

# The Faculty Handbook of Bates College

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Bates values the diversity of persons, perspectives, and convictions. Critical thinking, rigorous analysis, and open discussion of a full range of ideas lie at the heart of the College's mission as an institution of higher learning. The College seeks to encourage inquiry and reasoned dialogue in a climate of mutual respect.

Bates does not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, gender identity or gender expression, marital or parental status, age, or disability, in the recruitment and admission of its students, in the administration of its educational policies and programs, or in the recruitment and employment of its faculty and staff.

# The Faculty Handbook of Bates College

The information in this *Handbook* is for the faculty of Bates College. It is edited annually by the office of the dean of the faculty, with changes and additions authorized by the Board of Trustees, the faculty, or appropriate administrative officers of the College. As information is updated on the Web version of the *Handbook*, faculty are informed and changes are highlighted in color.

Part 1 of the *Handbook* contains information on the rules and procedures of the faculty, including tenure and promotion and faculty governance (committee structure). Most of these rules and procedures are legislated by vote of the faculty. Parts 3 and 4, the College's policies on nondiscrimination and sexual harassment and affirmative action, are found in the *Employee Handbook*. Parts 2, 5, 6 and 7 offer information on benefits and support programs for teaching and scholarship; instruction of students; and information and library services.

This *Handbook* is not a complete compilation of the organization, procedures, and policies of the College. It must be supplemented by other official College resources, including the *Catalog*, the *Student Handbook* and information behind the Garnet Gateway. The dean of the faculty's office website, [bates.edu/dof](http://bates.edu/dof), contains a wealth of information for faculty members on a wide range of topics.

The College also provides to all members of the Faculty an *Employee Handbook*. This handbook, which is available online at [bates.edu/hr/reference/employee-handbook](http://bates.edu/hr/reference/employee-handbook), is compiled by the director of human resources.

All members of the faculty are responsible for being familiar with the information in this *Faculty Handbook* and with the manual on employee benefits. Questions about this handbook should be addressed to the dean of the faculty, Lane Hall, 786-6066.

Matthew R. Auer  
*Dean of the Faculty*

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# Part 1: Faculty Organization and Procedures

## The Faculty of the College

Bates College is operated under a charter granted by the State of Maine, which established a corporation and gave to it the authority to adopt by-laws for its governance. Article IX of the by-laws of The Charter and By-Laws of Bates College defines membership of the faculty, broadly defines its authority, and stipulates certain procedures. The entire text of Article IX is as follows:

### By-Laws of Bates College, Article IX

SECTION 1: The faculty of the College will consist of the president, the deans, the chief financial officer, the registrar, the librarian, the principal assistant librarian, the professors, associate professors, assistant professors, instructors, lecturers, and the visiting professors. Designation as a member of the faculty confers the right to vote in faculty meetings and serve as a member of faculty committees.

SECTION 2: The terms and conditions of the appointment, reappointment, promotion, and retirement of all members of the faculty will be determined by vote of the Corporation under such rules of procedure and of tenure of faculty membership as may now or hereafter be provided by specific resolution of the Corporation.

SECTION 3: The government of the College, including the terms of admission, the bestowal of scholarships, the arrangement of courses of study, student discipline, and the control of student activities, will be vested in the faculty.

SECTION 4: The faculty will make provision for the keeping of proper minutes of their doings and may, by rule, create such offices and so regulate their doings as will seem best calculated to promote their efficiency.

SECTION 5: If the president will so request, the members of the faculty will annually make a written report covering the work of their respective departments or fields of activity.

## Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion

Article IX, Section 2 of the *Charter and By-Laws of Bates College* governs the personnel policies of the College. The dean of the faculty provides all new members of the faculty with copies of Article IX of the *By-Laws* and with these *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion* (hereafter, *Rules and Procedures*) at the time of initial appointment. The text of these *Rules and Procedures*, as legislated by the faculty, follows.

### Article I: The Committee on Personnel

#### SECTION 1: COMPOSITION AND SELECTION

##### a) Function and Composition

The Committee on Personnel makes recommendations to the president in matters of reappointment, tenure, and promotion. The committee is composed of the president and the dean of the faculty, *ex officio*, and seven elected members of the faculty.

##### b) Election

By written ballot at its February meeting, the faculty elects the seven elected members for three-year, overlapping terms.

##### c) Nomination

The Committee on Faculty Governance shall present a slate of nominees to the faculty for the election of members to the Committee on Personnel, adhering to the following conditions:

- 1) All candidates must be tenured and must hold the rank of either associate professor or full professor.

- 2) In no case may an associate professor be nominated if election would mean that more than two associate professors would serve on the committee.
- 3) In no case may a full professor be nominated if election would mean that fewer than two associate professors would then serve on the committee.
- 4) Two members of the committee must hold full or part-time appointments in the division of the humanities, two in the division of the natural sciences and mathematics, and two in the division of the social sciences. At least one of these six members must have significant interdisciplinary experience, defined as one of the following: service for at least two years on a program committee, or holding a full or part-time appointment in an interdisciplinary program. The seventh member of the committee must hold a full or part-time appointment in an interdisciplinary program or have significant interdisciplinary experience, as defined above. This member may have a full or part-time appointment in a division, as well. Additional nominations may be made from the floor at the February meeting of the faculty, but such nominations must conform to the same conditions.

ARTICLE I, SECTION 2: GENERAL INFORMATION FROM THE DEAN OF THE FACULTY

Near the beginning of each academic year, the dean of the faculty provides each member of the committee with rosters of the faculty, listing all members by rank, by years of service at the College, and by tenurial status. This information includes a calendar of particular decisions that must be made by month and date within the year and a further calendar of foreseeable tenurial decisions by year.

ARTICLE I, SECTION 3: CALENDARS

Most dates below are subject to slight annual variations. Invariable dates are certification of the doctorate by 1 September, and notifications of decisions to be mailed by 30 November, 10 February, and 15 May.

a) Calendar for Reappointment Decisions (Committee on Personnel, Committee on Personnel for Physical Education)

1) Calendar for reappointment of faculty with tenure-track appointments whose contracts begin before 1 August 2011, faculty with long-term lectureships, and head coaches in physical education in their initial review.

Normally reappointment decisions shall be made by 30 November of the fourth year of full-time service.

15 October: candidate decides whether significant interdisciplinary service will be considered as part of the review. (Note: This is not a legislated date but is necessary to meet future legislated deadlines.)

15 January: call for letters from the division chairs, the chair of interdisciplinary programs, and department and program colleagues.

1 July: if the candidate chooses to have an examiner, he or she submits the name of the examiner to the dean of the faculty. (Note: This is not a legislated date but is necessary to meet future legislated deadlines.)

22 August: candidates' dossiers due and open to examiners.

5 September: colleagues' letters due, and open to examiners.

25 September: dossiers opened to members of the Committee on Personnel.

25 October: Committees on Personnel send letters regarding clarification to candidates.

6 November: responses by candidates to letters from Committees on Personnel due.

15 November: recommendations due from the Committees on Personnel, for consideration by the president and for decision by the Trustees.

30 November: deadline for mailing of formal written notifications on reappointment decisions.

2) Calendar for reappointment of faculty with tenure-track appointments whose contracts began on or after 1 August 2011.

The following calendar is not legislated but is necessary for decisions to be made by 15 May.

Normally reappointment decisions shall be made by 15 May of the third year of full-time service.

1 September: candidate decides whether significant interdisciplinary service will be considered as part of the review.

1 October: call for candidate's dossiers.

1 October: call for letters from the division chairs, the chair of interdisciplinary programs, and department and program colleagues.

1 December: if the candidate chooses to have an examiner, the candidate submits the name of the examiner to the dean of the faculty.

26 January: candidates' dossiers due and open to examiners.

15 February: colleagues' letters due and open to examiners.

8 March: dossiers opened to members of the Committee on Personnel.

29 March: Committee on Personnel send letters regarding clarification to candidates.

12 April: responses by candidates to letters from Committee on Personnel due.

1 May: recommendations due from the Committee on Personnel, for consideration by the president and for decision by the Trustees.

15 May: deadline for mailing of formal written notifications on reappointment decisions.

b) Calendar for Tenure and In-Depth Reviews in Physical Education Decisions

Normally tenure and in-depth review decisions shall be made by 10 February of the sixth year of full-time service.

15 February: candidate decides whether significant interdisciplinary service will be considered as part of the review. (Note: This is not a legislated date but is necessary to meet future legislated deadlines.)

15 March: department/program chairs submit outside evaluator names; candidate submits outside evaluator names and an updated vita. (Note: This is not a legislated date but is necessary to meet future legislated deadlines.)

1 May: selection and confirmation of off-campus evaluators; call for candidates' dossiers.

1 May: candidate submits names of student evaluators. (Note: This is not a legislated date but is necessary to meet future legislated deadlines.)

1 September: call for letters from the division chairs, the chair of interdisciplinary programs, and department and program colleagues, and from students; mailing of candidates' materials to off-campus evaluators.

1 September: if the candidate chooses to have an examiner, the candidate submits the name of the examiner to the dean of the faculty. (Note: This is not a legislated date but is necessary to meet future legislated deadlines.)

15 October: candidates' dossiers due and open to examiners.

1 November: colleagues', students', and evaluators' letters due and open to examiners.

20 November: dossiers opened to members of the Committees on Personnel.

20 December: Committees on Personnel send letters regarding clarification to candidates.

5 January: responses by candidates to letters from the Committees on Personnel due.

January: recommendations due from the Committees on Personnel, for consideration by the president and for decision by the Trustees at their January full board meeting.

10 February: deadline for mailing of formal written notifications on tenure and in-depth review decisions.

c) Calendar for promotion to full professor and senior lecturer

The following calendar is not legislated but it necessary for decisions to be made by 30 November.

Normally promotion review decisions shall be made by 30 November.

1 December: eligible candidates decide whether to stand.

15 January: candidate decides whether significant interdisciplinary service will be considered as part of the review.

15 January: call for candidate's dossiers.



15 February: call for letters from the division chairs, the chair of interdisciplinary programs, and department and program colleagues.

15 March: department/program chairs submit outside evaluator names; candidate submits outside evaluator names and an updated vita. Candidate also submits names of student evaluators.

1 May: selection and confirmation of off-campus evaluators; call for student letters.

15 May: mailing of candidates' materials to off-campus evaluators.

15 May: if the candidate chooses to have an examiner, the candidate submits the name of the examiner to the dean of the faculty.

22 August: candidates' dossiers due and open to examiners.

5 September: colleagues', students', and evaluators' letters due and open to examiners.

22 September: dossiers opened to members of the Committee on Personnel.

15 October: Committee on Personnel send letters regarding clarification to candidates.

1 November: responses by candidates to letters from Committee on Personnel due.

15 November: recommendations due from the Committee on Personnel, for consideration by the president and for decision by the Trustees.

30 November: deadline for mailing of formal written notifications on promotion decisions.

#### ARTICLE I, SECTION 4: CONFLICTING RESPONSIBILITIES AND SPECIAL CONDITIONS

a) Authors of letters who are members of the committee neither participate in deliberations nor vote on the cases concerning which they have written, nor do they review these dossiers.

b) Associate professors on the committee neither participate in deliberations nor vote on promotions to full professor, nor do they review these dossiers.

c) A chair of a department or program who is also the chair of the division or the chair of interdisciplinary programs writes as the chair of the department or program. The committee selects another appropriate tenured member to write in place of the division chair or the chair of interdisciplinary programs. The member selected must be notified of this responsibility early in the semester preceding the one in which the letter is due.

d) A chair of a division or the chair of interdisciplinary programs who would be the only participating representative of the division or of interdisciplinary programs on the committee does participate in deliberations and voting but does not write. The committee selects another appropriate tenured member to write in place of the division chair or the chair of interdisciplinary programs. The member selected must be notified of this responsibility early in the semester preceding the one in which the letter is due.

e) For reappointment of lecturers and promotion to senior lecturer, division chairs and the chair of the interdisciplinary programs do not write as division chairs or serve as division chair in any other evaluative capacity (e.g., division chairs shall not participate in selecting additional colleagues).

f) Other Special Conditions

The dean of the faculty is responsible annually for recommending to the committee how to deal with anomalous situations as they may arise, such as a department or program with no tenured member, a chair standing for tenure, joint contractual arrangements, and the like. The dean shall consult with the candidate prior to any such recommendation, seeking full agreement and guaranteeing full knowledge of any exceptional procedures considered necessary.

#### ARTICLE I, SECTION 5: CONFIDENTIALITY

a) Written Materials

All evaluative letters from students and outside judges submitted to the Committee according to the provisions of Article IV shall be kept confidential by the committee, except for the provisions of Article I, Section 5(b), and the notification requirements of Article II, Section 6(b). All evaluative letters written by Bates colleagues may be read by the candidate once they are ready for the Committee on Personnel. The candidate's further rights of access are specified in Article VII, Section 6(c).

b) Privileges of the Chief Diversity Officer

The College's Office of Equity and Diversity Resources has access to all written material submitted to the Committee, in accordance with procedures established in the College's Affirmative Action Policy.

c) Proceedings of the Committee

The deliberations of the Committee on Personnel on cases of appointment, reappointment, tenure, and promotion are confidential except according to the provisions of Article VII, Sections 5 and 6(a). Only the president or the dean of the faculty shall announce or may explain the personnel recommendations of the committee.

ARTICLE I, SECTION 6: COMMITTEE EXAMINATION OF THE DOSSIER

The committee shall select one of its members to examine each dossier and to certify to the committee, prior to its discussion of the dossier, that it seems both complete and correct.

ARTICLE I, SECTION 7: THE EXAMINERS

A board of four persons, all tenured members of the faculty, shall be elected for three-year, overlapping terms to serve as examiners of all written materials presented to the Committee on Personnel. The individual examiners function independently of one another and of the Committee on Personnel, and they may not serve concurrently on that committee. An examiner may not examine dossiers of department or program colleagues. Candidates for reappointment, tenure, or promotion may select any one of these four individuals to perform the following functions:

- a) To offer counsel to the candidate concerning the submission of written materials on that person's own behalf.
- b) To check the dossier prepared for the Committee on Personnel, prior to its consultation by the committee, for completeness and correctness; see Article III, Sections 5 and 6, Article IV, and Article VI, Section 2.
- c) To state in writing to the dean of the faculty and the Committee on Personnel when the dossier seems both complete and correct.
- d) To advise the dean of the faculty of any incompleteness, so that it may be remedied prior to consultation by the committee, and to recheck for completeness thereafter, notifying the dean and the candidate in writing of any remaining incompleteness.
- e) To advise the dean of the faculty of any material deemed "improper" by the criteria of Article III, Sections 5 and 6, and to request in writing that the dean remove it before consideration by the committee. If the dean declines, the examiner may request in writing, stating grounds, that the committee not consider the questionable material. The examiner must also inform the candidate in writing of the fact of any such request to the committee.
- f) To advise the dean of the faculty of any material suggesting the need for further clarification or response from the candidate. If the dean declines, the examiner may proceed as in Article I, Section 7(e).
- g) To maintain confidentiality according to the provisions of Article I, Section 5 above, subject only to the qualifications explicit in this Section 7.
- h) To check for completeness and correctness of the dossier and other material (with the exception of the minutes of the faculty Committee on Personnel) submitted to the Trustee Review Committee in case a candidate appeals a personnel decision.

ARTICLE I, SECTION 8: RESPONSES FROM CANDIDATES

FOR CANDIDATES WITH TENURE-TRACK APPOINTMENTS WHOSE TENURE-TRACK CONTRACTS BEGAN BEFORE 1 AUGUST 2011:

During reviews of candidates by the Committee on Personnel for reappointment in the fourth year, for tenure, for promotion, and for lecturers on multi-year contracts, the following procedures shall apply: after the committee has made an initial review of all materials submitted, the committee shall write a letter to every candidate indicating as specifically as possible any points which the committee believes could be clarified by a response from the candidate, or indicating that no clarification is necessary. It is understood that the committee is not required to report to the candidate matters of substance, positive or negative, concerning the consideration of the candidate for reappointment, promotion, or tenure. The candidate has the right to respond to the committee in writing. The candidate may also bring up any matters on which the candidate would like to comment.

FOR CANDIDATES WITH TENURE-TRACK APPOINTMENTS WHOSE TENURE-TRACK CONTRACTS BEGAN ON OR AFTER 1 AUGUST 2011:

During reviews of candidates by the Committee on Personnel for reappointment in the third year, for tenure, for promotion, and for lecturers on multi-year contracts, the following procedures shall apply: after the committee has made an initial review of all materials submitted, the committee shall write a letter to every candidate indicating as specifically as possible any points which the committee believes could be clarified by a response from the candidate, or indicating that no clarification is necessary. It is understood that the committee is not required to report to the candidate matters of substance, positive or negative, concerning the consideration of the candidate for reappointment, promotion, or tenure. The candidate has the right to respond to the committee in writing. The candidate may also bring up any matters on which the candidate would like to comment.

## Article II: Conditions and Schedules of Appointment, Reappointment, Tenure, and Promotion in Departments Other Than Physical Education

### SECTION 1: ADMINISTRATIVE CONSULTATION BEFORE INITIAL APPOINTMENTS

Before an initial offer of tenure-track employment or of non-tenure-track initial appointments in a department or program can be extended to any person, the president or dean of the faculty consults with the department or program chair regarding the judgments of all department or program members in residence on the candidates.

### ARTICLE II, SECTION 2: CONDITIONS OF INITIAL APPOINTMENTS

Tenure is granted in connection with an initial appointment only upon recommendation of the Committee on Personnel, and is not solely an administratively negotiable condition. See below, Article II, Section 8. Initial appointment may be made at any rank. Lecturers are not eligible for tenure.

### ARTICLE II, SECTION 3: INITIAL CONTRACTS

To consummate the initial appointment, the president or the president's designee, on behalf of the Board of Trustees, and the appointee shall execute a written contract stating rank, salary, beginning and terminating dates of employment, fringe benefits, duties, and any special conditions specifically including credit for prior service as provided for below in Article II, Section 8. Joint contracts shall indicate as fully as possible what modifications, if any, in these *Rules and Procedures* are matters of agreement. In the absence of such written modifications, the presumption must be that these *Rules and Procedures* apply.

### ARTICLE II, SECTION 4: SCHEDULES OF REAPPOINTMENT, TENURE, AND PROMOTION

#### a) Full-time Tenure Track

Initial appointments to full-time, tenure-track positions are for a term of four years. Reappointments to tenure-track positions are for a further term of three years. Decisions on tenure are made during the sixth year, and first consideration for promotion to full professor is made in the sixth full year in rank as associate professor. See below, Article II, Sections 8, 9, 10, and 13 for exceptions.

#### b) Part-time Tenure Track

Initial appointments to part-time tenure-track positions are for a term of five years. Reappointments to part-time tenure-track positions are for a further term of five years. Decisions on tenure are made during the ninth year, and first consideration for promotion to full professor is made in the sixth full year in rank as associate professor. See below, Article II, Sections 8, 9 and 10 for exceptions. Evaluations of part-time tenure-track faculty shall proceed according to Article II, Section 6, below, with the exception that evaluations by the Committee on Personnel occur in different years of service than for full-time tenure-track faculty.

Initial appointments to the rank of lecturer are for terms not to exceed three years. Reappointments of lecturers may be for one, two, three, or five years.

### ARTICLE II, SECTION 5: FORMAL NOTIFICATIONS

FOR CANDIDATES WITH TENURE-TRACK APPOINTMENTS WHOSE TENURE-TRACK CONTRACTS BEGAN BEFORE 1 AUGUST 2011:

Written notifications of reappointment or nonreappointment are mailed by 30 November for all lecturers and for all other persons serving in their fourth year. Written notifications of tenure are mailed by 10 February for all tenure-eligible persons, after which continuous service is presumed in the absence of a written notification to the contrary from either the individual or the College. See below, Article II, Section 13, and Article VII. Written notifications of promotion to full professor are mailed by 15 May.

In the event that the president or the Board of Trustees does not accept a recommendation on reappointment, tenure, or promotion made by the faculty Committees on Personnel, such nonacceptance shall be stated in the letters of notification.

FOR CANDIDATES WITH TENURE-TRACK APPOINTMENTS WHOSE TENURE-TRACK CONTRACTS BEGAN ON OR AFTER 1 AUGUST 2011:

Written notifications of reappointment or nonreappointment are mailed by 15 May of their third year for tenure-track candidates and by 30 November for all lecturers. Written notifications of tenure are mailed by February 10 for all tenure-eligible persons, after which continuous service is presumed in the absence of a written notification to the contrary from either the individual or the College. See below, Article II, Section 13, and Article VII. Written notifications of promotion to full professor are mailed by 30 November.

In the event that the president or the Board of Trustees does not accept a recommendation on reappointment, tenure, or promotion made by the faculty Committees on Personnel, such nonacceptance shall be stated in the letters of notification.

#### ARTICLE II, SECTION 6: EVALUATIONS

For individuals on a four-year tenure-track appointment, an evaluation shall be conducted during the fall semester of the second year of teaching at Bates. The purpose of this evaluation is to inform the individuals of the department or program members' judgment of their job performance and to aid the individuals in any appropriate improvement.

For individuals with a single appointment in a department or program, the tenured members of the department or program shall conduct the evaluation. For individuals holding dual appointments, the tenured colleagues of the department(s) and/or program(s) specified in Article IV, Section I(c) shall conduct the evaluation.

When the individual candidate appointed in a single department or program has significant interdisciplinary service outside of that department or program, the candidate may ask the chair of interdisciplinary programs, in consultation with the candidate and with the chair(s) of the relevant programs and departments, to select one or two additional senior-ranking colleagues who are familiar with the candidate's areas of teaching and scholarship. These colleagues are drawn from the past and present membership of the appropriate programs or departments. The chair(s) of the relevant program(s) and department(s) shall also write letters of evaluation.

Each tenured member shall write a signed letter of evaluation that discusses the individual's strengths and weaknesses in terms of teaching, scholarship, and service. These evaluations shall be based on the kinds of evidence cited in Article IV, Section 5(d), as well as on direct evaluation of scholarship. All tenured members give their letters to the chair(s) of the departments and/or program(s) in which the individual holds an appointment. The chair(s) read them and give them all to the individual by 1 December. Once the individual has had an opportunity to read the letters, the individual and the chair(s) meet to discuss them. The chair(s) subsequently hold a meeting with all the letter writers to discuss the content of the letters, any disagreements, and departmental and/or program needs.

By 20 December, the dean of the faculty shall receive a letter from the chair of the department and/or program and one from the individual evaluated stating that the evaluation has taken place according to these procedures. Unless an individual letter writer or a candidate chooses to submit copies of letters written in the course of the departmental and/or program evaluation, the Committee on Personnel will not see such letters.

#### b) Subsequent Years

Every notification of a personnel decision shall include a detailed evaluation of individual performance based upon the materials submitted to the Committee on Personnel and on its discussion of those materials. This evaluation shall include a statement of strengths and weaknesses, a discussion of their relative importance, and a full statement of the reasons for the recommendation. This statement ought to include discussion of student ratings and letters on teaching, colleagues' evaluations of research and teaching, and outside evaluations of research, if any. All written notifications

must include all relevant information concerning institutional needs as they may limit the individual and concerning any percentage limitation or guidelines established by the Board of Trustees and announced by the president or the dean of the faculty. The individual may respond in writing, and any such response must be attached to the original summary statement in the personnel files and acknowledged by a reaffirmation or a revision of that summary from the dean.

c) Special Conditions

In the first and subsequent years, the dean of the faculty, the chairs of the departments and/or programs in which the individual holds an appointment, and the individual must make every effort to foresee and to communicate any special conditions for subsequent decisions on reappointment, tenure, or promotion. See Article I, Section 4.

ARTICLE II, SECTION 7: SUBSEQUENT CONTRACTS

In annual contractual letters mailed in duplicate by 15 February, the College notifies each member of the faculty of the individual's rank, salary, and benefits for the succeeding academic year. The signed original must be returned to the president by 15 March, and the duplicate is retained by the individual.

ARTICLE II, SECTION 8: CREDIT FOR PRIOR SERVICE

Persons who have held previous appointments at other institutions may negotiate with the president or dean of the faculty at the time of the initial appointment at Bates for up to four years of teaching credit toward the tenurial decision, reducing or eliminating years spent in the initial four-year contract and adjusting the dates of formal notification accordingly. No such credit is assured. If four years of credit are granted, the initial and only contract prior to a tenure decision is for three years.

