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.

Policies and Procedures for Responding to Allegations of Research Misconduct
Consistent with the values expressed in the Bates College mission statement of rigorous scholarship, intellectual discovery, and informed civic action, the College holds its faculty, research staff, and students to the highest standards of professional probity and responsibility in the conduct of research. Bates seeks to prevent any instances of research misconduct, and takes seriously the need to investigate possible instances, while protecting the positions and reputations of those who file complaints in good faith, witnesses, and those asked to serve on committees, so that any necessary investigations may proceed without fear or favor.

In line with these values, and with all applicable federal regulations governing the conduct of research (including but not limited to 42 CFR Parts 50 and 93), this document describes the policies and procedures to be followed in response to allegations of research misconduct (as defined below) involving a College faculty member or research associate on the staff of the College. Allegations of students' misconduct shall be referred to the dean of students for consideration according to established College procedures. In cases where alleged student misconduct is in connection with work on a federal grant, the dean of students shall notify the dean of the faculty of the progress of proceedings so that any required reports to the relevant federal agency can be made in a timely manner.

"Research Misconduct" is defined as the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Fabrication is making up data or results and recording or reporting them. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Research misconduct does not include honest error or differences of opinion.

"Respondent" is defined as the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding as described herein.

Roles and Responsibilities

The deciding official (DO) shall be the dean of the faculty. The DO shall appoint a research integrity officer (RIO), who will have primary responsibility for implementation of these policies and procedures. The RIO’s responsibilities are
All faculty and staff members and students have a responsibility to report observed, suspected, or apparent research misconduct to the RIO. If an individual is unsure whether a suspected incident falls within the definition of research misconduct, he or she may contact the RIO to discuss the suspected research misconduct informally, which may include discussing it anonymously and/or hypothetically. At any time, an institutional member may have confidential discussions and consultations about concerns of possible misconduct with the RIO and will be counseled about appropriate procedures for reporting allegations of research misconduct.

Faculty and staff members, including respondents, as well as students are responsible to cooperate with the RIO and other institutional officials in the review of allegations of research misconduct and the conduct of inquiries and investigations. All have an obligation to provide evidence relevant to allegations of research misconduct to the RIO or other institutional officials.

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

**Procedures**

Assessment of Allegation

1. **Assessment.** Upon receiving a written allegation of research misconduct, the RIO shall assess the allegation to determine whether it warrants an inquiry. An inquiry is warranted if the allegation:
   
   a. falls within the definition of research misconduct as set forth herein; and
   
   b. is sufficiently credible and specific so that potential evidence of research misconduct may be identified.

2. **Notification and Evidentiary Matters.** If an inquiry is warranted, the RIO shall, at the time of or before beginning an Inquiry:
   
   a. notify the respondent(s) of the allegation and intended inquiry; and
   
   b. to the extent it has not already done so at the assessment stage, promptly take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. The RIO shall take custody of any additional items as they become known or relevant to the proceedings.

Inquiry

3. **Inquiry.** If an inquiry is warranted, the RIO shall undertake an inquiry, the purpose of which is to conduct an initial review of the evidence to determine whether an allegation of research misconduct warrants an Investigation. (As such, an inquiry does not require a full review of all the evidence related to the allegation.) An investigation is warranted if:
   
   a. there is a reasonable basis for concluding that the allegation falls within the definition of research misconduct as set forth herein; and
   
   b. preliminary information-gathering and preliminary fact-finding from the Inquiry indicates that the allegation may have substance.

4. **Assistance with Inquiry.** In undertaking an inquiry, the RIO may consult confidentially with the respondent’s department chair, division chair or chair of interdisciplinary programs or other knowledgeable individuals regarding the allegation. If the inquiry requires the review of specialized scientific data, or otherwise in the RIO’s discretion, the RIO may engage two or more individuals, which may include individuals from outside the Bates faculty, to assist with the Inquiry and with preparation of the Inquiry Report (an "Inquiry Panel"). The RIO shall (a) select individuals who possess the expertise appropriate to carry out a thorough and authoritative evaluation of the evidence; and (b) take steps to ensure that no person with an unresolved personal, professional, or financial conflict of interest is involved in a research misconduct proceeding. The
DO shall have no direct participation in the inquiry. The RIO (or the inquiry panel, as applicable) shall take confidential testimony from the individual(s) who filed the initial allegation(s) and from the respondent.

