the rights of someone suspected of unethical behavior, will be protected. In addition, inquiries and investigations must be conducted with the utmost concern for confidentiality for both the person bringing an allegation (the "complainant") and the person accused of wrongdoing (the "respondent"). Due process as generally understood in this country must be the cornerstone of the procedure for responding to an allegation. For our definitions and procedure we draw heavily from Framework for Institutional Policies and Procedures to Deal With Fraud in Research, by the Association of American Universities et. al., originally published on November 4, 1988 and revised on November 10, 1989.

The procedure consists of four stages:

1. An inquiry to determine whether the allegation or suspected misconduct warrants further investigation.
2. When warranted, an investigation to collect and thoroughly examine evidence.
3. A formal finding.
4. Appropriate disposition of the matter, including required reporting to the Office of Scientific Integrity (within NIH) at each stage of the procedure.

### **Inquiry**

An inquiry into possible fraud can be generated by an allegation of misconduct or other evidence of questionable behavior in research. A complainant should report an allegation, including evidence, to the dean of the college, who, after judging the preliminary evidence to be significant, will initiate an inquiry, usually by designating another senior officer to conduct the inquiry. The dean will be sensitive to possible conflicts of interest when naming the dean's designee, and both will be careful to maintain confidentiality for the complainant and the respondent. If the complainant later decides against pursuing an allegation, the dean's designee may nevertheless continue the inquiry without participation of the original complainant, if sufficient independent evidence is available. The dean's designee will consult legal counsel when legal issues arise, and the respondent and/or the complainant may engage counsel at their own expense.

The inquiry stage must begin soon after the allegation has been made and should be completed within 60 days. At the start of the process the dean's designee must inform the respondent of the charges, the identity of the complainant, and the procedure to be followed. During the inquiry the dean's designee will question both the complainant and the respondent about the allegation and the evidence pertinent to it. To quote Framework, "An inquiry

is not a formal hearing; it is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations. "

At the conclusion of the inquiry the dean's designee must determine whether or not an investigation is warranted and produce a written report on the inquiry and the decision. He or she must make the decision known to the respondent and the complainant, if the latter has continued to participate in the inquiry. According to Public Health Service regulations governing research sponsored by that agency, the Director of the Office of Scientific Integrity (OSI) must be informed at this point if there is a recommendation to investigate allegations regarding any such research. This notification must occur within 24 hours of the decision if a criminal violation is judged a possibility.

If the allegation is found to be without merit, no action is needed other than to inform all involved parties. The College must preserve all documentation relating to the case for three years. Every effort must be made to keep the proceedings of the inquiry confidential and the identities of the complainant and respondent unknown to anyone other than those who participated in the inquiry. Finally, the dean should seek to protect the complainant from retaliation and may take appropriate disciplinary action against anyone engaging in retaliation.

### **Investigation**

If the dean of the college, after receiving the recommendation by the dean's designee, determines that an investigation is warranted, that investigation must begin within 30 days of the conclusion of the inquiry. Its purpose is to examine all the evidence and determine whether fraud has occurred. A committee chaired by the dean's designee is responsible for the investigation. The other committee members will consist of the chair of the respondent's department (or another tenured member if the chair is the respondent), another tenured member of the department or a tenured member of a related department, and two faculty members from outside the College who are familiar with the respondent's research specialty. The latter three people will be selected by the dean in consultation with the dean's designee, each of whom should be certain that none of the four members has a conflict of interest or relation with anyone connected with the case that would compromise independence of judgment.

All involved parties, including the complainant and the respondent, are obligated to cooperate with the investigation and to provide information relating to the case. The respondent should receive all relevant information in a timely manner to facilitate preparation of a response. The respondent has the right to hear all testimony, to address the charges and evidence, and to have legal counsel at his or her own expense.



The agency sponsoring the research in question, and in particular the OSI, must be informed of significant developments in the investigation. The Director of the OSI must be informed if an investigation is terminated before completion, or if criminal violations may have occurred. Most important, the OSI must be told about "any development during the course of the investigation which discloses facts that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the PHS needs to know to ensure appropriate use of federal funds and otherwise protect the public interest" (Title 42, Subchapter D of the Code of Federal Regulations, Part 50). Again, these reporting requirements, as well as the other procedures described in this document, apply only to research supported by agencies belonging to the PHS.

Except under special circumstances, the investigation should be completed within 120 days. Special circumstances include a large volume of material to be studied, inability of the outside experts on the investigation committee to render judgments quickly, and lack of cooperation from the respondent. If the committee is unable to meet the deadline, it should submit an interim report to the dean of the college, describing the progress of the investigation to date and the reason(s) for the committee's failure to meet the deadline.

### **Findings**

The findings should be submitted in writing to the dean of the college, the president, the respondent, and the funding agency. The finding can range from no fraud and no scientific error, through no fraud but significant scientific error, to serious fraud. If no fraud was found but the complainant's allegations were made in good faith, the College must make a strong effort to see that no retaliation is directed toward the complainant. If, on the other hand, the complainant's charges have been determined to be malicious and unfounded, disciplinary action against the complainant may be taken. Furthermore, the College must make "diligent efforts" to protect and, if necessary, restore the reputation of anyone wrongly accused. The College must send a complete report to the OSI in accordance with 42 CFR Part 50, published in the Federal Register of August 8, 1989.

The investigative committee presents its findings to the dean of the college and the president, who after review of the case will accept, modify, or reject the findings. In extraordinary cases the Board of Trustees may accept a petition from the respondent to hear an appeal from the findings.

### **Disposition**

If fraud or serious scientific error has been identified, the president and the dean of the college will take disciplinary action, as provided for in the Faculty Handbook. Possible actions include a letter of reprimand, suspension of duties for a stated time, salary reduction, or an initiation of action toward dismissal for cause and a hearing before the Faculty Judiciary

Committee. Concerned parties not already notified should be informed at the end of the process. They include sponsoring agencies, collaborators, co-authors, editors of journals in which fraudulent research was published, professional societies, and, where appropriate, criminal authorities.

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*Adopted by the Board of Trustees on June 21, 1990.*

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Last revised June 21, 1990

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For [Faculty](#)

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Maintained by Dean of the College Office

## Off-Campus Engagements

Faculty members may undertake off-campus engagements at their discretion provided these do not involve 1) more than three days in a month; or 2) missing more than one class meeting per course during a term per term for reasons unconnected with illness. Off-campus activities at a level above 1) or 2) require approval of the department chair and the dean of the college. Such activities will be permitted if they can be performed without compromising the faculty member's on-campus responsibilities.