ARTICLE II, SECTION 9: EARLY CONSIDERATION

An individual, after consultation with the dean of the faculty, may declare early candidacy for reappointment, tenure, or promotion. Candidates for early consideration are held to the same criteria (see Article III), and evaluative procedures (see Article IV) as those applied under the normal timetable, and the decisions made are equally final.

ARTICLE II, SECTION 10: DELAYED CONSIDERATION

Full-year leaves of absence may delay the schedule of reappointments, tenure, and promotion correspondingly. See [bates.edu/dof/faculty-scholarship/](http://bates.edu/dof/faculty-scholarship/). Neither a single half-year leave of absence nor any Short Term leave delays this schedule. In cases of multiple half-year leaves or partial leaves, the individual seeking delayed consideration must take the initiative to petition the Committee on Personnel, which has authority to accept or deny.

A candidate for promotion to full professor may elect to delay the initial consideration by the Committee. Requests for a delay must be made in writing to the dean of the faculty.

ARTICLE II, SECTION 11: SUBSEQUENT CONSIDERATION FOR PROMOTION

Subsequent to the initial consideration for promotion, the candidate may elect a new consideration in any year. The candidate must state this in writing to the dean of the faculty by **1 January**. Such consideration does not involve solicitation of letters from outside evaluators or students, unless the candidate so requests. The committee shall decide whether to grant the request for additional letters.

ARTICLE II, SECTION 12: LIMITED TERM OF SERVICE AS INSTRUCTOR

No individual may be reappointed as an instructor for service in that rank beyond the fourth year.

ARTICLE II, SECTION 13: LIMITED TERM OF NONTENURIAL SERVICE

No individual may be reappointed on a nontenurial contract extending beyond the seventh consecutive year of full-time teaching on the faculty of Bates College. Lecturers, teaching less than full time, may be so reappointed. Part-time tenure-track faculty, teaching less than full time, may be so reappointed only in accordance with the schedule stated in Article II, Section 4. No other exception may be made unless an individual so requests and special circumstances such as serious illnesses justify exceptional delay of the decision on tenure.

Normally service on a temporary replacement appointment may not exceed three years. When a member of the faculty on such an appointment is a candidate and successfully sustains a competitive search for a tenure-eligible position, the committee need not consider the reappointment. When a colleague on a temporary appointment is needed by a

department or program for a second or third year of temporary service, the committee need not consider the reappointment. All other reappointments of temporary colleagues shall be considered by the committee.

#### ARTICLE II, SECTION 14: RESIGNATIONS

Any member of the faculty who intends to terminate services at the end of an academic year is obligated to notify the College in writing of this decision not later than March 15.

### Article III: Criteria for Reappointment, Tenure, and Promotion in Departments and Programs Other Than Physical Education

#### SECTION 1: NEEDS OF THE COLLEGE

##### a) Definitions

Needs of the College as finally determined by the president and the Board of Trustees govern all decisions on appointments, reappointments, and tenure. "Needs" may concern the financial resources of the College, the support necessary for academic programs approved by the faculty, the relationship of the individual's field to other fields of inquiry in the department(s) and/or program(s) in which an appointment is held, and the recognition of student interest. The need for a given position shall be established at the time of reappointment, that is, before the tenurial decision, subject to change as provided in Article III, Section 1(c).

##### b) Guidelines or Percentages

Because of such needs as specified in paragraph (a) above, the Board of Trustees may establish guidelines or percentages for limiting reappointments or tenure. If any guidelines or percentage limitations are set, they must be announced in writing to the faculty by the president or the dean of the faculty. Prior to such corporate establishment and administrative announcement, the faculty Committee on Faculty Governance must be given the opportunity to discuss the specific proposal and its rationale separately with the faculty and the Trustee Committee on Conference with the Faculty.

Ordinarily such guidelines or limitations will restrict only the aggregate numbers or proportion of tenured members on the faculty as a whole. Ordinarily they will not restrict by department, program, or division quotas the numbers or proportion tenured in the several departments, programs, and divisions.

Any guidelines or percentage limitations may be applied by the Committee on Personnel in such a way as to produce general compliance. The committee may exceed guidelines or percentage limitations in a given year, but a continued practice of exceeding them would invoke Trustee review of the rules and procedures that govern appointment, reappointment, tenure, and promotion. The number or percentage of faculty members tenured in a department, program, or division may be a factor in the deliberations of the faculty Committee on Personnel.

##### c) Notification of Changed Needs

Whenever administrative reconsideration of the need for a position leads to a new determination, the president or dean of the faculty must notify in writing the individual, without awaiting the next scheduled review by the Committee on Personnel.

#### ARTICLE III, SECTION 2: GENERAL CRITERIA FOR ALL DECISIONS

##### a) Teaching

An excellent teacher has many strengths. Those sought by the committee include the following: knowledge of the subject; enthusiasm about the subject; organization of the course and subject matter; capacity to present abstract ideas and theories clearly; capacity to engage the class in the subject of lectures, discussions, or laboratories; encouragement of students to think for themselves; flexibility and willingness to experiment; reliability in meeting scheduled responsibilities; accessibility to students; fairness in examinations and grading. Academic advising is a normal part of a teacher's responsibilities, and it is evaluated as such.

##### b) Professional Achievement

The nature of professional achievement varies according to the field of the candidate. Achievement may take the form of research, writing, publication, or creative work and exhibition. The committee assesses evidence of the following strengths: recognition of the candidate's achievement within a field; significance of contributions to the field; quality

and originality of thought or work; breadth and depth of perspective; the will and capacity for continued individual development and professional productivity as a member of the Bates faculty.

c) Professional Service to the Public

The College recognizes professional services that candidates render outside of their disciplinary institutions for the benefit of the public. Such service may take the form of advisory or educational work. The nature and extent of these contributions may vary from individual to individual.

d) Service to the College

The candidate is expected to contribute to the work of the College in ways other than teaching. Such service to the College may take the form of work within departments or programs, on the committees of the faculty, or in other activities of the College. The candidate may also serve the College through leadership in professional organizations, or with good citizenship in the community at large. The nature and extent of these contributions may vary from individual to individual.

ARTICLE III, SECTION 3: PARTICULAR APPLICATION OF CRITERIA FOR TENURE-TRACK REAPPOINTMENT AND FOR TENURE

a) Reappointment

The standard for reappointment is performance and promise pointing toward eventual attainment of tenure. Although equal progress toward satisfying all the criteria for tenure is not required for any reappointment, tangible evidence of effectiveness in teaching and of professional commitment is a condition for service beyond the fourth year.

Reappointment does not insure a future decision for tenure.

b) Tenure

The two chief criteria for tenure are excellence in teaching and significant professional achievement. Particularly outstanding achievement in either teaching or professional activity may offset a lower level of achievement in the other category. Every decision on tenure inevitably necessitates prospective judgment concerning the promise for further development.

ARTICLE III, SECTION 4: CRITERIA FOR PROMOTION

a) Promotion to Assistant Professor

The doctoral degree or another qualification appropriate to the field is normally the necessary and sufficient condition for promotion to the rank of assistant professor. Instructors appointed before receiving such a degree are promoted automatically for the academic year immediately following, if institutional certification of completion reaches the dean of the faculty by 1 September.

b) Promotion to Associate Professor

Permanent tenure is the sufficient condition for promotion to the rank of associate professor. Individuals with prior service at other institutions may be appointed initially to the Bates faculty at this or higher rank.

c) Promotion to Full Professor

Continuing excellence in teaching and continuing significant professional achievement are the two chief criteria for promotion to full professor. Particularly outstanding achievement in one category may offset a lower level of achievement in the other. Continuing service to the College is also expected, although this criterion is less important than the other two. Time in rank alone is neither a necessary nor a sufficient qualification.

ARTICLE III, SECTION 5: ACADEMIC FREEDOM

The Committee on Personnel shall adhere to the ideal of academic freedom as defined by the 1940 *Statement of Principles on Academic Freedom and Tenure* with the 1970 "Interpretive Comments" of the American Association of University Professors, see Web site [aaup.org/AAUP/pubsres/policydocs/contents/1940statement.htm](http://aaup.org/AAUP/pubsres/policydocs/contents/1940statement.htm).

ARTICLE III, SECTION 6: NONDISCRIMINATION

The committee may not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, gender identity, gender expression, marital or parental status, age, or disability. The committee, however, shall consider any of these factors in accordance with the approved Affirmative Action Policy of the College.

## Article IV: Evaluative Procedures

### SECTION 1: EVALUATORS: FACULTY COLLEAGUES

Tenured members of departments and programs, as well as the chairs of departments, programs, and divisions, and the chair of interdisciplinary programs, share ongoing responsibility for the evaluation of junior-ranking members. The Committee on Personnel requests evaluations from all such colleagues, as specified in Article IV, Section 1(a), (b), (c), and (d), at the scheduled occasions of reappointment, tenure, and consideration for promotion to full professor. At the beginning of each academic year, the dean of the faculty shall provide each tenured member of the faculty with a two-year schedule of all reappointment, tenure, and promotion decisions for which that member shall be expected to write.

#### a) Evaluation of Candidates Appointed in Departments Only

For reappointment, tenure, and promotion decisions for persons holding appointments solely in departments, evaluators shall be selected from members of the faculty as follows:

- 1) The chair of the departmental division, except in the case of lecturers.
- 2) The chair of the relevant department.
- 3) Senior-ranking colleagues in the candidate's department.
- 4) If there are fewer than three senior-ranking members in any department, the committee solicits letters from one, two, or three other senior-ranking members of the faculty selected by the chair of the division in consultation with the candidate and the chair of the department.
- 5) In consideration of promotion, division and department chairs write evaluations regardless of their ranks.
- 6) For anomalous situations, Article I, Section 4(e) of the *Rules and Procedures* of the faculty shall apply.

#### b) Evaluation of Candidates Appointed in Programs Only

For reappointment, tenure, and promotion decisions for persons holding appointments solely in interdisciplinary programs, evaluators shall be selected from members of the faculty as follows:

- 1) The chair of interdisciplinary programs, except in the case of lecturers.
- 2) The chair of the program.
- 3) Senior-ranking colleagues in the candidate's program.
- 4) To provide continuity, two senior-ranking colleagues (usually drawn from the appropriate program committee or the search committee) shall be identified at the time of the candidate's appointment by the dean of the faculty upon recommendation of the chair of interdisciplinary programs, in consultation with the chair of the program and the candidate. These colleagues shall serve as permanent evaluators from the time of appointment through subsequent tenure and promotion decisions.
- 5) Two additional senior-ranking colleagues drawn from the membership of the program committee at the time of the call for letters for the candidate's first evaluation by the Committee on Personnel. These two additional faculty are selected by the Committee on Personnel from four names recommended by the chair of interdisciplinary programs, in consultation with the chair of the relevant program and the candidate. These colleagues shall serve as permanent evaluators from the time of the first evaluation by the Committee on Personnel through subsequent tenure and/or promotion decisions.
- 6) At the time of consideration for reappointment, tenure, or promotion, at the discretion of the candidate, one or two additional uniquely qualified senior-ranking colleagues who are familiar with the candidate's teaching and scholarship shall be selected by the Chair of Interdisciplinary Programs, in consultation with the chair of the relevant program and the candidate.
- 7) In consideration of promotion, the chair of interdisciplinary programs and the chair of the program write evaluations regardless of rank.



8) Recommendations for replacement of any of the individuals specified in (3) and (4) above due to illnesses, retirements, and the like shall be made to the Committee on Personnel from colleagues selected by the chair of interdisciplinary programs in consultation with the chair of the program and the candidate.

9) For anomalous situations, Article I, Section 4(e) of the *Rules and Procedures* of the faculty shall apply.

c) Evaluation of Candidates Holding Dual Appointments

For reappointment, tenure, and promotion decisions for persons holding dual appointments (e.g., two departments, two programs, or one department and one program), evaluators shall be selected from members of the faculty as follows:

- 1) The chair of each relevant division and/or the chair of interdisciplinary programs, except in the case of lecturers.
- 2) The chair of each relevant department and/or program.
- 3) Four senior-ranking colleagues, two drawn from each of the departments and/or programs in which the candidate serves. To provide continuity, these four faculty shall be identified at the time of the candidate's appointment by the dean of the faculty upon recommendation of the chair of the relevant division and/or the chair of interdisciplinary programs, in consultation with the appropriate department and/or program chairs and the candidate. These colleagues shall serve as permanent evaluators from the time of appointment through subsequent tenure and promotion decisions.
- 4) At the time of consideration for reappointment, tenure, or promotion, at the discretion of the candidate, one or two additional uniquely qualified senior-ranking colleagues who are familiar with the candidate's teaching and scholarship shall be selected by the chair of the relevant division and/or the chair of interdisciplinary programs, in consultation with the relevant department and/or program chairs and the candidate.
- 5) In consideration of promotion, division chairs and/or the chair of interdisciplinary programs, and department and/or program chairs write evaluations regardless of rank.
- 6) Recommendations for replacement of any of the individuals specified in (3) and (4) above due to illnesses, retirements, and the like shall be made to the Committee on Personnel from colleagues selected by the chairs of the relevant divisions and/or interdisciplinary programs, in consultation with chairs of relevant programs and/or departments, and the candidate.
- 7) For anomalous situations, Article I, Section 4(e) of the *Rules and Procedures* of the faculty shall apply.

d) Evaluation of Candidates Appointed in a Department, but with Significant Interdisciplinary Service

For reappointment, tenure, and promotion decisions for persons in a department, with significant interdisciplinary service, evaluators shall be selected from members of the faculty as follows:

- 1) The chair of the departmental division, except in the case of lecturers.
- 2) The chair of the relevant department.
- 3) Senior-ranking colleagues in the candidate's department.

At the discretion of the candidate:

- 4) The chair of interdisciplinary programs and the chair(s) of the relevant program(s) and/or department(s).
- 5) At the time of consideration for reappointment, tenure, or promotion, one or two additional senior-ranking colleagues who are familiar with the candidate's teaching and scholarship. These colleagues are drawn from the past and present membership of the appropriate program(s) and/or department(s) and shall be selected by the chair of interdisciplinary programs in consultation with the chair(s) of the relevant program(s) and/or department(s) and the candidate.
- 6) In consideration of promotion, division chairs and/or the chair of interdisciplinary programs and department and/or program chairs write evaluations regardless of rank.
- 7) For anomalous situations, Article I, Section 4(e) of the *Rules and Procedures* of the faculty shall apply.

## ARTICLE IV, SECTION 2: EVALUATORS: STUDENTS

On behalf of the committee, the dean of the faculty requests evaluative letters from at least twenty students or former students, selected according to procedures approved and published by the Committee on Personnel, concerning candidates for the tenurial decision and at first consideration for promotion to full professor or senior lecturer. Note: In order to obtain approximately twenty responses, the Committee of Personnel may need to make requests of up to sixty students.

## ARTICLE IV, SECTION 3: EVALUATORS: QUALIFIED PROFESSIONALS ELSEWHERE

For all tenurial decisions and in the sixth year in rank as associate professor for all first considerations for promotion to full professor or senior lecturer, the College solicits four outside evaluations from qualified judges of the candidate's professional work. Once identified by the Committee on Personnel, all communication with outside evaluators concerning this evaluation originates with the College.

The judges are selected in the following manner. The candidate designates one judge and also provides an alternate name. In addition, the candidate submits six names of qualified persons with brief descriptions of their qualifications. The department and/or program chair also submit(s) six names with brief descriptions. If more than one department or program chair is involved in the evaluation, they submit jointly six names of evaluators, seeking a list of scholars whose work represents the range of the candidate's scholarship. These descriptions shall include each nominee's position, title, address, relevant publications, and past relationship to the candidate. Except in special circumstances presented by the candidate or the relevant department or program chairs and agreed to by the committee, no nominee shall be the candidate's dissertation advisor. Whenever possible, each nominee shall have a strong record of scholarship in the candidate's field of expertise. If a department or program chair is a candidate for tenure or promotion, the relevant division chair or chair of interdisciplinary programs provides the six names of outside evaluators. The committee then selects three names from these nominees or from others, nominated in the same way, informing the candidate of the names selected. The candidate may request reconsideration, but the committee or the dean of the faculty as its delegate makes the final decision on the three judges.

## ARTICLE IV, SECTION 4: NEEDS OF THE COLLEGE

The dean of the faculty, the chair of the candidate's division and/or the chair of interdisciplinary programs, and the chair(s) of the candidate's departments and/or programs are separately responsible for including assessments of the needs of the College in their recommendations on each pretenurial reappointment.

## ARTICLE IV, SECTION 5: TEACHING

The attempt to evaluate teaching fairly and effectively necessitates different sorts of contributions from students, colleagues, and administrators.

## a) Submissions from the Candidate

The candidate should provide a statement on teaching and may provide copies of course materials, including syllabi and examinations.

## b) Students' Ratings

The Committee on Personnel, or other designated committee of the faculty, shall be responsible for soliciting student ratings of courses. This committee shall acquire such ratings systematically, on standard forms, and on specified days of a semester. The committee shall supervise the preparation of statistical summaries of the forms. These summaries shall be distributed to the dean of the faculty for the instructor's personnel file and to the instructor's department and/or program chair. The forms, together with any summaries or interpretations based on them, shall be returned to the instructor of the course evaluated.

## c) Students' Letters

Students' letters evaluate the candidate's teaching, according to the criteria for teaching specified in Article III, Section 2(a).

## d) Colleagues' Letters

Colleagues' letters must be based on factual evidence as well as personal judgment, and must specify such factual evidence, including the number and approximate dates of formal observations of classes. This evidence may include the following: after adequate notice to the instructor, observations of classes over a period of time and in different courses;

syllabi, examinations, or other course materials; formal interviews with students; observation outside of the classroom concerning such qualities as rapport with and accessibility to students; and responsibility in meeting obligations.

#### ARTICLE IV, SECTION 6: PROFESSIONAL ACHIEVEMENT

The attempt to evaluate achievement fairly and effectively necessitates different sorts of contributions from the individual candidate and from qualified professionals.

##### a) Submissions from the Candidate

The candidate is responsible for submitting regular annual reports of professional activities, which become part of the dossier considered by the Committee on Personnel. Every candidate for reappointment, tenure, or promotion should also submit to the dean of the faculty for the Committee on Personnel a written statement of scholarly, artistic, or other comparable work in progress and of goals for the future. The candidate should submit copies of all successful grant proposals and all published articles or books. Finally, the candidate may submit any other relevant material, including all papers read to scholarly audiences, letters concerning scholarship, art, or equivalent achievement by professionally qualified persons. See above, Article I, Section 3, for calendar.

##### b) Colleagues' Letters

All colleagues writing according to the provisions of Article IV, Section 1, should incorporate evaluation of the candidate's professional achievement and promise.

##### c) Evaluations from Qualified Professionals Elsewhere

Outside judges, writing according to the provisions of Article IV, Section 3, should evaluate published materials, manuscripts, or equivalent work, for the quality of achievements, their significance within the discipline, and any evidence of ongoing development or future promise. All information submitted to the committee from outside judges shall be in written form. All committee requests for further clarification from outside judges shall be in written form. This procedure may also be followed at the time of other decisions, depending on the judgment of the dean of the faculty or the Committee on Personnel.

#### ARTICLE IV, SECTION 7: SERVICE

The candidate should provide a cumulative list of committee service, with brief descriptions of particular contributions as seem appropriate. The candidate is also responsible for providing any other evidence of service to the College or the community at large. See Article I, Section 3, above for calendar. The committee may solicit further information about any aspects of this service.

#### ARTICLE IV, SECTION 8: OTHER INFORMATION

The committee, after informing the candidate, may seek any other information that it deems to be relevant, and the dean of the faculty may present to it other materials from the candidate's file. All such material must be opened to the chosen examiner before submission to the committee. See above, Article I, Section 7.

#### ARTICLE IV, SECTION 9: JOINT CONTRACTS

Individuals holding joint contracts shall be evaluated both individually and as a team. Before such evaluations, the dean of the faculty shall remind authors of letters and members of the committee that this evaluation must be in conformance with the requirements of the joint contract, i.e., jointly they shall serve the College in ways equivalent to a full-time teaching member of the faculty.

Evaluators should take particular notice that any possible quantitative standards of productivity used in the evaluation of individual holders of a joint appointment must be reduced in light of half-time employment.

### Article V: Criteria and Schedules for the Authorization of Lectureships and for the Appointment, Reappointment, and Promotion of Lecturers

#### SECTION 1: The Needs of the College

##### a) Definitions

Needs of the College are defined in Article III, Section 1. The need for a given lectureship shall be established at the time of each reauthorization of the lectureship position.

## ARTICLE V, SECTION 2: GENERAL CRITERIA FOR REAPPOINTMENT AS A LECTURER

## a) Teaching

Excellence in teaching is a requirement for reappointment as a lecturer. The definitions of excellence in teaching are the same as those defined in Article III, Section 2, with the exception that academic advising is not required of all lecturers.

## b) Professional Achievement

Excellence in professional achievement, in the form of research, writing, publication, or creative work and exhibition, is normally a requirement for the reappointment of a lecturer. Expectations for professional achievement shall be adjusted in ways appropriate to the part-time nature of a lecturer's position. In some cases, which will be determined by the dean of faculty, lecturers may be appointed with an understanding that professional achievement is not necessary or appropriate. In these cases, evaluators and members of the Committee on Personnel need not take professional achievement into account as part of their evaluation. The definitions of excellence in professional achievement are those listed in Article III, Section 2.

## c) Supplemental Teaching and Service

Lecturers normally have responsibility for supplemental teaching or service activities in proportion to the number of courses they teach. For example, a lecturer teaching three courses is expected to assume approximately half the supplemental teaching and service responsibilities of a full-time faculty member with similar experience, length of service and degree. The kind of supplemental teaching and service may vary, but might include some of the following: teaching of independent studies; major advising; thesis supervision; committee service; first-year advising; serving on honors panels; advising student organizations; and development, supervision, and maintenance of teaching facilities. Appropriate forms of supplemental teaching and service for a lecturer will be agreed upon by the department or program chair(s) and the lecturer, summarized in writing, and must gain the approval of the dean of the faculty. This decision must take into account the lecturer's qualifications and yearly schedule, as well as department, program, and College needs. Contributions through supplemental teaching and service, where appropriate, are the most important criteria for the evaluation of lecturers, after teaching and professional achievement.

d) Professional service to the public, as defined in Article III, Section 2(c), may also be considered as part of a lecturer's evaluation.

## ARTICLE V, SECTION 3: GENERAL CRITERIA FOR REAPPOINTMENT AS A SENIOR LECTURER

Candidates for the position of senior lecturer shall normally have achieved the terminal degree in their field, and have been employed by the College for thirteen years, or have arranged such credit for prior experience at the time of hiring. Continuing excellence in teaching and significant professional achievement are the two chief criteria for promotion to the rank of senior lecturer. Additionally, candidates for the position of senior lecturer shall demonstrate excellence in carrying out supplemental teaching and service.

## ARTICLE V, SECTION 4: GENERAL CRITERIA FOR APPOINTMENT AND REAPPOINTMENT AS AN ARTIST IN RESIDENCE

The title of "artist in residence" shall apply to lecturers whose teaching and professional achievement are in the creative or performing arts. Candidates for the title of "artist in residence" must engage in professional work appropriate to their field. Departments or programs wishing to appoint a lecturer as artist in residence shall make this proposal to the dean of faculty, who will make a final decision. Artists in residence shall normally be appointed and reappointed according to the same criteria and schedules as lecturers. In some cases, the form of teaching conducted by an artist in residence will be outside the normal format of classes; the dean of the faculty and the department or program will establish appropriate forms of evaluation.

## ARTICLE V, SECTION 5: SCHEDULE FOR AUTHORIZATION AND REAUTHORIZATION OF LECTURESHIP POSITIONS

## a) Initial Authorizations

Initial authorization of all lectureships shall be made by the president, upon recommendations from the dean of faculty and the division chairs. Initial authorization of lectureships expected to be continuing shall normally be for three years.

