
The Faculty Handbook of Bates College

Bates values a diverse college community. Moreover, Bates does not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, 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.

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The Faculty Handbook of Bates College

The information in this *Handbook* is for the Faculty of Bates College. It is edited annually by the Dean of the Faculty, with such changes and additions as are authorized by the Board of Trustees, the Faculty, or the appropriate administrative officers of the College. As each section is amended or updated, the revision date is noted at the end of the section. Updated information is sent to faculty members, who are expected to remove outdated versions and replace them with new versions.

This *Handbook* is not a complete compilation of the organization, procedures, and policies of the College. It must be supplemented by other official College publications, including the *Catalog* and the *Student Handbook*.

The College also provides to all members of the Faculty a manual on employee benefits and privileges. This manual, which may be changed periodically, is under the direction of the Director of Human Resources.

All members of the Faculty are responsible for being familiar with 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.

Jill N. Reich
Dean of the Faculty

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 VIII 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 VIII is as follows:

By-Laws of Bates College, Article VIII

SECTION 1: The Faculty of the College shall 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.

Persons who enjoy Faculty status under the By-Law existing when this By-Law was adopted shall continue to do so so long as they hold the office which qualified them under the prior By-Law.

SECTION 2: The terms and conditions of the appointment, reappointment, promotion, and retirement of all members of the Faculty shall 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, shall be vested in the Faculty.

SECTION 4: For ceremonial occasions and in the publication of official catalogs, bulletins, or registers of the College, the members of the Faculty shall have seniority according to their academic grades or ranks (Professors, Associate Professors, etc.) and within each grade or rank in the order of their first appointment to that grade or rank; provided further, that emeritus members of the Faculty, as a group, and following the foregoing rule of seniority within their group, shall stand between the President and the full professors still in the active service of the College.

SECTION 5: The Faculty shall make provision for the keeping of proper minutes of their doings and may, by rule, create such offices and so regulate their doings as shall seem best calculated to promote their efficiency.

SECTION 6: If the President shall so request, the members of the Faculty shall annually make to him a written report covering the work of their respective departments or fields of activity.

Faculty Appointment, Reappointment, Tenure, and Promotion

Article VIII, 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 VIII of the *By-Laws* and with these *Rules and Procedures* at the time of initial appointment.

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 as Chair and the Dean of the Faculty, *ex officio*, and seven elected members of the Faculty.

b) Election

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

c) Nomination

The Committee on Committees and 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 April meeting of the Faculty, but such nominations must conform to the same conditions.

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.

SECTION 3: GENERAL INFORMATION FROM THE DEAN OF THE FACULTY

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

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

15 March: call for letters from the division chairs, the chair of interdisciplinary programs, and department and program colleagues; call for candidates' dossiers.

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

20 September: candidates' dossiers due.

25 September: dossiers opened to Examiners.

5 October: dossiers opened to members of the Committees 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.

b) Calendar for Tenure, Initial Four-Year Contract in Physical Education, and In-Depth Review in Physical Education Decisions

Normally tenure and initial four-year contract decisions shall be made by 10 February of the sixth year of full-time service.

Normally in-depth reviews in Physical Education take place every sixth year.

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

- 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.
- 10 October: colleagues' letters due and open to Examiners.
20 October: students' letters due.
- 1 November: candidates' dossiers due; off-campus evaluators' letters due.
10 November: dossiers opened to Examiners.
30 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 for formal written notifications on tenure decisions and on initial four-year contract decisions; deadline for mailing of formal written notifications on in-depth review decisions for colleagues in Physical Education.
- c) Calendar for Promotion Decisions
Normally decisions for promotion to full professor shall be made by 15 May of a colleague's sixth year in rank as an associate professor.
- 1 November: call for candidates' dossiers.
15 November: selection and confirmation of off-campus evaluators.
- 1 December: mailing of candidates' materials to off-campus evaluators.
15 December: call for letters from division chairs, the chair of interdisciplinary programs, and department and program colleagues.
- 1 January: call for letters from students.
9 February: colleagues' letters due and open to Examiners.
20 February: students' letters due.
- 1 March: candidates' dossiers due; off-campus evaluators' letters due.
10 March: dossiers opened to Examiners.
20 March: dossiers opened to members of the Committees on Personnel.
- 10 April: Committees on Personnel send letters regarding clarification to candidates.
20 April: responses by candidates to letters from Committees on Personnel due.
- 1 May: recommendations due from the Committees on Personnel, for consideration by the President and for decision by the Trustees.
15 May: deadline for mailing of formal written notifications on promotion decisions.

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) 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.

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 5b, and the notification requirements of Article II, Section 6b. 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 VI, Section 6c.

b) Privileges of the Director of Affirmative Action

The College's AAO 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 VI, Sections 5 and 6a. Only the President or the Dean of the Faculty shall announce or may explain the personnel recommendations of the Committee.

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.

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 7e.

g) To maintain complete 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.

SECTION 8: RESPONSES FROM CANDIDATES

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.

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 in a department or program can be extended to any person, the President or Dean of the Faculty requests written or oral judgment on the candidates from each individual department or program member in residence. In the case of non-tenure track initial appointments, 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.

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.

SECTION 3: INITIAL CONTRACTS

To consummate the initial appointment, the President or his 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.

SECTION 4: SCHEDULES OF REAPPOINTMENT, TENURE, AND PROMOTION

Initial appointments to part-time tenure-track positions are for a term of five years. Reappointments to 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.

SECTION 5: FORMAL NOTIFICATIONS

Written notifications of reappointment or nonreappointment are mailed by November 30 for all lecturers and for all other persons serving in their fourth year. 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 May 15.

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.

SECTION 6: EVALUATIONS

a) Departmental or Program Evaluations in the Second Year

For individuals on a four-year tenure-track appointment, an evaluation shall be conducted during the winter semester of the second year of teaching at Bates. The purpose of this evaluation is to inform the individuals of the department 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 which 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 March 15. Once the individual has had an opportunity to read the letters, he or she 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 April 15, 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.

SECTION 7: SUBSEQUENT CONTRACTS

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

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.

SECTION 9: EARLY CONSIDERATION

In special circumstances, an individual may formally request early consideration for reappointment, tenure, or promotion. The Dean of the Faculty brings any such request to the Committee with a recommendation for action. The Committee's action shall respect the spirit of Article III if not necessarily the full procedural letter of Article IV. See above, Article II, Section 2.

SECTION 10: DELAYED CONSIDERATION

Full-year leaves of absence delay the schedule of reappointments, tenure, and promotion correspondingly. 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.

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 September 25. 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.

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.

SECTION 13: LIMITED TERM OF NONTENURIAL SERVICE

No individual may be reappointed on a nontenurial contract extending beyond the seventh 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.

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 1c.

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 Conference with the Trustees 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 departmental, programmatic, or divisional 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 which 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.

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:

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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.

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.

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 September 1.

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.

SECTION 5: ACADEMIC FREEDOM

The Committee on Personnel shall adhere to the ideal of academic freedom as defined by the 1940 "Statement of Principles" and the 1970 "Interpretive Comments" of the American Association of University Professors.

SECTION 6: NONDISCRIMINATION

The Committee may not discriminate on the basis of race, color, national or ethnic origin, religion, gender, sexual orientation, marital or parental status, age, or handicap. 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 and the Chair of the relevant department.
- 2) Senior-ranking colleagues in the candidate's department.
- 3) 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.
- 4) In consideration of promotion, division and department Chairs write evaluations regardless of their ranks.
- 5) 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.
- 2) The Chair of the Program.
- 3) 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.
- 4) 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.
- 5) 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.
- 6) In consideration of promotion, the Chair of Interdisciplinary Programs and the Chair of the program write evaluations regardless of rank.
- 7) 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.

8) 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.
- 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 and the Chair of the relevant department.
- 2) Senior-ranking colleagues in the candidate's department.

At the discretion of the candidate:

- 3) The Chair of Interdisciplinary Programs and the Chair(s) of the relevant program(s) and/or department(s); and
- 4) 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.
- 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) For anomalous situations, Article I, Section 4(e) of the Rules and Procedures of the Faculty shall apply.

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.

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, the College solicits four outside evaluations from qualified judges of the candidate's professional work. The judges are selected in the following manner. The candidate designates one judge and also provides an alternate name. In addition, the candidate submits three names of qualified persons with brief descriptions of their qualifications. The department and/or program Chair also submit(s) three names with brief descriptions. If more than one department or program Chair is involved in the evaluation, they submit jointly three 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 three 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.

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 severally responsible for including assessments of the needs of the College in their recommendations on each pretenurial reappointment.

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.

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, all papers read to scholarly audiences, and all published articles or books. Finally, the candidate may submit any other relevant material, including any 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.

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.

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.

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: 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.

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.

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.

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.

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.

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 March 1 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 March 1 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.

SECTION 7: EVALUATIVE PROCEDURES

The evaluation of lecturers shall take place according to the procedures described in Article IV. For a lecturer not appointed in a department or program, the Dean of Faculty, in consultation with the lecturer, shall appoint suitable evaluators.

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.

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.

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,

four-year contracts, and promotion for members of the Department of Physical Education. The Committee is composed of the President as Chair and the Dean of the Faculty, *ex officio*, and three elected members of the academic Faculty of the College. The Faculty elects these three members for three-year, overlapping terms at its April meeting. The Committee on Committees presents nominees to the Faculty according to the following conditions: (1) all candidates must be tenured; (2) at least one of the elected members must be a full professor. Additional nominations may be made from the floor at the April 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 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 four-year contract except when involving an in-depth review, when notification of decision is February 10.

SECTION 2: CONDITIONS AND SCHEDULES OF APPOINTMENT, REAPPOINTMENT, AND PROMOTION

a) Article II, Sections 1, 3, 4, 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 four-year contracts, not tenure.

b) Four-Year Contracts

Four-year contracts are executed only with Faculty members in the Department of Physical Education. Individuals are considered for four-year contracts in the sixth year of service according to the schedule of reappointments and notification in Article II, Sections 4 and 5. Once granted in the sixth year of service to take effect at the end of the seventh year, four-year contracts are renewed every year for a further four years unless and until the College decides to terminate employment, in which case a terminal three-year contract is executed. Faculty members of the Department already on tenure will continue to hold tenure, but no other member of the Department is eligible for tenure.

c) In-depth Review of Four-Year Contracts

For those colleagues holding four-year contracts there shall be an in-depth review every sixth year. This review shall include the solicitation of letters from students, colleagues, and outside evaluators, as indicated below in Section 4. In the intervening years the Dean of the Faculty shall solicit letters of evaluation from the department Chair, the director of athletics, and the associate or assistant director of athletics, which, if positive, shall be sufficient grounds for the Committee to recommend a renewal of contract. Any negative recommendation from the department Chair shall initiate an in-depth review prior to the February 15 contract renewal. The Committee or the Dean of the Faculty may call for an in-depth review at any time, if there are grounds for concern about a colleague's professional work.