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For [Faculty](#)

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Maintained by Dean of the College Office

## Patents

### I. General policy

Carleton College will seek patent protection for those ideas and discoveries (Developments) which arise out of the research activities of its faculty and staff where it appears necessary or desirable to do so.

### II. Definitions

Developments shall mean such products as inventions, discoveries, apparatus, devices, processes, computer hardware, computer software, plants, organisms, genetic material, etc. that arise out of employment activities of a Developer or are related to College Research. Developments do not include matter that is primarily educational, literary, or artistic in nature.

College Research shall mean, for purposes of this policy, all research conducted in the course of a Developer's employment with the College (including but not limited to the performance of a grant contract or award made to the College by an extramural agency) or with the use of College resources.

Developer shall mean any person employed or otherwise compensated by Carleton College, including faculty, visiting faculty and researchers, staff, employees, research and teaching assistants, residents, fellows, and trainees, who produces a Development.

### III. **Ownership of Developments**

All patentable Developments conceived or first reduced to practice by faculty and staff in the conduct of College Research shall belong to Carleton College. In cases in which the College either does not file an application within one year, or fails to make a positive determination regarding pursuit of a patent within six months from date of receipt of the disclosure notification, all of the College's rights shall be reassigned to the Developer upon request, subject only to such external sponsor restrictions as may apply.

This Policy does not apply to an invention for which no equipment, supplies, facility or trade secret information of Carleton College was used and which was developed entirely on the Developer's own time, and

- A. which does not relate
  - 1. directly to the business of Carleton College or
  - 2. to Carleton College's actual or demonstrably anticipated research or development, or
- B. which does not result from any work performed by the Developer for Carleton College.

### IV. **Duties of Developer**

With respect to all Developments, Developer will:

- A. promptly disclose such Developments to the College in writing;
- B. cooperate and assist the College in all phases of the patent application process;
- C. assign to the College all rights, title, or interest to Developments, and to all applications for and patents granted with respect to such Developments;
- D. acknowledge and deliver promptly to the College (at the expense of the College) such written instruments and cooperate as may be necessary in the opinion of the College to preserve property rights to such Developments against forfeiture, abandonment, or loss.

### V. **Royalty Distribution**

Total royalty income shall be distributed as follows:

- A. Gross monetary income received by the College from a

Development shall first be used by the College to reimburse itself for out-of-pocket expenses associated with the costs of patenting and licensing the Development.

B. Net income shall be distributed:

1. to Carleton College
2. to the Developer(s) in proportions agreeable among the Developers.

## VI. **Licensing**

Carleton College encourages the application and marketing of Developments resulting from College Research so as to each a public usefulness and benefit. It may, in appropriate circumstances, license an existing patent or Development on a non-exclusive basis up to the full term of the patent.

## VII. **Waiver Requests**

Requests for waiver of any provision of this policy shall be submitted in writing to the Dean of the College. The College recognizes that certain sponsors may wish to impose as a condition of the award of contract or grant funds special provisions which are at variance with this Patent Policy. Under such circumstances, the College may deem such proposals as requests for waiver under this paragraph subject to the additional condition that all faculty or staff engaged in research to be supported by the proposed grant or contract containing such provision shall acknowledge and accept those specific provisions.

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*Adopted by the Board of Trustees on April 17, 1997.*

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Last revised April 17, 1997

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## **Procurement, Suspension and Debarment Requirements for Federal Grants**

Carleton College is prohibited from contracting with or making sub awards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred by the federal government. The College will assure compliance with this federal regulation with confirmation from the System for Award Management (SAM) (<https://www.sam.gov>). SAM will be checked before making a sub grant or contract award of any amount to an outside organization. Third party payments associated with federal grants will be reviewed against SAM prior

to payment of \$25,000.00 or more. The Business Office should be contacted before entering into a sub-award arrangement. A Vendor Selection Form is required to be submitted for equipment purchases of greater than \$5,000.00 which will include the SAM check.

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Last revised August 31, 2012

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For [Faculty](#), [Staff](#)

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Maintained by Business Office

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

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Residential Living](#)[Information  
Technology,  
Documents, &  
Records](#)[Research](#)**[Travel &  
Transportation](#)**

# Travel & Transportation


## Driving Privileges

### Purpose

In order to protect the well being of its students, staff, faculty, and the public, and to comply with insurance company requirements, the College will conduct driver's record checks on students and employees who drive vehicles in the course of their jobs. The College has a responsibility to allow only individuals with driving records indicating a pattern of safe driving practices to operate Carleton owned or leased vehicles, golf carts, gators or personal vehicles driven on behalf of the College.

### Procedure

1. Employees must be presently licensed to drive a vehicle in the United States and receive an "insurable" notice from the College and insurance company before they may drive a Carleton owned or leased vehicle. Anyone who either wishes or is required as part of his or her job to drive a College owned or leased vehicle must request insurance review by filling out a [waiver](#) allowing the College to review their Motor Vehicle Report. The College uses a point system to review the Motor Vehicle Report (MVR) results over a three year period in addition to any accidents on campus to determine whether a driver will be approved to drive on behalf of the College and be added to the Approved Drivers List. It is the responsibility of the employee to avoid driving a College vehicle or leased vehicle unless they are on the Approved Drivers List. Substitution of a personal vehicle for College business is prohibited.
2. Supervisors will be notified if an employee is classified as uninsurable with 15 points or more. The supervisor will make a corrective action plan for the employee within five (5) days of their notification. This plan would include immediate suspension of driving privileges until the

 [Text Only/ Printer-Friendly](#)

- points could be reduced to 14 or fewer points.
3. Employees required to drive as a part of their employment will have 30 calendar days from the date notified by the supervisor to become insurable by taking the appropriate driving course (defensive driving or alcohol education) to receive credit points to reduce their total points to less than 15 points. During those 30 days the employee may be suspended without pay. If the Risk Manager receives a certificate of course completion within 30 days, the Risk Manager will notify the insurance company of the certificate and will inform the supervisor. Failure to become insurable within the 30 days will likely result in termination from the position.
  4. Employees whose driving license has been suspended or revoked by the Department of Motor Vehicles must inform their supervisor of that action within twenty-four (24) hours. Supervisors must then notify the Risk Manager and make the appropriate correction action plan for the employee within 5 days. Vehicles may not be issued to employees whose license is suspended or revoked and substitution of a personal vehicle for College business is prohibited. If an employee fails to report a suspended/revoked license or chooses to drive while in an uninsurable status, disciplinary action will take place up to and including termination.
  5. Employees involved in a motor vehicle accident involving Carleton vehicles when on College property must notify the Security Department immediately and the point result from the accident will be included in the review of the MVR total.
  6. Employees receiving traffic citations involving moving violations citations issued by a municipal, county or state law enforcement officer while operating a Carleton owned or leased vehicle must report the citation to their supervisor and the Risk Manager within twenty-four (24) hours.
  7. Employees involved in a motor vehicle accident while operating Carleton owned or rental vehicles must call the state police before moving the vehicle. The Carleton Security Department must also be notified immediately.
  8. The use of Cell phones (including texting) is prohibited while driving College vehicles or while you are driving on College business.
  9. Individuals are encouraged to use a College owned vehicle for business travel by auto. It is important for employees to be aware that when using a personal car for Carleton business use, the employee's personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for

the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.