## b) Reauthorizations

The dean of the faculty and division chairs may recommend to the president the reauthorization of a lectureship for any

term from one semester to three years, depending on their determination of the needs of the College. Second and third reauthorizations of lectureships that are continuing shall normally each be for three years. Subsequent reauthorizations shall normally be for five years. Every lectureship position must be reauthorized, normally in the academic year previous to the last year for which it has been authorized.

c) Lecturers with a Primary Staff Appointment

The dean of the faculty and division chairs may recommend to the president that some persons whose primary appointment is for non-teaching duties may hold the appointment of lecturer, because their duties regularly involve non-classroom forms of teaching, or because the appropriate departments and/or programs have agreed that they are qualified to teach courses. After the initial appointment, this lectureship does not need reauthorization by the division chairs, but is dependent on the continuation of the staff appointment. In cases involving courses, the supervisor of the person's staff responsibilities shall decide upon the frequency of course offerings, subject to the agreement of the appropriate departments and/or programs, and subject to reappointment by the Committee on Personnel. Lecturers engaged in non-classroom forms of teaching shall also be evaluated by the Committee on Personnel. Personnel Committee evaluations shall be conducted according to the schedule in Section 6, below.

ARTICLE V, SECTION 6: SCHEDULE FOR APPOINTMENT AND REAPPOINTMENT OF LECTURERS

a) Initial Appointments

Initial appointments for lecturers may be for any term from one semester to three years, depending on the authorization of the lectureship position. The initial appointment of a lecturer occupying a position expected to be continuing shall be for three years, with evaluation of that lecturer scheduled for completion in November of the third year of the lecturer's contract.

b) Subsequent Appointments

Second and third appointments of lecturers occupying positions expected to be continuing shall normally be for three years each. Fourth and subsequent reappointments of lecturers may be from one to five years, with evaluations scheduled for completion in November of the last year of the lecturer's contract.

c) Appointment as Senior Lecturer

Lecturers may be considered for promotion to the rank of senior lecturer after thirteen years of employment as a lecturer, or through credit for prior experience arranged at the time of hiring. A lecturer who meets the minimum years of service may choose to be evaluated for this promotion by indicating this decision in writing to the dean of faculty by 1 January preceding the reappointment decision. Subsequent to the initial consideration for promotion, a lecturer may elect a new consideration in any year, by stating this decision in writing to the dean of faculty by 1 January preceding the reappointment decision. Lecturers attaining the rank of senior lecturer no longer need to undergo evaluation by the Personnel Committee. The division chairs re-evaluate the need for the lectureship position every five years.

ARTICLE V, SECTION 7: EVALUATIVE PROCEDURES

The evaluation of lecturers shall take place according to the procedures described in Article IV, with the exception of Sections 2 and 3. For purposes of reappointment, division chairs do not write as division chairs or serve as division chairs in any other evaluative capacity (e.g., division chairs shall not participate in selecting additional colleagues). For a lecturer not appointed in a department or program, the dean of faculty, in consultation with the lecturer, shall appoint suitable evaluators. As part of the reappointment of any lecturer, the Committee on Personnel may request letters from students. The number of letters requested from the students of lecturers being evaluated may vary, depending on the number of courses taught by the lecturer.

The evaluation of lecturers at first consideration for promotion to senior lecturer shall include both letters from students selected according to Article IV, Section 2, and letters from qualified professionals elsewhere, selected according to Article IV, Section 3. For lecturers standing for promotion to senior lecturer who engage in significant teaching outside the classroom, the dean of the faculty, in consultation with the lecturer, shall determine appropriate procedures for gaining student evaluation.

## Article VI: Physical Education

### SECTION 1: THE COMMITTEE ON PERSONNEL FOR PHYSICAL EDUCATION

## a) Composition and Selection

The Committee on Personnel for Physical Education makes recommendations to the president in matters of reappointments, three-year contracts, and promotion for members of the Department of Physical Education. The committee is composed of the president, dean of the faculty, the athletic director, and the senior woman administrator (SWA), all *ex officio*, and two elected members of the academic faculty of the College who are not members of the Department of Physical Education. The faculty elects these two members for three-year, overlapping terms at its February meeting. The Committee on Faculty Governance presents nominees to the faculty according to the following conditions: (1) Each elected member shall be from one of the three academic divisions or one of the interdisciplinary programs; (2) all candidates must be tenured; (3) at least one of the elected members must be a full professor. Additional nominations may be made from the floor at the February meeting of the faculty, but such nominations must conform to the above conditions.

b) Article I, Sections 2, 3, 4, 5, 6, 7, and 8 apply also to the Committee on Personnel for Physical Education and to all faculty members and head coaches serving in the Department of Physical Education. The yearly calendar of decisions stated in Article I, Section 3, shall be supplemented by the following dates: November 30 for notification of decisions on the renewal of a three-year contract except when involving an in-depth review, when notification of decision is February 10.

#### ARTICLE VI, SECTION 2: CONDITIONS AND SCHEDULES OF APPOINTMENT, REAPPOINTMENT, AND PROMOTION

a) Article II, Sections 1, 3, 5, 6, 7, 9, 10, 11, 12, and 14 apply also to members of the faculty serving in the Department of Physical Education. Article II, Sections 2, 8, and 13 apply also, but in regard to three-year contracts, not tenure.

## b) First Contract -- Third-Year Review

The initial contract for faculty, head coaches, and athletics administrators in the Department of Physical Education shall be three years in length. Faculty and head coaches in the third year of service will be evaluated by the Committee on Personnel for Physical Education according to the relevant procedures and schedule described in Articles I and II. If the third-year evaluation is positive, candidates for renewal will be recommended for an additional three-year contract. If the head coach receives an unfavorable initial review, they will not be reappointed after the third year.

## c) Second Contract -- Third-Year Review

Faculty and head coaches in the third year of service will be evaluated by the Committee on Personnel for Physical Education according to the relevant procedures and schedule described in Articles I and II. If the third-year evaluation is positive, candidates for renewal will be recommended for an additional *three-year* contract.

## d) Ongoing Three-Year Contract -- In-depth Sixth-Year Review

Faculty and head coaches in the sixth year of service will undergo a full performance evaluation, akin to the tenure review for tenure-track faculty as outlined in Article IV. Candidates who are positively reviewed as a result of the in-depth review process will be recommended for an ongoing (i.e. rolling) three-year contract, which will be renewed every year. Candidates who receive an unfavorable review will not be appointed after the sixth year. Once a head coach is on a rolling contract, the AD or PEPC may call for a review due to a concern about job performance. In that instance, the contract will stop rolling (i.e. not renew), and a full performance evaluation will occur in the next year. Candidates who are positively reviewed will be returned to a three-year rolling contract. If the results call for termination, the head coach will be able to finish out the third year of their current contract.

#### ARTICLE VI, SECTION 3: CRITERIA FOR REAPPOINTMENT, THREE-YEAR CONTRACT, AND PROMOTION

## a) Degrees

Although a master's degree is not required for the awarding of a rolling contract, the criteria for promotion to faculty status will now normally include completion of a master's degree appropriate to the field. In cases in which a head coach holds such a master's degree at the time of a successful sixth-year review, or completes the degree within two years following that review, the Committee on Personnel for Physical Education (PEPC) will make a recommendation to the President for awarding of faculty status as a lecturer. A head coach who completes a master's degree after the eighth year of service may request consideration for promotion to faculty status through a PEPC review. This review is akin to the sixth-year review except that only faculty status, not the head coach's appointment or rolling contract, is under consideration.

## b) Other Criteria

Needs of the College as finally determined by the president and the Board of Trustees must govern all decisions on appointments, reappointments, and three-year rolling contracts. Excellence as a coach is the normal condition for appointment and reappointment. The expected combination of coaching and teaching strengths for members of the Department of Athletics & Physical Education is roughly comparable to the expected combination of teaching and scholarship for members of other departments and programs. At a small and selective liberal arts college, coaching is not measured exclusively by records of wins and losses. It also involves encouraging the development in individual students of such qualities as self-confidence, self-control, persistence, discipline, cooperation, and teamwork. Candidates should demonstrate the will and the capacity to fulfill secondary responsibilities in the department, to maintain professional competence, to recruit highly-qualified students, and to serve the College and the community. An excellent coach is an excellent teacher and has many strengths. Those sought by the committee include the following: demonstrated knowledge of the sport(s); enthusiasm about the sport(s); organization of practices and games; capacity to present ideas and theories clearly; capacity to engage athletes in competition; encouragement of students to think for themselves; flexibility and willingness to keep current in the sport(s); reliability in meeting scheduled responsibilities; accessibility to students; fairness.

c) Article III, Sections 5 and 6 apply also to members of the faculty and head coaches serving in the Department of Physical Education.

## ARTICLE VI, SECTION 4: EVALUATIVE PROCEDURES

Article IV applies also to the Committee on Personnel for Physical Education and to all faculty members serving in the Department of Physical Education, unless otherwise noted below.

## a) Colleagues' Letters

Colleague letters should evaluate the candidate's professional achievement and promise as a coach and teacher. Colleague letters must be based on factual evidence as well as personal judgment, and must specify such factual evidence, including the number and approximate dates of formal observations of practices, games and/or classes. This evidence may include the following: after adequate notice to the head coach, observations of practices/games/classes over a period of time; playbooks, practice guidelines, or other coaching/teaching material; information about recruitment processes and implementation; formal interviews with students; observations outside of practices/games/classes concerning such qualities as rapport with and accessibility to applicants/students; and responsibility in meeting obligations.

For reappointment and promotion decisions, in addition to the athletic director, evaluators shall be selected from members of the department who hold rolling three-year contracts as follows:

- 1) Two colleagues shall be identified by the dean of the faculty upon recommendation of the athletic director, in consultation with the candidate. To provide continuity, these colleagues shall serve as permanent evaluators from the time of appointment through subsequent promotion or reappointment decisions.
- 2) At the time of consideration for reappointment or promotion, at the discretion of the candidate, one additional uniquely qualified colleague who is familiar with the candidate's performance shall be selected by the athletic director, in consultation with the candidate.
- 3) Recommendations for replacement of any of the individuals specified in 1) and 2) above due to illnesses, retirements, or other reasons shall be made to the Committee on Personnel for Physical Education from colleagues selected by the athletic director, in consultation with the candidate.
- 4) For anomalous situations, Article I, Section 4(f) of the Rules and Procedures of the Faculty shall apply.

## b) Submissions from the Candidate:

The candidate is responsible for submitting to the athletic director and Dean of the Faculty's Office regular annual reports of professional activities, including coaching, teaching, and recruiting, which become part of the dossier considered by the Committee on Personnel for Physical Education.

c) Annual Evaluations

The athletic director evaluates all athletics personnel on an annual basis. This review consists of both a written evaluation and a subsequent meeting to discuss the evaluation document and any other performance concerns. In addition, the athletic director shall write a brief summary of the evaluation meeting. This summary will be signed by both the athletic director and the candidate and placed in the candidate's permanent personnel file. The Committee shall have access to the candidate's annual year-end written evaluation and the signed meeting summary.

d) Students' Ratings

The Committee shall have access to a summary of student evaluations for each season. The Committee shall acquire such ratings systematically and on standard forms. These summaries shall be part of the candidate's permanent personnel file and shall be discussed with the athletic director during the annual evaluation meeting.

e) Students' Letters

On behalf of the committee, the dean of the faculty requests evaluative letters from at least twenty students or former students for the initial three-year rolling contract and as necessary for an in-depth review of those head coaches currently holding three-year rolling contracts. The students are selected from the six-year period under review and according to procedures approved by the committee concerning candidates for the second three-year contract. Note: In order to obtain twenty letters, the committee may have to solicit up to sixty students.

f) Evaluations from Qualified Professionals Elsewhere:

For the sixth-year review, and as necessary, for the in-depth review of three-year contract holders, four outside evaluators shall be selected in the same manner as prescribed in Article IV, Section 3. These judges should evaluate the candidate's coaching and other professional activity on the basis of observation in intercollegiate athletics competition through association with the candidate in professional activities.

## Article VII: Appeals

Necessarily, decisions on appointment, reappointment, tenure, and promotion are in some degree comparative and prospective, and it is not possible to specify in advance the full range of considerations that may be relevant to particular cases. Nevertheless, it is possible to specify necessary considerations, those specified above in the *Rules and Procedures*. Furthermore, it is possible to specify impermissible considerations, namely, any that would violate recognized principles of academic freedom or nondiscrimination.

### ARTICLE VII, SECTION 1: TIME LIMITATION FOR APPEALS

Any appeal by a faculty member who was denied reappointment, tenure, or promotion must be made in writing to the dean of the faculty within 60 days after notification according to the provisions of Article II, Section 5. This appeal must state as fully and as factually as possible the basis for alleging violation of process. The appeal document, including any supporting material submitted by the appellant or any statements submitted by others, but excluding the minutes of the faculty Committee on Personnel, shall be checked for completeness and correctness by the examiner of the appellant's dossier prior to its submission to the Trustee Review Committee.

### ARTICLE VII, SECTION 2: GROUND FOR REVIEW

The only ground for review is violation of process. Violations of process are defined by an alleged violation of the *Rules and Procedures* stated above in Article I through V, or are defined by an alleged violation of academic freedom or of the equal opportunity guarantees from Article III, Sections 5 and 6. "Academic freedom" is defined by the 1940 "Statement of Principles" and the 1970 "Interpretive Comments" of the American Association of University Professors.

### ARTICLE VII, SECTION 3: PROCEDURES FOR INITIATING A TRUSTEE REVIEW COMMITTEE

After receiving from the faculty member who was denied reappointment, tenure, or promotion a written appeal that alleges violation of process, the dean of the faculty shall submit it to the president. The president shall request the chair



of the Board of Trustees to convene the Trustee Review Committee, which shall report its findings to the president and to the appellant within 75 days of the time the appeal is delivered to the dean of the faculty. This report should respond to the substance of the allegations made in the appeal submitted by the faculty member.

#### ARTICLE VII, SECTION 4: COMPOSITION OF THE TRUSTEE REVIEW COMMITTEE

The Review Committee shall be composed of three members of the Board of Trustees, but not including the president or college counsel, who shall serve three-year terms according to a schedule which assures some continuity of membership. Whenever possible, at least one of the members shall have direct professional experience of academic life. No member of the Board of Trustees who has previously reviewed the dossier of the appellant prepared for consideration by the Committee on Personnel in connection with the decision from which the appeal has been claimed may serve on the Review Committee. The Review Committee may elect its own chair.

#### ARTICLE VII, SECTION 5: PROCEDURE IN CASES ALLEGING VIOLATION OF PROCESS OF THE RULES AND PROCEDURES

In cases alleging a violation of process defined as violation of the *Rules and Procedures* stated above in Articles I through V, the function of the Review Committee is limited to a determination of whether or not the faculty Committee on Personnel followed the *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*. The Review Committee should be governed by the criteria specified above in Article III and should have access to materials specified in Article IV. The Review Committee shall also consider all materials submitted as part of the candidate's appeal, and material concerning the appeal submitted by others. The rule regarding the confidentiality of the deliberations of the Committee on Personnel (Article I, Section 5(c)) shall not prevent submissions by individual members of the Committee on Personnel to the Trustee Review Committee. If the Review Committee finds substantive evidence that the faculty Committee on Personnel may not have met these standards, it shall return the case to the same committee, specifying in writing the inadequacy of the original consideration. This written response is also delivered to the appellant, but the appellant has no rights of access to confidential materials. This same faculty Committee on Personnel must then formally reconsider the case, including in its reconsideration material submitted to the Trustee Review Committee, and make a fresh recommendation to the president that either upholds or reverses the Committee's original recommendation. The president, in turn, shall make a fresh recommendation to the Board of Trustees.

#### ARTICLE VII, SECTION 6: PROCEDURES IN CASES ALLEGING VIOLATION OF PROCESS WHICH RESULT IN VIOLATION OF ACADEMIC FREEDOM OR OF EQUAL OPPORTUNITY

##### a) Function of the Trustee Review Committee

In cases alleging violation of process that result in violation of academic freedom or of equal opportunity as stated in Article III, Sections 5 or 6, the Review Committee has two functions. First, it must make preliminary inquiry into the allegation. The Review Committee shall also consider all materials submitted as part of the candidate's appeal, and material concerning the appeal submitted by others. The rule regarding the confidentiality of the deliberations of the Committee on Personnel (Article I, Section 5(c)) shall not prevent submissions by individual members of the Committee on Personnel to the Trustee Review Committee. If neither the written appeal nor this preliminary inquiry discloses evidence sufficient to suggest that violation of academic freedom or of equal opportunity may in fact have occurred, the appeal shall be denied and the decision made by the Board of Trustees upheld. The appellant shall be so informed. Second, if the Review Committee does find such evidence either in the written appeal or in its own inquiry and if such violation was made by the faculty Committee on Personnel, then it shall instruct the president to convene the Faculty Review Board, and inform the appellant of such finding. If there is evidence of violation of academic freedom or of equal opportunity solely by the president or the Board of Trustees, then the Review Committee shall report it to the chair of the Board of Trustees for further Trustee consideration.

##### b) Composition, Selection, and Function of the Faculty Review Board and of Its Hearing Committee

The board shall consist of nine tenured members elected by the faculty for five-year terms. If a member is elected to the Committee on Personnel or the Committee on Personnel for Physical Education, that member ceases to serve on the board, and a new election is held. When a specific appeal comes to the board, five of its members are selected at random to serve as the Hearing Committee. This random selection shall be conducted by the board. This Hearing Committee may not include members of the departments or programs in which the appellant holds full or part-time appointments or the appellant's division chair or chair of interdisciplinary programs. In cases alleging violation of academic freedom

or of equal opportunity on promotion to full professor, all members of the Hearing Committee must be full professors. Each Hearing Committee elects its own chair.

The Hearing Committee selected for the appeal shall begin consideration within ten days of the president's informing the Faculty Review Board that an appeal has been directed to it. Such consideration shall be governed by the criteria specified above in Article III and shall involve access to all material specified in Article IV. The Hearing Committee may also conduct further inquiries relevant to the alleged violation. Upon completion of its consideration, the Hearing Committee shall make a fresh recommendation to the president which either upholds or reverses the original recommendation of the faculty Committee on Personnel. The president, in turn, shall make a fresh recommendation to the Board of Trustees.

c) Rights of Appellant

In any consideration of an appeal by a Hearing Committee, the appellant is guaranteed the following rights. First, the Hearing Committee must give at least seven days' advance notice of the date, time, and place of the consideration. Second, the individual, with or without the assistance of an advocate chosen from among colleagues on the faculty, shall have prior access to all written materials considered by the faculty Committee on Personnel and disclosed by further inquiries of either the Trustee Review Committee or the Hearing Committee. Third, the individual, with or without the chosen advocate, shall have the right to attend the consideration of the appeal by the Hearing Committee with an opportunity to question either written materials or spoken testimony and to present the appellant's case. After the presentation and examination of all evidence and of the case on behalf of the appellant, the Hearing Committee shall retain the right to continue consideration and to vote in confidence without the presence of either the appellant or advocate.

d) Rights of the Faculty Committee on Personnel

The president and the dean of the faculty, representing the faculty Committee on Personnel, have the same rights granted to the appellant, as specified above in Article VII, Section 6(c). The Hearing Committee may invite other members of the faculty Committee on Personnel to testify, or such members may request and be granted an opportunity to testify.

#### ARTICLE VII, SECTION 7: PHYSICAL EDUCATION

Members of the faculty and head coaches in the Department of Physical Education shall have the same rights of appeal, except that the Hearing Committee shall be governed by the criteria specified in Article VI and shall have access to materials specified in Article VI.

### Article VIII: Termination for Cause

#### SECTION 1: DEFINITION

Termination of the appointment of a faculty member on contract without limit of tenure or within the specified term shall be effected only in cases of adequate cause as defined in the following statements.

- a) Gross neglect of duty resulting in a clearly inadequate performance as a teacher and as a member of the faculty.
- b) Physical or mental disability of such serious nature as to preclude acceptable performance as a teacher and as a member of the faculty.
- c) Personal conduct in flagrant conflict with the purposes of teaching and of scholarship and seriously detrimental to the College.
- d) *Bona fide* financial exigency of the College.

#### ARTICLE VIII, SECTION 2: PROCEDURES

Procedures to be followed in case of termination of a faculty contract for cause are detailed in the Appendix which follows and is incorporated herein by reference.

### Appendix to the Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion

## PROCEDURES FOR TERMINATION OF FACULTY CONTRACT FOR CAUSE

## a) Preliminary Proceedings Concerning the Fitness of a Faculty Colleague

When reason arises to question the fitness of a faculty colleague who has tenure or whose term of appointment has not expired, the president should ordinarily discuss the matter with the colleague in personal conference. The matter at this point may be terminated by mutual consent of the president and the colleague. If the matter is not terminated, the president and the Committee on Faculty Governance shall begin preliminary proceedings. During these proceedings the role of the president is to represent the College as it brings possible charges against the colleague; the role of the committee is to represent the interests of the faculty at large and to assist the parties in finding a resolution.

If the president believes that there are reasonable grounds to pursue the procedures of dismissal for cause, the preliminary proceedings begin with the president convening the Committee on Faculty Governance and presenting a written summary of the College's reasons, such summary having been previously given to the colleague. The committee then undertakes an inquiry consisting of an informal meeting with the appropriate administrative officer, an informal meeting (without the presence of College administrative officers) with the colleague unless the colleague declines, and informal meetings with any others the committee deems necessary. The chair of the committee chairs this informal inquiry. Any member of the committee who is a member of the same department or program as the faculty colleague may not participate in this hearing. The completion of the informal inquiry must occur within five working days of the date the president presented the summary to the committee and will result in a resolution of the matter agreeable to all parties or, failing a resolution, recommendations to the president of ways to resolve the situation. These recommendations may include suggesting other College procedures.

Within three working days of receiving the committee's recommendations, the president must either notify in writing the colleague that no formal charges will be brought, or communicate those charges to the colleague as described in (b) below. The president may seek the assistance of the committee in formulating a statement of the charges. Any formal charges shall refer to one or more of the causes for termination given in Article VIII, Sections 1(a), (b), or (c).

## b) Commencement of Formal Proceedings

The president will commence the formal proceedings by informing in writing the colleague of the charges formulated and stating that a faculty committee, duly constituted as provided in (d) below, will conduct a hearing to determine whether the colleague should be removed from the faculty on the grounds stated. This hearing shall begin no sooner than 20 calendar days after the president presents the formal charges to the colleague. If during this period there is a mutually agreed upon resolution, these proceedings shall be terminated and the charges dropped. The president shall inform the faculty colleague, in detail or by reference to published regulations, of the colleague's procedural rights, through delivery to the colleague of the most recent updated *Faculty Handbook* of Bates College. The faculty colleague may give to the president a written response to the charges at any time prior to the hearing.

## c) Suspension of the Faculty Member

Suspension of the faculty colleague during the proceedings is justified only if immediate harm to self or others is threatened by continuation in service. Unless legal considerations forbid, any such suspension shall be with pay. The president, representing the Corporation, shall determine whether suspension (as a temporary alteration of contract) is necessary during the proceedings.

## d) Composition of the Hearing Committee

An *ad hoc* committee of the faculty is named for each occasion when informal proceedings do not succeed. Its voting members shall be seven tenured members of the faculty, two named by the president, two named by the faculty colleague, and three named by these four meeting together. These seven members elect their chair from among themselves and vote by simple majority. No member of the Committee on Faculty Governance may serve on a Hearing Committee. The Board of Trustees shall provide one of their number to be a nonvoting member of the committee. The Hearing Committee makes recommendations to the president and the Board of Trustees.

## e) Committee Proceeding

The committee shall proceed by considering the statement of grounds for dismissal already formulated, as well as any written response from the faculty colleague. The colleague has the right to be heard, as described below in (f). If the colleague declines to participate in the hearing, the committee shall consider the case on the basis of the obtainable information and decide whether the colleague should be removed. The committee, in consultation with the president and the colleague, shall exercise its judgment as to whether the hearing should be public or private. If any facts are in

dispute, the testimony of witnesses and other evidence concerning the charges set forth in the president's letter to the colleague shall be considered by the committee.

The president shall have the option of attendance during the hearing. The president may designate an appropriate representative to assist in developing the case; but the committee should determine the order of proof, should normally conduct the questioning of witnesses, and, if necessary, should secure the presentation of evidence important to the case.