Inquiry Report. The RIO will prepare a written Inquiry Report which, at a minimum, shall contain the information set forth on Exhibit B hereto. The RIO shall notify the respondent whether the inquiry found that an investigation is warranted and provide the respondent an opportunity to review and comment on the draft Inquiry Report. Any comments received from the respondent shall be attached to the final Inquiry Report. The RIO may also, at its discretion, notify the complainant who made the allegation of research misconduct (the "complainant") whether the inquiry found that an Investigation is warranted and provide relevant portions of the report to the complainant for comment.

Determination Whether to Conduct an Investigation. The RIO will deliver the Inquiry Report to the DO. The DO will receive the Inquiry Report and, after consulting with the RIO and/or other institutional officials, decide whether an investigation is warranted under the criteria set forth in Paragraph (3) above. Any finding that an investigation is warranted must be made in writing by the DO and must be provided to the Public Health Service Office of Research Integrity (ORI) and/or any other relevant federal agency or office, together with a copy of the Inquiry Report, within 30 days of the finding and in any event on or before the date on which the investigation begins.

Records of Inquiry. Detailed documentation of the inquiry is retained for at least 7 years after termination of any inquiry (irrespective of outcome). If it is found that an investigation is not warranted, the DO and the RIO will ensure that sufficient documentation is retained so that ORI may assess the determination not to conduct an investigation.

Timing of Inquiry. The Inquiry, including preparation of the final Inquiry Report and the decision of the DO on whether an Investigation is warranted, must be completed within 60 calendar days of initiation of the inquiry, unless the RIO determines that circumstances clearly warrant a longer period. If the RIO approves an extension, the Inquiry Report must include documentation of the reasons for exceeding the 60-day period.

Investigation

Timing of Investigation. In the event of a finding that an investigation is warranted, the investigation must commence within 30 days of such finding and conclude (including conducting the investigation and preparing, receiving comments on, finalizing, and submitting the Investigation Report) within 120 days, unless an extension is granted by the relevant agency.

Notification and Evidentiary Matters. If an investigation is warranted, the RIO shall, within a reasonable amount of time of the determination and before the investigation commences:

a. notify the respondent(s) in writing of the investigation, including written notice of any new allegations not previously addressed; and
b. to the extent it has not already done so at the assessment or inquiry stage, take the actions described under 2(b) above.

Investigative Committee. If an investigation is warranted, the RIO will appoint an investigative committee in consultation with the DO and consistent with the requirements set forth in clauses (a) and (b) of Paragraph (4) above regarding expertise and absence of conflicts. The DO shall have no direct involvement in the investigation. The investigative committee shall consist of three to five persons, which may include one or more qualified persons from outside the Bates faculty. The respondent shall be informed of the membership of the investigative committee.

Investigation. The investigative committee shall undertake a careful and thorough review of the facts of the allegation. This review shall include, as applicable:

a. interviewing each respondent, complainant, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation, including witnesses identified by the respondent, and record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the record of the investigation;
b. pursuing diligently all significant issues and leads discovered that are determined relevant to the Investigation, including any evidence of additional instances of possible research misconduct, and continuing the investigation to completion;

c. evaluating the evidence and testimony to determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, the type and extent of it and who was responsible; and

d. determining whether a preponderance of the evidence establishes that:

   i. research misconduct, as defined in these Policies and Procedures, occurred (respondent has the burden of proving by a preponderance of the evidence any affirmative defenses raised, including honest error or a difference of opinion);

   ii. the research misconduct is a significant departure from accepted practices of the relevant research community; and

   iii. the respondent committed the research misconduct intentionally, knowingly, or recklessly.

In addition, the RIO and the investigative committee shall use diligent efforts to ensure that the investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of each allegation of research misconduct, and take reasonable steps to ensure an impartial and unbiased investigation to the maximum extent practical.