SECTION 3: CRITERIA FOR REAPPOINTMENT, FOUR-YEAR CONTRACT, AND PROMOTION

a) Degrees

The basic professional qualification for service beyond the seventh year normally consists of completing requirements for a master's degree in physical education, health, or recreation. A doctorate is neither a necessary nor a sufficient qualification for promotion.

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 four-year contracts. Excellence as a coach is the normal condition for appointment, reappointment, and promotion. The expected combination of coaching and teaching strengths for members of the Department of 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 maintain professional competence and to serve the College and the community.

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

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) Students' Letters

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 by the Committee concerning candidates for the initial four-year contract, for the in-depth review of four-year contract holders, and at first consideration for promotion to full professor.

b) Colleagues' Letters

The evaluation of candidates for reappointment, for the initial four-year contract, and for in-depth review of the four-year contract includes the solicitation of letters from all members of the Department holding tenurial or four-year contracts. Evaluation of candidates for promotion includes letters from all senior-ranking members of the Department. The director and associate or assistant director of athletics offer evaluative letters on all candidates for reappointment, including four-year contracts, and for promotion.

c) Evaluations from Qualified Professionals Elsewhere

For candidates for the initial four-year contract, the in-depth review of four-year contracts, and promotion, four outside evaluators shall be selected in the same manner as prescribed in Article IV, Section 3c. These judges should evaluate the candidate's coaching and other professional activity on the basis of observation in intercollegiate athletic competition or 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.

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.

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.

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 which 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 Fellows 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.

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.

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 on 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 5c) 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 which either upholds or reverses the Committee's original recommendation. The President, in turn, shall make a fresh recommendation to the Board of Trustees.

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 which 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 5c) 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 Fellows 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 VI, Section 6c. 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.

SECTION 7: PHYSICAL EDUCATION

Members of the Faculty 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 V and shall have access to materials specified in Article V.

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.

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 President's Institutional Planning and Advisory Committee 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 President's Institutional Planning and Advisory Committee 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 he or she 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 VII, Sections 1a, 1b, and 1c.

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 he or she 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 his or her 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 President's Institutional Planning and Advisory Committee 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 he or she 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 him or her. 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.

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Rules and Procedures of the Faculty

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 VIII, Section 1, of *The Charter and By-Laws of Bates College*.

SECTION 2: RESPONSIBILITIES

The responsibilities of the Faculty shall be as enumerated in Article VIII, Section 3, Article IX, Section 2, and Article X, 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 in his capacity as the principal officer of the Faculty shall preside at Faculty meetings. In his absence, the President shall designate the Dean of the Faculty to preside or in her 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. He shall also keep on file in the Registrar's office for Faculty reference and 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 by the President.

SECTION 2: DIVISIONS, DEPARTMENTS, AND INTERDISCIPLINARY PROGRAMS

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.

Faculty members hold appointments in departments, organized into the divisions of humanities, natural sciences and mathematics, and social sciences, and also in interdisciplinary programs. The members of divisions elect one of their members as division chair; all Faculty elect a chair of Interdisciplinary Programs. Faculty members have membership in a department, a program, or in any combination of departments and programs.

Article III: Faculty Meetings

SECTION 1: TIME OF MEETINGS

- a) Regular Faculty meetings normally shall be held at 4:10 p.m. on the first Monday of each month during the fall and winter terms. 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.
- b) The first Faculty meeting in the fall shall be held at the call of the President within a period of seven days prior to the first 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 ten members of the Faculty.

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.

SECTION 3: ORDER OF BUSINESS AND RULES OF ORDER

- a) The normal order of business shall be:

- 1) Call to Order
- 2) Minutes
- 3) Announcements
- 4) Unfinished business
- 5) Action reports of committees
- 6) New business
- 7) Information reports by committees and officers
- 8) Adjournment

b) The agenda for each regular Faculty meeting shall be prepared by the Committee on Committees and 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) 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.

d) The order of business and the rules and procedures governing the conduct of Faculty meetings may be suspended by two thirds of those voting.

e) The Committee on Committees and 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.

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, by a standing vote, or by written ballot.
- c) The method of voting shall normally be decided by the presiding officer. A standing vote may be called for from the floor. A written ballot shall be used at the request of a majority of those voting.

Article IV: The Legislative Process**SECTION 1: THE COMMITTEE ON COMMITTEES AND GOVERNANCE**

- a) The President, *ex officio*, the Dean of the Faculty, *ex officio*, and four members of the Faculty who have served on the Faculty for at least three years shall comprise the Committee on Committees and Governance.
- b) The chair of the Committee shall be the senior member of the Faculty in terms of length of service on the Committee.
- c) Chairs of *ad hoc* committees and of standing committees not listed under a) and also a representative of Faculty members submitting proposals shall be invited to the meeting of the Committee on Committees and Governance at which their proposal is under consideration.
- d) It shall be the duty of the Committee on Committees and 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 Committees and 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 Committees and Governance shall have directed.

SECTION 2: LEGISLATIVE ROUTES FOR PROPOSALS FROM COMMITTEES

a) The Committee on Committees and 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.

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; debate on the issues shall be confined to the second and any subsequent readings.

b) The originating committee may revise its proposal after the first reading. The revised report is to be considered as previously introduced legislation.

c) The Committee on Committees and Governance may, under unusual circumstances, authorize Faculty action after only one reading for legislative proposals that would normally require two readings.

d) Committee proposals must be submitted to the Chair of the Committee on Committees and Governance at least two weeks prior to the Faculty meeting.

SECTION 3: LEGISLATIVE ROUTES FOR PROPOSALS FROM INDIVIDUALS

a) The Committee on Committees and 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.

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 Committees and 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

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.

c) There shall be a President's Institutional Planning and Advisory Committee which advises and consults with the President in matters of short-range and long-range planning and on any matters of concern to the Faculty. The Committee should meet with the President not less than once a month throughout the academic year. The Committee may initiate proposals for short-range and long-range goals, respond to specific ideas and questions raised by the President, and be included in the evaluation of policies before they are adopted. The Committee serves as the general channel of communication between the Faculty and the administration of the College. The Committee may also serve as consultants to Trustee committees considering long-range College planning.

The Committee shall consist of the President, *ex officio*, three tenured, and three untenured members of the Faculty. The members of the Committee should represent the breadth and diversity of interests of the Faculty.

The members of the Faculty shall be elected by written ballot. Regular elections will be held at the April Faculty meeting each year.

d) There shall be a Personnel Committee composed of the President as Chair, the Dean of the Faculty, *ex officio*, and seven members of the Faculty, each elected at the April 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 April 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 Committees.

f) There shall be a Committee on Personnel for Physical Education composed of the President as Chair, the Dean of the Faculty, *ex officio*, and three members of the Faculty, each elected at the April meeting of the Faculty for three-year overlapping terms. (See *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*, Article V, Section 1a.) The election of the three 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 April meeting of the Faculty, but such nominations must conform to the above conditions.

g) There shall be a Committee on Conference with the Trustees which shall meet at least twice each year with the Trustee Committee on Conference with the Faculty to discuss matters of mutual concern. The Committee shall consist of six

members elected by the Faculty. Three members must be from the tenured ranks of the Faculty. Two members shall be elected each year at the regular April Faculty meeting for terms of three years. Voting shall be by written ballot. The Chair, to be elected by the Committee, shall be one of the members who has consecutively served longest on this Committee.

h) There shall be a Committee on Committees and Governance, consisting of the President, *ex officio*, the Dean of the Faculty, *ex officio*, and four elected members of the Faculty who have served at Bates College for at least three years. Members shall be elected for a four-year term and normally one new member shall be elected each year at the regular April Faculty meeting.

The duties of the Committee on Committees and Governance shall be:

- 1) Appoint all Faculty members of Faculty committees save President's Institutional Planning and Advisory Committee to the President, the Personnel Committee, the Committee on Personnel for Physical Education, the Faculty Committee on Conference with the Trustees, the Committee on Committees and Governance, the Committee on Curriculum and Calendar, and those committees designated to be elected in 1 b.
 - 2) Designate the Chairs of all appointed Faculty committees.
 - 3) Where appropriate, designate the secretaries of all appointed Faculty committees.
 - 4) Prepare the slate of candidates for elected Faculty committees for action by the Faculty at the regular April Faculty meeting. In its function of preparing a slate of candidates for the elected committees of the Faculty, the senior member in length of service on the Committee shall act as Chair, and neither the President nor the Dean of the Faculty shall participate.
 - 5) Prepare a slate of candidates for the Board of Examiners, as specified in the *Rules and Procedures Governing Appointment, Reappointment, Tenure, and Promotion*, Article I, Section 7, to be elected by the Faculty at its April meeting for three-year overlapping terms. The election of the four examiners must adhere to the following conditions: (1) all shall be tenured; (2) none may serve concurrently on the Committee on Personnel or on the Committee on Personnel for Physical Education. Additional nominations may be made from the floor at the April meeting of the Faculty, but such nominations must conform to the above conditions.
 - 6) Prepare a slate of candidates for the Faculty Review Board, as specified in the *Rules and Procedures Governing Appointment, Reappointment, Tenure, and Promotion*, Article VI, Section 6(b), to be elected by the Faculty at its April meeting for five-year overlapping terms.
 - 7) Review all legislation proposed by committees of other Faculty members and determine disposition of the proposal in accord with Article IV, Sections 2, 3, and 4.
- i) There shall be a Student Committee on Committees, selected by the Representative Assembly. The President shall serve as Chair. 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.

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*.
- b) In making appointments and nominations to committees, the Committee on Committees and 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 the Faculty.
- 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 President's Institutional Planning and Advisory Committee, the Personnel Committee, the Committee on Personnel for Physical Education, the Committee on Conference with the Trustees, the Committee on Committees and Governance, and the Committee on Curriculum and Calendar shall be filled for the balance of the unexpired term by special election.
- g) Vacancies occurring in the membership of the appointed committees may be filled for the balance of the unexpired term by the Committee on Committees and Governance.
- h) The President and Dean of the Faculty shall be members *ex officio* of all committees and shall be notified of all meetings.