The faculty colleague shall have the option of assistance by counsel, whose functions shall be similar to those of the representative chosen by the president. The colleague shall have the additional procedural rights set forth in the 1940 American Association of University Professors *Statement of Principles on Academic Freedom and Tenure*, and shall have the aid of the committee, when needed, in securing the attendance of witnesses. The colleague or counsel, and the representative designated by the president, shall have the right, within reasonable limits, to question all witnesses who testify orally. The colleague shall have the opportunity to be confronted by all witnesses adverse to the colleague. Where unusual and urgent reasons move the Hearing Committee to withhold this right, or where the witness cannot appear, the identity of the witness, as well as the witness's statements, shall nevertheless be disclosed to the colleague. Subject to these safeguards, statements may when necessary be taken outside the hearing and reported to it. All of the evidence shall be duly recorded. Unless special circumstances warrant, it shall not be necessary to follow formal rules of court procedure.

f) Consideration by Hearing Committee

The committee shall reach its decision in conference, on the basis of the hearing. Before doing so, it shall give an opportunity to the faculty colleague or the colleague's counsel and the representative designated by the president to argue orally before it. If written briefs would be helpful, the committee may request them. The committee may proceed to decision promptly, without having the record of the hearing transcribed, where it feels that a just decision can be reached by this means; or it may await the availability of a transcript of the hearing if its decision would be aided thereby. It shall make explicit findings with respect to each of the grounds of removal presented, and a reasoned opinion may be desirable.

Publicity concerning the committee's decision may properly be withheld until consideration has been given to the case by the Board of Trustees. The president and the colleague shall be notified of the decision in writing and should be given a copy of the record of the hearing. Any release to the public shall be made through the president's office.

g) Consideration by the Governing Board

The president shall transmit to the Trustees the full report of the Hearing Committee, stating its action. On the assumption that the board has accepted the principle of the faculty Hearing Committee, acceptance of the committee's decision would normally be expected. If the governing board chooses to review the case, its review shall be based on the record of the previous hearing, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. The decision of the Hearing Committee shall either be sustained or the proceeding be returned to the committee with objections specified. In such a case the committee shall reconsider, taking account of the stated objections and receiving new evidence if necessary. It shall frame its decision and communicate it in the same manner as before. Only after study of the committee's reconsideration shall the governing board make a final decision overruling the committee.

h) Publicity

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements about the case by either the Faculty colleague or administrative officers shall be avoided so far as possible until the proceedings have been completed. Announcement of the final decision shall include a statement of the Hearing Committee's original action, if this has not previously been made known.

## Rules and Procedures of Faculty Governance

The following rules governing faculty organization and procedures for the accomplishment of faculty business were adopted by a vote of the faculty on November 6, 1967. Various additions and amendments have been made since then.

### Article I: Membership and Responsibilities

#### SECTION 1: MEMBERSHIP

The composition of the faculty shall be as given in Article IX, Section 1, of *The Charter and By-Laws of Bates College*.

ARTICLE I, SECTION 2: RESPONSIBILITIES

The responsibilities of the Faculty shall be as enumerated in Article IX, Section 3, Article X, Section 2, and Article XI, Section 3, of *The Charter and By-Laws of Bates College*.

Article II: Organization of the Faculty

SECTION 1: OFFICERS

- a) The president of the College, as the principal officer of the faculty, shall preside at faculty meetings. In the president's absence, the president shall designate the dean of the faculty to preside or the absence, the senior faculty member holding the rank of professor. The presiding officer shall have the right of debate without yielding the chair.
- b) The president shall appoint the secretary of the faculty whose duty it shall be to compile and maintain a complete file of the minutes of faculty meetings. The secretary shall also keep on file in the Office of the Dean of the Faculty copies of all faculty minutes and a record of attendance.
- c) The parliamentarian shall be appointed annually by the president.

ARTICLE II, SECTION 2: DIVISIONS, DEPARTMENTS, AND INTERDISCIPLINARY PROGRAMS

- a) The faculty shall be divided into divisions, departments, and programs. Any additions or deletions may be initiated by the president subject to approval by the faculty.
- b) Faculty members hold appointments in departments, organized into the divisions of humanities, natural sciences and mathematics, and social sciences, and also in interdisciplinary programs. Faculty members have membership in a department, a program, or in any combination of departments and programs.
- c) There shall be a chair of each division and of interdisciplinary programs elected by the faculty.
  - 1) A slate for the election of the chair of a division or of interdisciplinary programs shall be determined by the faculty appointed to the departments in that division, or in the case of interdisciplinary programs by the faculty appointed to a program or currently serving on a program committee.
  - 2) The chair of a division or of interdisciplinary programs shall be elected by a vote of all faculty.
  - 3) The faculty eligible to serve as a division chair shall have an appointment to a department in that division. In the case of the chair of interdisciplinary programs, the faculty eligible to serve shall have significant interdisciplinary experience, defined as one of the following: service for at least two years on a program committee, or holding a full or part-time appointment in an interdisciplinary program.

Article III: Faculty Meetings

SECTION 1: TIME OF MEETINGS

- a) Regular faculty meetings normally shall be held at 4:15 p.m. on the first Monday of each month during the fall and winter terms and during Short Term. If the specified day falls during a vacation or recess, the meeting normally shall be held on the first or second Monday following the vacation. Each year, the Committee on Faculty Governance shall provide the faculty with a list of any potential conflicts the normal faculty meeting schedule for the year presents, and recommends changes for the faculty to approve to that year's meeting schedule so as to avoid these conflicts.
- b) The first faculty meeting in the fall shall be held at the call of the president within a period of seven days after the first day of classes.
- c) Special meetings of the faculty may be called at the discretion of the president. The president shall also call a special faculty meeting at the written request of twenty members of the faculty.

ARTICLE III, SECTION 2: ATTENDANCE AND QUORUM

- a) Members of the faculty are expected to attend all faculty meetings.

- b) A quorum shall consist of a majority of the members of the faculty not on leave.
- c) Members of the College community who may attend faculty meetings as non-voting observers include:
- 1) all library staff holding the position of professional librarian;
  - 2) the associate and assistant deans of students;
  - 3) the director and associate deans of admissions;
  - 4) the vice president for college advancement;
  - 5) the associate vice president and chief diversity officer;
  - 6) the director of the career development center;
  - 7) the assistant vice president of communications;
  - 8) the director of the health service;
  - 9) the assistant vice president for human resources;
  - 10) the director of institutional research, analysis and planning;
  - 11) the director of security and campus safety;
  - 12) the college chaplain;
  - 13) members of the information and library services management team;
  - 14) 3 students appointed by the Bates College Student Government for the year; 3 students may sign up individually to attend specific meetings;
  - 15) 1 student reporter from the *Bates Student* newspaper selected by the editorial board.
- d) The Committee on Faculty Governance will provide the faculty with names of the members of the Bates community who hold the offices listed in Article III, Section 2(c) 1-15, and will make any secretarial changes to the list required.
- e) At its first meeting of the fall semester, the faculty may vote to invite others to attend faculty meetings throughout an academic year. At the beginning of a specific faculty meeting, the faculty may vote to invite others to attend that particular faculty meeting.

ARTICLE III, SECTION 3: ORDER OF BUSINESS AND RULES OF ORDER

- a) The normal order of business shall be:
- 1) Call to order
  - 2) Minutes
  - 3) Unfinished business
  - 4) Action reports of committees
  - 5) New business
  - 6) Information reports by committees
  - 7) Information reports by officers of the College
  - 8) Discussion of non-legislative matters
  - 9) Suggestions for future action and discussions
  - 10) Announcements
  - 11) Adjournment
- b) The agenda for each regular faculty meeting shall be prepared by the Committee on Faculty Governance. It shall consist of a list of the items of business to come before the faculty meeting in the order in which they are to be presented, including matters of new business where possible. The agenda shall be distributed to the faculty at least five days before the meeting of the faculty and shall be accompanied by texts of resolutions, reports, or other relevant documents to be considered with the items.
- c) A member of the faculty may submit items as “new business” not otherwise provided for in the agenda prepared by the Committee on Faculty Governance. Such items must be distributed to faculty in advance of the meeting, and with a two-thirds vote of faculty present may be considered at the meeting. Considering legislation as new business in this manner constitutes a first reading of that legislation.
- d) Matters raised as "non-legislative matters," under section 8 of the order of business (Article III, Section 3) shall not be conducted under Robert's Rules. In all other cases Robert's Rules of Order shall be the authority for the conduct of faculty meetings except when in conflict with the By-Laws of the Faculty or the Corporation.

- e) The order of business and the rules and procedures governing the conduct of faculty meetings may be suspended by two thirds of those voting.
- f) The Committee on Faculty Governance may alter the normal order of business as stated in paragraph (a) when in its judgment the urgency of a particular item requires its being taken up earlier in the meeting than the normal order would indicate. Such alterations, if made, shall be indicated at the time the agenda is distributed to the faculty.

ARTICLE III, SECTION 4: VOTING

- a) All decisions shall be by a majority of those voting unless otherwise specified.
- b) Voting may be by voice, by a show of hands, written ballot, or electronic ballot.
- c) The method of voting shall normally be decided by the presiding officer unless
  - 1. In the case of a voice vote, a show of hands is requested instead by a motion from the floor, or
  - 2. In the case of a voice vote, a show of hands, an electronic ballot, or written ballot, is requested instead by a majority of the faculty present.

Article IV: The Legislative Process

SECTION 1: THE COMMITTEE ON FACULTY GOVERNANCE

It shall be the duty of the Committee on Faculty Governance to review all legislation proposed by committees or other faculty members and to determine the disposition of the proposal in accord with Article IV, Sections 2, 3, and 4. The committee shall also review the proposal in terms of clarity of expression and harmony with existing rules. The Committee on Faculty Governance may return any proposal to the originator with suggestions for revisions. After reconsideration of the proposal, the originator shall submit the proposal in its final form to the dean of the faculty for inclusion with the agenda of the next faculty meeting or to such committee as the Committee on Faculty Governance shall have directed.

ARTICLE IV, SECTION 2: LEGISLATIVE ROUTES FOR PROPOSALS FROM COMMITTEES

- a) The Committee on Faculty Governance shall determine whether the proposal is routine or deliberative legislation on the basis of the importance, complexity, and controversial nature of the proposal.

When in the judgment of the committee the proposal requires only one reading, it shall be designated routine legislation and may be voted on at the same faculty meeting at which it is introduced. Deliberation of items designated as routine shall be conducted pursuant to Robert's Rules of Order.

Deliberative legislation shall require at least two readings extending over at least two regular faculty meetings. At the first reading there shall be opportunity for questions and explanatory discussion not subject to Robert's Rules; debate on the issues shall be confined to the second, third, and any subsequent readings. Those proposing new legislation may choose to defer the second and third readings for the length of time they deem appropriate.

- b) The originating committee may revise its proposal after the first and second reading. The revised report is to be considered as previously introduced legislation.
- c) The Committee on Faculty Governance may, under unusual circumstances, authorize faculty action after only one reading for legislative proposals that would normally require three readings. Deliberation of such matters shall be conducted pursuant to Robert's Rules of Order.
- d) Committee proposals normally are submitted to the chair of the Committee on Faculty Governance at least two weeks prior to the faculty meeting.

ARTICLE IV, SECTION 3: LEGISLATIVE ROUTES FOR PROPOSALS FROM INDIVIDUALS

- a) The Committee on Faculty Governance shall route proposals from individuals in any one of the following ways.
  - 1) Refer the proposal to an existing committee. The agenda for the following faculty meeting shall include notice of the referral along with the text of the proposal. The committee to which the proposal has been referred must, within

a reasonable period of time, submit a recommendation on the proposal to the faculty, including in its report the text of the original proposal.

2) Recommend to the faculty that an *ad hoc* committee be established to consider and make a recommendation on the proposal. At least one of the originators of the proposal shall be a member of the committee. The *ad hoc* committee shall follow the procedure in paragraph 1 above. If the faculty rejects the recommendation to establish an *ad hoc* committee, the original proposal shall become deliberative legislation.

3) Decide that the proposal requires no committee study and declare it routine or deliberative legislation to be handled according to Article IV, Section 2(a) and (c).

b) The procedures of Article IV, Section 2(b), (c), and (d) shall apply also to proposals presented by faculty members other than committees.

#### ARTICLE IV, SECTION 4: EMERGENCY LEGISLATION

New business of an emergency nature may be brought before the faculty by any faculty member or by a group of faculty members, whether an established committee or not, without prior submission to the Committee on Faculty Governance. In such cases, however, the faculty must first, by majority vote, decide whether to consider the proposal as a *bona fide* emergency measure. The motion for emergency status shall be nondebatable. If time permits, the proposal must be distributed to the faculty in written form prior to presentation.

### Article V: Faculty Committees

#### SECTION 1: STRUCTURE AND PROCEDURAL COMMITTEES

##### STRUCTURE

a) The designation and duties of standing committees of the faculty shall be determined by vote of the faculty. Any changes in the designation and duties of standing committees shall be effected in accordance with the provisions of Article VI.

b) Special committees may be established as required upon vote of the faculty. When such a committee is established by the faculty, the faculty shall determine whether its members are to be elected by the faculty or appointed by the procedures specified below.

##### PROCEDURAL COMMITTEES

c) A Committee on Faculty Governance shall consist of nine faculty members representing all divisions.

1) Such faculty will have at least three years of service at the College.

2) The members of the committee shall be elected by a vote of the faculty.

3) For purposes of fulfilling Article V, Section 1.c.4(7) (see below), the committee may consult with such staff as are needed.

4) The president and the dean of the faculty shall serve as *ex officio* members of the committee. They shall be *ex officio* members of any subcommittee of the committee where specified in legislation or by resolution of the committee.

Responsibilities of the Committee on Faculty Governance shall be to:

1) Appoint faculty to all non-elected faculty committee seats for standing committees designated in Article V.

2) Designate the chairs of all faculty committees appointed by the Committee on Faculty Governance, except the Educational Policy Committee, which shall be chaired by the dean of the faculty.

3) Prepare the slate of candidates for elected faculty committees and boards for action by the faculty. Slates shall be prepared in accordance with the rules for eligibility defined in Article V. The dean of the faculty and president may take on advisory roles by invitation from the committee.

4) Review all legislation proposed by committees or other faculty members and determine disposition of the proposal in accord with Article IV, Sections 2, 3, and 4.



- 5) Meet at least twice each year with the designated committee of the Board of Trustees to discuss matters of mutual concern.
- 6) Consult with and advise the president on any matters of concern to the faculty, and on matters of short- and long-range planning. The committee may also respond to questions or ideas raised by the president, and to proposed policies before they are adopted.
- 7) Consult with the dean of the faculty on matters of concern to faculty.
- 8) Consult with the division chairs on matters of concern to faculty.
- 9) Respond to questions and concerns from faculty about matters of governance generally.

The committee may designate such subcommittees as appropriate in fulfilling its responsibilities.

d) There shall be a Personnel Committee composed of the president, the dean of the faculty, *ex officio*, and seven members of the faculty, each elected at the February meeting of the faculty for three-year overlapping terms. (See *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*, Article I, Section 1.) The election of the seven members to this committee must adhere to the following conditions:

- 1) All candidates must be tenured and must hold the rank of either associate professor or full professor.
- 2) In no case may an associate professor be nominated if election would mean that more than two associate professors would serve on the committee.
- 3) In no case may a full professor be nominated if election would mean that fewer than two associate professors would then serve on the committee.
- 4) The three academic divisions and interdisciplinary programs must be represented by the seven elected members of the committee, as specified in Article I, Section 1(c), 4. Additional nominations may be made from the floor at the February meeting of the faculty, but such nominations must conform to the same conditions.

e) There shall be a Committee on the Evaluation of Teaching composed of the president and the dean of the faculty, *ex officio*, and five other members, at least two untenured and at least two tenured, appointed by the Committee on Faculty Governance.

f) There shall be a Committee on Personnel for Physical Education is composed of the president, dean of the faculty, the athletic director, and the senior woman administrator (SWA), all *ex officio*, and two elected members of the academic faculty of the College who are not members of the Department of Physical Education. The faculty elects these two members for three-year, overlapping terms at its February meeting. (See *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*, Article VI, Section 1(a). The election of the two members to this committee must adhere to the following conditions:

- 1) All shall be from the academic divisions of the faculty.
- 2) All shall be tenured.
- 3) One of the elected members shall be a full professor. Additional nominations may be made from the floor at the February meeting of the faculty, but such nominations must conform to the above conditions.

g) There shall be a Committee on Faculty Scholarship, which promotes and supports the scholarly and professional work of the faculty. The committee advises and consults with the faculty and administration in matters of resources and infrastructure required for scholarly and professional work and distributes institutional funds designated for the support of faculty scholarship and professional activities. The committee shall consist of the dean of the faculty, *ex officio*, and four elected faculty members, one faculty representative from each academic division and the interdisciplinary programs. The faculty will be elected at the February meeting of the faculty for three-year overlapping terms.

#### ARTICLE V, SECTION 2: STIPULATIONS

a) All committees, including those with student members, shall be committees of the faculty of Bates College, subject to its *Rules and Procedures of Faculty Governance*.

- b) In making appointments and nominations to committees, the Committee on Faculty Governance shall seek to implement, in a manner consistent with the *Rules and Procedures* of the faculty, the College policy on nondiscrimination and affirmative action.
- c) All members of faculty committees shall be considered voting members with all the privileges and responsibilities attached thereto unless otherwise indicated in the *Rules and Procedures of Faculty Governance*.
- d) The term of office of both elected and appointed members of standing committees shall begin with the fall term.
- e) Continuous faculty membership on a committee, except for *ex officio* members, shall normally be limited to a term of four years.
- f) Vacancies occurring in the membership of the Committee of Faculty Governance, the Personnel Committee, the Committee on Personnel for Physical Education, the Committee on Curriculum and Calendar, the Committee on Faculty Scholarship, and the Board of Examiners shall be filled for the balance of the unexpired term by special election. Vacancies occurring in the membership of the Faculty Review Board because of sabbaticals or leaves will not normally be filled.
- g) Vacancies occurring in the membership of the appointed committees and boards may be filled for the balance of the unexpired term by the Committee on Faculty Governance.
- h) The president and dean of the faculty shall be members *ex officio* of all committees and shall be notified of all meetings.
- i) Note: There is a Student Committee on Committees, selected by the Representative Assembly. The duty of the student Committee on Committees shall be to make recommendations to the Representative Assembly for student appointments to faculty-student committees, subject to approval of the majority of the membership of the Representative Assembly.

ARTICLE V, SECTION 3: STANDING COMMITTEES

- a) In addition to the procedural committees, i.e., the Personnel Committee, the Committee on the Evaluation of Teaching, the Committee on Personnel for Physical Education, the Committee on Faculty Scholarship, and the Committee on Faculty Governance, delineated in these *Rules and Procedures of Faculty Governance* in Article V, Section 1, c-g, there shall be other standing committees of the faculty which are listed below along with certain stipulations in addition to those given in Section 2.
- b) All Faculty Committees.
  - 1) Academic Standing Committee — dean of students, associate dean of students, and registrar, *ex officio*, five faculty.
  - 2) African American Studies and American Cultural Studies Committee — seven faculty.
  - 3) Asian Studies Committee — faculty members most directly involved with Asian and South Asian studies.
  - 4) Biological Chemistry Committee — the chairs of the Department of Biology and the Department of Chemistry, and the faculty members most involved with the Program in Biological Chemistry.
  - 5) Classical and Medieval Studies Committee — seven members.
  - 6) Admissions and Financial Aid Committee — five faculty members, one from each division, and one from interdisciplinary programs, and one from athletics, and the dean of admission and financial aid, *ex officio*.
  - 7) Environmental Studies Committee — faculty who will design and oversee the major program in environmental studies.
  - 8) Graduate Fellowship Committee — five members.
  - 9) Legal Studies Committee — dean of students or associate dean of students, *ex officio*, two faculty.
  - 10) Medical Studies Committee — dean of students or associate dean of students, *ex officio*, five faculty.
  - 11) Neuroscience Committee — faculty most directly involved with the Program in Neuroscience.

12) Teaching Development Committee — dean of the faculty, *ex officio*, four faculty.

13) Women and Gender Studies Committee — seven faculty.

c) Policy matters originating in the Academic Standing Committee and the Honors Committee shall be referred to the Educational Policy Committee for discussion and joint recommendation to the faculty.

d) Faculty-Student Committees.

1) Athletics Committee — three to four members of the faculty outside the physical education department; three to four students; associate dean of students, *ex officio*. The committee size will be modified with the consent of the committee chair.

2) College Lectures Committee — three faculty, three students.

3) Curriculum and Calendar Committee — registrar, *ex officio*; librarian or associate librarian, *ex officio*; four faculty, one from each of the divisions of natural sciences, humanities, and social sciences, and one from interdisciplinary program; two students. Student members will be selected according to the guidelines spelled out in Article V, Section 1(i).

4) Educational Policy Committee — six faculty, three students, dean of the faculty, *ex officio*.

5) Extracurricular Activities and Residential Life Committee — dean of students or associate dean of students, *ex officio*, vice president for finance and administration, *ex officio*, two faculty members who are advisors of major student organizations, two faculty members at large, and six students.

6) First-Year Seminar and Writing Committee — four faculty members, one from each academic division, two students.

7) Honors Committee — four faculty, one student.

8) Library Committee — up to six faculty, up to three students, librarian, *ex officio*. The committee size will be modified with the consent of the committee chair.

9) Off-Campus Study Committee — three faculty, the director of off-campus study, *ex officio*, dean of students or associate dean of students, *ex officio*, two students. student members of this committee shall not be present for discussion of and shall not vote on cases involving individuals.

10) Student Conduct Committee — five full-time teaching faculty, five students.

e) Faculty-Administrative Staff-Student Committees.

1) Information Services Advisory Committee—three faculty members, two students, the information services management team, *ex officio*, and two *ex officio* administrative members chosen by the vice president for academic affairs.

2) Martin Luther King, Jr. Day Planning Committee — three faculty members, one student, the chaplain, *ex officio*, the dean of the students, *ex officio*, and three college administrators chosen by the vice president for academic affairs in consultation with the chair of the committee.

f) Faculty-Staff-Student Committees.

1) Budget and Finance Advisory Committee — up to four faculty members, up to three students, the president, the dean of faculty, and treasurer, *ex officio*, and up to four other staff members chosen by the president. The committee size will be modified with the consent of the committee chair.

2) Committee on Environmental Responsibility — three faculty members, three students, the environmental coordinator, *ex officio*, and additional staff and administrators appointed by the president or his/her designee in consultation with the environmental coordinator and chair of the committee.

g) Faculty-Staff-Community Committees.

- 1) Institutional Animal Care and Use Committee — at least three members, one a faculty member involved in animal research, one a doctor of veterinary medicine, and one a public member who is not involved in animal research, affiliated with the College, or related to anyone affiliated with the College.
- 2) Institutional Review Board — at least five members with varying backgrounds, one a faculty member whose primary concerns are in scientific areas, one a faculty member whose primary concerns are in nonscientific areas, and one person who is not affiliated with the College or in the immediate family of anyone affiliated with the College.

#### ARTICLE V, SECTION 4: BOARDS

In addition to the procedural and standing committees, there shall be the following boards of the faculty. Unlike other committees, boards do not meet regularly and, in some cases, never meet as a board.

- 1) Examiners — four tenured members of the faculty, elected for three-year, overlapping terms, as stipulated in Article I, Section 7 of the *Rules and Procedures*.
- 2) Faculty Review — nine tenured members of the faculty, elected for five-year terms, as stipulated in Article VII, Section 6(b) of the *Rules and Procedures*.
- 3) Judicial Educators — two members of the faculty, chosen from among former members of the Student Conduct Committee.

### Article VI: Amendments

#### SECTION 1: METHOD OF INITIATION

Proposed amendments to these *Rules and Procedures of Faculty Governance* shall be first initiated at a regular faculty meeting.

#### ARTICLE VI, SECTION 2: METHOD OF VOTING

Notice of such proposed amendment shall be included in the notice of the next regular faculty meeting. Passage of the amendment shall require two-thirds of those voting.

## Standing Committees of the Faculty: Charge of the Committees

This section of the *Handbook* is not part of the *Rules and Procedures of Faculty Governance*, but serves as a description of faculty committees based on the various legislative actions of the faculty that established the committees.

