

Part 7: Miscellaneous Information

Research Involving Human Participants or Animal Subjects

Because the College receives federal research grants, and because the faculty seek to ensure that any research involving humans or animals is undertaken in an ethical, fair, and respectful manner, the College has established two committees for review of research involving human participants and animal subjects. Both faculty and students who undertake research using humans or animals are required to comply with the guidelines for proper practices established by these committees.

The Institutional Review Board, composed of faculty members and a member of the local community, oversees research projects involving human participants. All faculty and student research projects supported by research grants involving human participants, all projects where individuals are not allowed to withdraw from participation, all projects where the research procedures poses any mental or physical risk to the participant, all projects where the anonymity/confidentiality of the participants cannot be guaranteed, all projects where deception is a part of the research design and all projects involving children under the age of 18 must be reviewed by the Institutional Review Board. For exceptions to these requirements see the IRB web page at <http://abacus.bates.edu/acad/depts/psychology/irb/index.html>.

Specific guidelines that address research protocol, the fair and respectful treatment of participants, issues of confidentiality, and informed consent are available from the web page listed above.

The Institutional Animal Care and Use Committee (IACUC) is composed of at least five members who review classroom and research use of vertebrate animals. Among these five members, one must be a veterinarian, one must be a scientist experienced with animal research, one must be a nonscientist, and one must be a person unaffiliated with Bates except as a member of IACUC. The committee considers classroom and research protocols to assure that the animals involved are handled properly and humanely and in accordance with Public Health Service guidelines. The committee also conducts routine inspections of the animal colonies in Carnegie Science Hall. Guidelines and information on the review process are available on the faculty grant information website listed above.

Financial Disclosure Policy for National Science Foundation Investigators and All Senior Personnel Funded by Federal Grants

The federal government requires as part of the routine certification process that the College establish and administer a financial disclosure policy for investigators. This is designed to ensure appropriate management of actual or potential conflicts of interest. The Bates College policy fulfills the requirements of grantee institutions as put forth in the National Institutes of Health's guidelines (see <http://grants.nih.gov/grants/policy/coi/index.htm>) and the National Science Foundation's conflict of interest policies (see http://www.nsf.gov/pubs/policydoc/pappguide/nsf08_1/aag_4.jsp#IVA).

For every proposal submitted to the federal agency, each investigator and all senior personnel must disclose to the dean of the faculty (the designated representative) all significant interests, including those of the investigator's spouse, partner, and dependent children (a) that would reasonably appear to be affected by the research or educational activities funded by or proposed for funding to a federal agency, or (b) in any entity whose financial interests would reasonably appear to be affected by the activities of the grant.

- All grant-funded senior personnel are required to disclose to a responsible representative of the institution all significant interests (including those of the investigator's spouse, partner, and dependent children) (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by the federal government; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.
- *Significant financial interest* means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees, honoraria); equity interest (e.g., stocks, stock options, other ownership interests); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights).
- The term does not include: a) salary, royalties, or other remuneration from the applicant institution; b) any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program; c) income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; d) income from service on advisory committees or review panels for public or nonprofit

entities; e) any equity interest that, when aggregated for the investigator and the investigator's spouse, partner, and dependent children does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, *and* does not represent more than a 5% ownership interest in any single entity; or f) salary, royalties, or other payments that, when aggregated for the investigator and the investigator's spouse, partner, and dependent children, are not expected to exceed \$10,000 during the twelve-month period.