SECTION 3: STANDING COMMITTEES

- a) In addition to the procedural committees, i.e., the President's Institutional Planning and Advisory Committee, the Personnel Committee, the Committee on the Evaluation of Teaching, the Committee on Personnel for Physical Education, the Committee on Conference with the Trustees, and the Committee on Committees and Governance, delineated in these *Rules and Procedures*, 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, including the Director of African American Studies and the Director of American Cultural Studies, *ex officio*.
 - 3) Classical and Medieval Studies Committee — seven members, including the Chair of the Department of Classical and Romance Languages and Literatures.
 - 4) Cluster Development Committee — three members selected from the Division of the Humanities and the Department of History, each from a different department.
 - 5) Graduate Studies Committee — five members.
 - 6) Legal Studies Committee — Dean of Students or Associate Dean of Students, *ex officio*, two Faculty.
 - 7) Medical Studies Committee — Dean of Students or Associate Dean of Students, *ex officio*, five Faculty.
 - 8) Teaching Development Committee — Dean of the Faculty, *ex officio*, four Faculty.
 - 9) Women's Studies Committee — seven Faculty, including the Director of the Women's Studies Program, *ex officio*.
- 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) Admissions and Financial Aid Committee — four Faculty, two students, Dean of Admissions, *ex officio*. Student members of this Committee shall not be present for discussion of and shall not vote on cases involving individuals.
 - 2) Athletics Committee — four members of the Faculty outside the Physical Education Department; four students; Director of Intercollegiate Athletics, *ex officio*, and one other member of the Physical Education Department; the Dean or Associate Dean of Students, *ex officio*.
 - 3) College Concerts Committee — three Faculty, three students.
 - 4) College Lectures Committee — three Faculty, three students.
 - 5) Curriculum and Calendar Committee — five Faculty, two students, Registrar, *ex officio*.
 - 6) Educational Policy Committee — six Faculty, three students, Dean of the Faculty, *ex officio*.
 - 7) Extracurricular Activities and Residential Life Committee — Dean of Students or Associate Dean of Students, *ex*

officio, Vice President for Business Affairs or Business Manager, *ex officio*, two Faculty members who are advisors of major student organizations, two Faculty members at large, and six students.

8) First-Year Seminars and the Writing Workshop Committee — six members, at least one coming from each academic division, two students.

9) Honors Committee — four Faculty, one student.

10) Library Committee — six Faculty, three students, Librarian, *ex officio*.

11) Off-Campus Study Committee — three Faculty, the Director of the Junior Year Abroad Program, *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.

12) Student Conduct Committee — six 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.

Article VI: Amendments

SECTION 1: METHOD OF INITIATION

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

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.

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Standing Committees of the Faculty

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

Faculty committees are constituted according to Article V of the *Rules and Procedures of the Faculty*. Standing committees may be classified as (1) elected Faculty, (2) appointed Faculty, (3) appointed Faculty-student committees, and (4) appointed Faculty-administrative staff-student committees.

Elected Committees

PRESIDENT'S INSTITUTIONAL PLANNING AND ADVISORY COMMITTEE. This Committee "advises and consults with the President in matters of short-range and long-range planning and on matters of concern to the Faculty. The Committee should meet with the President not less than once a month throughout the academic year." (*Rules and Procedures*, Article V, Section 1 c). It also serves as a board of inquiry in cases of termination of a Faculty contract for cause (see *Appendix to the Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*, Part a).

COMMITTEE ON COMMITTEES AND GOVERNANCE. The duties of this Committee are given in Article V, Section 1 h) of the *Rules and Procedures of the Faculty*.

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

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 the Faculty*.

COMMITTEE ON CONFERENCE WITH THE TRUSTEES. A Committee "which shall meet at least twice each year with the Trustee Committee on Conference with the Faculty to discuss matters of mutual concern." (*Rules and Procedures*, Article V, Section 1 g).

COMMITTEE ON CURRICULUM AND CALENDAR. The Committee has the functions of reviewing and approving curricular proposals which come within the structure of established educational policy and practice and reporting these to the Faculty in writing once a semester. The Committee's composition includes the Regular, *ex officio*; Librarian or Associate Librarian, *ex officio*; for faculty, one elected from each division and one from Interdisciplinary Programs; and two students, selected according to the guidelines spelled out in Article V, Section 1.i.

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 East Asian Studies and the secondary concentration in South Asian Studies. Its duties include designating the major and concentration requirements, overseeing student majors, approving thesis programs, recommending any general education contributions from the Asian 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.

CLUSTER DEVELOPMENT. This Committee reviews suggestions for clusters from individual Faculty members and departments in the Humanities and History. These suggested clusters are supplemented by the Committee and then published each year. The published list constitutes the clusters available for student selection. Information from this Committee is sent to all students as part of the semester registration packets.

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* concerning Faculty Appointment, Reappointment, Tenure, and Promotion; (2) to recommend acquisition of any necessary scoring apparatus and to prepare 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 STUDY. In cooperation with the academic departments and the Office of Career Services, this Committee 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 Office of Career Services, 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'S 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's 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's studies. The Committee shall sponsor a Faculty Development Seminar, which shall assist members of the Faculty who wish to integrate women's studies into their curricular offerings or who wish to introduce new courses with a women's studies focus.

Appointed Faculty-Student Committees

ADMISSIONS AND FINANCIAL AID. This Committee considers policy matters relative to the admission of new students and the granting of all forms of financial aid, including scholarships, fellowships, loans, and such prizes as are not specifically determined by other means. The Committee's recommendations for policy change are submitted to the Faculty for appropriate action.

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 CONCERTS. This Committee is responsible for the arrangement and presentation of an annual College concert series.

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

CURRICULUM AND CALENDAR. This Committee has the functions of reviewing and recommending to the Faculty curricular proposals which come within the structure of established educational policy; of preparation of the annual academic calendar, for presentation to the Faculty; and of review and approval of class and examination schedules, as presented to the Committee by the Registrar.

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.

EXTRACURRICULAR ACTIVITIES AND RESIDENTIAL LIFE. This Committee is charged with responsibility for coordinating general policy for all extracurricular activities. This responsibility includes: approval and recognition of all established student clubs and organizations; review and approval of suggested scheduling for extracurricular events; and, within the administrative rules for service and the usage of facilities, the assignment of space and services as requested by Faculty or student groups. This Committee also may study and recommend policies affecting the living environments of students which will enhance the educational objectives of the College.

FIRST-YEAR SEMINARS AND WRITING WORKSHOP. 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 Committee on Educational Policy; (4) to consider, in consultation with the Dean of the Faculty, requests for exceptions; (5) to supervise the Writing Workshop, and 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 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, 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 Committee consists of six Faculty members and six Students. The Committee is co-chaired by a Faculty member and a student. The Faculty Co-chair shall be one of the six full-time teaching Faculty members appointed to the Committee. 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-Administrative Staff-Student Committees

INFORMATION SERVICES ADVISORY COMMITTEE. 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.

9/2000

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 2001-2002:

Instructor	\$43,000
Assistant Professor	44,000
* Associate Professor	52,250
Professor	63,500

Benefits in Addition to Salary

The College provides all its employees, including Faculty members, with a manual of employee benefits and privileges. This manual is distributed by the Human Resources Office. It is meant to supplement or complete the information provided in this Section of the *Faculty Handbook*.

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.

Retirement

The College supports a retirement plan in the Teachers' Insurance and Annuity Association/College Retirement Equities Fund. The College will contribute 6.7% on the first \$16,850 of salary and 11% on the remaining balance per year. The individual may choose from several percentage distributions, as well as investment options provided by TIAA/CREF. Those options are: TIAA Annuity, TIAA Real Estate Account, CREF Stock Account, CREF Money Market Account, CREF Social Choice Account, CREF Bond Market Account, CREF Global Equities Account, CREF Growth Account, CREF Equity Index Account, and CREF Inflation-Linked Bond Account.

The College offers a voluntary TIAA/CREF tax deferred annuity plan in addition to its regular retirement plan. Under this plan Faculty and staff members may, through a properly drawn additional salary reduction agreement, elect to reduce a portion of their compensation currently subject to taxes and redirect it to TIAA/CREF towards the purchase of regular retirement annuities or Supplemental Retirement Annuities (SRA). Such amounts are not subject to Federal and state income tax until they are received in the form of benefits. Also through TIAA, the College provides a matching program to encourage voluntary saving for retirement. The College will match voluntary employee contributions to a TIAA 403(b) RA, SRA, or GSRA up to a maximum of 1% of the employee's annual salary. Individuals must have, or establish, such an account, and arrange for voluntary contributions to be eligible for the matching program.

Normal retirement age under the College's TIAA/CREF retirement plan is 65 for members of the Faculty. If a member of the

* In rank with tenure.

Faculty teaches beyond normal retirement age, the College will continue to contribute to their retirement fund until the date of actual retirement. Faculty members may exercise the option of retirement as early as age 55 and have 15 years of service with the College, and receive benefits appropriate to their years of service.

The College also participates in the Federal Insurance Contribution Act (Social Security), under which the individual's contribution is 6.2% of the first \$72,600 of salary for 1999, with the College matching this payment. Medicare contributions for the College and individual are 1.45%.

9/2001

Flexible Benefits Plan (“Bates Benefits”)

Bates College offers a flexible benefits program which provides choices among a variety of benefit options such as medical insurance, life insurance, and accidental death and dismemberment insurance, as well as pre-tax reimbursement accounts for dependent care and health care. The College provides “benefit credits” to each full-time, non-temporary employee sufficient to select the highest level of medical insurance, basic life, and basic accidental death and dismemberment insurance (in the amount of one times the employee’s annual earnings up to a maximum of \$50,000 each for life and accidental death and dismemberment). Details of choices and allocation options are available in the Human Resources Office. Faculty who carry a minimum course load of 3 courses per year are eligible to participate. The College contributions (benefit credits) are pro-rated according to course load.

Employee-paid dependent medical coverage is available through pre-tax salary reduction. Medical insurance is also available for domestic partners, at the employee’s expense through after-tax deductions.

Health and Dependent Care Reimbursement Accounts

Bates College provides its employees with a tax-effective way to pay health and dependent care expenses. The program offers tax savings through two reimbursement accounts — a health care account and a dependent care account. The accounts give employees the opportunity to pay eligible health and dependent care expenses with pre-tax dollars. The health care account lets one save on taxes while paying for eligible health care expenses not covered by insurance plans. The dependent care account gives tax savings on dependent care expenses. Employees who use dependent care may also apply for a College Dependent Care Subsidy. This subsidy is distributed on a sliding scale, based on annual household income. Information about these accounts and the subsidy is available in the Human Resources Office.