10. Supervisors may access the list of approved drivers by going to the I drive. The file path is Collab/Departments/BUSO/BUSO-Shared/Campus/Approved Drivers.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Human Resources

## Headley Travel Fund for Professional Meetings

The College also supports professional development through the Headley Travel Fund. Faculty who are not eligible for the Professional Development Account (PDA) are able to apply to the Headley Travel Fund to support travel to professional meetings. Faculty eligible for the PDA can apply for supplemental support from the Headley Travel Fund as well. Since the first trip in each fiscal year must be financed through the PDA, faculty who apply for Headley Travel Funds will be asked to submit a list of expenses that have been charged to their PDA. [Application forms](#) for the Headley Travel Fund are available on the dean of the College Web site.

The College will contribute to travel expenses from the Headley Travel Fund, where the trip has been approved in advance, under the following conditions:

- Eligible expenses include: a) a competitively priced airfare for round-trip travel between Minneapolis and the meeting location, and b) \$100 per night for up to two nights in residence during one professional meeting each year.
- The faculty applying to this fund may normally expect to receive funding for only one such request a year.
- In general, expenses will not be paid for trips to points less than 100 miles from Northfield.
- For travel by private car, mileage will be paid at the regular College rate for the use of private vehicles, provided this cost does not exceed the cost of round-trip airfare.
- Headley Travel funds are intended for use only where the trip or a portion of it is made specifically and primarily to attend professional society meetings. They are not intended to support attendance at such meetings which is incidental to travel for other purposes, e.g., holiday trips and family vacations.



- Full-time visiting faculty members are eligible for up to \$1,500 per year.

Since the Headley Travel Fund cannot usually accommodate all the members of the faculty who apply for assistance from it, faculty who plan early and avail themselves of special incentive airfares can help to stretch the Headley Fund and allow more of their colleagues to travel. In addition, faculty who have received authorizations for travel funds, but due to a change of plans do not make use of them, are urged to inform the office of the dean of the college immediately of such a cancellation. Prompt notification sometimes makes it possible for a colleague's application to be approved.

Applications for grants from the Headley Travel Fund should normally be submitted to the office of the dean of the college before January 1, for approval in advance, and will be considered in the order in which they are received. A limited portion of the budgeted funds may be reserved until later in the year to allow for applications from faculty members who do not have adequate information before the January 1 deadline.

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Last revised June 26, 2013

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For [Faculty](#)

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Maintained by Dean of the College Office

## Off-Campus Engagements

Faculty members may undertake off-campus engagements at their discretion provided these do not involve 1) more than three days in a month; or 2) missing more than one class meeting per course during a term per term for reasons unconnected with illness. Off-campus activities at a level above 1) or 2) require approval of the department chair and the dean of the college. Such activities will be permitted if they can be performed without compromising the faculty member's on-campus responsibilities.

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For [Faculty](#)

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Maintained by Dean of the College Office

## Official Closings and Winter Storms

### Official Closings

On rare occasions the College may officially close (although classes may still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement

winter weather. In such events, the process for an official closing will be determined only through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following:

- E-mail (if operational) by one of the determining listed administrators;
- Voicemail message by the Telecommunications Department;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining administrators (i.e. President, Vice President and Treasurer, Dean of the College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of the College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus. For instructions on how to do this, please reference the Carleton College Telecommunications Guide.

When the College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is a question as to optional task completion, please confer with your supervisor for direction.

**NOTE:** Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storms**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail and/or telephone.

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Last revised December 7, 2005

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Student Motor Vehicles and Parking

It is the responsibility of all students who bring a motor vehicle to Northfield to be aware of the motor vehicle policies and regulations below.

### Registration

**All student motor vehicles, including students living off-off (Northfield Option), are required to be registered with Security Services.**

Applications may be submitted via the [Online Vehicle Registration Form](#), or may be picked up in the Security Services office, Sayles-Hill 205.

### Regulations

- **The MOTOR VEHICLE POLICY shall be in effect on the first day of classes Fall Term through the Final Exam Spring term, including midterm breaks, winter and spring vacation/break.** While attending Carleton College, students are not permitted to drive or possess motor vehicles (cars, trucks, motorcycles, and other such licensable motor vehicles) within the city limits of Northfield except as outlined in the policy.
- A student desiring to drive or park on campus for any other reason must first obtain permission from the Administrator of the Student Motor Vehicle Policy. The term “campus” is used as defined in Article I of the Student Judicial Code.
- **Any student desiring to maintain a motor vehicle in Northfield after the first day of classes must obtain permission to do so. Unauthorized student vehicles parked on campus or in Northfield after the first day of classes of each term will be subject to a fine, autoclamp, or towing at the owner's expense.** Applications for such approval must be submitted to the Administrator of the Student Motor Vehicle Policy. Students granted permission to keep a vehicle in Northfield will be issued a parking permit. The parking permit must be

affixed to the rear bumper of the vehicle. Applications for Fall Term must be submitted and approved prior to the first day of classes, and applications to maintain a vehicle in Northfield for either Winter or Spring Term must be submitted prior to the end of the previous term. Those students whose applications are received after the available spaces have been assigned will be asked to remove their motor vehicles from Northfield. For this reason it is required that students obtain permission before they bring motor vehicles to Northfield.

- A student may request permission to drive a vehicle to Northfield and to keep it in Recreation Center parking lot for the duration of the term. An off-street parking space will be assigned on a first come, first served basis and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a vehicle in Northfield or a fine. Once parking stalls reserved for student use are assigned to capacity, students will be responsible for securing their own off-street, off-campus parking space. No student enrolled at Carleton will be permitted to park a motor vehicle on the city streets, between the hours of 2 a.m. and 6 a.m.
- A fee of \$75 plus tax per term will be charged for storage or parking of a motor vehicle on campus. If students have arranged to store vehicles elsewhere and can provide their own off-street parking space (e.g., renting a garage), they may do so; however, the vehicle must still be registered with Security Services. A student may register their vehicle for the entire academic year during the Fall term at a fee of \$200 plus tax. If registering for the Winter and Spring term only, the fee is \$125 plus tax.
- Students of any of the following categories may apply to the Administrator of the Student Motor Vehicle Policy for a Inner Campus parking spot for one motor vehicle:
  - students living in College-owned housing who have one-half or less of a board contract with the College (limit of one vehicle per house or living unit). An off-street parking space will be assigned if available and the motor vehicle must be stored in that space; failure to comply will result in loss of the privilege of maintaining a motor vehicle in Northfield or a fine;
  - students showing proof of employment or internship during the term and demonstrating that a vehicle is required a) to get to and from the place of employment, internship or b) in the performance of the student's duties on behalf of the employer. An off-street parking space will be assigned if available and the motor vehicle must be stored in that space; failure to comply will

result in loss of the privilege of maintaining a motor vehicle in Northfield or a fine.