- Investigators must provide all required financial disclosures at the time the proposal is submitted and must update those financial disclosures during the period of the award, either on an annual basis, or as new reportable significant financial interests are obtained.
- An institution must designate one or more persons to review financial disclosures, determine whether a conflict of interest exists, and determine what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate such conflict or interest. A conflict of interest exists when the reviewer(s) reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of federally-funded research or educational activities.
- The following are examples of conditions or restrictions that might be imposed to manage, reduce, or eliminate conflicts of interest: a) public disclosure of significant financial interests; b) monitoring of research by independent reviewers; c) modification of the research plan; d) disqualification from participation in the portion of the federally-funded research that would be affected by significant financial interests; e) divestiture of significant financial interests; or f) severance of relationships that create conflicts.
- If the reviewer(s) determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the reviewer(s) may allow the research to go forward without imposing such conditions or restrictions.
- The College is required to have adequate enforcement mechanisms, and provide for sanctions where appropriate.
- The College is required to keep the federal granting agency appropriately informed if it is determined that the College is unable to satisfactorily manage a conflict of interest.
- The College must maintain records of all financial disclosures and of all actions taken to resolve conflicts of interest for at least three years beyond the termination or completion of the grant to which they relate, or until the resolution of any federal action involving those records, whichever is longer.

Copies of the College's Disclosure Statement are available from the Office for External Grants. It must be completed by all senior personnel who are submitting proposals to a federal funder. The certification page of each proposal cannot be signed until forms for all investigators are submitted to the dean of the faculty. By signing this form the applicant certifies that he/she has read this section of the *Faculty Handbook* and that he/she either a) does not have potential conflicts of interest ("I hereby certify that I have read the *Financial Disclosure Policy* in the *Bates Faculty Handbook* which is effective for all federal proposals submitted through the College. I certify to the best of my knowledge that neither I nor my spouse, partner, or dependents hold any significant financial interests that would reasonably be affected by the research or educational activities proposed for or currently supported by federal funding, or in any entities whose financial interests would reasonably be affected by such activities.") or b) does have potential conflicts ("I have the following relationships, affiliations, activities, or interests (financial or otherwise) which constitute potential conflicts under federal conflict of interest regulations.") Either way, the applicant also declares that he/she will notify the dean of any change or discovery that is in any way contradictory of the above statement.

Procedures for Responding to Allegations of Misconduct in Scientific Research

Because Bates College receives federal grants in support of scientific research, the Public Health Service Act of 1989 requires the College to establish and disseminate a policy which informs employees of the College's intention of complying fully with the act. This statement of policy reflects the College's desire to comply by establishing a set of procedures for responding to allegations of faculty members' or other employees' misconduct in scientific research. It is made in accordance with the College's "Initial Assurance" provided the PHS. Allegations of students' misconduct shall be referred to the dean of students for consideration according to established College procedures.

Misconduct in science is defined as 1) fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research; or 2) material failure to comply with federal requirements that uniquely relate to the conduct of research. It does not include honest error or honest differences in interpretations or judgments of data.*

Because allegations of misconduct may differ, the procedures outlined below intend to offer a broad framework for investigating any such allegations. The confidentiality of all procedures is essential.

PROCEDURES

- 1) All allegations of misconduct in research, regardless of the sources of funding, shall be brought to the attention of the dean of the faculty.
- 2) Upon receiving a written allegation of misconduct in research, the dean shall meet with the chair of the accused colleague's division to decide whether or not the allegation requires further investigation. The division chairs may be consulted upon agreement by the dean and the relevant division chair or chair of interdisciplinary programs.
- 3) If the dean and division chair (or chair of interdisciplinary programs), or the division chairs collectively determine that the allegation merits further action, the dean shall initiate formal procedures by establishing an investigating committee of three to five persons. The members of the investigating committee shall be appointed by the president in consultation with the dean. Members of the investigating committee shall be knowledgeable and impartial judges of the allegation and may include at least one qualified person from outside the Bates faculty. The colleague who has allegedly been involved in misconduct shall be informed of the membership of the investigating committee.
- 4) The investigating committee shall undertake a careful and thorough review of the facts of the allegation. The accused colleague shall be kept informed of the procedures to be followed and of the nature of the evidence presented, and shall be invited to appear before the investigating committee to respond to the allegation.
- 5) The dean of the faculty shall be kept informed of the activity of the investigating committee, and receive its written report at the conclusion of its investigation. The accused colleague shall also receive the written report, and be given adequate time to respond in writing to the dean of the faculty. The response from the accused colleague shall include any corrections regarding the report.
- 6) If the allegation has been substantiated, the dean shall make a recommendation to the president regarding an appropriate sanction.
- 7) Minutes of the meeting of the division chairs and of the investigating committee shall be maintained in the Office of the Dean of the Faculty.
- 8) The period of time for the initial inquiry and the completion of the investigation normally shall not exceed 180 days beyond the date when the allegation was first presented to the dean.