9/2000

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. The Dean of the Faculty considers leave requests, and recommends to the President to grant leaves, recommends that they be paid or unpaid, and recommends allocations for course replacements during the period of the leave based on department/program need.

To request a temporary medical disability leave, the Faculty member must submit to the Dean of the Faculty a written request, accompanied by written medical documentation from a licensed health care provider.

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 he or she 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.

Any member of the Faculty who is unable as a result of a scheduled disability fully to meet his or her 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 full-time Faculty member is unable to return to work, those persons with more than one year's service may become eligible for a Long-Term Disability insurance plan offered through UNUM. 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 LTD program will also continue contribution to eligible employees' pension plans. Details are available in the Human Resources Office.

In the case of a *scheduled* disability leave, including one for childbirth, the Faculty member must discuss plans with the department Chair as soon as possible so that arrangements can be made to find a replacement to teach any course deemed essential to the department's curriculum. These latter arrangements must be completed prior to the department's submission of course schedules for the semester in which the disability is anticipated. The semester in which teaching occurs shall be the 3-course semester in the 3-2/2-3 teaching load.

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.

Travel Accident Insurance

Any 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.

Those having questions regarding either retirement or medical benefits should inquire at the Human Resources Office.

9/2000

The Harry W. Rowe Tuition Grant Fund Program

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 January 1, 2000, and does not continue in the workforce.

Effective January 1, 2000, Rowe Fund assistance is extended to the dependent child or children of a deceased active or retired 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 January 1, 2000.

SERVICE REQUIREMENT. For a Faculty, Administrative Staff, or Support Staff member employed on or before June 30, 1988, eligibility for participation begins after two years of consecutive service. For a Faculty, Administrative Staff, or Support Staff member starting employment after July 1, 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 purposes of this Program a dependent child is defined as one:

A. Who is a blood descendant of the first degree (i.e., a son or daughter), a step-child, or the legally adopted child of an active full-time member of the Faculty, Administrative Staff, or Support Staff of the College or such a child of an active full-time member of the Faculty, Administrative Staff, or Support Staff who retires on or after January 1, 2000, and/or who dies on or after January 1, 2000;

AND

B. Who either

(1) (a) has not attained the age of 19 at the close of the calendar year; OR (b) is a student (as defined in Section 151(c)(4) of the Internal Revenue Code) who has not attained the age of 24 at the close of the calendar year;

AND

more than half of whose support for the calendar year was received from the active full-time or retired member of the Faculty, Administrative Staff, or Support Staff of the College or that member's surviving spouse;

OR

(2) has not attained the age of 25 and both of whose parents are deceased.

For a Faculty, Administrative Staff, or Support Staff member employed on or before June 30, 1988, Rowe Fund payments equal 50% of the tuition and mandatory academic fees of the college or university attended, up to a maximum of one-half of the Bates tuition. For a Faculty, Administrative Staff, or Support Staff member starting employment after July 1, 1988, Rowe Fund payments equal 10% of the Bates College annual charge as stated in the College catalog.

For each dependent child, the benefits of the Fund are limited to not more than four years of full-time undergraduate study, leading toward the baccalaureate degree, at accredited institutions of higher education. If a student receives other grants, the sum of the Rowe Fund grant and other such support shall not exceed 100% of the college's or university's tuition and appropriate charges.

PAYMENT OF BENEFITS. Payments under the Rowe Fund are made directly to the college or university attended by the eligible child. Bates College pays the grant upon confirmation of enrollment of the student and confirmation of amounts due for tuition and mandatory academic fees. Payments are generally calculated for the academic year; one-half is paid prior to September 1, and the balance is paid prior to January 1.

ADMINISTRATION AND INFORMATION. The Rowe Fund of Bates College is administered by the College's Human Resource Department. Requests for more information or questions regarding special situations may be addressed to that office.

College Rental Housing

The College owns a limited number of houses and apartments which may be made available from time to time to Faculty and staff.

All questions regarding College rental housing should be directed to the Human Resources Office. Please see the Bates Employee Handbook for related policies and information.

Relocation Assistance

New members of the Faculty will be reimbursed partially by the College for the moving of household goods.

9/2000

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

The Office of the Dean of the Faculty expects 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. NOTE: J-visa holders must verify that they are not subject to the two-year foreign-residency requirement;
- 2) ensure his/her ability to travel outside of the U.S. and return legally in time to fulfill his/her teaching obligations to the College, and provide the Dean of Faculty's Office with a photocopy of every new I-94 form (front and back);
- 3) initiate his/her own permanent-residency petition if appropriate (tenure-track faculty members are expected to seek permanent residency). NOTE: The filing of the first part of this application *must* be done within a *limited* time period (currently eighteen months) from the date the faculty member is selected;
- 4) manage all immigration matters pertaining to dependents;
- 5) bear all expenses associated with immigration matters, including filing fees to the Immigration and Naturalization Service and the compensation of immigration attorneys;
- 6) consult with the Dean of the Faculty before accepting salaries, stipends, or honoraria from any other institution, so that full compliance with I.N.S. & U.S.I.A. (J-visa programs) regulations will be guaranteed.
- 7) inform the Dean of the Faculty and the Director of Human Resources as soon as U.S. permanent residency is secured.

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

- 1) provide general information about H-1B visa and permanent-residency requirements;
- 2) provide information necessary for the preparation by the foreign national's legal counsel of a Labor Condition Application to the Department of Labor on behalf of the faculty member (required for an H1-B visa).
- 3) generate documentary materials as required to assist in the submission of a Labor Certification Application (required within eighteen months of hire so that it is on file if the faculty member ever decides to apply for permanent residency);
- 4) assist with supporting documentary evidence (such as copies of contracts, letters of support from the Dean or department Chair, etc.) as required;
- 5) provide a list of immigration attorneys available to assist non-U.S.-citizen faculty members at the faculty member's expense. NOTE: The College strongly recommends that faculty members who choose to retain attorneys consult those with a specialty in immigration law, since general-practice attorneys are not always apprised of the frequent and complex changes in immigration regulations.

9/2001



Programs 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' concerns for professional development opportunities should be shared 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 are eligible for professional leaves to carry out specific curricular projects or scholarly research. Such leaves are granted by the College upon application by certain dates (see below), and 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. *All half-year leaves must be in the semester when the teaching load is two courses.*

To be eligible for paid 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 leaves and leaves under the College's Short Term leave policy.

A. SABBATICAL LEAVE

A Faculty member becomes eligible for a first sabbatical leave after permanent tenure, or initial four-year contract, has been attained, and a period of six years of full-time teaching at Bates has elapsed. (Unless the Faculty member joins the Faculty with credit toward the preliminary period for tenure, or unless the Faculty member is awarded a pre-tenure leave, the Faculty member would apply for a first sabbatical in December of her/his seventh year of service [the year following the year in which the tenure decision is made]. The Faculty member would thereby receive the initial sabbatical following seven years of service. Persons receiving credit towards the probationary period could receive the tenure decision, apply for a sabbatical leave, and receive a leave following six years of service. Persons receiving a pre-tenure leave could have a pattern of pre-tenure, then sabbatical leaves which resulted in no period between leaves being greater than six years of service). Following the initial leave, a Faculty member is eligible for sabbatical leave after each six years of full-time teaching at Bates, except that only one sabbatical leave shall be granted to an individual during the last eight years preceding retirement. For personal or departmental reasons, a sabbatical leave may be deferred up to two years without the loss of any credit toward the next sabbatical.

Lecturers who have taught ten years at Bates are eligible to apply for an initial sabbatical leave. After the initial sabbatical, lecturers are eligible to apply for sabbatical leave after each six-year period of teaching at Bates. A sabbatical leave for a lecturer shall consist of half the contracted courses and units for the year of the lecturer's regular salary, or, at the option of the lecturer, all the contracted courses and units for the year at one-half that salary.

A sabbatical leave shall consist of a half year at full salary or, at the option of the individual, a full year at one-half salary. A "half year" is understood as leave from one semester and the Short Term. Normally, then, the sabbatical leave includes *either* the winter semester and Short Term *or* the Short Term and the fall semester. During the period of leave, the College's contribution to the TIAA/CREF and FICA retirement programs will be based on the salary actually paid by the College.

Incidental earnings (all extra income which might well have been earned under a regular teaching load at the College) during or resulting from sabbatical leave may be retained by the Faculty member in addition to payments from the College.

Application for sabbatical leave must be made in writing to the Dean of the Faculty no later than *October 15* of the academic year preceding that in which the leave is to be taken. The application must specify the time requested for leave, and indicate in as detailed a manner as possible the academic purpose of the leave. With the sabbatical leave request, the program or department must submit a plan of leaves, a statement regarding the impact of the leave on the department's or program's course offerings, and a request for a replacement, if needed, so that the Committee of Five can evaluate the

request with a full understanding of the needs of the program or department. Normally half-year leaves are not replaced. Applications are approved, upon the President's recommendation, by the Executive Committee of the Board of Trustees. A report of achievement must be submitted through the Dean of the Faculty for the President and Executive Committee, upon completion of the sabbatical leave. This report must be submitted no later than the end of the first semester of teaching following completion of the leave.

B. LEAVE OF ABSENCE

For purposes of professional development, members of the Faculty may apply for leaves of absence. Applications for such leaves must be made to the Dean of the Faculty by *October 15* of the year preceding the academic year in which leaves are to occur. Normally no leave of absence will be considered after a Faculty member's contract is returned on March 15 for the subsequent academic year, although arrangements can be made with the Dean of the Faculty to allow for a later consideration because of late notification of funding awards. 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. Such application must have the written approval of the appropriate department or program Chair. With the leave of absence request, the program or department must submit a plan of leaves, a statement regarding the impact of the leave on the department's or program's course offerings, and a request for a replacement, if needed, so that the request can be evaluated with a full understanding of the needs of the program or department. Normally half-year leaves are not replaced. Normally no leave of absence is granted for the purpose of completing work on the terminal academic degree.

When a leave of absence is granted, any contractual agreement between the Faculty member and the College is suspended during the period of leave. In accordance with personnel rules, a full-year leave does not count toward the probationary period for tenure or toward years of service for determining promotion or other employment benefits. Normally, a half-year leave does not retard such schedules. During the period of leave all benefits to the Faculty member are suspended, except that one may elect to remain in the group health insurance programs through assuming the cost. No salary is paid during leaves of absence. All such leaves are contingent upon the departments either securing satisfactory replacements or making arrangements to cover the curriculum offerings. It is the policy of the College that a leave of absence, without salary and benefits, cannot be granted to a member of the Faculty during an academic year when a sabbatical leave has been granted in accordance with the College's sabbatical leave program.