- Any student will be permitted to drive a vehicle for any purpose except they may not be driven or parked on campus other than in their assigned parking lot. No student enrolled at Carleton will be permitted to park their vehicle overnight on a city street. Students who use personal vehicles for College business are advised that by law every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance. Under the financial responsibility law for the State of Minnesota, an owner is legally responsible for his or her own automobile when the car is being used by a second party. He or she becomes liable for any negligence of the driver of the car. For this reason we ask that all faculty, staff, and students who use or loan their cars for authorized college trips be sure that satisfactory limits of insurance for bodily injury, property damage, and medical payments are carried.
- Students may drive commercially rented cars for personal use, provided that they drive them as directly and expeditiously as possible from the rental firm to a point outside of Northfield, and, upon returning to Northfield, drive them as directly and expeditiously as possible back to the rental firm.
- Students will also be permitted to drive their employer's vehicle in the performance of their duties on behalf of the employer.
- Students possessing a motor vehicle for a period of up to two weeks must obtain a temporary parking permit from the Administrator of the Student Motor Vehicle Policy. Vehicles issued a temporary permit must park in a lot assigned by the Administrator of the Student Motor Vehicle Policy. There is no fee for a temporary parking permit. Students are limited to one two week temporary parking permit per academic term.
- Students leaving their vehicle on campus during Winter/Summer vacation must obtain permission and parking assignment from the Administrator of the Student Motor Vehicle Policy. Failure to obtain such permission may result in the owner being responsible for substantial towing and storage fees.
- Students living in non-College housing off campus who will provide their own off-street parking space (vehicle registration for this category is valid for the entire academic year and there is no parking registration fee assessed).

## Where to Park

- STUDENT OWNED/OPERATED VEHICLES PARKED ANYWHERE OTHER THAN THEIR ASSIGNED PARKING LOT WILL BE SUBJECT TO FINE/TOW! **Please note:** If you have been assigned to the **Townhouse parking lot**, you **must** park in the south lot. Do not park in the north stadium lot. Violators will be subject to ticket/tow.
- **City of Northfield parking regulations** state (1) no person shall park a vehicle in one space upon a street or municipally owned parking area for a period exceeding 48 hours, and (2) there shall be no parking on city streets between the hours of 2 a.m. and 6 a.m. from November 15 until March 15.
- Students living in non-college owned housing must provide their own off street parking space. **Vehicles cannot be stored or parked on a city street between the hours of 2 a.m. and 6 a.m.**

## Violations and Penalties

Any motor vehicle maintained in Northfield which has not been registered with the Administrator of the Student Motor Vehicle Policy constitutes an unregistered vehicle. The following system of penalties will be imposed upon offenders:

- possession in Northfield of an unregistered vehicle: first offense, \$50 fine; second offense, \$75 fine; subsequent offenses, \$100 fine, autoclamp, tow, or loss of parking privileges on campus;
- parking on a city street between 2 a.m. and 6 a.m. or unauthorized parking of a registered vehicle on campus: first offense, \$10 fine; second offense, \$20; subsequent offenses, \$40 fine, tow, or loss of parking privileges on campus; parking in a handicapped stall, up to \$200 fine and/or tow;
- parking in a fire lane, \$25 fine and/or tow;
- all other violations of Carleton College parking regulations, \$10 fine and/or tow;
- careless or reckless driving on any campus road or walkway; first offense, \$20 fine; second offense, \$40 fine; third offense, loss of right to operate a motor vehicle on campus for a period of one year.

In addition, offenders will be responsible for all fees incurred in determining ownership of a motor vehicle.

## Reporting Possible Violations

All complaints against students concerning Student Motor Vehicle Policy violations shall be submitted to the Administrator of that policy. Complaints may be filed by any member of the Carleton community, as well as by any resident of Northfield. Reports should include the following information if available: a description of the vehicle, its license number and state, the location, time and date of the alleged violation, and details concerning the nature of the incident. Security personnel shall file regular reports concerning the status of vehicles sighted on or adjacent to College property. These reports shall also include details of any unauthorized violations actually witnessed. Security personnel shall have the right to question any students concerning their relationship to a specific vehicle, should probable cause for suspicion of a violation exist.

## **Processing of Reported Violations**

In the case of unauthorized use or parking of the reported vehicle, the offender shall be issued a violation report.

In the case of a vehicle that is suspected of being maintained in Northfield and unregistered by a student, an inquiry shall be made to the state in which the vehicle is licensed to determine its owner.

- Should the vehicle be legally registered in that state to a Carleton student, said student shall be issued a violation report.
- Should the vehicle be legally registered in that state to a member of the immediate family of a Carleton student, and there exists substantial indication that the student is in possession of said vehicle in Northfield (e.g., the vehicle is registered in New Jersey in a parent's name), the student shall be issued a violation report.
- A denial of possession in Northfield must be supported by a written statement from a third party who claims to have had the vehicle in his or her possession at the time of the alleged violation. If such information is received within five academic days, charges brought against the student may be dropped. Should the student fail to provide such information within this time limit, he or she shall be assumed to have had possession at the time of the reported violation.

## **Parking Fine Payment and Appeal Procedure**

- Fines imposed for violations of the Student Motor Vehicle Policy or Carleton College parking regulations will be due and payable in the Business Office or the Hub upon receipt by the student of a Violation Report.
- Any alleged violator may assert the existence of extenuating

circumstances for a violation of the policy or that he or she can establish that he or she did not commit the alleged offense.

(Ignorance of any part of the Policy will not be considered as a valid excuse for an offense.) Such assertion must be delivered in writing to the Administrator of the Student Motor Vehicle Policy within five academic days after delivery of the notification. The matter will be dismissed or sustained in accordance with Carleton College parking regulations. The student relinquishes this right if he or she fails to contact the Administrator of the Student Motor Vehicle Policy within the prescribed time period.