Throughout the processes of initial inquiry, subsequent investigation, and the colleague's responses, all participants must bear in mind several considerations:

- a) The importance, in fact and appearance, of fairness, objectivity, and reasonable expediency.
- b) Protecting, to the maximum extent possible, the privacy of those who in good faith report alleged misconduct.
- c) Protecting, to the maximum extent possible, the rights and privacy of the accused colleague, including the right to be informed of the alleged misconduct, of the evidence in support of the allegations, and other procedures to be followed.

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- d) The importance of ensuring that the professional interests and integrity of the faculty are respected.
- e) The importance of consulting with outside agencies or institutions which have an interest in the research in question.

This statement of procedures shall be printed annually in the *Faculty Handbook*, and otherwise be available to members of the faculty through the Office of the Dean of the Faculty.

*Basic definition provided by Federal *NIH Guide for Grants and Contracts* (Vol. 18, No. 30; September 1, 1989).

International Exchange Visitors

Teaching and learning are enriched by the diverse experiences and viewpoints of individuals who join the College community. Bates encourages faculty members to invite speakers, artists, and performers to the campus to participate in courses and/or to present their work to the College community and the public. These individuals are almost always compensated for their work at the College, and therefore must be eligible to work in the United States and **may be required to possess a proper visa to do so.**

If an individual faculty member, a committee, or a department of program wishes to invite a non-U.S. national to the campus to meet with students or faculty, give a talk or reading, present a performance, set a dance, exhibit works of art, or pursue some other activity for which the visitor will be compensated, they must confirm that the visitor has U.S. work authorization and has a proper visa to do the work requested of him or her.

To invite a foreign visitor to the campus, hosting faculty must contact the Office of the Dean of the Faculty immediately. The dean's office can help assess the visitor's visa **requirements and** options and describe the process for securing a visa. In most cases, the dean's office actually files a visa petition on behalf of the foreign national, prepares paperwork, and arranges required insurance. Even in cases in which the visitor holds a B-1 visa or has a visa waiver, the dean of the faculty's office must be contacted so that arrangements for payment can be made through the Payroll or Finance offices. A delay in securing the proper paperwork may result in a delay of payment.

Inviting scholars, experts, and practitioners from abroad involves considerable time and effort by the College and by the visitor. When applying for support for scholars and others from abroad, faculty members must consider the amount of time required to secure an appropriate visa, usually a J-1 visa. Ideally, three to six months are needed to secure a visa, though up to nine months may be needed to secure a visa for a scholar from a country that the U.S. government regards with suspicion. Securing visas for visitors from Cuba also requires extra time because of trade and visitation restrictions with that country, and travel restrictions imposed by the Cuban government.

Airline tickets should not be purchased for the foreign visitor until his or her visa status is confirmed.

For more information on foreign visitors, please contact the dean of the faculty's office, ext. 6065.

Jury Duty

Members of the College community are encouraged to serve, as a matter of good citizenship, when called upon for jury duty **or** as a court witness. General information on jury duty for employees is outlined in the *Employee Handbook* (Section 315).

When faculty members are called for jury duty during semesters or the Short Term in which they are teaching, their obligation to their students may be adversely affected by prolonged or unpredictable absences. Faculty members called for jury duty during regular teaching periods may have significant problems meeting their academic responsibilities, therefore they **are advised to** request a deferment from the court. Such a request must be made in writing to the appropriate court, and should explain that the faculty member's teaching obligations cannot be met by a substitute. The faculty member should request a deferment of their service until the summer or the next term in which they are not teaching.