Faculty committees are constituted according to Article V of the *Rules and Procedures of Faculty Governance*. Standing committees may be classified as (1) elected (and including or not including students), (2) appointed faculty, (3) appointed faculty-student, (4) appointed faculty-administrative staff-student, and (5) appointed faculty-staff-community. The president and the dean of the faculty are *ex officio* members of all committees.

### Elected Committees

**COMMITTEE ON FACULTY GOVERNANCE.** The duties of this committee are given in Article V, Section 1(c) of the *Rules and Procedures of Faculty Governance*.

**COMMITTEE ON PERSONNEL.** The duties of this committee are given in Article V, Section 1(d) of the *Rules and Procedures of Faculty Governance*.

**COMMITTEE ON PERSONNEL FOR PHYSICAL EDUCATION.** The duties of this committee are given in Article V, Section 1(f) of the *Rules and Procedures of Faculty Governance*.

**COMMITTEE ON CURRICULUM AND CALENDAR.** The committee has the functions of reviewing and approving curricular proposals that come within the structure of established educational policy and practice, and reporting these to the faculty in writing once a semester; of preparation of the annual academic calendar for presentation to the faculty; and of the review and approval of class and examination schedules, as presented to the committee by the registrar. The

Committee on Curriculum and Calendar assists faculty in the development of general education concentration courses for General Education and certifies these courses for annual publication in the *College Catalog* on line or in print.

COMMITTEE ON FACULTY SCHOLARSHIP. This committee has the following responsibilities: 1) to encourage success in scholarly and professional work by facilitating discussions and solutions of problems related to the campus environment in which professional work is carried out, the acquisition of individual and institutional grant funds, and the development of strategies for establishing successful and sustainable research and professional activities programs; 2) to serve as a liaison between the faculty and administration, including the president, dean of the faculty, and the Office of External Grants, in matters of financial, infrastructure, and time resources required for the faculty's scholarly and professional work; 3) to immediately assume the responsibility of distributing those funds designated as the Bates Faculty Development Fund. The distribution of funds from additional institutional granting programs may be tasked to the committee in the future by the dean of the faculty.

COMMITTEE ON ADMISSIONS AND FINANCIAL AID. The committee works with the dean of admission and financial aid to establish and evaluate admissions and financial aid policies; facilitate and coordinate the direct involvement of the faculty in student recruitment, admission, and retention.

### Appointed Faculty Committees

ACADEMIC STANDING. The committee has these broad responsibilities: (1) to recommend to the faculty policy concerning academic standing, probation and dismissal, and related matters of the grading system; (2) to hear on appeal individual cases of students placed on probation or dismissed by failure to meet legislated criteria for good academic standing; (3) to hear petitions for readmission from students once academically dismissed; (4) to report statistical summaries concerning academic standing to the faculty after the close of the fall and winter semesters; (5) in conjunction with the Educational Policy Committee to recommend to the faculty policy concerning registrations and the assignment of credit; (6) to hear on appeal individual petitions concerning irregular registrations and credits, including underloads, overloads, late registrations, late withdrawals, rescheduled final examinations, deferred course grades, changes in course grades, and transferred credits; (7) to review the administrative exercise of specified authorities as delegated by the committee to the dean of students and the associate dean of students according to faculty legislation.

AFRICAN AMERICAN STUDIES AND AMERICAN CULTURAL STUDIES. This committee shall design and oversee these major programs, having the same authority over the programs and their student participants as normally is held by academic departments in regard to their major programs. In its design and oversight of the major programs, the committee shall insure that the following curricular arrangements are fulfilled: (1) introductory courses, one in African American studies and one in American cultural studies, shall be offered each year and be required of respective majors; (2) an upper-level methods seminar on topics in race, gender, class, and cultural analysis shall be offered each year and be required of students in both majors; (3) in both majors each student shall be required to complete satisfactorily a senior thesis; (4) appropriate courses taught within the several academic departments shall be cross-listed in the *Catalog* as offerings in one or both of these majors, and these cross-listings shall be with permission of the instructors; (5) the requirements in American cultural studies shall include no fewer than three courses in African American studies, as determined by the committee.

ASIAN STUDIES. This committee, established by faculty legislation in 1996, is responsible for the interdisciplinary program in Asian studies, which offers majors in Chinese, Japanese, and East Asian studies and minors in Chinese, Japanese, and Asian studies. Its duties include designating the major and minor requirements, overseeing student majors, approving thesis programs, recommending any General Education contributions from the Asian studies curriculum, and evaluating colleagues teaching in Asian studies.

BIOLOGICAL CHEMISTRY. This committee oversees all aspects of the biological chemistry program. It assumes the obligations and exercises the prerogatives which characterize the collective staffs of departments.

CLASSICAL AND MEDIEVAL STUDIES. This committee, established by faculty legislation in 1982, has responsibility for overseeing the interdisciplinary Program in Classical and Medieval Studies. This responsibility includes designating the major requirements, overseeing student majors and their thesis advisors, recommending any General Education contributions from the classical or medieval curriculum. Responsibility also includes participation by some committee members in the evaluation of faculty colleagues holding teaching appointments in classics.

**ENVIRONMENTAL STUDIES.** This committee, established by faculty legislation in 1995, has responsibility for overseeing the interdisciplinary Program in Environmental Studies. Normally comprised of no more than seven faculty, its membership is drawn from throughout the faculty. Its duties include designating the major requirements; developing the core curriculum; overseeing the academic program of student majors, including senior thesis, student internships, and independent study; recommending General Education contributions from the environmental studies curriculum; and evaluating faculty colleagues teaching in environmental studies.

**EVALUATION OF TEACHING.** The committee has the responsibility to study procedures involved in the evaluation of teaching and, in consultation with the Committee on Personnel: (1) to compose and, as necessary, to revise the student rating form necessary to implement Article IV, Section 5(b), of the *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*; (2) to recommend acquisition of any necessary scoring apparatus and to consult on the computer programs necessary for statistical analysis of completed forms; (3) to consult on the proportion of all courses offered to be evaluated by such ratings; (4) to assist the Committee on Personnel in carrying out its responsibilities as defined in Article IV, Section 2; (5) to recommend to the Committee on Personnel procedures for the selection of student letter-writers according to the provisions of Article IV, Section 2; (6) to perform on behalf of the Committee on Personnel whatever tasks of selection are necessitated by the provisions of Article IV, Section 2; (7) to recommend and, as necessary, to revise the design and the language of the call letters necessitated by Article IV, Section 2; (8) to recommend procedures for the evaluation of advising as an expected part of the teaching obligation. The committee has full access to completed rating forms and statistical summaries, but it must respect the confidentiality essential in personnel matters.

**GRADUATE FELLOWSHIPS.** This committee serves as the screening committee for all fellowship applicants who must be nominated or recommended by the College. In cooperation with the academic departments and programs and the Career Development Center, it also undertakes to encourage qualified students to consider graduate study upon completion of their college work. It serves also as the screening committee for all fellowship applicants who must be nominated or recommended by the College.

**LEGAL STUDIES.** In cooperation with the Career Development Center, this committee serves as an advisory and coordinating body to those students interested in legal careers.

**MEDICAL STUDIES.** This committee shall serve as an advisory and coordinating body to those students interested in medical careers, and is responsible for the preparation of evaluations and recommendations of students to the medical schools.

**NEUROSCIENCE.** This committee has responsibility for overseeing the interdisciplinary Program in Neuroscience. Its duties include development and oversight of the major, including the requirements for the major; academic and thesis advising of majors; selection and supervision of staff; mentoring and evaluating of faculty members in the program.

**TEACHING DEVELOPMENT.** This committee shall promote excellent teaching at Bates College by: (1) sponsoring workshops and seminars on teaching development, (2) developing a collection of materials on pedagogy for faculty use, (3) serving as a resource group for faculty members seeking to develop their teaching, and (4) developing such other methods for promoting excellent teaching as the committee deems appropriate. The committee may also provide information about technical and other resources at the College that are available to faculty and communicate with the Committee on Evaluation of Teaching about modifications of the evaluation process that would enhance teaching development.

**WOMEN AND GENDER STUDIES.** This committee shall design and oversee the major program, having the same authority over the program and its student participants as normally is held by academic departments in regard to their major programs. In its design and oversight of the major program, the committee shall insure that each year (1) an introductory course on women and gender studies and an upper-level seminar integrating such studies are taught exclusively as part of the major program, and (2) appropriate courses taught within the several academic departments are cross-listed in the *Catalog* as offerings in women and gender studies. The committee shall sponsor a faculty development seminar, which shall assist members of the faculty who wish to integrate women and gender studies into their curricular offerings or who wish to introduce new courses with a women and gender studies focus.

## Appointed Faculty-Student Committees

**ATHLETICS.** This committee shall "(1) give careful attention to all matters pertaining to noncurricular athletics, and report to the faculty any information and recommend any legislation it shall deem advisable; (2) serve as an advisory committee to the physical education department on any matters pertaining to noncurricular policy and practice of that department. It is assumed that the unique perspectives of men's and women's athletics will be reflected by balanced representation on the committee."

**COLLEGE LECTURES.** This committee is responsible for the arrangement and presentation of an annual College lecture series.

**EDUCATIONAL POLICY.** This committee has the broad responsibility of review of the educational policy of the College, and of initiation of proposals to the faculty for changes in policy. The Educational Policy Committee is responsible for the oversight of the development and implementation of the College's General Education requirements.

**FIRST-YEAR SEMINAR AND WRITING.** This committee has the following responsibilities: (1) to work with participating faculty in seeing that proposed seminars reflect the purposes of the First-Year Seminar Program; (2) to present each year's program to the Committee on Curriculum and Calendar; (3) to offer an annual evaluation of the program to the program to the Committee on Educational Policy; (4) to assist faculty in the development of writing courses for General Education (W) and to certify these courses for annual publication in the *Catalog* online or in print; (5) to consider, in consultation with the dean of the faculty, requests for exceptions; (6) to serve as an information resource on teaching writing.

**HONORS.** This committee shall: (1) set standards and procedures for the granting of honors; (2) admit students to honor study upon recommendation of department and program chairs.

**LIBRARY.** This committee shall sit as an advisory body to the librarian, who shall be an *ex officio* member. It shall also serve the faculty as the committee of first referral in all matters concerning the library.

**OFF-CAMPUS STUDY.** This committee has the following responsibilities: (1) to evaluate off-campus study programs other than those within the curriculum of the academic departments and to recommend any of them to the Committee on Educational Policy for possible approval by the faculty as programs available to students in the College; (2) to establish procedures for the selection of student applicants to such off-campus study programs; (3) to approve students for participation in off-campus study programs other than those within the curriculum of the academic departments and programs, including the junior year abroad.

**STUDENT CONDUCT.** This committee has the responsibility to make policy recommendations to the faculty regarding matters of student conduct; and to make decisions in student conduct cases referred or appealed to it under the faculty's "Judicial Procedures." The co-chair shall report to the faculty at the last regular faculty meeting of each semester on all action taken by the committee since the preceding report.

## Appointed Faculty-Staff-Student Committees

**BUDGET AND FINANCE ADVISORY.** This committee reviews information, offers advice to the president and the administration, and communicates with the community concerning (1) the development of both annual and multi-year budgets and (2) general issues relating to the College's finances and the economics of higher education.

**ENVIRONMENTAL RESPONSIBILITY.** This committee's charge is to assist the environmental coordinator as in: (1) raising environmental awareness among all constituents of the College; (2) keeping abreast of research and developments that pertain to institutional sustainability; (3) recommending policies for adoption by the College that promote conservation, energy efficiency, and sustainable use of resources; (4) designing and coordinating events that encourage environmentally sound practices throughout the College; and (5) assessing the environmental state of the College on a regular basis. The committee also communicates regularly with the faculty and other relevant campus groups.

**EXTRACURRICULAR ACTIVITIES AND RESIDENTIAL LIFE.** This committee discusses issues of extracurricular activities and residential life. The committee is charged with monitoring and recommending changes in College policies affecting student life outside of the classroom. This responsibility includes: oversight of Bates College Student Government procedures for establishing new student clubs; meeting with members of the Bates community to discuss

issues of extracurricular activities and residential life; fostering and coordinating the faculty's role in student residential life.

**INFORMATION SERVICES ADVISORY.** This committee advises the information services management team on operations, programs, and priorities concerning the information services needs of the Bates community. It aids in the review of strategic and operational Information Services plans and provides a forum to discuss problems and needs that should be addressed. The committee can propose legislation to the faculty on matters specially touching faculty concerns in computing and information technology, and it can discern faculty opinion on other technology and information policy issues through discussion at faculty meetings.

**MARTIN LUTHER KING, JR. DAY PLANNING.** This committee acts as the organizing body for the activities connected with the College's official annual commemoration of Dr. Martin Luther King, Jr.'s birthday.

### Appointed Faculty-Staff-Community Committees

**INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE.** This committee reviews classroom and research use of vertebrate animals to assure that animals involved are handled properly and humanely. The committee also inspects the animal colony.

**INSTITUTIONAL REVIEW BOARD.** This committee composed of faculty members and a psychiatrist from 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 procedure 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. The committee maintains guidelines on research protocol, fair and respectful treatment of subjects, issues of confidentiality, and informed consent.



## Part 2: Faculty Benefits and Support Programs

### Salary

Faculty salaries are reviewed annually. Recommendations on salary are made by the president to the Executive Committee of the Board of Trustees, and upon approval by the Board are reported to the individual faculty member no later than February 15. Such recommendations may be based upon scholarly achievement and performance as a teacher, and upon the financial capabilities of the College. There are no automatic advances in salary.

The College reports to Integrated Postsecondary Education Data System (IPEDS) conducted by the National Center for Education Statistics of the Department of Education. The American Association of University Professors now receives its information on faculty compensation from this survey, and publishes pertinent indices in its spring issue of the AAUP bulletin, *Academe*.

The following minimum salaries are in effect for 2013-2014:

Instructor	\$59,500
Assistant Professor	63,500
* Associate Professor	80,500
* Professor	95,000

\*In rank with tenure

## Benefits in Addition to Salary

The College provides all its employees, including faculty members, with an *Employee Handbook* that can be found online at [bates.edu/dof/governance-and-policies/employee-handbook/](http://bates.edu/dof/governance-and-policies/employee-handbook/) or obtained from the Office of Human Resources. The *Employee Handbook* is meant to supplement or complement the information provided in this section of the *Faculty Handbook*.

Note that faculty benefits do not include College insurance coverage on personal belongings, including books and equipment, held in faculty offices, library studies, classrooms, laboratories, or personal residences, including housing belonging to the College.

### Bates Flexible Benefits Plan

Bates College offers employees a Flexible Benefit Plan. This is a variation of a cafeteria plan that allows benefits to be provided on both a before and after-tax basis, or employees may opt out of a benefit and receive cash instead. All employees who are in a benefit status of half or more are eligible to participate in this plan. Benefits are prorated for those employees who are in a three-quarter or half benefit status.

The benefits that are provided under the College's Flexible Benefits Plan are as follows: health insurance, dental insurance, life insurance and accidental death and dismemberment insurance (AD&D), long term disability insurance (LTD), health care reimbursement account (HCRA), dependent care reimbursement account (DCRA), and the dependent care subsidy that is provided by the College.

### Benefits Eligibility for Faculty

Faculty benefits eligibility is based on 5 courses equivalents as equaling 1.0 FTE (full-time equivalent).

Full Benefits – consists of teaching more than 4 courses (or course equivalents) or more per academic year in any combination.

Three-Quarter Benefits - teaching 3.5 - 4 courses per academic year for an FTE between .67 - .825

Half Benefits - teaching 2.5 - 3 courses per academic year for an FTE between .50 - .66

Not eligible for benefits - fewer than 2.5 courses per year not eligible for Bates College benefits for an FTE between .00 - .49.

For faculty personnel the following apply: 1) Benefits are determined by the employment terms articulated in the faculty member's contract, and the employment terms are binding in regard to eligibility for benefits. 2) If the length of the contract is one semester only, and the teaching responsibilities are for 2.5 – 3 course equivalents, the faculty member receives full benefits for that semester. 3) If the length of the contract is one academic year, and the teaching responsibilities are for 2.5 – 3 course equivalents during any part of the academic year, the faculty member is eligible for half benefits of the contract as specified.

### Retirement Benefits

Bates maintains two separate plans providing retirement benefits, the Bates College Money Purchase Pension Plan (Bates College Pension Plan) and the Bates College 403(b) Retirement Plan (Bates College Savings Plan). In order to participate in the Bates College Pension Plan, or receive the 1% Match plan from the Bates College Savings Plan, the employee must be classified in a benefit status of half-time or more. All employees, regardless of their status, can contribute to the Bates College Savings Plan. If a non-benefit eligible employee exceeds 1,000 hours in an employment year, the employee is eligible to participate in both the Bates College Pension Plan and receive the 1% Match on the anniversary of the employment year.

### Bates College Pension Plan

Eligibility starts on the first of the month following one year of employment. The pension plan is a 401(a) money purchase pension plan. Under this plan, employees are guaranteed a defined contribution into the plan and the employee directs the investment of the contributions. The college contribution is 9% of eligible wages (base salary plus overtime and shift differential).

To establish investment elections and designate beneficiaries the employee must enroll online at [ttaa-cref.org/bates](http://ttaa-cref.org/bates). If the employee does not make investment elections, contributions will be defaulted into the Lifecycle Fund that most closely matches the employee's expected retirement date at age 65. Information on how to enroll, the Lifecycle Funds

and the Qualified Default Investment Notice are available in the Office of Human Resources or online at [bates.edu/hr/benefits](http://bates.edu/hr/benefits) or the TIAA-CREF website above.

Complete details of the pension plan are described in a Summary Plan Description provided to eligible employees by the Office of Human Resources.

## Bates College Savings Plan

The Bates College 403(b) Retirement Plan is a 403(b) Tax Deferred Annuity plan, which provides employees with an additional opportunity to save for future financial security for retirement. All employees are eligible to participate in the Bates College 403(b) Retirement Plan; to participate employees must complete the appropriate online enrollment at [tiaa-cref.org/bates](http://tiaa-cref.org/bates) and sign and return a salary reduction agreement to the Office of Human Resources.

If the employee does not enroll online and make investment elections, the contributions will be defaulted into the Lifecycle Fund that most closely matches the employee's expected retirement date at age 65. Information on how to enroll, the Lifecycle Funds and the Qualified Default Investment Notice are available through the Office of Human Resources or online at [bates.edu/hr/benefits](http://bates.edu/hr/benefits) or the TIAA-CREF website above.

Because contributions to a 403(b) plan are automatically deducted from an employee's pay before federal and state tax withholdings are calculated, the employee saves tax dollars now by having their current taxable income amount reduced. These contributions are not exempt from Social Security or Medicare Taxes. Employees can elect a percent of their earnings or a flat dollar amount (election of a flat dollar amount must exceed 6% of eligible earnings – see salary reduction agreement for instructions). The amount that an employee may contribute to the Bates College Savings Plan is limited each year by law.

As an incentive to encourage employees to save for retirement, the College matches eligible employee's contributions by one-half up to a maximum college matching contribution of 3% of salary (e.g., if the employee contributes 6% of salary, the College will contribute 3%).

To be eligible for the match, the employee must be enrolled in and contributing to the Bates College 403(b) Retirement Plan. Eligible participation starts on the first of the month following one full calendar month of employment.

Complete details of the Bates College 403(b) Retirement Plan are described in a Summary Plan Description provided to eligible employees by the Office of Human Resources.

## Flexible Spending Accounts

Bates provides Flexible Spending Accounts (FSA) that allow employees to have pre-tax dollars deducted from their salaries to pay for eligible out-of-pocket expenses. Participation in the Health Care Reimbursement Account and/or the Dependent Care Reimbursement Account is optional. Employees desiring to participate in a FSA must enroll/reenroll each plan year. This benefit is available to faculty and staff who are classified in a benefit status of half-time or more.

Flexible spending accounts can be used to pay for predictable non-reimbursed health care and dependent care expenses during the plan year for which the account was created. Through the use of an FSA, employees may be able to reduce their taxable income.

Bates provides dependent care assistance to employees who are classified in a benefit status of half time or more. To participate in the Bates College Dependent Care Subsidy, the employee must contribute a minimum of \$100 in a Dependent Care Reimbursement Account. The subsidy is provided to help offset the costs of dependent care to employees in maintaining employment. The amount of the subsidy varies based on the number of eligible dependents and total household income. The Dependent Care Subsidy benefit is prorated for employees who work less than full time.

Contact Human Resources for more information about the Flexible Spending Accounts and the Dependent Care Subsidy.

## Travel Accident Insurance

Any Full-time member of the faculty traveling on College business, which includes professional meetings, is covered against accidental injury or death up to the amount of \$250,000.

## Rowe Fund (Educational Assistance for Children of Employees)

The following describes the Harry W. Rowe Tuition Grant Fund Program (the Rowe Fund), which is provided by Bates

College for its employees on behalf of their children attending college.

**ELIGIBILITY AND PARTICIPATION.** Assistance from the Rowe Fund toward tuition for dependent children is available to each active or retired full-time faculty, administrative staff, and support staff member (or two persons sharing a single full-time employment appointment treated as a single full-time employee) who has met the applicable service requirement at Bates College. An active employee is one who is either employed as defined above or is on authorized leave, not exceeding one year in duration and from which the employee will return to full-time employment. For purposes of this program, a retired full-time employee is one who separates from full-time employment by the College on or after 1 January 2000, and does not continue in the workforce.

Effective 1 January 2000, Rowe Fund assistance is extended to the dependent child or children of an active, retired, or deceased full-time member of the faculty, administrative staff, or support staff who has met the applicable service requirement, and whose date of death occurs on or after 1 January 2000.

**SERVICE REQUIREMENT.** For a faculty, administrative staff, or support staff member employed on or before 30 June 1988, eligibility for participation begins after two years of consecutive service. For a faculty, administrative staff, or support staff member starting employment after 1 July 1988, eligibility for participation begins after five years of consecutive service.

**BENEFITS AVAILABLE.** Bates College will provide tuition assistance at Bates or at any fully-accredited baccalaureate-degree granting institution on behalf of an eligible employee for the purpose of undergraduate educational assistance for dependent children. For more information, please consult the *Employee Handbook*, Section 316.

### Temporary Medical Disability Leave

In compliance with the Family and Medical Leave Act of 1993, the College grants faculty members leaves of absence in the case of temporary medical disability. To request a temporary medical disability leave, the faculty member must submit a written request to the dean of the faculty and the Office of Human Resources. A Medical Certification Form, available from the Office of Human Resources, must also be completed by the attending physician and sent to Human Resources.

In considering leaves of absences, the dean of the faculty recommends allocations for course replacements during the period of the leave based on department/program need. The chair of the appropriate department or program and the chair of the appropriate division(s), in consultation with the dean of the faculty, will propose arrangements for the faculty member's classroom responsibilities.

The faculty member's position will be held open at least for the term of appointment specified in the current contract under which the colleague was serving at the time of the disability. If the faculty member is tenured, the position will be held open for at least two years. A faculty member returning from a medical leave must submit a Return to Work Authorization from his or her attending physician, usually in the form of a letter, which includes any limitations or restrictions.

Any member of the faculty who is unable as a result of a disability fully to meet teaching obligations for a continuous period in excess of three weeks during a semester will, unless otherwise agreed between the faculty member and the dean of the faculty, be deemed disabled for the remainder of the semester and paid disability benefits for the entire period.

In the case of an extended leave for reasons of medical disability, full salary will be continued as specified in the faculty member's current contract, for up to six months. After six consecutive months of certified disability during which the benefits-eligible faculty member is unable to return to work, the faculty member may become eligible for a long-term disability insurance plan benefit. The plan provisions are such that after six months of total disability, payments of 60% of normal salary or wages, less any payments from Social Security, are paid monthly. The minimum monthly payment is guaranteed to be the greater of \$100 or 10% of the monthly benefit before deductions for other income benefits. The long-term disability program will also continue contribution to the eligible employee's pension plan. Details are available in the Office of Human Resources.

In the case of a *scheduled* disability leave, including one for childbirth, the faculty member must discuss plans with the department or program chair as soon as possible so that arrangements can be made to find a replacement to teach any course deemed essential to the curriculum. The semester in which the leave occurs shall be the two-course semester. In some cases, a faculty member may request a reduced teaching load due to a medical disability. In these cases, the teaching load and compensation are adjusted according to the circumstances of the situation, in consultation with the

dean of the faculty. When a half-year leave of absence is granted in combination with a disability leave, that year does not count toward the probationary period for tenure or toward years of service for determining promotion or other employment benefits.