- When a violation is accompanied or characterized by other behavior such as careless driving, driving while under the influence of alcohol or other drugs, or other behavior in violation of the Student Judicial Code, the student may be charged with additional violations of the Student Judicial Code and/or Minnesota State Statutes.

## Notification

Notification to the student offender shall include all the information supplied on the violation report. Violation reports will normally be issued through the campus mail system.

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Last revised December 12, 2012

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For [Families](#), [New Students](#), [Prospective Students](#), [Students](#)

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Maintained by Security

## Travel (or Non-Travel) Accident Insurance

**College-Provided Travel Accident Insurance:** Employees of the College who are full-time or part-time (working 17.5 hours per week) are covered under an Associated Colleges of the Midwest Travel, Accidental Death, and Dismemberment policy when in a business travel status for the College. The benefit amount under this program is equal to two (2) times base annual salary, subject to a minimum of \$50,000 and a maximum of \$300,000. The benefits are paid to the group life insurance beneficiary in the event of death.

**Travel Assistance Program:** The Hartford offers benefit-eligible employees a travel assistance benefit with several unique services including visa, passport, and inoculation and immunization requirements; travel advisories; foreign exchange rates; embassy and consulate referrals; medical referrals (referrals to medical providers worldwide); medical evacuation; and many more. Service is available 24 hours a day, seven days per week.



**Voluntary Travel/Non-Travel Group Accident Insurance:** The College offers a voluntary plan of group accidental death and dismemberment insurance, which covers both occupational and non-occupational accidents. This insurance is available to regular benefit-eligible employees. This is 24-hour protection designed to cover not only travel accidents but other kinds of accidents as well (with certain standard exclusions) whether or not the employee is on College business. The cost of this protection is based on the benefit amount selected for either the employee-only plan or the family plan. This insurance is available in amounts ranging from \$50,000 to \$500,000 in increments of \$25,000. The premium is payable on a monthly basis through payroll deduction.

Further details and applications can be obtained from the Office of Human Resources.

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For [Faculty](#), [Staff](#)

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Maintained by Human Resources

## Travel Time for Non-Exempt Staff

If a non-exempt employee is sent to outside training, such as a seminar or conference, the employee is to be paid for their normal work hours (i.e. 8:00-12:00/1:00-5:00) and no travel time. An exception would be if either before or after the training session, the employee was required by their supervisor to report to work to perform work duties or to receive instructions, then travel time would be included in the hours worked. An employee may submit a request for mileage payment.

Travel time for an overnight trip made during non-working hours is non-compensable. An employee would be paid for their normal working hours (i.e. 8:00-12:00/ 1:00-5:00).

If the outside training falls on a normal day off, such as a Saturday, the employee would be paid for their normal working hours (i.e. 8:00-12:00/1:00-5:00). Overtime may be avoided by scheduling a different day off during the same work week.

Staff will be reimbursed for personal vehicle mileage for travel on college business if a request is submitted.

Part-time exempt staff will follow the same guideline as stated above for non-exempt staff with being paid according to their normal full time equivalency (FTE). An exception would be if they attended an eight hour seminar, they would get paid for eight hours for that day. Hours exceeding their FTE may be avoided by scheduling a different day off during the same workweek.

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Last revised April 1, 2010

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For [Staff](#)

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Maintained by Human Resources

## Travel, Entertainment, and Business-Related Expenses

This policy is intended to be used as a guide for college related travel, entertainment and business-related expenditures. It supports our belief that all business related expenses for the College should be undertaken in the most economical way consistent with achieving the objectives of the College.

The Internal Revenue Service has issued publication 463, Travel, Entertainment, Gift and Car Expenses. In the regulations, the IRS states that ordinary and necessary business related expenses are deductible and reimbursable. The IRS defines ordinary as “common in your field of trade, business or profession”; and necessary as “helpful and appropriate for your business”. The IRS states that meals, hotels and entertainment expenses cannot be “lavish or extravagant”. Carleton reimburses employees for travel and entertainment expenses under “an accountable plan”. The IRS defines an accountable plan as follows:

- there must be a business reason for the expenses
- the employee must substantiate the expenses
- the employee must return to the employer any amount advanced in excess of the substantiated expenses on a timely basis

To be in compliance with the IRS, the College has prepared the following accountable travel and business expense plan. These guidelines apply to all business related expenditures made by College employees and faculty. Faculty travel funded by federal grants must also comply with federal travel regulations as outlined in their individual grant proposals.

Departments may choose to have employees complete a Travel Budgeting Tool to have an estimate of the travel expenses prior to the trip. When traveling on behalf of the College please leave your itinerary and emergency contact information with your department chair or manager.

***This is an evolving document. Updates will be made as regulatory (IRS) and industry standards change. Employees should review the Travel Policy at least annually to be sure that they are in compliance with the guidelines.***

## **Travel and Reimbursement Payment Requests**

The IRS requires that reimbursements must be processed within 60 days following the event or trip or they are subject to taxation.

These policies apply to Carleton VISA transactions and items submitted for reimbursement on a [Payment Request Form](#).

Reimbursements will be automatically deposited into your chosen bank account.

## **Travel Advance**

A travel advance can be issued to a traveler by the Business Office if it has been approved by an authorized supervisor and is received at least one week in advance of the trip. Advances are made to Carleton personnel only. The IRS requires that advances must be cleared within 120 days or they are subject to taxation.

## **Business and Personal Travel**

In instances where a traveler interrupts business travel for personal convenience, travels by an indirect route, or is accompanied by his/her spouse/companion not on College business, the traveler must maintain accurate records to substantiate official business travel. You can edit the Use of Personal Vehicles form which can be found on the Business Office website to help you document your travel decision. The College does not reimburse any expenses incurred on behalf of the spouse/companion/children or for their personal travel.

## **Charter and/or Private Aircraft**

For the safety of travelers, Carleton does not recommend flying on charter and/or private aircraft. The College assumes no liability for death, personal injury, or property damage in connection with charter/private aircraft travel.

## **Group Travel**

Travel by a group of employees in the same aircraft, automobile, or other mode of transportation is discouraged when the employees' responsibilities are such that an accident could seriously affect the functioning of the College. Key employees, such as the President, Vice Presidents, Deans or a substantial number of employees from the same department should consider this risk when making travel arrangements.

## **Spousal or Companion Travel**

The payment for spouse traveling on business is closely regulated by the IRS. The IRS requires a "bona fide business purpose" for the spouse to be on the business trip for the expenses to be reimbursable. The business purpose must be clearly documented on all travel forms. In the specific

circumstance where non-business spousal travel is approved it will be treated as taxable income to the employee.