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.

All full-time members of the Faculty are eligible for leaves of absence, without salary and without benefits, for purposes of child rearing or other dependent care. Applications for such leaves are subject to the same conditions and must be made according to the same timetable as other leaves of absence.

C. SHORT TERM LEAVE

Each Faculty member will teach a Short Term unit, subject to the following leave policy. Members of the Faculty may elect a leave every third Short Term. Particular needs in the various departments and leaves of department colleagues may require that the 2-1 schedule be adjusted by the department Chair. Such adjustments, which must be approved by the Dean of the Faculty, will be within the general guideline stated above. Leaves of absence and sabbatical leaves will not be counted in accruing Short Term leaves. The leaves will be with full salary.

Chairs of the departments will be responsible for scheduling these leaves of absence. Schedules will allow all colleagues to know of their leaves no later than *October 15* of the year preceding the academic year in which the leave is taken. These leaves are intended as support for Faculty research and writing efforts. It is expected that results of such work will be cited in the colleagues' annual reports on professional activities.

D. 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 the conditions stated below. The purpose of this pre-tenure leave is to support specific curricular projects or scholarly research.

The following conditions apply to this leave program:

- 1) The leave may be taken in either semester of a year following the three years of full-time teaching in the College, provided it is the semester when the teaching load is two courses. As an option, one may elect to reduce the teaching load by one course each semester of a year. This leave may not be taken during the academic year when the tenure decision is made.
- 2) The pre-tenure leave may be adjoined to a Short Term leave, either immediately preceding or immediately following the semester leave. However, no colleague on the tenure track may have more than two Short Term leaves in the first seven years of service.
- 3) The pre-tenure leave counts as service to the College and therefore does not change the date of the tenure decision. If the Faculty member elects to take a leave of absence in the remaining semester of the year in which a pre-tenure leave is taken, then the tenure decision is delayed by one year. If the Faculty member is granted tenure, the first sabbatical leave with pay and fringe benefits is available in the *eleventh* year of full-time teaching, which includes the year of the pre-tenure leave.
- 4) A colleague granted two or more years' credit toward the probationary period for tenure is not eligible for this pre-tenure leave. If tenure is granted to such a colleague, he or she is eligible for the first sabbatical leave after six years of full-time teaching in the College.
- 5) When leave schedules within a department conflict with the department's curricular obligations, priority shall be given to the pre-tenure leave. Potential conflicts between pre-tenure leaves and department obligations shall be resolved by the department Chair, in consultation with the division Chairs and Chair of Interdisciplinary Programs if necessary, but within the terms of this policy.
- 6) Application for the pre-tenure leave shall be made to the Dean of the Faculty no later than *October 15* of the year preceding the academic year for which leave is sought. The application must be for a carefully defined project, presented in the context of ongoing research or teaching interests. Prior to application, the colleague must have received the doctoral degree or other appropriate terminal degree.
- 7) Following completion of the leave, the colleague shall submit to the Dean of the Faculty and to the department Chair a written report of the professional work accomplished during the leave. This report must be submitted no later than the end of the first semester of teaching following completion of the leave.

E. 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 Committee of Five (three division Chairs, Chair of Interdisciplinary Programs, and Dean of the Faculty).

Application:

- 1) The proposal, which should include a brief abstract, must state the project to be carried out and its importance to the teaching or scholarship of the applicant.
- 2) The proposal must include a statement of the courses and unit to be taught during the year in which the leave occurs.
- 3) The proposal must be accompanied by a statement from the department Chair which supports the leave and which states in specific terms what departmental curricular adjustments will be made to accommodate the leave. No additional staff is possible for covering any course reduction.
- 4) Six copies of the above statements must be submitted to the Dean of the Faculty no later than *October 15* of the academic year preceding the year in which the course modification may occur.

At the conclusion of the academic year in which the teaching reduction has occurred, recipients must write formal reports which become part of their professional record. The annual maximum number of these projects is fifteen percent of the full-time teaching Faculty.



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 limited number of intramural research and curriculum development grants to faculty each year.

A. THE BATES FACULTY DEVELOPMENT FUND

Beginning in 2000-2001, most faculty research and professional development grant program funds will be pooled to form the Bates Faculty Development Fund. The contributing funds include the former Professional Development Grants, the President's Fund for Faculty and Curricular Development (including the fund for publication of scholarly work and the fund for postdoctoral study), the Kathleen Curry Akers '41 Fund for Sabbatical Leave Support, the McGinty Faculty Research Fund for the Humanities, the Roger C. Schmutz Faculty Research Grants, Special Faculty Development Grants, and the Philip J. Otis Faculty Curricular Development Grants. The purposes of these individual funds are described briefly below.

By pooling available grant funds for administrative purposes, the Office of the Dean of the Faculty aims to streamline both the grant application process for Faculty and the review and allocation process for the Committee of Five. For most sources of funding, only one application is needed. (Phillips Faculty Fellowships, Summer Research Apprenticeships, and all grants funded through the Howard Hughes Medical Institute are administered separately and have different deadlines.)

Application Process. Faculty members must complete an application cover sheet (available in the Office of the Dean of the Faculty and from area coordinators), a two- to three-page proposal narrative, and a detailed project budget. Seven copies of the complete application must be submitted to the Office of the Dean of the Faculty by *December 1* (or the next working day if December 1 falls on a weekend). There are no extensions to this deadline.

Application Cover Sheet. Please complete fully the application cover sheet. A project title and an abstract of not more than 150 words are required. Project start date and end dates are required, and are used to establish and terminate grant accounts. Check all relevant information at the bottom of the cover sheet. Please indicate the total amount of research/curriculum development funding sought.

Narrative. A two- to three-page (maximum) narrative must include a statement describing the project and its importance to the applicant's ongoing scholarship or teaching. Information on research procedures, research venues and travel, technology needs, research travel, should be provided in detail, as applicable. The narrative should also address attempts to secure other sources of funding for the project, and should explain if existing intramural grants awarded to the Faculty member in prior years will be used to cover some expenses. A project timetable should explain how the work will be completed in the time allotted.

Detailed Budget. The proposal must include a detailed budget of all expenses for the project, and a justification. Preference is given to proposals with specific, well justified budgets. Faculty Development Grants support such expenses as:

- Travel (for the faculty member or a designated student or research assistant only) for research, curriculum development, or academic meetings (air and ground travel, lodging, meals, registrations, admissions, etc.)
- Research materials (books, data sets, scores, assessment tests, journals, microforms, electronic resources, etc.)
- Communication (phone, fax, mail, subject/consultant reimbursement, etc.)
- Laboratory research (supplies, instruments, consumables, analytical services and testing)
- Technology (computer software and hardware, digital cameras, video equipment, tape recorders, etc.)
- Supplies and materials for artistic work (visual and performing arts)
- Performance costs (fees for professional actors or musicians, instruments, staging, space rental, etc.)
- Publication costs (typing, editing, graphics, transcriptions, indexing, illustrations, reproduction fees, etc.)
- Tuition/fees for postdoctoral education programs
- Student assistants (research, curriculum development, or editorial assistants)

Grants do NOT normally support

- Faculty salaries or stipends
- Regular living expenses during a leave
- Travel or living expenses for family members
- Personal gear (clothing, medicines, personal items)

Project Timetable. All Bates Faculty Development Fund grants have an application deadline of December 1 (or the next working day if December 1 falls on a weekend). Grants are awarded by the following January 31. In award letters, faculty grantees are informed of the specific faculty development funds(s) used to support their projects. The faculty grantee's fund code is established, funded, and activated according to the start date indicated on the faculty member's application cover sheet.

The project schedule cannot exceed ONE full academic year following the year of application (i.e., approximately 18 months maximum).

Faculty members with temporary appointments are reminded that all internal grant funds must be used during the contract period. Other faculty who retire or otherwise leave the College during the grant period may only access grant funds until the end of the final contract period.

Accessing Grant Funds. The following practices apply to all intramural grant programs, unless otherwise specified. Faculty grantees may access funds only during the period of the grant (i.e., the start and end dates indicated on the application cover sheet). Faculty grantees may access grant funds through (1) reimbursement upon surrender of original receipts by the faculty member to the Office of the Dean of the Faculty; (2) direct payment of invoices, as approved by the faculty member. Grants may not be taken as taxable compensation unless the proposal has been specifically approved with a stipend or living expenses component. Additional information on funding restrictions and award processes is available in the Office of the Dean of the Faculty.

Faculty members who receive grants for their leaves and then do not go on leave will have their grants rescinded.

Final Report. Faculty members are expected to submit to the Office of the Dean of the Faculty a brief final report on the project, with an accounting of expenditures, within 60 days of the end of the grant period as indicated on the application cover sheet. *All future intramural grants are contingent on the submission of this report, without exception.* Any funds remaining at the end of the grant period are returned to the Bates Faculty Development Fund.

Endowments and Programs that Support the Bates Faculty Development Fund:

Professional Development Grants. Supported by the Faculty Professional Leave Support Fund, these grants support specific research and teaching enhancement projects undertaken by faculty during their professional leaves.

The President's Fund for Faculty and Curricular Development. An endowed fund, used at the discretion of the President in counsel with the Committee of Five, for support of faculty and curriculum development. In particular, the fund supports publications of scholarly work and postdoctoral study.

Kathleen Curry Akers '41 Fund for Sabbatical Leave Support. Supports special projects undertaken by faculty members during a sabbatical leave, with preference for year-long projects.

The McGinty Faculty Research Fund. Supports postdoctoral research by faculty in the Division of the Humanities, with preference to projects whose results are intended for publication.

The Roger C. Schmutz Faculty Research Grants. For support of postdoctoral research by members of the Faculty.

Special Faculty Development Grants. Funded by the President, these grants support new areas of research and new approaches to pedagogy, and are designed to foster experimentation, exploration, travel, and collaboration. Preference is given to projects focusing on travel and international experiences, multiple perspectives in teaching or research, and innovation in teaching.

The Philip J. Otis Faculty Curricular Development Grants. Support faculty who wish to introduce into their teaching themes or materials pertaining to natural environments or to human affairs in the context of natural environments, including the revision of courses, the design of new courses, or the conduct of background reading or research that would enhance teaching in these directions. These curricular developments may pertain to courses throughout the curriculum.