(14) **Informing Respondent.** The respondent shall be kept informed of the procedures to be followed and of the nature of the evidence presented, and shall be given the opportunity to appear before the investigative committee to respond to the allegation(s).

(15) **Documentation.** The RIO shall use diligent efforts to ensure that the investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of the allegations.

(16) **Investigation Report.** The investigative committee, under the direction of the RIO, shall produce a written Investigation Report, which shall include, at a minimum, the information set forth on Exhibit C hereto. The investigative committee must provide the respondent an opportunity to review and comment on the draft Investigation Report and, concurrently, a copy of, or supervised access to, the evidence on which the report is based. The investigative committee may provide the complainant a copy of the draft Investigation Report or relevant portions of that report. Any comments of the respondent or the complainant must be submitted within 30 days of the date on which the draft was provided to the commenter. The investigative committee shall consider all comments received before issuing its final report.

**Administrative Actions**

(17) **DO Determination.** The DO will receive the Investigation Report and, after consulting with the RIO and/or other institutional officials, determine in writing the extent to which the College accepts the conclusions in the Investigation Report and, if research misconduct has been found, make a recommendation to the president of the College as to what, if any, institutional administrative actions are appropriate. If this determination varies from the findings of the investigative committee, the DO will, as part of his/her written determination, explain in detail the basis for rendering a decision different from the findings of the investigative committee. Alternatively, the DO may return the report to the investigative committee with a request for further fact-finding or analysis.

(18) **Actions Following Conclusion of Investigation.** When a final decision has been reached:

   a. the RIO shall notify both the respondent and the complainant in writing;

   b. the DO shall ensure that the final Investigation Report, the findings of the DO and a description of any pending or completed administrative actions are provided to ORI and/or any other relevant federal agency or office;

   c. the DO shall determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case;

   d. the RIO shall ensure compliance with all notification requirements of funding or sponsoring agencies; and
e. the RIO and the DO shall ensure that the College cooperates with any further federal investigations, proceedings or sanctions.

Interim Actions

(19) **Interim Actions.** Notwithstanding the foregoing, at any stage in the process, the RIO shall have the authority to take interim action as needed, which may include additional monitoring of the research process and the handling of federal funds and equipment, reassignment of personnel or of the responsibility for the handling of federal funds and equipment, additional review of research data and results, and/or delaying publication. Interim action may be warranted if the RIO has reason to believe that:

a. the health or safety of the public is at risk, including an immediate need to protect human or animal subjects;

b. federal resources or interests are threatened;

c. the research activities should be suspended;

d. there is a reasonable indication of possible violations of civil or criminal law;

e. federal action is required to protect the interests of those involved in the research misconduct proceeding;

f. the research misconduct proceeding should be made public prematurely in order for federal action to be taken to safeguard evidence and protect the rights of those involved; or

g. the research community or public should be informed.

(20) **Agency Notification.** In case of any of the above circumstances, ORI and/or any other relevant federal agency or office shall be notified immediately.

Confidentiality; Retaliation; Protection of Respondent’s Reputation; Allegations Not Made in Good Faith

(21) **Confidentiality.** Throughout the proceedings, the RIO and all participants in the proceedings shall, to the extent possible, limit disclosure of the identity of respondents and complainants to those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceeding; and, except as otherwise prescribed by law, limit the disclosure of any records or evidence from which research subjects might be identified to those who need to know in order to carry out a research misconduct proceeding. The RIO shall also have the option of keeping confidential the identities of witnesses. Notwithstanding the foregoing, (a) the identity of respondents and complainants will be disclosed to ORI pursuant to an ORI review of research misconduct proceedings; and (b) administrative hearings of the federal Department of Health and Human Services are open to the public.

(22) **Retaliation.** Faculty, staff members and students may not retaliate in any way against complainants, witnesses, or committee members. Any alleged or apparent retaliation against complainants, witnesses or committee members shall be reported to the RIO, who shall review the matter and, as necessary, make all reasonable and practical efforts to counter any potential or actual retaliation and protect and restore the position and reputation of the person against whom the retaliation is directed.