## 1. **AIR/RAIL TRANSPORTATION**

### **Domestic Air Travel**

The standard domestic or North American airline accommodation is coach class utilizing special fares on nonstop and connecting flights. If you choose to use first class you will need to obtain documentation of coach fare vs. first class and pay for the difference with your personal funds.

Travel reservations should be made as far in advance of the required departure date as possible to take advantage of discount airfares. This usually requires booking 7 to 14 days in advance. The more flexible your schedule, the easier it is for you to find the lowest fare.

Participation in frequent flyer programs is encouraged. All incentives are for your benefit and use.

### **International Air Travel**

The standard accommodation on transoceanic flights is “lowest coach available fare.” Airfare costs in excess of the lowest available commercial discount airfare are not allowable except when it causes undue hardship (i.e. physical limitations, scheduling challenges, etc.). Allow adequate time to arrange the most cost effective airfare for your international destination.

The College’s Travel Insurance carrier does not provide coverage in “war risk” countries. Risk Management should be contacted to verify that the country in which you are traveling is afforded coverage.

### **Airport Parking**

Carleton employees can take advantage of discounted parking rates with EZ Air. EZ Air has a minimum requirement of three parking stays per month to stay active in our corporate discount program.

### **[EZ Air Park Location & Directions](#)**

Our corporate rate is \$1.00 per day off our regular rate or currently \$10.00 per 24 hour day and \$60.00 per week (7th day is free). When our employees use the services, they only need to show the cashier upon checkout, their Carleton ID badge, or submit a business card or show some other proof of employment to get the discounted rate. Employees can take advantage of the EZ Air frequent parker

program. They will stamp a card for each paid day of parking. Once the card is full with 10 stamps it can be turned in for a free day the next time they travel. Employees can use this discounted rate for business travel or for personal travel.

EZ Air is open 24 hours a day, 7 days a week, including holidays. EZ Air suggests arriving about 20-25 minutes before you want to be at the airport. Shuttles run every 5-10 minutes and it is an 8-12 minute ride to the airport.

### **Frequent Flyer Miles**

Employees may retain frequent flyer miles earned while on College business and may use them in any way they choose. The College does not redeem or reimburse employee frequent flier tickets.

## **2. GROUND TRANSPORTATION**

### **CAR RENTAL**

#### **Policy and Guidelines**

**Authorized Carleton Drivers** can rent cars if it is economical and a business necessity. To determine if you are an authorized driver, please go to **Collab/Departments/BUSO/BUSO-Shared/Campus/Authorized College Drivers**. Rentals should be limited to situations where other means of transportation are not practical, economical or available. Travelers are encouraged to choose compact or mid-sized cars whenever possible. Rental of 15 passenger vans is strictly prohibited. All rentals should be at the Corporate Rate or the lowest possible rate per day. When traveling in groups, sharing of cars is encouraged to reduce costs. Exercise good judgment prior to renting an automobile. At today's rates, cabs may be more economical when traveling in cities. Collision damage or personal accident insurance should not be accepted for business travel rentals since the College carries insurance on hired autos; however, insurance should be accepted when traveling outside of the United States and Canada. Claims should be reported to the Risk Manager (507-222-4178) as soon as possible. When working with a travel agency, car reservations should be made at the same time your airline reservations are made. The College has discount arrangements with various [car rental companies](#). In the event "special rates" are available, they should be used when they are more economical than the negotiated rates.

#### **Cancellation**

Advise the car rental company or the travel agency if you decide to

cancel a car reservation. Automobile rental companies also appreciate it if you advise them in the event you plan to keep a car longer than you originally planned. This allows them to keep a current status of their cars.

### **Refueling**

Travelers should be aware that refueling fees often exceed the pump price of gas available in the community. Travelers should refuel before returning the car to the agency. Fuel costs associated with refueling a rental vehicle will be reimbursed based upon actual fuel purchased, not mileage.

### **Rental Car Contracts**

The College recommends the State of Minnesota contract through Enterprise/National for rentals with contract pricing which includes insurance. [Carleton's Transportation website link](#) is tied to our contract pricing or you may call the local office at (507) 664-9944. When renting a vehicle for College business, it is important to familiarize yourself with the rental company's accident reporting procedures. The accident procedures are often printed on the rental agreement. If you are involved in an accident with a rental vehicle, please adhere to the agency's reporting requirements. If you are renting outside of the Enterprise/National Contract you should provide the name of the College's insurance company, **Citizens Insurance Company**, and direct the owner of the other vehicle to the Carleton website <http://apps.carleton.edu/campus/business/businessofficeforms/> for our [certificate of insurance](#). They may also contact the Risk Manager at (507) 222-4178 for additional assistance.

### **College Vehicle**

College vehicles are available for business travel to authorized College drivers. Requests for College vehicles should be arranged through Campus Services, contact x4443.

College owned or leased vehicles are to be used for business use. Employees may not use College vehicles for personal purposes.

Carleton College maintains a fleet of shared vehicles that are available for use by pre-qualified drivers of the College conducting official Carleton College business. The fleet consists of four Toyota Hybrid Priuses, ten minivans, and one cargo van. Carleton College does not own vehicles that are equipped to carry more than seven persons. **Vehicles that accommodate up to 12 persons may be used but they must be procured from an outside rental vendor.** Smoking is prohibited in Carleton College fleet vehicles. Pets are not allowed in College vehicles unless they are properly kenneled and

restrained.

1. The driver of a College vehicle is responsible for the vehicle and its occupants. The driver should be familiar with the principles of safe and lawful operation of a motor vehicle and must obey all traffic laws. Failure to assume proper responsibility (safe and lawful operation) for the vehicle and its occupants will result in loss of driving privileges.
2. College vehicles and rental vehicles being used for College business are to be driven only by "pre-qualified" Carleton College employees or students. To pre-qualify (**faculty/staff**): Complete a Motor Vehicle Report Release Waiver and submit it to the Risk Management Office. To pre-qualify (**students**): Complete a Student Driver Application form, apply for a certified copy of your driving record (obtained from your home State's Department of Motor Vehicles) and submit it to Campus Services, attend defensive driver training, and read the Fleet Vehicle Policies/Procedures notebook. Student drivers are required to provide a certified copy of their motor vehicle records (MVR). Students must renew their driving status in January of each year by submitting a current driving record. Driver training sessions are held on campus at various times throughout the year.
3. If an authorized driver is involved in a motor vehicle accident or receives a moving violation, he or she may be required to attend additional defensive driver training. Students may be asked to provide new MVRs upon a qualifying event such as receiving a moving violation ticket or being involved in an accident either in a personal vehicle or a College-owned vehicle.
4. The list of authorized faculty and staff drivers is maintained by the College's Risk Manager and may be found on Carleton's shared drive "Collab" , the student driver list is maintained by the Fleet Vehicle Manager. Copies of both lists are kept in the Campus Services Office and may be referred to prior to checking out a vehicle key. Copies of the student list are distributed to several departments who authorize student travel and upon request.
5. College vehicles are not to be used for personal business. All vehicle use will be charged through the College's budget system and a budget number must be supplied for each vehicle reservation. Per mile rates are \$.48 for compact cars and \$.53 for minivans. Departments and groups will be charged a 100 mile assessment fee if they fail to pick up a reserved vehicle.