Commencement and Convocations

Faculty are expected to be present for Commencement and convocations. Dress for these and other ceremonial occasions is academic, appropriate to the highest earned degree. Faculty members actively working upon a higher degree than presently held, and who may reasonably be expected to receive this degree in a few years, will be considered appropriately dressed in bachelor's gown without hood. Catalogs and price lists of most manufacturers of academic dress are available in the College Store. Such purchase, expected by the College, may be a tax-deductible expense. The College also provides caps and gowns (but not hoods) to faculty who need them for College ceremonies.

Bates Communications Office

The Bates Communications Office is the College's primary communications link with print and electronic media, alumni, parents, and other key off-campus constituencies. The Communications Office is responsible for the College's major publications, media relations, sports information, and official content of the Bates website. In support of the College's strategic planning, the office's mission is to help attract the best students possible, the best faculty, and support for the College. The Communications Office coordinates the College's graphic identity program, and maintains and updates a style guide for College print and web publications (<http://www.bates.edu/communications/>).

The College Store

Sale to students of any books or course materials is made only through the College Store. Even in cases where course syllabi and laboratory manuals are written and published within the College, if any charge to the student is involved, the transaction must be made through the College Store.

Faculty are required to submit lists of textbooks and other class materials to the course materials buyer of the College Store, who will contact faculty with requests for each term (fall, winter, and Short Term). Text deadlines and general information can be found on the College Store's website (<http://www.bates.edu/bookstore/>).

Academic Administrative Assistants and Project Specialist

Support services are offered to all faculty through academic administrative assistants (AAAs) and project assistants. For extra scholarship support, especially during summer months, please contact the director of academic operations for personnel in the dean of the faculty's office.

ACADEMIC ADMINISTRATIVE ASSISTANTS (AAAS) (formerly known as area coordinators) primarily provide support to assigned departments and programs; the nature of their work varies according to the needs of those departments and programs. AAAs are located across campus in Pettengill Hall, Carnegie Science Hall, Hathorn Hall, Pettigrew Hall, Olin Arts Center, Roger Williams Hall and Hedge Hall. They assist faculty with materials pertaining to course work. They also support departments, programs, and committees. They assist in organizing and publicizing special events sponsored by departments and programs. They oversee student workers, maintain supplies and equipment, provide word processing and database management, and conduct day-to-day operations such as photocopying, answering telephones, and filing.

A PROJECT SPECIALIST is located in 7 Lane Hall and is available to all faculty. The project specialist coordinates faculty recruitment, supports and coordinates events for the Honors Committee and Graduate Fellowship Committee.

Office Services

Office Services is located in Room 1 of Lane Hall. Office Services provides design and layout, copying, digital printing, wide-format printing, lists, and mailings services. It is most economical to use Office Services for most copying needs, particularly for printing 50 or more copies. Although convenient, distributed copiers in buildings cost up to 20% more to use, **so large copying orders should be sent to Office Services.** Office Services provides stamps, envelopes, paper, labels, packing materials, folding, collating, binding, stapling, and laminating. An outgoing fax machine is available for use by the Bates community. Office Services also provides U.S. mail, FedEx, UPS, and DHL services for personal and business use.

Office Services has a variety of paper for print and copy needs, including colored and recycled papers. This office also orders department stationery, envelopes, and business cards. Ordering stationery once a year is most economical; the annual order occurs in May for July delivery.

CAMPUS POST OFFICE AND PACKAGE PICK-UP AREA

The Post Office is located in Chase Hall near the College Store, the Campus Post Office coordinates all student mail services and the campus mail route. Mail is delivered to departments and programs once a day, Monday through Friday. Outgoing campus and U.S. mail is picked up from those locations as well. Arranging correspondence to students in the numerical order of the mailboxes greatly increases delivery speed. *Because students share mailboxes, papers, examinations, or any confidential material must not be sent through campus mail.* All campus mail should be properly addressed with first and last name, department and building, and return address. The package pick-up area is located on the back side of Chase Hall, adjacent to the Muskie Garden.