## Faculty Parental Leave

Faculty Parental Leave is a paid leave associated with the birth of a child or the adoption of a child in the full-time care of a member of the faculty.

**ELIGIBILITY.** The faculty member must be the birth or adoptive parent, or the spouse or domestic partner of such a parent. The faculty member requesting the faculty parental leave must be in a full-time, tenured/tenure-track or multi-year position with a minimum of one academic year of service immediately preceding the leave period. If both parents are employees, only one may access the paid benefits of this policy.

The faculty member must discuss with the dean of the faculty the intention to take a family parental leave at least 30 days in advance of the leave period.

**COMPENSATION.** A full-time faculty member who meets the eligibility requirements may request a Faculty Parental Leave that relieves that faculty member of teaching, research, and committee duties for the semester, provided it is the semester when the teaching load is two courses, or Short Term, without loss of salary or benefits. This leave does not assure that the faculty member's courses will be replaced.

**LENGTH OF LEAVE.** Parental leave is granted for one semester or Short Term. The parental leave may be taken in the semester or Short Term of or immediately following the birth or adoption but the leave cannot bridge semesters. Parental leave is considered time used for any legally required time away from work. For example, it runs concurrently with Family Medical Leave Act or any other related leaves for which the employee is eligible.

Eligibility and length of leave under this policy will be determined by the dean of the faculty and the assistant vice president of human resources with consideration of individual circumstances.

Those having questions regarding benefits should inquire at the Human Resources Office.

## Information for Non-U.S. Nationals in Faculty Positions

Teaching and learning at Bates are greatly enhanced by diverse perspectives and life experiences of faculty and students. The College welcomes international faculty of high qualifications, and assists faculty members whenever possible in securing visas and permanent residency.

The Office of the Dean of the Faculty requires non-U.S. nationals teaching or hired to teach at Bates to pursue measures necessary to ensure that they can live and work in the United States legally. The non-U.S. national who has secured a faculty position must:

- 1) maintain current legal status in the appropriate visa category and notify the College of any anticipated change of status. Normally non-U.S. faculty members work at Bates on F-1 student visas (optional practical training), H-1B visas, TN (Trade NAFTA) visas, or J-1 exchange visitor visas. NOTE: J-visa holders changing their visa to an H-1B visa must verify that they are not subject to the two-year foreign-residency requirement;
- 2) maintain a current passport and ensure the faculty member's ability to travel outside of the United States and return legally in time to fulfill his/her teaching obligations to the College.
- 3) initiate the individual's own permanent-residency petition if appropriate (tenure-track faculty members are expected to seek permanent residency as soon as possible after beginning their service to the College). NOTE: The filing of the first part of this application *must* be completed within a *limited* time period (currently eighteen months) from the date the faculty member *signs the initial contract*. Failure to initiate the permanent-residency process in a timely manner may have serious consequences for the faculty member's ability to remain employed at Bates;
- 4) manage all immigration matters pertaining to dependents;
- 5) bear all expenses associated with immigration matters, including the compensation of immigration attorneys except legal fees associated with Labor Certification (PERM);
- 6) consult with the dean of the faculty before accepting salaries, stipends, or honoraria from any other institution, so that full compliance with U.S. Citizenship and Immigration Services (USCIS) and Department of State (J-visa program) regulations will be guaranteed;
- 7) inform the dean of the faculty's office if traveling outside the United States (J-visa holders and those with permanent residency pending);
- 8) inform the dean of the faculty and the assistant vice president for human resources as soon as U.S. permanent residency is secured;
- 9) maintain and renew the lawful permanent residency authorization ("green card").

Faculty members may be required to register with the USCIS if they are citizens or permanent residents of certain countries identified by the USCIS as requiring registration. See the USCIS website: [uscis.gov/portal/site/uscis](https://uscis.gov/portal/site/uscis).

In its efforts to assist faculty members with alien visas and immigration matters, the College will:

- 1) prepare documentation for J-1 exchange visitor visas in the SEVIS database and pay the SEVIS fee;
- 2) provide general information about H-1B visa and permanent-residency requirements;
- 3) provide information necessary for the preparation by the non-U.S. national's legal counsel of a Labor Condition Application to the Department of Labor on behalf of the faculty member (required for an H-1B visa).
- 4) generate documentary materials as required to assist in the submission of a Labor Certification Application (PERM) required to apply for permanent residency;
- 5) assist with supporting documentary evidence (such as copies of contracts, letters of support from the dean or department chair, etc.) as required;
- 6) provide a list of immigration attorneys available to assist non-U.S.-citizen faculty members at the faculty member's expense. NOTE: The College requires that faculty members retain attorneys with a specialty in immigration law, since general-practice attorneys are not always apprised of the frequent and complex changes in immigration regulations;
- 7) pay government filing fees to the CIS or U.S. Department of State for employer-based visa petitions. Note: the College does not pay immigration attorney fees except when required by law (e.g., the PERM process).

For additional information concerning non-U.S. nationals in faculty positions and guidelines for bringing exchange visitors (teaching assistants, short-term scholars, speakers, or visiting faculty or learning assistants) see website [bates.edu/dof/teaching-and-advising/visa-guidelines/](https://www.bates.edu/dof/teaching-and-advising/visa-guidelines/).

## Optional Plans Leading to Retirement: Program for Tenured Faculty and Physical Education Faculty

This program provides optional plans through which the College and a faculty member holding a tenured appointment and having at least fifteen (15) years of service to the College, or a full-time physical education faculty member with an ongoing appointment at the rank of assistant or associate professor and having at least fifteen (15) years of service to the College may bring about a voluntary termination of the individual's tenured or multi-year faculty appointment. The specific terms of separation are set forth in a letter of agreement between the individual faculty member and the College.

The faculty members mentioned above are eligible until July 1 of the year in which the faculty member reaches Full Social Security Retirement Age to select on the options available leading to retirement. For more information, see [bates.edu/dof/governance-and-policies/faculty-retirement-option/](http://bates.edu/dof/governance-and-policies/faculty-retirement-option/). These options are open indefinitely, but may be withdrawn or amended by the College at any time. A one-year notice is given of major changes to the policy.

## Faculty Emeritus/Emerita Guidelines

### Eligibility

Generally, members of the faculty with fifteen years of service to the College are eligible to be considered for emeritus status on retirement. In those unusual circumstances when a member of the faculty who has served for fewer than fifteen years is recommended for emeritus status, consideration of contributions might include: leadership positions such as chair of a department, program and/or faculty committee, significant contributions as teacher and/or a scholar, or unique contributions to the curriculum.

### Process

For teaching faculty:

- 1) The department/program chair(s) or the dean of the faculty (after consulting with the senior members of the department/program) generally initiate recommendations for emeritus/emmerita status.
- 2) Recommendations should include a curriculum vitae and a summary of the candidate's achievements.
- 3) Recommendations are made to the dean of the faculty for consideration by the appropriate personnel committee, which makes recommendations to the president for final decision by the Board of Trustees.
- 4) Emeritus rank of a teaching faculty is always raised to full professor except in the case of senior lecturers and lecturers.

For deans, the chief financial officer, the registrar, the librarian, and the principal assistant librarian:

- 1) Recommendations are initiated by the candidate's administrative superior.
- 2) Recommendations include a curriculum vitae and a summary of the candidate's achievements.
- 3) Recommendations are made to the president for final decision by the Board of Trustees.

For the president:

- 1) The president is granted emeritus/emmerita status by action and at the discretion of the Board of Trustees.

## Eligibility Associated with Emeritus Status

Faculty with emeritus status:

- are listed in the *Catalog* and the faculty directory and retain any special professorship title;
- receive identification cards permitting faculty library privileges and access to athletic/recreation facilities;
- are invited to process in the ceremonial occasions of the College;
- receive email access;
- receive campus-wide publications and announcements;
- receive a college parking tag;
- use official stationery when called on to act as reference for former students and colleagues or any other similar service



## Program in Support of Faculty Development and Research

Members of the faculty are expected to continue their professional development through participation in scholarly organizations, research, publication or other professional writing, or other professional activity appropriate to their disciplines. Annual reports of such development are made to the dean of the faculty, and become documents in the deliberations of the committees on personnel. In partial support of faculty professional development, the College provides certain programs cited below. These programs are contingent upon the financial resources of the College. Faculty members who have questions or concerns about professional development opportunities should consult with the dean of the faculty.

Faculty members who are applying for research support from the federal government should refer to procedures listed under *Miscellaneous Information* in this handbook.

### I. Leaves and Release Time

Members of the faculty who are on the tenure track or tenured, or who are in ongoing lectureship positions (see below), are eligible for professional leaves to carry out specific curricular projects or scholarly work. Such leaves are granted by the College upon application (see below), with the approval of the president, upon recommendation from the dean of the faculty. All leaves shall be compatible with basic curricular obligations of the departments and program. *All half-year leaves must be in the semester when the faculty member the lightest teaching load.*

To be eligible for paid or unpaid leaves, faculty members shall be teaching full time in the College for no fewer than three consecutive years between leaves of any kind. Exceptions are granted for medical disability, parental leaves, and by petition to the Committee of Five.

#### A. SABBATICAL LEAVE

A faculty member becomes eligible for a first sabbatical after an award of tenure and a period of twelve semesters of full-time teaching at Bates. The faculty member typically notifies the dean of the faculty's office in the thirteenth semester of service (this is during the fall following the granting of tenure) of the intention to apply for a sabbatical to be taken during the eighth academic year. The faculty member thereby receives the initial sabbatical following fourteen semesters of service or in the eighth academic year. Following the initial sabbatical, a faculty member is eligible for sabbatical leave after each twelve semesters of full-time teaching at Bates. For personal or departmental reasons, a sabbatical leave may be deferred up to four semesters without the loss of any credit toward the next sabbatical. For deadlines and guidelines and for information on leaves for lecturers, see [bates.edu/dof/faculty-scholarship/sabbatical-leaves/](http://bates.edu/dof/faculty-scholarship/sabbatical-leaves/).

#### B. LEAVE OF ABSENCE

For purposes of professional development, members of the faculty may apply for leaves of absence. When a leave of absence is required to accept a postdoctoral fellowship or other research grant, the dean of the faculty must approve of the application for the fellowship or grant prior to its application deadline. When a leave of absence is granted, any contractual agreement between the faculty member and the College is suspended during the period of leave. Faculty members granted a leave of absence are expected to return to the College. For deadlines and guidelines, see [bates.edu/dof/faculty-scholarship/leaves-of-absence/](http://bates.edu/dof/faculty-scholarship/leaves-of-absence/).

#### C. PRE-TENURE LEAVE

An assistant professor on the tenure track is eligible for a one-semester leave with pay and benefits after three years of full-time teaching in the College, subject to certain conditions. The purpose of this pre-tenure leave is to support specific curricular projects or scholarly research. For deadlines and guidelines, see [bates.edu/dof/faculty-scholarship/pre-tenure-leaves/](http://bates.edu/dof/faculty-scholarship/pre-tenure-leaves/).

#### D. COURSE REDUCTION FOR FACULTY AND CURRICULAR DEVELOPMENT

Members of the faculty may apply for a one-course or course-equivalent reduction in their regular teaching obligation during the two-semester period of an academic year. These may be applications for course development, unusual teaching arrangements and strategies, or other projects related either to the planning or implementation of improvement

in teaching. Alternatively, applications may concern specific research projects. Selection is made by the dean and the division chairs. Even when the faculty member receives support from internal or external funding, an application must be made through the dean of the faculty. For deadlines and guidelines, see [bates.edu/dof/faculty-scholarship/course-reductions/](https://www.bates.edu/dof/faculty-scholarship/course-reductions/).

## II. Grants, Professional Travel Allocations, and Other Support for Research

In an effort to encourage faculty research and professional development, and to cultivate a spirit of intellectual curiosity among students, the College offers a number of intramural research and curriculum development grants to faculty each year. The most complete information, guidelines, and application forms, when applicable, can be found on the dean of the faculty's office website at [bates.edu/dof/faculty-scholarship/](https://www.bates.edu/dof/faculty-scholarship/).

### A. THE BATES FACULTY DEVELOPMENT FUND

The Bates Faculty Development Fund supports faculty scholarship, curriculum development, and teaching enhancement projects. The Fund includes the pooled assets from a number of faculty development endowments and grants, including the Research Indirect Cost Reserve Fund and Professional Development Grants (leave support); The President's Fund (faculty and curricular development); The Kathleen Curry Akers '41 Fund (sabbatical leave support); The McGinty Faculty Research Fund (humanities); The Roger C. Schmutz Faculty Research Grants (all disciplines); The Philip J. Otis Faculty Curricular Development Grants (courses or research pertaining to the environment). This pooled fund requires only one application. Other grants, including Phillips Fellowships, Summer Research Apprenticeships, and INBRE grants have separate application processes. Grants of \$500.00 to \$10,000 are made through the Bates Faculty Development Fund; most awards average about \$3,500. All faculty are eligible to apply for Bates Faculty Development Grant support, though if funds are limited, preference in funding may be given to tenured or tenure-track faculty or long-term lecturers.

Full guidelines and the application instructions may be found on the dean of the faculty's website at [bates.edu/dof/faculty-scholarship/grants-teaching-support/bates-faculty-development-fund/](https://www.bates.edu/dof/faculty-scholarship/grants-teaching-support/bates-faculty-development-fund/).

### B. PHILLIPS FELLOWSHIPS

Funded by the endowment established by Charles Franklin Phillips, fourth president of Bates, and his wife, Evelyn M. Phillips, Phillips Fellowships award excellence among Bates' scholar-teachers. The fellowships are designed to provide an opportunity for faculty members to gain an academic year leave at their full base salary in order to pursue significant scholarship. Fellowships include support for the replacement of the faculty recipient and up to \$4,000 during the fellowship year for travel expenses to research venues through expense reimbursement. Two or three Phillips Fellowships are awarded annually. President and Mrs. Phillips were eager to provide opportunities for Bates faculty to interact with leading scholars in research venues beyond Bates; projects that take the scholar away from Bates are expected. For deadlines and application guidelines, see [bates.edu/dof/faculty-scholarship/phillips-faculty-fellowships/](https://www.bates.edu/dof/faculty-scholarship/phillips-faculty-fellowships/).

### C. ENHANCED SABBATICAL PROGRAM

To encourage faculty scholarship and professional development, the College, with support from The Andrew W. Mellon Foundation, offers the Enhanced Sabbatical Program on a competitive basis. Tenured faculty and senior lecturers may apply for a full-year sabbatical at 80% pay. To be eligible, applicants must submit at least one application for funding outside the College. For deadlines and application guidelines, see [bates.edu/dof/faculty-scholarship/enhanced-sabbatical-program/](https://www.bates.edu/dof/faculty-scholarship/enhanced-sabbatical-program/).

### D. SUMMER RESEARCH APPRENTICESHIPS

Each year the College awards up to five Summer Research Apprenticeships for Bates students to participate in research projects under the direction of College faculty working in all disciplines. Each grant provides an hourly wage for the student and support to cover room-and-board expenses up to \$3500. Faculty members may apply for their research projects to be supported through summer grants to qualified student participants. Preference is given to projects that would otherwise have no student involvement. These grants are competitive. Full guidelines, application procedures, conditions, and reporting requirements are available on the website at [bates.edu/dof/faculty-scholarship/grants-teaching-support/summer-research-apprenticeships/](https://www.bates.edu/dof/faculty-scholarship/grants-teaching-support/summer-research-apprenticeships/).

**E. INBRE GRANTS FOR FACULTY AND STUDENT SCIENTIFIC RESEARCH**

Through support from a major grant to a consortium of Maine institutions from the National Institutes of Health, the College makes funds available to faculty and Bates students for the pursuit of research involving molecular and cell biology and biochemistry related to comparative genomics and basic research at the molecular level. Two types of research opportunities are currently available through this program:

**1) INBRE Faculty/Student Projects**

For one science faculty member and up to two students. The project budget, including student stipends, student housing, travel, equipment and supplies, cannot exceed \$7,500 per student. Faculty/student projects may take place for eight to ten weeks during the summer, or may extend from the summer into the next academic year; project budgets should reflect research schedules. Full guidelines, application procedures, conditions, and reporting requirements are available on the dean of the faculty's office website [bates.edu/dof/faculty-scholarship/grants-teaching-support/inbre-faculty-student-research-grants/](http://bates.edu/dof/faculty-scholarship/grants-teaching-support/inbre-faculty-student-research-grants/).

**2) INBRE Undergraduate Research Assistant Grants**

Through support from the INBRE grants to Bates, the College makes funds available to faculty who wish to hire student research assistants in math and the sciences during the academic year. Proposals are considered as received. See [bates.edu/dof/faculty-scholarship/grants-teaching-support/inbre-undergrad-research-asst-grants/](http://bates.edu/dof/faculty-scholarship/grants-teaching-support/inbre-undergrad-research-asst-grants/) for more information.

**F. STEM FACULTY-STUDENT RESEARCH GRANTS**

An endowed fund supports math and science research by providing funding for faculty who hire student research assistants during the summer. Faculty working in biochemistry, biology, biomedical research (including public health), chemistry, environmental science, geology, mathematics, neuroscience, and physics may apply for this funding, which includes support for student summer wages and funding for supplies or travel. The Committee on Faculty Scholarship reviews these proposals, which are due 1 February. Please see [bates.edu/faculty-scholarship/grants-teaching-support/stem-faculty-student-research-grants/](http://bates.edu/faculty-scholarship/grants-teaching-support/stem-faculty-student-research-grants/) for more information.

**G. BARLOW FUND GRANTS**

The Barlow Endowment for Off-Campus Study supports a number of student grant programs to enrich the study-abroad experience. Barlow grants are also available to faculty members who travel to off-campus study programs and assess their offerings. More information is available on the off-campus study website at [bates.edu/dof/faculty-scholarship/grants-teaching-support/site-visits-for-study-abroad/](http://bates.edu/dof/faculty-scholarship/grants-teaching-support/site-visits-for-study-abroad/).

**H. NEH FOREIGN LANGUAGE TEACHING GRANTS**

An endowment established in part by a National Endowment for the Humanities matching grant provides modest support for teaching and curriculum development in Chinese, French, German, Greek, Japanese, Latin, Russian, and Spanish. Funds are available through a competitive grant program for faculty travel related to curriculum development; the acquisition of teaching materials, the development of library collections; and special events, speakers, and performances in these languages. Faculty members may apply; information is available from dean of the faculty's office.

**I. OTHER STUDENT ASSISTANCE FOR FACULTY RESEARCH****1) Student Research Grants**

Some student research funds provide wages, fellowships, and/or room-and-board support to students conducting faculty-directed research at the College. These grants are competitive, and students must submit application forms to the dean of the faculty. Information and application forms are available to students in the Office of the Dean of the Faculty or on the office's website at [bates.edu/academics/student-research/](http://bates.edu/academics/student-research/).

**2) SPECIAL ARRANGEMENTS FOR STUDENT RESEARCHERS**

Faculty members may request from the dean of students that special permission be granted to student research assistants for College rooming during recesses. Permission can only be granted if such convenience is necessary to research projects. Summer housing on-campus is available to student researchers; faculty must submit their requests for summer student housing by *1 April*. There are financial charges for such rooming.

## J. PROFESSIONAL TRAVEL TO CONFERENCES

The purpose of professional travel funds is to encourage scholarly activity by the faculty through partial subvention of the travel costs associated with professional activity. Eligible are full-time faculty and those holding ongoing, long-term lectureships. This annual allowance per faculty is restricted to use for participation at a discipline-specific professional venue where scholarly activities are featured after a peer-reviewed procedure. It is expected that qualified venues are minimally a regional event, but preferably a national or international conference, meeting, or other academic event. Information on support for professional travel to conferences by faculty members is available at [bates.edu/dof/faculty-scholarship/professional-travel-to-conferences/](https://bates.edu/dof/faculty-scholarship/professional-travel-to-conferences/).

## K. EXTERNAL GRANTS

The College encourages all faculty members to secure external funds to support scholarship and creative work, and provides support to faculty preparing grants and reporting on grant-funded projects. The Committee on Faculty Scholarship and the director of faculty scholarship advise faculty seeking external financial support. The Office for External Grants works with faculty members in identifying funding sources, editing proposals, reviewing budgets, assisting with online submissions, and reporting on grants. The principal investigator (PI) is ultimately responsible for the submission of proposals and management of grants.

The external grants office maintains a comprehensive website that provides information for faculty seeking external grant support, including information from the dean's office, the accounting office, and the human resources office. Faculty members planning to submit a grant proposal should consult this site [bates.edu/grants/](https://bates.edu/grants/).

## The Kroepsch Award for Excellence in Teaching

In recognition of the faculty's traditional commitment to excellence in teaching, the late Robert H. Kroepsch '33, LL.D. '71, established in 1985 the Ruth M. and Robert H. Kroepsch Endowed Fund for one or more annual awards to members of the faculty "in recognition of outstanding performance as a teacher during the previous twelve-month period." Kroepsch Award winners from the previous five years are not eligible.

The award carries a stipend to the faculty recipient, which is subject to taxation and withholding.

The dean of the faculty shall be responsible for inviting all students and alumni from the past five years to write letters of nomination for the award. These letters must cite in specific ways how the nominated teacher meets the following criteria:

- 1) Stimulates student interest in the subject and fosters desire for further learning.
- 2) Helps students understand subject matter and its importance in a broad context.
- 3) Is innovative and/or creative in teaching.
- 4) Is demanding and expects a high standard of performance.
- 5) Engages students in research and scholarly work.
- 6) Is committed to student learning.

Selection shall be made by a committee made up of recipients of the award from the past five years.

Details for the Kroepsch Award nomination process and faculty eligibility are announced annually.

“Nondiscrimination and Sexual Harassment”

For the most current information refer to *Employee Handbook*

[bates.edu/dof/governance-and-policies/employee-handbook/](https://www.bates.edu/dof/governance-and-policies/employee-handbook/)

“Affirmative Action”

For the most current information refer to *Employee Handbook*  
[bates.edu/dof/governance-and-policies/employee-handbook/](https://www.bates.edu/dof/governance-and-policies/employee-handbook/)

## Part 5: Instruction

### Faculty Teaching Load

Departments and programs of the faculty design their curricula on the basis of a 5-course teaching load for full-time faculty during the academic year. Chairs, in consultation with their colleagues concerning the needs of their department or program, determine teaching schedules, including those for Short Term.

- 1) Department and program chairs may elect to receive one course or course equivalent credit per year for their administrative responsibilities or make other arrangements with the dean of the faculty.
- 2) Members of the faculty with a one-half year leave of any kind must teach 3 courses, or 2.5 courses if the department or program can arrange such teaching credit, in the terms in which the faculty member is not on leave.
- 3) Part-time faculty who teach full-time for one semester only (not counting Short Term) must teach 3 courses during that semester.
- 4) "Course equivalent" credit may be given for thesis supervision. Allocation of thesis credit may vary among departments and programs but is generally equal to .5 course credit for ten thesis semesters and 1.0 course credit for twenty thesis semesters. Faculty seeking course equivalent credit for thesis supervision must secure approval from the chair, who reports the credit to the dean of the faculty at the time the course grids and faculty workload plans are submitted. Course equivalent credit is not awarded for independent study supervision (360 or s50).
- 5) In exceptional circumstances, and only after written approval by the dean of the faculty prior to submission to the registrar of semester course offerings, a department chair may use one "course equivalent" credit for a colleague whose normal course enrollments are excessive over a two- or three-year period of time.
- 6) If a faculty member offers a course in which three or fewer students are enrolled, the dean of the faculty may elect to cancel the course and discuss with the faculty member alternative options for fulfilling the faculty member's teaching load.
- 7) Teaching credit cannot be carried over to another year, except in circumstances expressly approved by the dean of the faculty.
- 8) Faculty teaching in the Bates Fall Semester Abroad Program are credited for three courses, leaving two courses to be taught in the other semester, and Short Term.