6. The use of rooftop carriers or similar externally mounted storage containers on College-owned/leased passenger vehicles is prohibited. The College has one cargo mini-van, which can be used in place of trailers and/or rooftop carriers. Trailers containing a boat or other such apparatus that cannot easily fit in the cargo space may be towed using the cargo minivan. The College has purchased a utility trailer which may also be used behind a cargo van when more storage is required. **Only authorized faculty and staff who have experience towing trailers are allowed to tow a trailer of any kind behind the College-owned vehicles. STUDENTS ARE PROHIBITED FROM USING A TRAILER OF ANY KIND.** All drivers are encouraged to use the space in a cargo van in place of a trailer whenever possible.
7. When there is a state-issued traveler advisory in effect due to a storm warning, no travel will be allowed. Keys will not be issued for reserved vehicles and everyone traveling in College vehicles should seek shelter until driving conditions improve and all traveler advisories have been lifted.
8. Accidents that occur on campus property should be reported to Carleton Security immediately. Accidents that occur off campus property must be reported to the local police at the time of the accident and to Carleton Security immediately upon return to campus. If there are injuries or if the vehicle is not in “driveable” condition--either due to an accident or mechanical difficulties--contact Fleet Services at 507-222-4443 (Carleton Security at 507-222-4444 after hours) for assistance. Insurance information is kept in the glove compartment of each vehicle. The College will review all accidents involving College vehicles. Determination of future eligibility for drivers involved in accidents will be made on a case-by-case basis. Refer to full College policy for [Accident Procedures](#).
9. Drivers are required to use a “lookout” person to help watch while the driver is backing up a vehicle. Whenever possible, the driver should ask a passenger to assist by getting out of the vehicle and watching until the vehicle has cleared any obstacles and is safe to proceed forward.
10. Any parking or moving violation citations are the driver’s responsibility. The College will not pay any fines.

Insurance information is located in the glove compartment of all fleet vehicles. If a fleet vehicle is damaged and cannot be driven, have the vehicle towed to the nearest dealership or repair facility and make



alternative arrangements to return to campus or continue to your destination (taxi or rental vehicle).

### **PERSONAL VEHICLES**

Employees are encouraged to use a College owned vehicle for business travel by auto. It is important for employees to be aware that when using a personal car for Carleton business use, the employee's personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.

Travelers will be reimbursed for business usage of personal cars based on mileage. The current reimbursement rate is listed on the [Payment Request Form](#). Attach a mileage log or Mapquest type mileage sheet to document the mileage. The College mileage rate is updated annually each July, based on the then applicable IRS mileage reimbursement rate.

Employees will not be reimbursed for the following, even if these costs are incurred during business travel:

- Car repairs
- Rental car costs during repair of personal car
- Tickets, fines, or traffic violations

Employees are encouraged to use a College owned vehicle for business travel. It is important for employees to be aware that when using a personal car for Carleton business use, the employee's personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.

### **Other**

#### **Vehicle Accident Reporting Procedures**

For All Accidents:

1. Pull out of the driving lane on to the shoulder and turn off the ignition.
2. Activate the four-way flashers on the vehicle.
3. **Immediately** contact the local police (911) to advise them of the

accident and to get medical assistance if there are any injuries. Fleet vehicles contain emergency items including a first-aid kit.

4. Do not admit fault or give written statements.
5. Exchange driver's information listed on your certificate of insurance. **At a minimum**, write down:
  - Driver's name
  - Driver's license number and state
  - Phone number
  - Address
  - Insurance Company and policy number
  - License plate number
    - Be prepared to provide the following additional information when you return to campus:
      - Make, model and year of vehicle
      - Damage to vehicle
      - Injury to driver, if any
      - Date, time, road and weather conditions
      - Names and phone numbers of any passengers
      - Injuries to any passengers
      - Names and phone numbers of any witnesses
      - Copy of any photographs
  - When local police respond to the accident, request the investigating officer's name, badge number, phone number, and report number. Ask for an accident report form. If the local police will not file a report (because damage is minimal and there are no injuries), ask them to make a note in their records that you called in the accident.

### 3. **OTHER**

#### **Injuries**

Employees who suffer injury or illness by an accident arising out of and in the course of their employment, whether on or off campus, are provided medical care and other benefits under Worker's Compensation. If injured while on College business, travelers should contact Human Resources at (507) 222-4174 for guidance.

#### **Lost Items**

Lost baggage, clothing, or other personal items are the responsibility of the traveler. Recovery for such personal losses may be available through the employee's homeowner's insurance.

### **Unused Tickets**

Any ticket or portion of a ticket that is not used must be returned to the travel agency to appropriately credit the College. If the traveler has already received payment for the ticket in advance of the trip, the traveler must provide reimbursement directly to the College.

### **Travel Insurance**

Faculty and staff traveling on business, either domestically or abroad are covered by the College's Insurance Policy. This coverage applies only to trips on College business, not for a traveler's personal travel. The cost of any additional travel insurance is not reimbursable.

### **Currency Exchange and ATM Fees**

The College will reimburse employees for currency exchange fees. Employees are encouraged to pay for meals, hotels and other expenses on their Carleton Purchasing VISA Card as the cards often offer the safest and most economical exchange conversion.

The College discourages employees from carrying large amounts of cash while traveling. In most cases, using an ATM machine will provide an appropriate rate and will reduce the amount of cash the employee has on his/her person. ATM fees for cash withdrawals will be reimbursed. Traveler's checks are a good safe method of bringing money on a trip, although the fees involved with obtaining traveler's checks can be high.

### **Registration Fees**

Advance registration fees for seminars and conventions should be paid using your Carleton Purchasing VISA Card or paid directly by yourself and request reimbursement directly to you. Original receipts or proof of payment are required for reimbursement.

### **Telephone and Other Communication Charges**

**Business** – The College will pay charges for metropolitan and long-distance calls made outside a College office provided a hotel or telephone bill substantiates the calls. The Internal Revenue Service requires documentation of the business purpose for all reimbursed phone calls.