(23) **Protection of Respondent’s Reputation.** After the proceeding and as appropriate, the RIO and other institutional officials shall make all reasonable and practical efforts to protect or restore the reputation of persons alleged to have engaged in research misconduct but against whom no finding of research misconduct is made.

(24) **Allegations Not Made in Good Faith.** If relevant, the DO will determine whether the complainant’s allegations were made in good faith, or whether a witness or committee member acted in good faith. If the DO determines that there was an absence of good faith, he/she will determine whether any administrative action should be taken against the person who failed to act in good faith.

Other Policies Regarding Research Misconduct Proceedings

(25) **Minutes of Proceedings.** Minutes of all proceedings shall be maintained by the RIO and provided as necessary to ORI and/or any other relevant federal agencies or offices as required by law.
(26) **Time Limit.** 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 of research misconduct was first presented to the RIO.

(27) **Notices.** During the research misconduct proceeding, the RIO is responsible for ensuring that respondents promptly receive all the notices and opportunities to present their case provided for in these Policies and Procedures.

(28) **Guiding Principles.** Throughout the inquiry, investigation, and implementation of any administrative actions or other resolution, 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 respondent, including the right to be informed of the alleged misconduct, of the evidence in support of the allegation of research misconduct, and other procedures to be followed;

   d. The importance of ensuring that the professional interests and integrity of the faculty are respected; and

   e. The importance of consulting with outside agencies or institutions which have an interest in the research in question.

(29) **Indemnity.** Participation by a Bates College faculty or staff member in a research misconduct inquiry, investigation or remediation plan at the request of the RIO shall be considered part of that faculty or staff member’s institutional responsibilities, and that person shall therefore be indemnified by Bates College. All such participants must strictly abide by the confidentiality, anti-retaliation, and protection of reputation provisions as well as the guiding principles detailed above.

This **Policies and Procedures for Responding to Allegations of Research Misconduct** 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.

**Exhibit A: Summary of RIO’s Responsibilities**

Note: In the event of a conflict between this Exhibit A and the provisions of the Policies and Procedures for Responding to Allegations of Research Misconduct, the Policies and Procedures will control.

- Consult confidentially with persons uncertain about whether to submit an allegation of research misconduct;
- Receive allegations of research misconduct;
- Assess each allegation of research misconduct to determine whether it falls within the definition of research misconduct and warrants an Inquiry;
- As necessary, take interim action and notify ORI and/or any other applicable government entity, of special circumstances, as required by these Policies and Procedures;
- Sequester research data and evidence pertinent to the allegation of research misconduct and maintain it securely in accordance with these Policies and Procedures and applicable law and regulation;
- Provide confidentiality to those involved in the research misconduct proceeding;
- Notify the respondent and provide opportunities for him/her to review/comment/respond to allegations, evidence, and committee reports as provided in these Policies and Procedures;
- Inform respondents, complainants, and witnesses of the procedural steps in the research misconduct proceeding;
- Appoint the chair and members of the Inquiry Panel (if desired) and Investigative Committee, ensuring that those committees are properly staffed and that there is expertise appropriate to carry out a thorough and authoritative evaluation of the evidence;
- Determine whether each person involved in handling an allegation of research misconduct has an unresolved personal, professional, or financial conflict of interest and take appropriate action, including requiring recusal, to ensure that no person with such a conflict is involved in the research misconduct proceeding;
- In cooperation with other institutional officials, take all reasonable and practical steps to protect or restore the
positions and reputations of good faith complainants, witnesses, and committee members and counter potential or actual retaliation against them by respondents or other institutional members;

- Keep the DO and others who need to know apprised of the progress of the review of the allegation of research misconduct;

- Notify and make reports to ORI and/or any other government entity as required by these Policies and Procedures;

- Ensure that administrative actions taken by the institution and ORI are enforced and take appropriate action to notify other involved parties, such as sponsors, law enforcement agencies, professional societies, and licensing boards of those actions;

- Maintain records of the research misconduct proceeding and make them available to ORI; and

- Take steps to maintain the confidentiality of ongoing research misconduct proceedings, and to protect or restore the reputation of any respondent in cases where no finding of research misconduct is made.