### The Faculty Advisory System

As part of regular duties, all faculty members serve as academic advisors to students. In addition to serving as major field advisors, faculty also advise first- and second-year students. In most cases, first-year students are advised by a faculty member teaching a first-year seminar and remain with that advisor until moving to their major field advisors. The dean of the faculty urges departments and programs to consider the teaching responsibilities involved in advising first- and second-year students when assigning other departmental or program responsibilities. Advisors and students work together in a partnership. The goal of the partnership is thoughtful discussion of a student's goals and responsibilities while at Bates and after graduation. Advisors bring to the discussions their knowledge of academic disciplines and of Bates College, awareness of what students must do to learn from their courses, and an appreciation of the personal and intellectual changes facing students during their time in college. Advisors' questions, observations, and advice can help students make decisions about individual courses, long-term planning for their academic careers, choice of major, and life plans. Advisors are expected to hold regular office hours and, if necessary, to arrange other meetings with students within a reasonable time period of the requests.

Academic information about the student is supplied by the Office of the Registrar and Academic Systems to the advisor electronically. Faculty members are reminded that comments made in advisee files are part of the educational record and are open to student review under the terms of the federal Family Educational Rights and Privacy Act (FERPA).

### Family Educational Rights and Privacy Act (FERPA)

Bates College fully complies with the Family Educational Rights and Privacy Act, known as FERPA. FERPA (20 U.S.C



1232g and 34 CFR 99) applies to all educational institutions and agencies that receive funds under any program administered by the U.S. Secretary of Education. The purpose of the law is to protect the confidentiality of the records educational institutions maintain on their students, allow students to limit disclosure of “personally identifiable information” contained in education records, and to give students access to review their records to assure the accuracy of their contents.

As school officials, faculty have access to student records as appropriate and are expected to maintain the confidentiality of those records. An annual notification regarding FERPA is published each year in the *Catalog*. The registrar’s office offers training for departments and programs as well as individual faculty members. Faculty should review additional information and a brief tutorial on FERPA on the registrar’s office website: [bates.edu/registrar/ferpa/](http://bates.edu/registrar/ferpa/). Faculty may contact the registrar with questions about FERPA or confidentiality of student records.

## Class Responsibilities

It is the responsibility of all full-time faculty members to be available for College obligations throughout the working week during the academic year — from fall semester orientation through scheduled classes, and examination periods of fall semester, winter semester and Short Term — to fulfill their responsibilities fully and avoid placing undue burdens on their colleagues.

All full-time and part-time faculty members are expected to meet all scheduled classes. In the case of a conflict between a scheduled class and some other professional or personal activity, such as attendance at a conference, it is the faculty member’s responsibility to inform students and the appropriate department or program chair(s) well in advance and to arrange either appropriate alternative activities or make-up session for missed classes. Those who find it necessary, under extraordinary circumstances, to be absent from more than two classes in any one course during a semester should inform the department or program chair and receive approval from the dean of the faculty.

All full-time and part-time faculty members are expected to arrange their personal schedules to be available for the full range of obligations on campus. If unusual personal circumstances require a different pattern of availability over an extended period of time, faculty members should make arrangements in advance with their department or program chair and receive approval from the dean of the faculty.

No full-time faculty member shall be employed in any occupation that interferes with the thorough and efficient performance of the responsibilities of the faculty member’s office, and no engagement shall be made by any faculty member for teaching in another institution during the academic year without the permission of the dean of the faculty.

**SYLLABI.** Faculty are expected to develop and distribute to students in each course a syllabus that includes the general intent, goals, and scope of the course; the structure of the assignments as far as possible; the number, timing and weight of examinations and other assignments; writing assignments and their due dates as far as possible; grading guidelines, the faculty members policy for and definition of plagiarism, office hours, office location, and other contact information. The syllabus should also include the method the faculty member will use to contact the class if a session must be cancelled due to an emergency. Copies of each syllabus should be sent to the department or program chair.

**ABSENCES.** Faculty are expected to meet all instructional obligations at the time and place scheduled. In case of inability to meet a scheduled class due to illness or other reason, the instructor must notify the appropriate academic administrative assistant as soon as possible so that students may be advised of the cancellation. If the academic administrative assistant cannot be reached, the instructor should contact the department or program chair or another colleague so that the chair or colleague may inform students of the cancellation.

**EMERGENCY PROCEDURES.** Because Bates is a residential college, the College may be in session (during the academic term) when a declared emergency occurs; the operating assumption is that classes will still be held. On rare occasions, the administration may declare an emergency so severe that classes are canceled. These announcements are made through a telephone line for such announcements available to the College community, on the website if it is operating, and on local radio and television stations. 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. For more information about conducting classes during emergencies see [bates.edu/dof/teaching-and-advising/policies-for-holding-classes-in-emergencies/](http://bates.edu/dof/teaching-and-advising/policies-for-holding-classes-in-emergencies/).

If a faculty member encounters an emergency: immediately leave the area and go to the nearest telephone and call security at extension 6111 or press the red HELP button to initiate an emergency call. For more information about campus emergencies, consult [bates.edu/security/emergency-information/college-emergency-procedures/](http://bates.edu/security/emergency-information/college-emergency-procedures/).

**ATTENDANCE SYSTEM.** Class lists are available from the online system, the Garnet Gateway. Faculty may also view their class lists using the learning management system, Lyceum. Only after a name has been officially added to the class lists in the Garnet Gateway should a student be considered properly registered in a course. While students may add a course until ten days into a semester and three days into Short Term, class attendance is expected at the start of the semester. No grades should be submitted for students whose names do not appear on a roster or who have not attended class. Students who have neglected to drop a course will receive an "F#" grade (an administrative F) posted by the registrar. Subject to department/program policy, each instructor shall, at the beginning of each semester or Short Term, make clear to the students in the course the expectations regarding attendance and nonattendance at classes and laboratories. It is up to each instructor, according to departmental or program policy, to excuse or penalize excessive absences in a course. Before excusing an absence, an instructor may require a written confirmation from the dean of students or an associate dean of students as to the validity of an excuse.

Students are responsible for attending the first meeting of the classes for which they are registered. Instructors, at their discretion, may drop those students who do not attend that meeting by emailing the student name(s) to [firstdaydrops@lists.bates.edu](mailto:firstdaydrops@lists.bates.edu) (Faculty Legislation, February 2002). If faculty choose to report to the registrar students who are absent from the first class meeting without prior approval of the instructor, or excused by a dean, they are dropped from the course by the registrar.

**FIELD TRIPS.** Whenever class trips entail absences from other classes, the instructor must secure advance approval from the department or program chair. A list of all students involved, and a list of all courses they will individually miss as a result of the field trips, must accompany the request. Faculty requesting that students miss a class of another faculty member are asked to inform that faculty member of the request. Students may not be required to go on field trips if they involve absences from classes in which examinations are scheduled.

**EVALUATIVE ASSIGNMENTS.** Faculty should make every effort to provide an evaluation to a student of the student's work in a course *before* the last day to withdraw from a course in a semester or Short Term.

**OPTIONAL READING PERIOD.** There is no official reading period in the academic calendar, however the last week of classes in each semester may be used as an optional reading period by instructors who deem it academically desirable.

**SHORT TERM.** According to the faculty legislation, students may complete up to three Short Term courses. Two Short Term courses only are required to fulfill the degree requirement for students in the four-year program; three courses are required for students in the three-year program. Students wishing to register for their third Short Term course receive a lower registration priority than those registering for a first or second, with exceptions granted for three-year graduates. This provision for assigning priority does not apply to courses requiring permission of the instructor to register.

Departments and programs have the obligation of offering Short Term courses as part of the College curriculum. Chairs, in consultation with colleagues about the needs of a department or program, determine which members of the faculty teaching Short Term courses. During Short Terms in which a faculty member is not on sabbatical, but is not teaching in the Short Term, that faculty member is expected to fulfill all other faculty responsibilities, including scholarship and normal governance and service responsibilities, regardless of his or her teaching schedule.

## Examinations

**IN-TERM EXAMINATIONS.** Multiple forms of evaluation are encouraged. One week's notice should be given to students of an examination of an hour's length or more, and some advance notice should also be given of any shorter quiz if it has considerable weight in determining the final grade. No examinations or quizzes in classes should be given during the last full week of any semester. Faculty may not ask academic administrative assistants to proctor exams. This provision shall not apply to practical examinations given in laboratory work or to the Short Term. Hour examinations should not be assigned on the first day after a College vacation (i.e., October break, Thanksgiving recess, February break).

In recognition of Bates' commitment to a diverse and inclusive student body and the variety of religions observed and practiced by our students, faculty are encouraged to consult the Multifaith Calendar posted on line by the Office of the Multifaith Chaplain when developing course syllabi so that conflicts between in class examinations and major religious holidays may be avoided. Given the range of faiths embraced by our students, it may not be possible to avoid all conflicts between scheduled examinations and religious holidays. Students are expected to approach the instructor within the first two weeks of the semester if there is a conflict with a scheduled examination, paper, or project due date and a significant religious holiday observed by the student so that, when warranted, alternative arrangements for completing the work may be made.

The dean of students shall be responsible for reminding all faculty member of this policy prior to the beginning of each fall semester.

In case of examinations missed for illness or other excusable reason, the student is expected to get a written excuse from the dean of students or an associate dean of students. Upon presentation of this excuse to the instructor, the instructor will arrange for a make-up at a mutually convenient time. Normally, examinations will not be administered in the health center.

**FINAL EXAMINATIONS.** The final examination schedule is composed by the registrar. All students are expected to take the final examinations at the time scheduled. Exceptions are made for students who have two exams at the same time or three exams in one day. Those students should complete an Application for Final Examination Out of Order form in the dean of students' office. Final examinations cannot be rescheduled to accommodate the travel plans of students. Students should not make any travel plans until they have full knowledge of their final examination schedule. It is not within the discretion of the instructor to waive or alter the examination requirement for individual students, or to reschedule the examination for the entire class. Requests from individual students to have an exam rescheduled must be made to the dean or associate deans of students. Faculty requests to reschedule for the entire class should be made to the Committee on Curriculum and Calendar.

Instructors indicate to the registrar whether or not their courses will use a two-hour block of time during the final examination period, in time for inclusion of such information in registration materials. Instructors may use this reserved time period for any form of evaluation, including in-class written examinations, oral examinations, presentations of final projects, or the deadline for handing in take-home examinations or final papers or projects. (Faculty Legislation, December 2001).

All student absences from scheduled final examinations are to be reported promptly to the registrar and to the dean of students. At the discretion of the faculty member and depending on the circumstances, a make-up examination may be arranged with the instructor, unless the examination is specially waived by the Committee on Academic Standing.

Faculty may decide whether or not to return final examinations to students, and must make their policy clear to students. According to FERPA regulations, if faculty choose to return examinations, they must not create a situation in which students have access to the examinations or grades of other students. If faculty do not choose to return examinations, they should make them available for student viewing. Faculty should provide students with opportunities to discuss the results of final exams, and retain exams for at least one year.

## The Grading System

**GRADES USED.** Grades in complete courses are assigned according to the following schedule of letters and quality point equivalents:

A+ = 4.0	B+ = 3.3	C+ = 2.3	D+ = 1.3	F = 0	ON = 0
A = 4.0	B = 3.0	C = 2.0	D = 1.0	F# = 0	W = 0
A- = 3.7	B- = 2.7	C- = 1.7	D- = 0.7	DEF = 0	P = 2

Students are expected to complete all work for a course by its terminal date. A grade submitted after the grade due date (10 days after the final examination per faculty legislation) will not be accepted by the registrar, unless the dean of students or an associate dean of students, in consultation with the Committee on Academic Standing, has approved an extension of time to complete the work, on academic grounds or because of a disabling illness or special emergency. A grade of "DEF" indicates that the student has secured, through the dean of students, or the Committee on Academic Standing formal deferral for incomplete course work. Incomplete work for which deferred grades are given must be

completed in a specific period of time as determined on the deferral form, or the "DEF" grade becomes an administrative F notated as "F#." All final grades that were previously deferred are identified with an asterisk (\*) on the student's transcript.

Departments and programs requiring the successful completion of a thesis as one possible condition for graduation may authorize their members to defer the submission of the grade for a thesis that would otherwise receive an "F." The length of any such deferral shall not exceed five calendar weeks from the posted date for the submission of such grades, and the deferred grade shall not be higher than a "D-."

A grade of "ON" is used to indicate that a student's academic work is ongoing into the next semester and that two semesters of work are required to earn a final grade.

A grade of "W" is used to indicate that a student was required to withdraw from the College due to extenuating circumstances, or approved to withdraw from a course(s) after the legislated drop date by the Academic Standing Committee.

**PASS/FAIL GRADING.** Students may elect to take a total of two Bates courses (but not Short Term courses) on a pass/fail basis, with a maximum of one per semester. The following conditions apply:

- 1) Students may declare or change a pass/fail option until the final day to add a course.
- 2) Students taking a course pass/fail are not identified as such on class rosters. Faculty members submit regular letter grades (A, B, C, D, F) to the registrar, who converts the letter grade to a pass or a fail. Unless the student chooses to inform the instructor, only the student, the student's advisor, and the registrar know the grading mode for the course. A grade of D- or above is considered a passing grade.
- 3) Departments and programs decide whether courses taken pass/fail can be used to satisfy major and secondary concentration requirements. This information is available in the introductory paragraph for each department's and program's courses of instruction in the *Catalog*.
- 4) Courses taken pass/fail are not computed in the student's grade point average, and do not count toward General Education requirements. A pass is equivalent to two quality points. (For further explanation of quality points, see website [bates.edu/registrar/academic-information/quality-points/](http://bates.edu/registrar/academic-information/quality-points/).)

**SHORT TERM GRADES.** An instructor must indicate if a Short Term course will be graded on a "letter grade" or "satisfactory/unsatisfactory" bases to the registrar prior to the publication of the Short Term registration materials. This applies to all students registered for the course and to independent studies.

**ACADEMIC PERFORMANCE WARNINGS.** All faculty are requested by the Office of the Dean of Students to report at least once a semester any student whose academic work to date falls below C-. In addition, faculty are encouraged to report a deficient student at any time. Warning reports are given to the student, who is advised to review the situation immediately with the advisor, instructor, and a dean.

**FACULTY GRADES DUE.** All student work must be completed and turned in to instructors by the end of the examination period. Any exceptions to this require a formal grade deferral.

Faculty are responsible for submitting grades by a date set by the registrar, so as to make grades available to students ten days after the end of the final examination period. In some cases, especially for seniors in their final semester, honors candidates, and students on academic probation, the registrar may demand the grades earlier.

If special circumstances make it impossible to comply with the legislated schedule for grade submission, the faculty member should notify the registrar, dean of the faculty's office, and all affected students.

It is imperative that final grades be submitted on time. Until all grades are submitted, students cannot be informed of any academic deficiencies, including academic dismissal; graduation honors cannot be calculated; and students may lose employment or educational opportunities that require current transcripts.

**GRADES FOR PROSPECTIVE GRADUATES.** In order to determine final grade point averages and certify seniors for graduation, all final grades for seniors, including those previously deferred, must be submitted by the end of the day of the Wednesday prior to Commencement. Short Term final grades for seniors are considered passing if the registrar is not informed otherwise by noon on the Friday prior to Commencement.

**REPORTING GRADES TO STUDENTS.** Semester grades are officially reported to students only through the Garnet Gateway, which students access through the web. Faculty members may unofficially report semester grades to students, after the end of the final examination period. In compliance with federal law, student names and grades cannot be posted on office or classroom doors, bulletin boards, or other public places.

**COURSE EVALUATIONS.** At the end of each semester and Short Term students are required to complete an evaluation of each course taken. Students may not access their grades online for forty-five days if this requirement has been not fulfilled. All course evaluations are the exclusive property of Bates College.

**CHANGING A FINAL GRADE.** Course grades, after they have been submitted and made available to students, may be changed only on professorial petition to the registrar stating specific grounds of clerical or computational error. All other requests for a change of grade shall be directed to the Committee on Academic Standing.

## Course Scheduling

All courses are scheduled by the registrar, with the approval of the Committee on Curriculum and Calendar, following receipt of requested hours from the chairs of the departments and programs. Acting within policies established by the faculty for class scheduling, the committee's decision is final.

According to faculty legislation passed in April 1999, the Committee on Curriculum and Calendar, in consultation with the registrar, organizes the academic week into the following class meeting time slots. All fall and winter classes shall normally meet for a minimum of 160 minutes per week. Instructors using time slots that offer the possibility of using more than this minimum may organize the use of that time in any way they deem to be pedagogically beneficial, using anywhere from 160 minutes to 240 minutes per week.

8:00-9:20 a.m. Classes in this time slot normally meet three times a week on Monday, Wednesday, and Friday; or twice a week on Tuesday and Thursday.

9:30-10:50 a.m. Classes in this time slot normally meet three times a week on Monday, Wednesday, and Friday; or twice a week on Tuesday and Thursday.

11:00-11:55 a.m. Classes in this time slot normally meet three times a week on Monday, Wednesday, and Friday.

12:05-1:00 p.m. Classes in this time slot normally meet three times a week on Monday, Wednesday and Friday.

1:10-2:30 p.m. Classes in this time slot normally meet three times a week on Monday, Wednesday, and Friday; or twice a week on Tuesday and Thursday.

2:40-4:00 p.m. Classes in this time slot normally meet three times a week on Monday, Wednesday, and Friday; or twice a week on Tuesday and Thursday.

7:30-8:50 p.m. Classes in this time slot normally meet twice on Tuesday and Thursday. These classes must be sections of courses that have an alternate section meeting prior to 4:00 p.m.

In addition, the Committee on Curriculum and Calendar, in consultation with the registrar, shall normally schedule:

- 1) "Three-hour" seminars, on Monday, Tuesday, Wednesday, Thursday, or Friday from 1:05-4:00 p.m.; or on Tuesday, from 7:30-10:30 p.m.
- 2) Laboratories, on Monday, Tuesday, Wednesday, Thursday, or Friday from 1:05-4:00 p.m.; on Tuesday, from 7:30-10:30 p.m.; or on Tuesday or Thursday from 8:00-10:50 a.m., but only if five sections of the same lab are scheduled at other times, or under special circumstances.
- 3) "Two-hour" classes, twice a week on Tuesday and Thursday, anytime between 8:00-10:50 a.m.; or twice a week on Tuesday and Thursday, anytime between 1:05-4:00 p.m.; or twice a week on Monday, Wednesday, and/or Friday, anytime between 1:05-4:00 p.m.
- 4) "Extra Session Times," on Tuesday from 11:00-11:55 a.m., Thursday from 11:00-11:55 a.m., and Thursday from 12:05-1:00 p.m. These sessions are designed for MWF classes that need to meet regularly four or five times a week, or as a discussion section time for classes with multiple discussion sections.

5) "Extra Discussion Section Times," Tuesday and/or Thursday from 4:10-5:00 p.m. These sessions are designed for classes that have at least one alternate discussion section scheduled to meet prior to 4:00 p.m.

Short Term courses shall meet for a minimum of 7.2 hours per week.

The following policies apply regarding the scheduling of courses.

- 1) The Committee on Curriculum and Calendar approves the schedule of courses.
- 2) In granting such approval, the Committee on Curriculum and Calendar shall consider it necessary to distribute courses as equally as possible throughout the available hours of the day in order to satisfy the following principles:
  - a) that students have the greatest freedom of choice possible in their selection of courses;
  - b) that there may be maximum equal access to various teaching facilities, such as seminar rooms, laboratories, language laboratories, rooms with audio-visual facilities, etc.;
  - c) that conflicts in final examinations may be minimized to the greatest extent possible.
- 3) Consistent with such principles of distribution, and with the principle of dealing equitably with all departments and programs of the College, departments and programs should be free to schedule courses according to their academic needs and those of individual department and program members. The equitable assignment of instructors to unpopular class hours is likewise the responsibility of the departments and programs.
- 4) The committee request that the registrar solicit course information from each department or program, including course numbers, and the preferred time for each class to be given. Departments/Programs should disperse classes throughout the entire range of class hours and, unless specifically granted exceptions by the committee, must observe guidelines specified by the committee.

Room assignments are made by the registrar. Faculty may state their room preferences for each course through the Garnet Gateway. *These assignments must not be changed, even temporarily, without the registrar's approval.* With the obvious exception of field trips, academic classes normally are not to be held out-of-doors.

Classes are regularly scheduled from 8:00 a.m. to 4:00 p.m., Monday through Friday. A limited number of discussion sections may be scheduled on Tuesday and Thursday until 5:00 p.m. Courses appropriate for a three-hour time period may be scheduled on Tuesday evenings from 7:30 to 10:30 p.m. Tuesday and Thursday classes may be schedule from 7:30 to 8:50 p.m. when another section of the same course is offered between 8:00 a.m. and 4:00 p.m. *Faculty and staff are strongly encouraged to avoid scheduling evening events on Tuesday and Thursday.* Requests for changes in class meeting times are discouraged after registration and require approval of the Committee on Curriculum and Calendar. For information on the schedule, please consult with the department/program chair or the registrar, or review the class meeting grid on the registrar's office website [bates.edu/registrar/faculty/grids-for-course-scheduling/](http://bates.edu/registrar/faculty/grids-for-course-scheduling/).

No classes may regularly be scheduled on Saturday, but Saturday morning is available, at the instructor's discretion, for occasional scheduling of classes, examinations, and field trips. The department/program chair should be advised of any use of Saturday mornings for such purposes.

## Administrative Course Procedures

**NEW COURSE PROPOSALS.** Faculty may propose a new course using the Course Proposal System link in the Garnet Gateway. Faculty complete the electronic form and submit it to the appropriate department/program chair(s) for approval. The registrar then assigns it a number, it is reviewed by the catalog editor, and then it comes before the Committee on Curriculum and Calendar (CCC) for review and approval. At each step the instructor and chairs are informed of its progress and a final CCC approval notification is sent via email to all involved. An electronic archive is maintained on the web and all courses approved are reported to the entire faculty each year.

**GENERAL EDUCATION DESIGNATIONS.** When a faculty member proposes a new course, he or she should, if appropriate, designate the courses as filling one or more General Education requirements (S, L, Q, W1, W2, W3). Courses can be so designated via the Garnet Gateway once the course has been approved by the CCC. Faculty should also contact General Education concentration coordinators if the course proposed could fulfill one or more General Education concentrations.

## REGISTRATION AND ADJUSTMENT PERIODS.

- 1) Students may add courses during the first five class days of the semester. During the second five class days of a semester, students may add courses with the permission of the instructor. Students may drop courses until the end of the seventh full week of the semester. Exceptions to this adjustment period may be granted only for serious illness or personal emergency by the dean or associate dean of students.
- 2) During the Short Term, a course may be added during the first three class days and dropped during the first five days. Exceptions to this adjustment period may be granted only for serious illness or personal emergency by the dean of students.
- 3) If a student requests a registration adjustment after the deadline, the Office of Registrar and Academic Systems administers late fees set by the Committee on Academic Standing according to a predetermined schedule. When it is determined that the cause for the late registration or registration adjustment is considered an administrative error (including student failure to check his or her schedule, to follow or learn the established procedures, or reliance on others to complete registration on his or her behalf), the adjustment is made only after the student pays the late fee and completes and submits the completed registration adjustment form. The Committee on Academic Standing reviews all other requests for late registration adjustments that are not considered purely administrative in nature. More details are available at [bates.edu/registrar/registration/late-registration/](http://bates.edu/registrar/registration/late-registration/).
- 4) Course drops during the registration adjustment periods are not recorded on student transcripts, however late withdrawals for individual course drops are recorded. If a student withdraws from Bates, a grade of "W" is recorded for all courses.

## Independent Study and Internship Courses

INDEPENDENT STUDY. Each department and program may elect to offer "independent study" courses to allow students to pursue individually a course of study or research not offered in the Bates curriculum. This may be pursued as a semester course (using the number 360) or a Short Term course (using the number s50). The student designs and plans the independent study, in consultation with the faculty advisor as outlined on the Registration for Independent Study Course form found on the website, [bates.edu/registrar/forms/](http://bates.edu/registrar/forms/).

The work must be completed during the semester or Short Term for which the student has registered for the course approved by a Bates department or program, and supervised by a Bates faculty member who is responsible for evaluation of the work and submission of a grade. Faculty members may refuse independent study requests (Faculty Legislation, March 2001). The student must be in residence and may not complete an independent study away from campus unless participating in a Bates Fall Semester Abroad.