**Cell Phones** – A limited number of cell phones are available to take on a College business trip. Please contact the [Telecommunications Department](#) for more details. Any use of a cell phone or other

personal electronic devices is prohibited while driving or using other equipment or machinery such as forklifts, gators, golf carts, etc. Please have another person in the vehicle use the cell phone/device or pull over prior to using a cell phone.

Employees operating any motor vehicle while working or in a company vehicle must always follow governing state, federal and local laws regarding the use of cell phones and other personal electronic equipment.

**Internet Charges** – Internet phone charges while in travel status will be reimbursed if appropriate business purpose is documented.

### **Citations / Arrests**

Drivers are responsible for payment of fines for all citations, including moving violations or parking tickets. All citations for moving violations must be reported to the Risk Manager at (507) 222-4178.

If you are arrested at the scene of an accident (e.g., for drunk driving, reckless endangerment, etc.) you are responsible for any legal costs you may incur including attorney fees, bail, court costs, towing, impound fees, etc. The College is not responsible for any unlawful acts of its employees or students, and will not defend or indemnify them for alleged wrongful acts involving the use of its vehicles or vehicles rented on college business.

## **4. LODGING**

### **Lodging Expenses**

Travelers should use standard accommodations at reasonably priced mid-market hotels or motels. The College does not approve accommodations at up market or luxury hotels (Ritz, Four Seasons, etc.) However, an exception is made for a conference or workshop.

Request the minimum rate available or corporate rate, whichever is lower. When the reservation is made, the only available room may be in a higher category. Therefore, at check-in, you should always double check to insure you are getting the lowest rate. Original itemized hotel receipts are required for reimbursement.

### **Cancellations**

Hotel reservations are typically guaranteed for late arrivals, travelers are required to cancel these reservations in a timely manner to prevent no show charges. If you need to cancel, be sure to note the

hotel time, and get a cancellation number or the name of the person with whom you talked. Except under extenuating circumstances, the College will not reimburse expenses due to a traveler's failure to cancel guaranteed room reservations.

### **Gratuities For Hosts**

When staying with a friend rather than in a hotel, a "meal or gift in lieu of" hotel costs is reimbursable. The gift or meal should be reasonable and not exceed the cost of acceptable accommodations. You must provide receipts for the expenses incurred. Cash payments to a host are not allowed. The gift/meal must be purchased and presented to the host during the trip. Explanation of such items should be submitted with the Employee Reimbursement Form.

### **Miscellaneous Hotel Expenses**

Miscellaneous expenses must be itemized and documented.

Examples include:

- Limited laundry and dry cleaning charges for trips of more than five days.
- Tips to bellhops, maids, etc. should be totaled and listed separately on the Employee Reimbursement Form (no receipt required).
- Business telephone calls

### **Room Service**

The College discourages use of room service or the hotel mini-bar for meals due to the high mark up on these services.

## **5. MEALS**

Meals for employees while away on College business or entertaining on College business will be reimbursed. Entertainment Expenses are those expenses incurred while entertaining guests of the College and include events such as social and recreational activities, when a business discussion takes place immediately before, during or after the event. Meal costs for business related participants will also be reimbursed. The IRS requires that all requests for meal reimbursement must document the following information, most of the information is already printed on the receipt:

- Who attended (self, if alone)
- Business purpose of the meal
- Cost

- Where the meal was taken
- The date

Original itemized receipts must be submitted for any meal or entertainment expense regardless of cost.

***Note: In situations where a receipt is not readily available (i.e. international travel where meals are purchased at a market), you are asked to provide the information listed above.***

IRS regulations state that expenditure for meals cannot be *lavish or extravagant*. The College does not reimburse on a “per diem basis”. However, the Meals and Incidental Expense rates for federal government employees provide a reasonable guide.

The Meals & Incidental Expense rates differ by travel location. To view the rate for your primary destination to determine which M&IE rates apply. [www.gsa.gov/mie](http://www.gsa.gov/mie). For example, the Total Meals and Incidental Expense rate for the Northfield and Minneapolis-St. Paul area ranges from \$46 to \$71 per day.

Meals provided in conjunction with seminars may not be claimed as part of the meal allowance.

If an employee is dining out with a travel companion, only the cost of the employee’s meal may be charged. Shared items must be prorated.

### **Gratuities**

Tips at the standard 15%-20% on meals are reimbursable. Tips on the meal should be included as part of the cost of the meal on the Employee Reimbursement Form.

### **Alcohol**

The College will reimburse for one alcoholic beverage chosen as your beverage with a meal. Alcoholic beverages consumed by travelers between or after mealtimes are not considered meals and are not reimbursable, except when they qualify as reasonable entertainment for college or professional business.

The federal government has mandated that no alcohol may be charged as either a direct or indirect expense of federally sponsored projects. This mandate means that under no circumstances should alcohol be charged directly to a federal grant or contract.

## **6. NON-REIMBURSABLE EXPENSES**

- Dues for personal memberships
- Travel insurance – the College provides an insurance policy that covers employees while traveling. Employees should decline additional travel insurance.
- Insurance on domestic rental cars – the College’s insurance provides coverage on employees for accidents involving rental vehicles. Employees should decline additional travel insurance.
- Lost baggage or purchase of baggage.
- Extra baggage charges for personal items (i.e. golf clubs)
- TV rental movies.
- Alcoholic beverages, except for a single drink as the beverage with a meal.
- Gasoline, if mileage reimbursement is used. Mileage reimbursement must be used when using your personal vehicle.
- Oil, insurance premiums, maintenance, towing charges and repair costs to personal vehicles.
- Fines for vehicle violations (speeding or parking tickets, etc.) or for personal misconduct.
- Spa or health club fees.
- Dry cleaning or laundry service if you are staying for less than one week.
- Costs for meals, travel or lodging for spouse or personal guests.
- Costs of commuting between an individual's home and place of work.
- Personal entertainment or excursions.
- Personal phone calls.
- Toiletries, medicine, magazines, etc. purchased while traveling.
- Costs for child care, pet care or lawn/home maintenance.
- Charitable or political contributions.

Expenses that are of a personal nature, or expenses that would be incurred whether or not the employee was on College business, are not eligible for reimbursement. The College requires employees to document and request reimbursement for such expenses in accordance with the following guidelines and the regulations of the United States Internal Revenue Service. In addition, if federal grant funding is used, employees must adhere to all regulations as outlined in the grant.

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For [Faculty](#), [Staff](#), [Students](#)

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Maintained by Business Office

The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks.

If you have questions or corrections, please email [campushandbook@lists.carleton.edu](mailto:campushandbook@lists.carleton.edu).

[Tools for Policy/Guideline Maintainers](#)

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