Exhibit B: Contents of Inquiry Report

1. The name and position of the respondent;
2. A description of the allegations of research misconduct;
3. The applicable federal support, including, for example, grant numbers, grant applications, contracts, and publications listing federal support;
4. The basis for recommending that the alleged actions warrant an investigation; and
5. Any comments on the Inquiry Report by the respondent or the complainant.

In addition, the College must be prepared to provide the following information to the applicable federal agency on request:

1. These Policies and Procedures;
2. The research records and evidence reviewed, transcripts or recordings of any interviews, and copies of all relevant documents; and
3. The charges for the investigation to consider.

Exhibit C: Contents of Investigation Report

(a) Allegations. Describe the nature of the allegations of research misconduct.

(b) Federal support. Describe and document the applicable federal support, including, for example, any grant numbers, grant applications, contracts, and publications listing federal support.

(c) Institutional charge. Describe the specific allegations of research misconduct for consideration in the investigation.

(d) Policies and procedures. If not previously provided to the applicable federal agency with the Inquiry Report, include these Policies and Procedures.

(e) Research records and evidence. Identify and summarize the research records and evidence reviewed, and identify any evidence taken into custody but not reviewed.

(f) Statement of findings. For each separate allegation of research misconduct identified during the investigation, provide a finding as to whether misconduct did or did not occur, and if so:

1. Identify whether the research misconduct was falsification, fabrication, or plagiarism, and if it was intentional, knowing, or in reckless disregard;
2. Summarize the facts and the analysis which support the conclusion and consider the merits of any reasonable explanation by the respondent;
3. Identify the specific federal support;
4. Identify whether any publications need correction or retraction;
5. Identify the person(s) responsible for the research misconduct; and
6. List any current support or known applications or proposals for support that the respondent has pending with other federal agencies.

(g) Comments. Include and consider any comments made by the respondent and complainant on the draft Investigation Report.
(h) *Maintain and provide records.* Maintain and provide to ORI upon request all relevant research records and records of the institution’s research misconduct proceeding, including results of all interviews and the transcripts or recordings of such interviews.
Financial Disclosure Policy for All Investigators Conducting Research Funded by Federal Grants

The federal government requires that the College establish and administer a financial disclosure policy for investigators and a program for training investigators in that policy. 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/policydocs/pappguide/nsf11001/aag_4.jsp#IVA).

A. Disclosure of Significant Financial Interests. All personnel responsible for the design, conduct or reporting of research under the terms of a federal grant or contract (each, an "investigator") are required to disclose to the College's Research Integrity Officer (the RIO) all "Significant Financial Interests" of the investigator and/or the investigator's spouse, partner, and dependent children.

B. Significant Financial Interest (SFI)

1) Definition. A "Significant Financial Interest" means one or more of the following interests, if it reasonably appears to be related to the investigator's institutional responsibilities, including all research, teaching and/or service to the College:

   a) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of the disclosure, when aggregated, exceeds $5,000. Remuneration includes any salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

   b) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or when the investigator (or spouse, partner, or dependent children) owns any equity interest, regardless of dollar value.

   c) Intellectual property rights and interests (e.g., patents and copyrights) upon receipt of income related to such rights and interests. This does not include any income received from Bates College for intellectual property rights assigned to Bates College based on agreements to share in the royalties related to such rights in conformity with the College's intellectual property policy.

   d) Any occurrence of reimbursed or sponsored travel related to your institutional responsibilities must also be disclosed, including instruction, research or service to Bates College, with the exception of any travel reimbursed or sponsored by a federal, state or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research center affiliated with an institution of higher education. Travel that is reimbursed by Bates College from a sponsored fund account whose sponsor is an entity that is not one of those exempt entities shall be treated as a significant financial interest. The Investigator must disclose the purpose of the trip, the identity of the sponsor and/or organizer, the destination and its duration. Additional information, including the estimated cost of travel, may be requested by the RIO and must be furnished upon request.