B. PHILLIPS FELLOWSHIPS

Funded by the endowment established by Bates's fourth president, Charles F. Phillips, and his wife, Evelyn M. Phillips, the Fellowships award excellence among Bates's scholar-teachers. The Fellowship is designed to provide an opportunity for Faculty members to gain a full year's leave at full pay in order to pursue significant scholarship, explore new research areas, or develop new courses or pedagogical approaches. Fellowship leaves will usually take place at a research venue away from Bates, so that recipients can interact with leading scholars in their fields. The Fellowship includes support for the replacement of the Faculty recipient, as well as travel expenses to research venues.

Faculty may request a leave and also up to \$4,000 for travel to research venues. Two or three Phillips Fellowships are awarded annually.

Tenured members of the Faculty, as well as lecturers who have taught at Bates for at least ten years, are eligible to apply. Proposals that link a Phillips Fellowship leave to a scheduled sabbatical leave are expected. Those not linked to a planned sabbatical leave will be considered; however, receipt of a Phillips Fellowship will re-set the calculation of sabbatical leave eligibility. If a Faculty member receives a Phillips Fellowship, the recipient will next be eligible for a sabbatical leave after six full years of teaching following the Phillips Fellowship year, regardless of the Faculty member's sabbatical schedule before the Phillips Fellowship.

If the recipient of a Phillips Fellowship receives an external grant or fellowship for the same year, the Phillips Fellowship will be adjusted so that the recipient's total salary remuneration does not exceed full salary plus 2/9ths, conforming to existing Faculty guidelines governing extra compensation. The maximum salary does not include the recipient's travel budget.

Application: Six copies of the application must be submitted to the Dean of the Faculty no later than *October 15* of the year preceding the Fellowship. Proposals must include a brief abstract of the proposed research, a current *curriculum vitae*, and a two- to five-page narrative describing: the plan for the leave, the research to be conducted, the research venues where the work will be done and/or the scholars with whom the Faculty member will be interacting, the goals for the leave, and the relevance of the work to the Faculty member's ongoing research or teaching. Faculty requesting travel funds must provide a budget outlining travel expenses. The request must be accompanied by the Faculty applicant's department or program chair's plan of leaves and request for a replacement, so that the request can be evaluated with a full understanding of the needs of the department or program.

Proposals are reviewed by the Committee of Five.

A written report on the Fellowship must be submitted to the Dean of the Faculty by the end of the first semester of teaching following completion of the Fellowship.

C. THE LINCOLN AND GLORIA LADD FACULTY RESEARCH GRANT

An annual fund of \$3,000 is available to support specific research projects of Faculty members through the acquisition of scholarly materials essential to the research but not in the collections of the George and Helen Ladd Library. One or more grants are awarded annually by the Committee of Five.

- 1) Six copies of the application must be submitted no later than *December 1* to the Dean of the Faculty.
- 2) Applications must provide (a) a concise statement of the research project; (b) the timetable for completion of the project; (c) a list of the specific library material needed for the project but not presently in the Library, with cost of each specific item; (d) a statement confirming that the College Librarian has been consulted on the selection of Library material; (e) a brief one-paragraph abstract of the project for distribution to the Faculty.
- 3) Applications may be for any amount of funding up to \$3,000. Applications may be made for a second year of funding.
- 4) Grants are made on the bases of the quality of the research project proposed and of the likelihood that the acquired material

will substantially assist in the completion of the project. Only when different grant applications are judged as having equal merit will consideration be given to the “relevance” of the requested material for an undergraduate library collection.

The recipient of a Ladd Research Grant typically orders the materials him or herself. The grantee has exclusive use of the materials until such time as the research project is completed. At that time, the recipient presents the materials for consideration to the College Librarian. If the material is deemed appropriate for an undergraduate library collection, it is catalogued. If not, the recipient retains the material.

Within two years of the receipt of a Ladd grant, a written report on the accomplishments of the research must be submitted to the Dean of the Faculty.

D. HOWARD HUGHES MEDICAL INSTITUTE GRANTS FOR FACULTY AND STUDENT RESEARCH

Through support from major grants from the Howard Hughes Medical Institute, the College makes funds available to Faculty and Bates students for the pursuit of research in the following fields: biological chemistry; biology; chemistry; environmental studies; geology; mathematics and computer science; neuroscience; and physics and astronomy. Interdisciplinary projects connected to one of the sciences listed above may also be considered. Six to ten Hughes grants are awarded each year. Two types of research opportunities are currently available through this program:

1) Faculty/Student Group 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 \$15,000 (for two students) or \$10,000 (for one student). Faculty/Student Group 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.

2) Individual Student Projects

For an original summer research project designed by a student and supervised by a Faculty member or an outside researcher. The project budget, including student stipend, housing, and supplies, cannot exceed \$4,000.

NOTE: Faculty members should consult grant announcements or contact the Office of the Dean of the Faculty regarding funding opportunities through the Hughes grants.

Application Procedure for Group Projects and Individual Faculty Projects:

1) Applications for Faculty-Student Group Project must be submitted by the Faculty member (project director) to the Dean of the Faculty by *January 15*. Applications should not exceed three pages and must include an abstract and a detailed project budget.

2) The Hughes Council, a committee of science Faculty members, reviews applications and recommends awards and funding levels. In granting awards, preference is given to a) applicants who have not received previous Hughes funding; b) untenured Faculty, or Faculty without other means of research support, independent of rank; c) projects designed as preliminary investigations for major grant proposals.

3) In early February, all first-year students, sophomores, and juniors, regardless of conditions of financial aid, are informed of opportunities to work on those Faculty research projects for which the Faculty member has not already selected a student collaborator. Interested students may apply for a position to the Dean of the Faculty by *March 2*. Upon receipt of an award, each student is required to meet with the Faculty project director to discuss the project, its goals and schedule, before accepting the grant.

More information on the student application process for group and individual projects is available in the Office of the Dean of the Faculty.

Conditions:

1) Faculty members who receive external funds for the same project will usually be required to decline their Hughes award. Likewise, students receiving support from other grants will be ineligible for Hughes funding.

2) Hughes Grants are intended to give students an opportunity to engage in long-term, intensive research. Students are expected to work eight to ten weeks full time during the summer (up to forty hours per week or the equivalent).

3) Because funds are limited and grants are competitive, the Hughes Council may reduce project funding, if the feasibility of the project is not undermined by such a reduction.

4) All recipients of Hughes grants are required to submit written reports on their projects by October 1 following the summer of their research. Faculty reports should include project abstracts, financial accounting, and evaluations of student work, as well as a statement of the relevance of this work to other research goals. Any future grants are contingent upon these reports.

E. 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 a stipend for the student and support to cover room-and-board expenses.

Full-time 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. Normally no more than one grant may be awarded to a single project. These grants are competitive; Faculty members in all academic departments are encouraged to apply.

Application:

1) Faculty members who wish to sponsor a student research apprentice for an eight- to ten-week period during the summer may submit a proposal for such sponsorship to the Dean of the Faculty by *January 15*. The proposal must include an abstract and a statement describing the research goals and methodologies, as well as the specific involvement of the student research apprentice.

2) A committee of Faculty members will review proposals to determine their appropriateness for student participation. Such determination will be based upon the degree of Faculty commitment to providing students with genuine research opportunities, on the degree of enhancement given to the research through student assistance, and on the probable ongoing relevance of research experiences to student college careers.

3) Following the selection of Faculty proposals for funding, all to first-year students, sophomores, and juniors will be informed of those research positions for which the Faculty member has not yet chosen a student collaborator. Interested students may apply to the Dean of the Faculty by *March 2*. Each sponsoring Faculty member will select the student for the award. Students may receive application information through the Office of the Dean of the Faculty.

4) Students awarded Research Apprenticeships must meet with sponsoring Faculty members as soon as they receive notification of their awards. Faculty and students should discuss the scope of the project, the schedule and other details of the work before the student agrees to participate.

Conditions:

1) Students who have Summer Research Apprenticeships are ineligible for funding from other grants.

2) Research Apprenticeships are intended to give students an opportunity to engage in long-term, intensive research. Students are expected to work eight to ten weeks full time during the summer (up to forty hours per week or the equivalent).

3) By October 1 following the summer research, each student participant must submit a written report on her/his accomplishments. Each Faculty sponsor must also submit a one-page written evaluation of the student's work, and comment on the overall success of the project.

F. OTHER STUDENT ASSISTANCE FOR FACULTY RESEARCH

1) Hoffman-Mellon Grants for Summer Research

This fund provides 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 applications are available to students in the Office of the Dean of the Faculty.

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 *April 1*. There are financial charges for such rooming.

G. MATCHING GRANTS

The College makes available funds to match grants from outside sources, if terms of the grants require it. However, no matching funds are available unless application for the outside grant is approved by the Dean of the Faculty prior to its submission. The Office of Development can provide editorial assistance, and final preparation for grant applications to outside funding sources, including online submission.

H. FEDERAL, STATE, AND COLLEGE GRANT ADMINISTRATION

External grants to Faculty members administered through Bates College are subject to reporting requirements. In order for the Faculty member and the Development Office to prepare accurate reports to external agencies, the grant recipient must submit to the Development Office a copy of any grant proposal, a copy of the award letter, revised budgets, and final reports. Assistance with financial management of grants and reporting may be sought from the Development Office or the Office of the Controller.

Each faculty grant received is reviewed to determine the accounting and reporting requirements of the project. Those grants requiring detailed reporting will be assigned separate fund and organization codes against which grant expenses may be charged by the Faculty member. A form, available from the Development Office, must be completed to establish an organization code for a grant OR to transfer funds from an internal funding source (e.g., Hughes Grant) to a Faculty project.

Faculty working under federal or state grants are advised that *all* expenses on federal and state grants must be co-signed by the Controller's Office. All invoices for signing should be sent to the Controller's Office, which will forward them to Accounts Payable for payment.

STIPENDS: Faculty members who receive College or external grant support to conduct research and whose funding includes allowances for faculty stipends are paid through the payroll system administered by the Human Resources Office. A stipend is defined as *taxable* wages or compensation for research or other service to the College.

- 1) When a grant that involves funding for stipends is received, the Faculty member should notify the Dean of the Faculty's Office of the amount of the stipend requested, the schedule of the work, and the fund/organization code to which the stipend should be charged, using a form available in the Office of the Dean of the Faculty. Upon approval, the stipend request will be sent to the Human Resources Office.
- 2) When calculating stipend budgets, Faculty members are reminded that the grant fund/organization is charged the gross stipend request *plus* the College's contribution to FICA-MEDC, which is currently 7.65%, unless otherwise specified on the stipend request form.
- 3) Faculty members receiving summer research stipends may take payment in one- to four-month equal installments (in June, July, August, and September). If stipends are received for work conducted during the academic year, one to four equal payments may also be arranged. Faculty may not take stipends over a twelve-month period.
- 4) Faculty may not receive stipends until research is underway.
- 5) Total supplemental stipends from all research grants, internal and external, will not exceed 2/9 of the Faculty member's full-time salary for the previous year. This is the standard practice in the profession for eight to ten weeks of full-time work in the summer.
- 6) Faculty members who are to receive summer stipend payments — funded by either internal or external support — must make requests to the Dean of the Faculty's Office by *May 15* in order to begin summer stipends in June. Requests for stipends during the academic year must be received by the Dean of the Faculty's Office by the first day of the month in which the stipend is sought.