INTERNSHIPS. Each department and program may elect to offer "internship" courses to allow students to incorporate extracurricular activities into structured, curricular learning experience. This may be pursued as a semester course (normally using the number 421/422) or a Short Term course (normally using the number s41). A faculty member organizes and plans student participation in a work or service activity as part of a course established by the department or program. Students may be supervised directly by someone other than the faculty member, however the Bates faculty member is responsible for oversight of the curricular learning experience, evaluation of the work, and submission of a grade (Faculty Legislation, March 2001).

## Student Assistants/Teaching Assistants

Student assistants and teaching assistants may be hired to assist the faculty with educational tasks such as proctoring, aiding in laboratories, reading and grading short papers and quizzes, assisting students having difficulty in the course, and helping the faculty with other relevant tasks. They should never work in courses in which they are enrolled, and should not grade major papers, examinations, other work requiring subjective evaluations, or conduct work that ought to remain confidential.

A faculty member who would like to hire a student to perform these tasks must contact the student employment office. The student employment office has a record of all created positions and is responsible for assigning a rate of pay for each job. If a faculty member has a position in mind, the student employment office will assist the faculty member in creating a formal position description and will then grade the position based on the information provided.

Student employees must have all tax forms completed before they are allowed to begin working. No student may work more than twenty hours per week during the academic year, unless they are not enrolled in a Short Term course and are working as a research assistant to a faculty member. During the summer, students may not work more than forty hours per week. The payroll office can advise faculty supervisors on a student's work eligibility.

Students are paid at the regular student hourly wage according to the student pay scale. They submit their hours through a web time-entry system, and those hours are approved electronically by the faculty supervisor. Students are paid through the payroll office on a bi-weekly schedule via direct deposit.

## The Junior Year and Junior Semester Abroad Program

The purpose of studying abroad, the eligibility requirements, and the Bates off-campus study application and selection process are stated in the *Catalog*. Basic requirements for selection have been established by faculty vote. The Committee on Off-Campus study, a standing committee of the faculty, approves all participants and regularly reviews the program. Junior Year Abroad (JYA) and Junior Semester Abroad (JSA) programs are administered by the Office of Off-Campus Study.

ACADEMIC CREDIT FOR JUNIOR YEAR PROGRAMS. Students who complete academic work under JYA or JSA status are awarded "approved program" course credits by Bates College through action by the Committee on Off-Campus Study. If the student satisfactorily completes a full academic year as a full-time student (JYA), he or she may choose to receive either 8 course credits or 7 course credits and 1 Short Term course credit. Students who complete the equivalent of a Bates semester abroad (JSA) may receive 4 course credits. Official transcripts or reports from the foreign university designate this completion. Grades earned in JYA or JSA programs are not recorded on the Bates transcript, nor are they computed in the GPA. The major department or program chair, in consultation with the returned student, determines what courses taken abroad may be applied to the department's or program's major requirements, possibly exempting the student from certain requirements. It is thus very important that the student, before going abroad, consult with the department or program chair and establish what must be done during JYA or JSA in order to satisfy all major requirements for graduation.

## The Academic Calendar

The faculty uses a formula for establishing the academic year calendars. This formula, cited below, guides the Committee on Curriculum and Calendar in designating annual calendars five years in advance.

- 1) Fall and winter semesters of 12 full weeks of classes.
- 2) A fall semester beginning on a Wednesday. A fall recess following 6 weeks of classes, beginning after the last class on a Tuesday and ending at 8:00 a.m. on the following Monday, and a one-week Thanksgiving recess beginning at 4:00 p.m. on the Friday preceding Thanksgiving and ending at 8:00 a.m. on the Monday following Thanksgiving.
- 3) A winter semester beginning on the Monday following a 3-week break between semesters. A winter recess of 1 week timed to coincide with the local school holiday.
- 4) A 1-week recess between winter semester and Short Term.
- 5) Short Term of 5 full weeks.
- 6) For those particular years in which the faculty's academic calendar policies result in conflicts between major academic occasions (specifically, the opening of the academic year and the scheduling of final examinations) and the major Christian or Jewish holidays (specifically, Christmas, Good Friday, Easter, Rosh Hashanah, Yom Kippur, and the first two days of Passover), the Committee on Curriculum and Calendar shall designate calendars which avoid such conflicts. According to faculty vote, classes are suspended on Martin Luther King Jr. Day.



## Part 6: Information and Library Services

Information and Library Services (ILS) supports the mission of Bates College by planning, developing, implementing, and maintaining reliable and responsive information resources, services and programs to meet the evolving needs of the College community. ILS strives to be a high quality and service-oriented library and computing organization, while helping students, faculty and staff members embrace the continuous change that prevails in information use, information access, and communications media and technology. Library services are provided in the George and Helen Ladd Library, which serve the general curricular, reference, and research needs of the College; and in the Edmund S. Muskie Archives and Special Collections Library, which houses the archives, manuscripts, rare books, and other special collections of the College. Curricular and Research Computing staff manage three major computer labs: the Bates College Imaging and Computing Center in Coram Library specializes in the visual representation of data; the Digital Media Center in Pettigrew Hall is the primary location for multimedia and video production and classroom and event support; and the Language Resource Center in Roger Williams Hall supports language and other humanities programs. Systems Development and Integration and Classroom Technology and Event Support staff are principally located in Pettigrew Hall. Network and Infrastructure Services, along with Purchasing, Sales, and Desktop Support, are housed at 110 Russell St. Full information on ILS services is available at [bates.edu/ils](http://bates.edu/ils).

### The George and Helen Ladd Library

The George and Helen Ladd Library is one of the most vital learning resources of the College, housing books, periodicals, government publications, musical scores, maps, microforms, sound and video recordings, access to online databases, material in other electronic formats, and other items essential for students and faculty to carry on their research. The library offers a learning environment conducive to individual and group study and research, and provides easy access to information in a variety of formats. The Library houses more than 840 study spaces, including individual carrels, lounge and table seating, workstations, listening stations, and viewing rooms. The wireless network is available throughout the library, augmented by more than 275 wired network jacks. A networked computer instruction room and an online reference area are located on the main floor. Group study is encouraged on the two lower floors (main and ground); the upper two floors are reserved for quiet study.

The central portal for information is the Library's website ([bates.edu/library](http://bates.edu/library)) providing access to the library catalog and all electronic resources. Reference librarians offer instructional and reference services, as well as consultation on an individual basis. The audio and video collections are housed on the ground floor. The microform area provides reader-printers for material in those formats, including newspapers and other periodicals, books, and documents. Current periodicals are available on the main floor. The library functions as the primary point of service for Information and Library Services, with circulation, reference, and Help Desk Services centrally located. In addition to individual consultation, reference librarians and other ILS professionals provide instruction for classes and other groups of students on library use as well as use of computing and other information resources.

In all, the library contains more than 600,000 cataloged volumes in print, 180,000 pieces of microform, and 35,000 recordings. It provides access to thousands of sources of information online, including more than 73,000 periodicals and 500,000 books and 50,000 streamed audio resources. Ladd Library resources are augmented by the collections of Bowdoin and Colby colleges, constituting a combined cataloged collection of more than two million volumes. The three college libraries plan and build these collections in close collaboration and encourage faculty, students, and staff to use the consortium's resources before searching elsewhere. The Bates identification card allows Bates students, faculty, and staff to borrow materials from the Bowdoin and Colby libraries. Through the MaineCat statewide catalog (a service of Maine Info Net), Bates users may initiate loan requests for materials at Bowdoin or Colby, as well as other academic and public libraries throughout the state. Bates is also a member of NExpress, a library consortium that includes Colby, Bates, Bowdoin, Wellesley, Middlebury, and Williams colleges.

### Circulation

Each faculty member needs a BatesCard to charge out materials from the library. All books are due one year from the date of check out. Books are subject to recall two weeks after check out. All library users are required to return

materials recalled for others. Items needed for reserve are subject to immediate recall. Failure to return recalled materials results in a block on circulation privileges. The library expects that all books charged out to faculty members will be returned to the library when due. The material can be checked out again at this time. If a faculty member does not return material after notification is sent, the head of circulation will issue an invoice showing the replacement cost of the material as well as the processing and billing fees. A faculty member is not permitted to charge out additional items until either the material is returned or the invoice is paid. At any time faculty members must pay for replacement cost of any lost items, plus processing and billing fees. The following materials do not circulate: current and bound periodicals, reference books, and microform material. Faculty members should be aware that library policy does not permit staff members to disclose the name of the patron who has borrowed a particular item. Updated information regarding loan periods is available at: [bates.edu/library/about/loan-periods/](http://bates.edu/library/about/loan-periods/).

## Purchase of Library Materials

Books are purchased both by selection and through the library's approval plan. The plan's purchase profiles in a given subject area are made in consultation with the faculties of Colby, Bates and Bowdoin (CBB) colleges. Requests for purchase of all materials, including periodicals, video recordings, sound recordings, and other electronic resources, as well as books should be made through the library liaison who works closely with the faculty member's department or program. See: [bates.edu/library/library-liaisons-by-subject-area/](http://bates.edu/library/library-liaisons-by-subject-area/).

## Assigned Reading for Courses

Library staff members consult with faculty members on ways to make materials available for their students, consistent with the faculty members learning objectives, cost, and copyright requirements, including fair use. For a fuller treatment of the possibilities, see: [bates.edu/ils/policies/access-use/copyright-guidelines/](http://bates.edu/ils/policies/access-use/copyright-guidelines/).

**Circulation Reserves.** The library operates a closed reserve system in circulation. Approximately a month before each semester and Short Term begin, request forms for reserves are sent out to all faculty members. Request forms for the fall semester are sent out during Short Term. All materials brought to Circulation prior to the deadline, at least three weeks before the start of the semester, are processed and ready for the first day of classes. After this date has passed, reserves are processed on a first-come, first-served basis. Faculty members are asked not to use the library reserves for purposes other than course-related readings for their students. When possible, library staff members provide a link to an electronic version of reserve text as a convenient alternative to a printed copy. If the desired materials are not available in the library's collection, faculty members should request that the library purchase the materials at least eight weeks before they are needed for reserve purposes (purchase requests should be directed to the library liaisons). Material placed on reserve may be borrowed for a two-hour, one-day, or three-day period; most two-hour reserves may be borrowed overnight. Circulation statistics for reserves are available to faculty members during the semester. For reserve use, the library also purchases one copy of most of the assigned reading sold in the bookstore.

**Audio/Video Reserves.** Videotapes, DVDs, laserdiscs, LPs, and compact discs may be put on reserve in Audio/Video; requests should be sent to the audio supervisor.

**Coursepacks.** The Library also handles requests for coursepacks for assigned reading for classes, and manages copyright permissions associated with them. Coursepacks are sold in the College Store. Library staff members regularly remind members of the Faculty about the process, which usually requires three months notice prior to the start of each semester or short term in order to secure permission to use materials.

## Interlibrary Loan

Borrowing of materials from other libraries is an essential service of the library to faculty members, staff, and students, and is central to faculty research as well as student theses and research projects. Requests are placed electronically from the library's website. There is no charge for books or photocopies acquired through interlibrary loan, but the lending of items is subject to conditions imposed by the library owning the materials. These items may not be placed on reserve and generally cannot be renewed; sometimes their use is restricted to in-building use. Periodicals from other libraries are normally not lent; instead, the library purchases photocopies of the particular articles needed.

Class assignments should be conceived within the range of research materials available at the Bates, Bowdoin, or Colby libraries. Though students make extensive use of interlibrary loan for thesis work, the library encourages faculty members to make assignments for classes which do not require extensive interlibrary loans for long periods of time. Materials still in print needed for specific research projects may be requested through the library liaisons.

### Use of Other Libraries

Faculty members wishing to conduct research in libraries other than those at Bowdoin, Bates, or Colby should make their needs known to the librarian, who will write a letter of reference to the library with the desired resources.

## Archives and Special Collections

The Edmund S. Muskie Archives and Special Collections Library fosters research and scholarship by encouraging access to Bates College records and other historical materials by students and faculty, as well as scholars from the community at large. These collections enable students from Bates and elsewhere to perform historical research using primary documentary material. The collections have three major divisions.

The Bates College Archives serves as the official repository of records, publications, photographs, honors theses, oral histories, and other materials of permanent administrative, legal, fiscal, and historical value. It documents the history of the College from its founding in 1855 to the present.

The Manuscript Collections include materials related to the history of Bates College. Because of its roots as a Freewill Baptist institution, the library collects pamphlets, letters, diaries, and other materials related to Freewill Baptist organizations, and individuals. Among the latter are the letters of Lydia Coombs, a Freewill Baptist missionary in India, and the papers of J. S. (Josiah Spooner) Swift, a Freewill Baptist minister and publisher in Farmington, Maine.

Other notable strengths of the manuscript collections include material related to the life and work of Edmund S. Muskie, for whom the archives is named, and environmentalism. The Edmund S. Muskie Papers include almost all the extant records of the life and work of Edmund S. Muskie (1914–1996), a 1936 Bates graduate who dominated Maine politics from the mid-1950s to 1981 and became a national leader for environmental protection, government reform, and fiscal responsibility. The library also houses the Edmund S. Muskie Oral History Project, including collections of taped interviews with individuals who knew Muskie or who offer insights into the events that shaped his life. The Dorothy Freeman Collection contains a large body of correspondence with the biologist, writer, and conservationist Rachel Carson.

The Rare Book Collection includes publications pertaining to the Freewill Baptists in Maine and New England; nineteenth-century French history and literature; fine-press books published in Maine; Judaica; and nineteenth-century books on natural history, particularly ornithology.

Members of the faculty are encouraged to consult with archives and special collections staff to develop research experiences and assignments for students using original documents, photographs, and other materials. Faculty members disposing of College records and personal papers are expected to consult with the staff to determine the records' potential as permanent sources of information for the college archives.

## Computing and Media Services

ILS provides computers, software, training, and information resources to faculty, students, and staff, and twenty-four hour access to the campus network and the Internet via both wired and wireless connections.

All members of the College community must comply with the Bates College Computer Use Policy, located at [bates.edu/ils/policies/access-use/computer-use-policy/](http://bates.edu/ils/policies/access-use/computer-use-policy/). All users connecting personally-owned computers and mobile devices to the campus network are required to have active virus protection software and up-to-date operating system patches installed on their computers.

Student Computing. All students are assigned credentials that allow secure access to Bates computers and network services, including the Garnet Gateway, email, network storage, and proxy service for access to on-campus services and numerous library research databases from anywhere in the world.

Computer labs are equipped with more than 175 workstations clustered in Coram Library, Pettigrew Hall, Roger Williams Hall, Pettengill Hall, Dana Chemistry Hall, Carnegie Science Hall, and Ladd Library. All the College's scheduled classrooms and many event and meeting spaces have high-speed network connections, presentation computers, and digital projection which support in-class and after-class work. Special facilities include interactive classrooms with large video screens for group instruction, graphics workstations, plotters, color laser printers, scanners, and digital editing suites for producing broadcast-quality video.

Students and faculty use computing extensively in courses. In economics, for example, integration of theoretical and empirical work requires computer use for statistical analysis and modeling. In psychology, data sets are generated to simulate research studies that students then analyze and interpret. Faculty and students in music, dance, and art use technology as a principal tool in the creation of new works. Currently, more than 100 workstations are found in laboratory settings in the biology, chemistry, classics, economics, language, geology, mathematics, music, physics and astronomy, psychology, and sociology departments.

Information and Library Services provides many opportunities for students to enhance computing, people, and general work skills in technology-related jobs in Help Desk Services, Classroom Technology, Ladd Library Circulation, or on faculty projects through Curricular and Research Computing.

## The Garnet Gateway

Through the combined efforts of many offices on campus, Bates offers faculty, students, and staff numerous transactional services through the secure online site, the Garnet Gateway. Students use the Garnet Gateway to view their schedule, grades, and transcript; register for courses; view their progress toward completing their degree requirements; view their financial aid award; complete course evaluations; declare their major(s), minor(s) and General Education concentration(s); elect student officers; evaluate study-abroad programs; nominate faculty for teaching awards; obtain enrollment verifications, and request official transcripts.

Faculty members use the Garnet Gateway to report student grades; propose new courses; manage their advising responsibilities; receive student course evaluations; express preferences for classroom location and equipment. Faculty and staff members, as well as student employees, use the Garnet Gateway to access payroll and other employee information.

The Garnet Gateway is accessed through the Bates home page [bates.edu/garnet-gateway/](http://bates.edu/garnet-gateway/).

## Help Desk Services

Located on the first floor of Ladd Library, Help Desk Services provides technology assistance to all students, faculty and staff. Help Desk staff members provide both direct support and referrals to other areas of ILS.

## Classroom Technologies, Digital Media, and Event Support (CTES)

CTES provides support and assistance for all classrooms and events spaces, as well as the creation of digital media. Located on the ground floor of Pettigrew Hall, CTES includes both the Digital Media Center (for the editing of broadcast-quality video) and a loaner pool (for lending digital cameras and sound equipment).

## Computer Sales and Services (110 Russell St.)

ILS is the purchasing agent for all College computers, and manages repair services for College-owned machines. Computer Sales and Services also facilitate personal hardware and software purchase by students, faculty, and staff members, as well as repair services for privately owned machines, and provide referral for warranty and non-warranty repair services. Costs for non-warranty repairs are the responsibility of the user.

## Curricular and Research Computing

With facilities located in Pettigrew Hall, Pettengill Hall, Coram Library, and Roger Williams Hall, Curricular and Research Computing staff members support faculty computing needs, manage computing labs and classrooms, conduct workshops on the intersection of technology and pedagogy, and consult with faculty on appropriate software and hardware for their teaching and research. Support for course-related content is provided with Lyceum, the Moodle learning management system ([lyceum.bates.edu](http://lyceum.bates.edu)) and related technologies.

## Network and Infrastructure Services (110 Russell St.)

Network and Infrastructure Services manages the campus network, servers, and telephone system. The Bates College computer network features redundant connections to the Internet and supports electronic mail, file transfer, remote login services, and access to the World Wide Web. The network supports I2 traffic to similarly equipped institutions. The network provides access for all classrooms, student residences, and faculty and staff offices to a wide variety of print and file facilities, software resources, and servers.

## Part 7: Research

### Citi Training in Research Ethics

Bates recognizes the curricular importance of faculty and student research, and supports such endeavors with a variety of internal and external grant programs. The College is committed to the responsible and ethical conduct of research, and has appointed a research integrity officer to help insure compliance with federal regulations. To help insure that faculty and students are trained in a variety of research-related areas, the College has joined the Collaborative Institutional Training Initiative (CITI), an online research training program that includes modules on responsible conduct of research, biosafety, export control, animal care, human subjects, and data management. CITI training is available to all faculty and staff at [citiprogram.org/](http://citiprogram.org/) by logging in as a Bates employee.

### Export Control

Federal scrutiny of export control is an increasing concern in U.S. colleges and universities, and Bates is developing resources for faculty and staff to promote compliance. The two areas of export control are ITAR (International Traffic in Arms Regulations), administered by the State Department and governing military technologies, and EAR (Export Administration Regulations), administered by the Commerce Department, overseeing "dual use" and economically sensitive technologies. These policies apply to both information and equipment or technology.

All on-campus research at Bates is covered by the Fundamental Research Exemption. The export control regulations exempt from licensing requirements technical information (but not controlled items) resulting from "fundamental research." No license is required to disclose to foreign persons information that is "published and which is generally accessible or available to the public through fundamental research in science and engineering at universities where the resulting information is ordinarily published and shared broadly in the scientific community."

"Fundamental research" means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons (National Security Decision Directive 189).

There are others areas of risk, however, when it comes to export control, particularly as they relate to "controlled items." Faculty travel with technical data, technical reports, equipment, or technology to sanctioned countries is prohibited. Faculty members must acquaint themselves with the countries that are subject to embargo. Travel to these countries may require consulting with ILS and the director of research and scholarship about restrictions and possible exemptions. For example, taking a college laptop with standard software and no specialized data to certain embargoed countries is prohibited; the countries currently (9/2013) subject to sanctions for reasons of anti-terrorism are Cuba, Iran, North Korea, Sudan and Syria, although this list is subject to change. The Office of Foreign Assets Control (OFAC) provides information on sanctions for each of the above countries, as well as other OFAC-administered sanctions programs [treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx](http://treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx). Broader lists of countries may be subject to export control regimes covering certain controlled items, such as technical data not intended for publication or manuals to controlled equipment items. Faculty concerned about the security of data stored on their Bates laptop may wish to borrow a "clean laptop" from ILS for purposes of foreign travel. Please check with ILS about availability of such loaners in as well in advance of the planned departure date as possible.

In order to promote understanding of and compliance with the relevant federal laws, the Office of the Dean of the Faculty requires that faculty traveling with Bates laptops or other equipment complete the Export Control modules of CITI training available at [citiprogram.org](http://citiprogram.org). In addition, we ask that faculty taking college-owned equipment overseas sign a disclosure of travel form, accepting the risks and personal responsibility for the decision to travel. These forms are available from the director of research and scholarship. With sufficient prior notice of such travel, the College will assist faculty in securing any licenses required by law.

## 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 [bates.edu/acad/depts/psychology/irb/index.html](http://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 website 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

summarized in Exhibit A.

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, the individual 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



- (5) 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.
- (6) *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.
- (7) *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.
- (8) *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.
- (9) *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

- (11) *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.
- (12) *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.
- (13) *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

- (14) more qualified persons from outside the Bates faculty. The respondent shall be informed of the membership of the investigative committee.
- (15) *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.

- (16) *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).
- (17) *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.
- (18) *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

- (19) *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.
- (20) *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

- (21) *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.

- (22) *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

- (23) *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

- (24) 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.
- (25) *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.
- (26) *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.
- (27) *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

- (28) *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.
- (29) *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.
- (30) *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.
- (31) *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.

- (32) *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, ensure 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 [grants.nih.gov/grants/policy/coi/index.htm](http://grants.nih.gov/grants/policy/coi/index.htm)) and the National Science Foundation's conflict of interest policies (see [nsf.gov/pubs/policydocs/pappguide/nsf11001/aag\\_4.jsp#IVA](http://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

- 3) 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.<sup>1</sup> 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**
- o *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 23 July 2012, this training will consist of a **mandatory** workshop to be scheduled by the Office for External Grants no later than 24 August 2012, covering institutional policies, investigator responsibilities under that policy, and the federal regulations that mandate the policy.
  - o *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 24 August 2012 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.
  - o *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.
  - o *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 [bates.edu/grants/compliance-2/conflict-of-interest-policy](http://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 the investigator has read this section of the Faculty Handbook and that the investigator either a) does not have potential financial conflicts of interest (*"I hereby certify that I have read the Financial Disclosure Policy in the Bates*

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<sup>1</sup> 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*.

- I. 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 the applicant will notify the RIO of any change or discovery requiring modification of the above statement.
- J. 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 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.

## Part 8: Miscellaneous Information

### 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.

To invite an international 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 international visitor, 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 411).

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 lends 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 positive reputation, 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 [bates.edu](http://bates.edu), *Bates Magazine*, and 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 [bates.edu/communications/](http://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 [bates.edu/bookstore/](http://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 supervisor of the AAAs in the dean of the faculty's office.

ACADEMIC ADMINISTRATIVE ASSISTANTS (AAAs) 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, a member of the dean of the faculty's office staff, 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 **two** 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 [bates.edu/access/](http://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 please see the terms and conditions section of the reservation form or visit the website at [bates.edu/conference/scheduling-space-on-campus/](http://bates.edu/conference/scheduling-space-on-campus/).

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 [bates.edu/dining/services/catering/](http://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.

The online calendar is available for consultation at all times at [events.bates.edu](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 [bates.edu/conference/scheduling-space-on-campus/](http://bates.edu/conference/scheduling-space-on-campus/).

## 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: [bates.edu/conference/emergency-procedures/](http://bates.edu/conference/emergency-procedures/)

Weather emergencies: [bates.edu/conference/emergency-procedures/](http://bates.edu/conference/emergency-procedures/)

Emergency announcements: [bates.edu/conference/emergency-procedures/](http://bates.edu/conference/emergency-procedures/)

Fire, crimes, or vehicular accidents: [bates.edu/security/emergency-information/college-emergency-procedures/](http://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 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 Lyceum 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 the appropriate academic administrative assistant (AAA) if that staff member is available on campus. If the AAA is unavailable and the instructor is unable to communicate with the students, the instructor should telephone Matthew R. Auer, 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.