2) Exclusions. The term "Significant Financial Interest" does not include: a) salary, royalties, or other remuneration from Bates College; b) income from investment vehicles such as mutual funds or retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles; c) income from seminars, lectures, or teaching engagements sponsored by a federal, state or local government agency, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with institutions of higher education; d) income from service on advisory committees or review panels for government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with institutions of higher education.
C. **Timing of Required Disclosures.**

Investigators must provide all required financial disclosures **at the time a proposal is submitted.**

1. In addition, investigators must **update** those financial disclosures:
   a. Within thirty (30) days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) any new significant financial interest; and
   b. Annually within the period of the award, beginning with the anniversary date of the original disclosure.

D. **Review of Financial Disclosures.** The following process shall apply to financial disclosures submitted by investigators.

1) **Determination of Financial Conflicts of Interest.** The RIO shall review each disclosed SFI; determine whether such SFI relates to federally-funded research, and, if so related, determine whether a "Financial Conflict of Interest" (as defined below) exists; and determine what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate such conflict or interest. The RIO may, depending on the scope of the potential conflict, request that additional staff or faculty serve on an ad hoc review committee to assist in its timely review. A document detailing "Procedures for Evaluating and Managing Conflicts of Interest" is available upon request from the RIO. For more information on the RIO position please see "Policy and Procedures for Responding to Allegations of Research Misconduct" in the Faculty Handbook.

2) **Financial Conflict of Interest.** A "Financial Conflict of Interest" exists when the RIO reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of federally-funded research or educational activities.

3) **Management of Financial Conflicts of Interest.** If the RIO determines that a significant financial interest constitutes a financial conflict of interest, the RIO will convene a committee consisting of faculty, senior staff and/or outside experts as detailed in the "Procedures" (the COI Committee). The COI Committee will review the research, the financial interests in question, and the areas of conflict, and devise a plan for the management of the financial conflict of interest (a "Management Plan") with a combination of elements it deems most conducive to the continued objective pursuit of research. The management plan may include conditions or restrictions to manage, reduce, or eliminate financial conflicts of interest, which may include (but are not limited to): a) monitoring of research by independent reviewers; b) modification of the research plan; c) disqualification from participation in the portion of the federally-funded research that would be affected by significant financial interests; d) divestiture of significant financial interests; e) severance of relationships that create conflicts; or f) public disclosure of financial conflicts of interest. The investigator will be consulted as to the implementation of the management plan; the Investigator must agree to the plan before the research can proceed. If the COI Committee and the investigator cannot agree upon a management plan, the relevant regulatory bodies and funding agencies will be notified.

4) **Reporting of Financial Conflicts of Interest**
   a. **Sponsoring agency.** Significant financial interests that are determined by the RIO to be financial conflicts of interest will be reported to the sponsoring agency in accordance with its requirements within 60 days of the original disclosure.
   b. **Public request.** As required by sponsoring agency regulations, information on the nature of such conflicts of interest will be made available to members of the public by the RIO in response to inquiries specifying the investigator name and the research project in question within 5 business days of receipt of such requests.
   c. **College reporting.** The RIO will also compile regular reports to the Committee on Audit and Legal Affairs of the Bates College Board of Trustees for review and oversight.

5) **Indemnity.** Participation by a Bates College faculty or staff member in a conflict of interest review committee or management plan at the request of the RIO shall be considered part of that faculty or staff member’s institutional responsibilities, and that person shall therefore be indemnified by Bates College. All such participants must hold any information obtained in the course of these duties in strict confidentiality.
E. **Enforcement.** The College shall establish appropriate mechanisms for enforcement of this policy, which shall provide for sanctions where appropriate.1 Disciplinary proceedings initiated in connection with this policy shall be conducted in accordance with the Bates College Faculty Handbook, the Bates College Employee Handbook or the Student Code of Conduct. All relevant regulatory bodies and funding agencies will be promptly informed of disciplinary sanctions.

F. **Records.** The College shall maintain records of all financial disclosures and of all actions taken to resolve financial 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.

G. **Training**

- **Investigators on NIH/PHS-funded projects.** Each Investigator (including senior/key personnel) on projects funded by or proposed to NIH or other Public Health Service (PHS)-affiliated agencies must complete training in the College’s conflict of interest policy. For investigators of current or pending NIH grants as of July 23, 2012, this training will consist of a mandatory workshop to be scheduled by the Office for External Grants no later than August 24, 2012, covering institutional policies, Investigator responsibilities under that policy, and the federal regulations that mandate the policy.