Parking

Faculty members must register their vehicles with the Security and Campus Safety Office and receive a parking permit *prior* to parking on campus. There is no charge for registration. Once a parking permit has been obtained and attached to the left rear passenger window of the vehicle, faculty members may park in any designated parking space allotted for faculty and staff. Failure to do so results in ticketing of the car. Parking ticket fees are paid at the Office of Student Financial Services, Libbey Forum. Parking on city streets is regulated and enforced by the city of Lewiston. Some street parking restrictions are enforced by the Lewiston Police Department during the winter months. Parking tickets should be paid in full within three weeks of issuance.

Keys

New faculty request keys through the dean of faculty's office. The key request is forwarded to the access control office for key pick up. Current faculty who need a key should request the key through their department or program chair. Please see <http://www.bates.edu/access/> for office hours.

Faculty on leave are required to return their college keys to the access control office to be held while they are away. Faculty leaving the employment of the College are required to return all Bates keys by the termination date of the contract. In the case of unreturned keys, locks are changed and the department is charged the cost of rekeying and issuing new keys.

Lost keys must be reported to the access control office immediately. Replacement key requests are reviewed by the director of security and campus safety for approval. Rekeying charges for lost keys are charged to the department.

Identification Cards

All faculty are issued BatesCards, identification cards bearing a photograph, College ID number, and barcode. The exterior doors of many academic and all athletic buildings are equipped with electronic access. BatesCards are used to access those buildings by presenting the BatesCard at the card reader. BatesCards are also used for library circulation; admission to athletic facilities, key issuance and admission to some College events.

Event and Space Reservation Procedures

Members of the faculty, in connection with their courses and regular advisory functions, and student groups recognized by the Bates College Student Government, are invited to make use of College facilities and service, subject to established policies. So that an orderly coordination of demand and available space or service can be maintained, an online event reservation system has been developed. Faculty are expected to follow reservation procedures whenever they need space, equipment, or services not regularly assigned to them. Classrooms are assigned by the registrar for use during class hours; classroom space is reserved at other times through the online system *events.bates.edu*.

Reservations for meetings and special events may be submitted by faculty members through the online reservation system, which can be found at *events.bates.edu*. Information on the reservation form includes a brief description of the event planned, its scheduled time, the space and/or services requested, the name of the sponsoring organization along with the individual making the request, and the type of publicity needed, if any. Once submitted, the reservation is approved by the appropriate office, the event may be listed in the online events calendar, and the facilities, services, and/or announcements are provided as requested. For additional information and answers to frequently asked questions about the system see <http://www.bates.edu/student-handbook/scheduling-policies-guidelines/>.

It is important that requests for space use or service be submitted at least one week before the time of the event to insure that the various offices may be notified of their obligations. When catering is required for an event, a request should be made to the catering office at least three working days before the event to avoid a late charge (see <http://www.bates.edu/dining/services/catering/> for catering information). When the service of alcoholic beverages is requested for an event in any space except Commons, the request must be made at least three weeks in advance as a state liquor license must be secured so that liquor can be served. In unusual circumstances requests may be processed more quickly, but in such cases there should be a compelling reason why the usual procedures could not be followed. Events that require publicity beyond the Bates campus rely upon the efforts of the **Bates Communications Office**. The **Communications Office** should be contacted as soon as the event is scheduled so as to enable the meeting of publication deadlines for the *Monthly Calendar* and semester calendar of cultural events.

It is not necessary to enter a separate request for every one of a continuing series of meetings or events, provided the days, time, and place of the entire series are consistent. An ongoing reservation is available for reserving facilities on a long-term basis. The ongoing reservation must be renewed at the beginning of each year.