I. PUBLICATION GRANTS

Modest funds may be available to help defray page costs for articles published in refereed scholarly journals. Application for funding must be made in writing in advance to the Dean of the Faculty, accompanied by a copy of the accepted manuscript. The published article must be submitted with a later annual report.

J. PROFESSIONAL TRAVEL ALLOCATIONS

For attendance at professional meetings each year (except during full-year leaves of absence), the College will reimburse each member of the Faculty up to \$500 to help defray the cost of transportation, room, meals, and registration fees. (The College allows 30 cents a mile for private automobiles.) Such meetings must be appropriate to one's field of scholarship. Reimbursement is made upon receipt of the Bates College Expense Report available in the Office of the Dean of the Faculty, the Accounts Payable Office, and the Financial Office. All expenses in excess of \$25.00 must be accompanied by an original receipt within a week upon return from a conference. Normally, cash advances may not be secured. For purposes of allocating these funds, the academic year is understood to be July 1 through June 30, not September 1 through August 30.

For the convenience of Faculty members, a travel service is available to help with all kinds of travel arrangements, including tickets, hotel reservations, and the like. The Faculty should use this service for any College-related travel. Faculty are encouraged to rent a vehicle when travelling out of state by car or van on behalf of the College.

Travel services provided by Bates may be charged to Faculty personal accounts, which are arranged at the Controller's Office by individual Faculty members. Faculty members will be reimbursed after the completion of the travel for expenses in excess of the travel charged to their personal accounts. Faculty members are responsible for payment of remaining balances on their personal accounts.

Faculty members who are invited to read scholarly papers at regional or national meetings of their academic disciplines are eligible to receive additional reimbursement up to \$500 from the Dean of the Faculty. This request may be for expenses associated with any meeting. If one is an officer or member of a council of a national professional association, one is eligible to receive the additional \$500 toward travel costs. The expense report must indicate the office and the national organization. Application for this stipend must be made in writing *prior* to the paper presentation.

A third \$500 stipend (bringing the maximum travel reimbursement to \$1500) *may* be available for the presentation of a second paper (or professional association representation). Application for this stipend must be made in writing *prior* to the paper presentation. This request is dependent upon the approval of the Dean and is based on the availability of funds.

9/2000



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, "without regard for Faculty rank, in recognition of outstanding performance as a teacher during the previous twelve-month period."

In addition to a \$1,000 stipend (which is subject to taxation and withholding) to the individual, the Award carries with it a \$1,500 discretionary fund for supporting the teaching efforts of the selected person. Possible uses can include acquisition of library materials needed for courses or units, acquisition of computer or audio-visual teaching support, acquisition of laboratory or studio teaching support. Any acquisitions become the property of the College. The Kroepsch Award recipient makes a final report to the Dean of the Faculty on the uses of the \$1,500 fund.

The award is rotated among the academic divisions and made to a member of the division designated each year. The Dean of the Faculty shall be responsible for inviting all students and Faculty to write letters of nomination for the award. These letters must cite in specific ways how the nominated teacher meets the following criteria:

- 1) professional commitment to undergraduate education and to a career of scholarship which informs classroom and laboratory teaching;
- 2) the ability to convey to students the integrity and importance of the subject matters taught and to present the subjects in larger contexts with which students might be familiar;
- 3) evidence of innovation or creativity in design of courses or laboratories or in teaching methods.

Selection shall be made by a committee made up of the three most recent recipients of the award.

9/2000



Part 3: Nondiscrimination and Sexual Harassment

The following grievance procedures were revised in September 2000.

General Policies and Procedures

A. POLICIES

1) Nondiscrimination

Bates values a diverse college community. Moreover, Bates does not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, 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.

To aid the Director of Affirmative Action in this charge, an Advisory Committee on Affirmative Action is appointed annually by the President. It is the members' responsibility to assess continually the status of their respective areas in regard to compliance. Members of the Bates community are encouraged to report instances of alleged discrimination to the Director of Affirmative Action.

2) Bates College Sexual Harassment Policy

Within our academic setting, a state of trust and openness among persons is the necessary condition for intellectual inquiry and hence academic excellence. Associations between faculty, students, and staff must reflect the mutual respect for one another which is essential to the free exchange of ideas. Harassment, including sexual harassment, destroys trust and openness. When any member of the Bates community denigrates another member through unwanted sexual advances or sexual allusions, or through unwarranted references to sexuality or sexual activity, these bonds of trust and openness are broken.

Harassment, including sexual harassment, is especially serious when it involves a relationship of authority within which academic or other rewards may be experienced or perceived as related to the harassment. Among such situations are those relationships between faculty and students or between senior and junior faculty. When the imposition of unwanted sexual attention is accompanied by the promise of academic or employment rewards or reprisals, the harm can be very great. If harassment occurs between persons, one of whom has any kind of supervisory, evaluative, or other authoritative responsibility in regard to the other, it is intimidation and coercive abuse of power.

Sexual harassment is one form of illegal sex discrimination, as defined by Title VII of the Civil Rights Act of 1964, Title IX of the Educational Amendments of 1972, and Section 4572 of the Maine Human Rights Act, and the regulations of both the Equal Employment Opportunity Commission and the Maine Human Rights Commission. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's academic advancement or employment;
- b) submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individuals;
- c) such conduct has the purpose or effect of substantially interfering with an individual's academic or work performance or creating an intimidating, hostile, or offensive working or learning environment.

The state of trust that is so essential to academic work in the College is important to the associations between faculty and students; such trust also is important among non-academic staff and employees. Sexual harassment within these associations

prevents or impairs the harassed person's full enjoyment of occupational or educational benefits and opportunities. It interferes with an individual's work performance and creates an offensive working environment. The employment regulations of the Maine Human Rights Commission give support to the College's policy against harassment and provide legal protection for all employees.

Whereas, it has been and is the policy of Bates College that sexual harassment has no place and will not be tolerated in this College; and whereas, the Federal Equal Employment Opportunity Commission has declared that sexual harassment constitutes illegal discrimination under Title VII of the Civil Rights Act of 1964, the President and Trustees of Bates College restates its policy that sexual harassment not be tolerated and hereby directs the President to see that appropriate steps are taken to communicate that Board's intent, as expressed in this policy to the College's faculty, staff, and students. The President shall advise the faculty, staff, and students that there are in effect adequate grievance procedures to facilitate prompt reporting of specific acts of sexual harassment at Bates, and urge the members of the College to report such acts so that appropriate action may be taken.

Bates College denounces the use of violence directed against any individual or group. We, the College community, regard sexual assault as a violent crime, a particularly heinous form of sexual harassment, whether committed by a stranger or an acquaintance on or off campus. We condemn the commission of sexual assaults and believe persons charged with such offenses should be dealt with promptly and fairly through the courts and our own judicial systems. Moreover, we rededicate ourselves to eradicating hostile settings in which our ability to work, study, live, and learn together is inhibited. Finally, we pledge assistance through the various departments of the College in aiding survivors of assault to determine how best they may regain control over their circumstances.

When offensive conduct against persons, including but not limited to assault, may occur, for which the offender may be charged within the criminal justice system for violating the criminal statutes of the State of Maine, or the United States, victims may also elect to seek redress through the College's disciplinary procedures, as well as through civil action. All members of the community are expected to conform their conduct to the requirements of the law and to the standards of the College community.

As a guide to the community, relevant provisions of the criminal law and descriptive definitions of conduct and consent will be provided in published form to all students, faculty, and staff annually. These provisions and definitions will serve to assist the College community in identifying unacceptable behavior and to provide a basis for consistent interpretation and judgment.

B. PROCEDURES

Procedures for Charges of Discrimination

The exercise of seeking advice and information is entirely voluntary and is not a prerequisite to making a formal complaint either within the College or with the Maine Human Rights Commission. Grievants who choose to file a complaint directly with the Maine Human Rights Commission must do so within 180 days (6 months) of the alleged incident(s) of discrimination. Grievants who seek informal resolution of cases of discrimination may do so in either of the following ways:

a) Voluntary Informal Consultation

There are many channels within the Bates Community available for the informal resolution of incidents of discrimination. The College recommends contact with any campus support personnel who are knowledgeable about the possible avenues of resolution of discrimination claims; when in doubt, the Affirmative Action Office is a reliable, confidential and supportive source of information. Others who may assist in directing inquires in the process include the Health Center staff, the chaplains, immediate supervisors, resident coordinators and junior advisors, members of the faculty, the Office of the Director of Human Resources, the Office of the Deans of Student, and the Office of the Dean of Faculty. Consultations may be brought in full confidentiality; no written record is to be maintained when an informal consultation is made.

If individual action or discussion through informal resolution does not resolve the problem, grievants may, either in the company of a trusted person or alone, talk privately with the Director of Affirmative Action regarding other steps.

b) Complaints

The Director of Affirmative Action is the primary agency to receive all complaints. If students are involved, the individuals may initially elect to discuss a complaint with one of the Deans of Students; a faculty member may initially discuss a complaint with the Dean of Faculty; or a staff member may initially discuss a complaint with the Director of Human Resources. In each case, however, the subsequent step, if not the initial step, should be with the Director of Affirmative Action.

There are two forms of complaints:

1) Informal Complaints

The Director of Affirmative Action may provide suggestions for resolution, help in mediating differences in views, or other channels for resolution involving skills or suggestions of others.