- **New or previously unfunded Investigators.** New and/or previously unfunded investigators who notify the Office for External Grants of their intent to submit a research proposal to NIH or another PHS-affiliated agency after [DATE] will be required to complete training (and make the disclosures described above) prior to submission of their proposal. This training will consist of a scheduled meeting with an assigned member of OEG staff and the RIO.

- **Investigators on non-NIH/PHS projects.** For investigators sponsored by or seeking funding from NSF and/or other federal agencies, as well as any Investigators initiating research sponsored by a private, for-profit entity, the above training activities are optional but strongly recommended.

- **Repeat training.** Group training of active NIH/PHS-funded investigators, consisting of the mandatory workshop, will be repeated (i) every four years and (ii) on any occasion when Bates College revises its financial conflict of interest policies and procedures in any manner that affects the requirements of investigators.

H. **Disclosure Statement.** Copies of the College’s Disclosure Statement are available online at http://www.bates.edu/grants/compliance-2/conflict-of-interest-policy/. This Disclosure Statement must be completed by all senior personnel who are submitting proposals to a federal funder. The certification page of a proposal cannot be signed until forms for all Investigators are submitted to the RIO. 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 financial 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 appear to be related to my research, teaching and service responsibilities to Bates College”) or b) does have potential conflicts (“I have the following relationships, affiliations, activities, or interests (financial or otherwise) which constitute potential conflicts under the Bates College conflict of interest policy”). In either case, the applicant also declares that he/she will notify the RIO of any change or discovery requiring modification of the above statement.

I. **Subrecipients.** The College is responsible for ensuring all subrecipients’ compliance with the applicable federal regulations regarding financial conflicts of interest. To this end, the College shall enter a written agreement with

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1 Such sanctions may include, but are not limited to, any one or more of the following: letter of admonition; temporary suspension of access to active research funding, either for a fixed term or pending completion of a remediation plan; temporary suspension of rights to apply for internal and external research funding as a PI, either for a fixed term or pending completion of re-training and remediation; investigation and mitigation of possible research bias resulting from improperly disclosed Significant Financial Interests, and reporting of corrective action to the relevant funding agency/ies; inquiry into possible research misconduct in accordance with the College’s policies and procedures; non-renewal of appointment, as per the terms and procedures outlined in the Faculty Handbook; involuntary termination of employment, as per the terms and procedures outlined in the Faculty Handbook. This passage shall not be construed to contradict or supersede any disciplinary policies and procedures detailed elsewhere in the Faculty Handbook.
J. Each subrecipient that shall specify whether this policy, or the applicable policy of the subrecipient’s institution, will apply to subrecipient investigators. Said agreement will specify the timing for reporting of financial conflicts of interest by subrecipients to Bates College to enable the timely review and reporting of such financial conflicts of interest in compliance with funding agency requirements.
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 (BCO) uses print and electronic media, as well as an active news-media relations program, to increase the college’s visibility and prestige in authentic ways, telling stories about the people and the programs at Bates, highlighting faculty research, teaching and the academic program. BCO is responsible for the college’s major publications, including [http://www.bates.edu](http://www.bates.edu), as well as sports information. The office provides creative leadership in external communications across a variety of constituencies, striving to attract and retain a community of students, faculty, and staff of the highest caliber; and to inspire support of the Bates mission among alumni, parents, and friends. In addition, BCO partners with campus colleagues on effective internal communications and maintains a style guide for web and print at [http://www.bates.edu/communications](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](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 (posters), lists, and mailings services. Faculty are encouraged to consult the Office Services website for specific information on poster printing. 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 October 2010

The President, with the Senior Emergency Response Group (SERG), which is comprised of representatives from the offices of the Dean of the Faculty, Dean of Students, Security, Communications, Facility Services and Dining Services, develops and coordinates the College’s response 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/conference/emergency-procedures/
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
POLICIES FOR HOLDING CLASS IN EMERGENCIES

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 advance 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.