The online calendar is available for consultation at all times at <http://events.bates.edu>. The system lists by location events scheduled and approved to date. This scheduling system should be checked before final planning of an event. Whenever possible, significant events should not be scheduled in conflict.

Bates College scheduling policies and guidelines are available at <http://www.bates.edu/student-handbook/scheduling-policies-guidelines/>

College Emergency Procedures and Policies

(including weather emergencies)

Revised by the senior staff April 2001

The offices of the president, the deans of faculty and students, security, and communications as well as the Health Center develop and coordinate the College's responses to emergencies. All faculty members should be familiar with the policies and procedures regarding campus emergencies, including weather emergencies, which are described in detail on the following websites:

General information: <http://www.bates.edu/security/emergency-information/>

Weather emergencies: <http://www.bates.edu/security/emergency-information/college-emergency-procedures/>

Emergency announcements: <http://www.bates.edu/security/emergency-information/>

Fire, crimes, or vehicular accidents: <http://www.bates.edu/security/emergency-information/college-emergency-procedures/>

Policies for Holding Classes in Emergencies

MANAGEMENT OF EMERGENCIES. In general, the president, with the Senior Emergency Response Group (SERG), is responsible for identifying and monitoring emergencies at the College. While emergencies can take many forms, most, in Maine, involve weather.

As relevant, the SERG identifies and declares an emergency, and empowers specific individuals to establish priorities and coordinate emergency efforts, especially communication with faculty, students, and staff about closures and cancellations.

At the announcement of an emergency, the SERG determines whether College services will be open or closed. Any announcements of closures are made via several media, including Blackboard Connect, an automated phone and email notification system. The SERG may decide to close the offices of the College and/or cancel classes. When offices are closed, only "essential" personnel report for work as scheduled. Essential personnel are those whose service is critical to the operation of the College, recognizing the particular needs of a residential institution. When an emergency is declared and only essential staff employees report, the staffing is minimal in offices and services of the College.

CLASSES. If the College is in session when an emergency is declared, the operating assumption is that *classes continue to be held*. The announcement would be:

"Due to inclement weather, Bates College offices are closed. Only personnel designated in advanced as essential should report to work. Dining Services will be available. Classes will be held unless specifically canceled by the instructor. Students should check their email and the learning management system to determine if individual classes have been canceled by the instructor."

On rare occasions, the SERG may declare an emergency so severe that classes are canceled. The announcement would be:

"Due to inclement weather, Bates College is closed. Only personnel designated in advance as essential should report to work. Dining Services will be available. Classes are canceled."

These announcements are made through a Blackboard Connect to the College community, on the website if it is operating, and on local radio and television stations.

Even if classes are not canceled, individual instructors whose travel to the campus would be hazardous, or who, for other reasons, are unable to meet their classes, may decide to cancel their classes and reschedule them at a later date. Instructors who cancel classes must, to the best of their ability, inform their students. An instructor may notify students through email class list-serves or via Lyceum, the learning management system. It should be noted, however, that Lyceum is not interfaced with the College's email system. Thus informing students via Lyceum lists requires that

students log into Lyceum to check for messages. The instructor also should inform his or her area coordinator if that staff member is available on campus. If the coordinator is unavailable and the instructor is unable to communicate with his or her students, he or she should telephone Pamela J. Baker, dean of the faculty, at 786-6066.

All instructors are advised to include on their course syllabi information on how class meeting cancellations are communicated to students (e.g., via email class lists or Lyceum), with instructions for students on how to check for the information.

Instructors who cancel a class should make up the class at a later date; they should reschedule during regular academic class meeting times using the campus calendar and web request form to schedule an appropriate room and time.

DISRUPTED COMMUNICATION SYSTEMS. In the event that electricity, Web, and/or phone services are disrupted, the security office, or a designated alternate site, is the College's central communication center. An emergency telephone information number, 786-6111 is provided and published in College publications (*Bates Directory* and *Bates Student Handbook*). This number can be used to obtain current information.