2) Formal Complaints

The grievant may institute formal grievance proceedings whether or not the Director of Affirmative Action can effect a resolution. Grievants can elect to pursue any or all options, including: making a written complaint within the College's procedures, initiating a complaint to an agency outside of the College (e.g., to the Maine Human Rights Commission), if appropriate, pursuing criminal charges within the criminal justice system, or pursuing civil action within the court system. The Director of Affirmative Action will explain the elements of each process. Within the College, a written complaint is needed to initiate formal grievance procedures.

c) College Formal Grievance Procedures

Section I

- (a) Formal grievance procedures shall be available to faculty members, employees, and students of Bates College, except where students are named as accused parties. In such cases, the matter shall be heard by the Committee on Student Conduct. The procedures herein shall not apply to grievances in regard to appointment, reappointment, tenure, or promotion of faculty members as these matters are governed by Article VI of the Personnel Rules and Procedures contained in the Faculty Handbook of Bates College. The procedures herein shall be further limited to cases of improper discrimination, sexual harassment, or sexual assault. Improper discrimination shall be defined as acts in violation of applicable nondiscrimination laws or the nondiscrimination policy which appears in the official publications of Bates College.
- (b) The sole purpose of a hearing under formal grievance procedures is to determine if improper discrimination, sexual harassment, or sexual assault has occurred. A hearing board shall have no authority to invoke sanctions for improper behavior. The report of the hearing board shall be given to the President of the College for any further action.

Section II

- (a) Nothing stated herein shall be construed to prevent several complainants, in the appropriate case, from joining in a single complaint. The word "complainant," as used herein, shall refer to any person who files a complaint or to any group of persons who together file a single complaint. The word "respondent," as used herein, shall refer to any party or parties accused in the same complaint and who will be heard in the same hearing.
- (b) The complainant shall file a formal complaint in writing with the Director of Affirmative Action or the Director of Human Resources. Upon receipt of the complaint, the Director of Affirmative Action or the Director of Human Resources shall immediately inform the respondent in writing and provide the respondent with a copy of the complaint.

- (c) In cases of multiple complainants or multiple respondents, where any individual complainant or respondent claims that his or her complaint or defense would otherwise be compromised, that party may submit a request in writing to the Director of Affirmative Action and the Director of Human Resources for a separate hearing. The Director of Affirmative Action and the Director of Human Resources shall make a decision on such a request prior to submitting a request to the President for a hearing board and shall notify all parties in writing of that decision. In appropriate cases, the Director of Affirmative Action and the Director of Human Resources may require multiple complainants to join in a single complaint.
- (d) The Director of Affirmative Action and the Director of Human Resources together shall determine whether the complaint on its face states facts which, if true, allege a claim of improper discrimination, as defined in applicable nondiscrimination laws or the College's nondiscrimination policy, or of sexual harassment or sexual assault. If so, the matter may proceed to a hearing; if not, the complaint shall be returned to the complainant, and no further action shall be taken unless an amended complaint is filed in accordance with Section II (b).
- (e) The Director of Affirmative Action and the Director of Human Resources shall make their decision whether to refer the complaint to the President with a request to form a hearing board within 7 days of receipt of the complaint, unless circumstances require a longer time, in which event, they shall inform the President and all parties in writing. Once a decision is made to refer the complaint to a hearing board, all parties shall be informed in writing of the action taken.

Section III

- (a) The Director of Affirmative Action and the Director of Human Resources, having concluded that the complaint states a claim under standards contained in Section II (d), shall provide the President of the College with a copy of the complaint and request that the President form a hearing board. At this point, no further amendments to the complaint shall be permitted.
- (b) The complainant and the respondent may each designate two members of the hearing board. The President shall choose two additional members, and a majority of the six members thus chosen shall choose a seventh member to act as chair of the board. Board members shall be selected from the then current faculty or staff of Bates College. The word "staff," as used herein, shall not include student employees. If either the complainant or respondent neglects or refuses to designate members of the hearing board, the President shall choose them. Once the hearing board is established, the President shall give a copy of the complaint to the hearing board and shall inform all parties in writing of the composition of the board.
- (c) A hearing board shall be formed within 7 days from the date on which the Director of Affirmative Action and the Director of Human Resources inform the President of the need for a hearing. If, in exceptional circumstances, more time is necessary to form the hearing board, the President shall inform all parties in writing.

Section IV

- (a) The complainant shall, within 7 days of being notified of the formation of a hearing board, file with that board all documents and other tangible evidence available to the complainant which will be used in the hearing in support of the complaint and a list of all witnesses whom the complainant wishes to testify at the hearing in support of the complaint. Upon receipt, the chair of the hearing board shall make these materials available to the respondent.
- (b) Within 21 days of receipt of such materials, the respondent shall file with the hearing board a written response to the charges made in the complaint, together with all documents and other tangible evidence available to the respondent which will be used in the hearing in support of any defense against the complaint and a list of all witnesses whom the respondent wishes to testify at the hearing in support of any defense against the complaint. Upon receipt, the chair of the hearing board shall make these materials available to the complainant.

- (c) The chair of the hearing board shall notify in writing all witnesses of the need for their testimony at the hearing. It is the responsibility of any member of the Bates College community who has information relevant to an issue before the hearing board to testify at the hearing or to produce documents or other tangible evidence at the request of the chair of the hearing board.
- (d) Failure, without adequate justification, to produce documents or other tangible evidence or to testify at the hearing by anyone requested to do so by the chair of the hearing board shall be reported to the President for any action he or she deems appropriate. In the event that either the complainant or the respondent shall fail, without adequate justification, to produce documents or other tangible evidence or to testify at the hearing when requested to do so by the chair of the hearing board, the hearing board may report to the President that it is unable to make a decision in the matter, and the President may take whatever action he or she deems appropriate.
- (e) After the hearing board has received evidence and witness lists from the parties, it will determine whether any additional documents, other tangible evidence, or testimony may reasonably be necessary to a determination of the facts at issue and may require any such documents or other tangible evidence from the complainant or respondent and may require documents or other tangible evidence or testimony from any third party, within or without Bates College. A determination that further evidence is necessary may be based on a request by the complainant or respondent. Should any additional documents or other tangible evidence be produced, they shall be made available to all parties. All parties shall be informed in writing of any witnesses identified by the hearing board who will testify at the hearing in addition to those already listed in the witness lists of the parties. The chair of the hearing board shall determine the date by which all evidence and all witness lists required by the hearing board shall be presented to the hearing board.
- (f) Once all documents, other tangible evidence, and all witness lists have been made available to all parties, no additions to any witness list, and no additional documents or other tangible evidence shall be considered except by a decision by the chair confirmed by a majority vote of the hearing board.
- (g) A hearing on the complaint shall commence no sooner than 7 nor later than 10 days after all documents, other tangible evidence, and all witness lists have been made available to all parties. The chair of the hearing board shall have the authority to alter these time limits if necessary and shall notify all parties in writing of a decision to do so.

Section V

- (a) The chair of the hearing board, subject only to being overruled by a majority of the board, shall rule on all questions of evidence and procedure and may make such other rules and decisions, not provided for in these procedures, as are necessary to conduct the hearing fairly and expeditiously. This includes decisions on requests from complainants and respondents for separate hearings that arise after the hearing board is formed. Only evidence that a reasonable person would rely on to make judgements in serious matters shall be admitted and be considered by the hearing board in making its findings and conclusions.
- (b) The complainant and respondent may have the assistance of an attorney during the hearing; however, the role of the attorney shall be limited to observing the hearing and offering advice to the party represented. The hearing board may have the assistance of College Counsel.
- (c) The members of the hearing board shall maintain the confidentiality of all aspects of the complaint, response, hearing, evidence, and its deliberations. The hearing shall be private. Only members of the hearing board, parties, attorneys, and witnesses while testifying may be present. The hearing board may exclude all but its members in order to deliberate on its findings and conclusions.
- (d) The board shall allow a reasonable time for opening and closing statements by the complainant and respondent. Each party at the hearing shall have opportunity to pose questions to all witnesses. This shall be done either directly or through the chair, at the discretion of the chair.

- (e) The hearing shall be electronically recorded, except that the private and confidential deliberations of the hearing board shall not be recorded. The President shall have custody of the recording and may, in his or her discretion, have a transcript made of the recording after the completion of the hearing.

Section VI

- (a) The hearing board shall make specific findings of fact. The burden of proof shall be on the complainant, and the board shall make findings and conclusions in regard to the allegations in the complaint only when a majority of the board is convinced that those findings and conclusions are supported by a preponderance of the evidence.
- (b) After reaching its findings and conclusions, the board shall report them in writing, within a reasonable time, to the President of the College, the complainant, and the respondent. The President shall make a brief announcement of the nature of the complaint and the findings of the hearing board to the Bates College community without mention of the names of parties or other participants. The President shall, within his or her discretion, determine what, if any, further action he or she will take in response to the report of the hearing board. The President shall commence any such action within 7 days of delivery of the report unless he or she deems some other period appropriate, in which case, the President shall inform all parties in writing.
- (c) In accordance with Article V, Section 2 of the By-Laws of Bates College, the complainant and respondent may, in appropriate cases, seek indemnification from the College for reasonable attorneys' fees incurred for purposes of the hearing.

Section VII

The existence of these grievance procedures in no way precludes the College from taking immediate action to maintain the safety of the College community or individual members thereof.

9/2001

Part 4: The Bates College Affirmative Action Policy

I. The Office of Affirmative Action

The Office of Affirmative Action exists primarily to implement the College's plans for increasing the racial/ethnic and gender diversity on campus. The Office also assists in the development of personnel policy in effort to assure equality of opportunity. The Office may from time to time become involved in campus issues that affect the atmosphere for women and racial/ethnic minorities. The Office also serves to facilitate communication between Bates and the various off-campus organizations that promote such diversity.

In carrying out the responsibilities stated above, the DAA will have access, when needed, to information or documents designated as confidential by the President and/or Trustees of the College or by law. This information or these documents include the College's administrative and financial records, the College's employee salary and fringe benefit information, employee personnel files, files of the Committees on Personnel and on Personnel for Physical Education, and student files or transcripts in the offices of the Dean of Admissions, the Dean of the College, the Dean of Students, the Registrar and Student Financial Services, and the Office of Career Services.

The DAA's access to confidential material will be in accordance with the following procedures:

1) The request for information will be made in writing to the College officer responsible for the maintenance and security of the confidential material. The request will be for specific material and for a specific purpose directly related to the implementation and oversight of affirmative action policies of the College as stated in this policy. If access involves a request to review evaluations of specific individuals, written permission must be secured from those individuals by the DAA and must accompany the request.

If access involves a review of areas of concern or categories of personnel, the purpose and date of the review by the DAA will be noted in the files.

2) Access to confidential material is under the supervision of the relevant College officer. It is the joint responsibility of the DAA and the officer to assure the continuing confidentiality of the material. Material will be reviewed in the office where it normally is kept, with no duplication of files or other confidential information permitted.

II. The Affirmative Action Advisory Committee

The Affirmative Action Advisory Committee (AAAC) exists to provide advice to the DAA. Specifically, the AAAC identifies obstacles and barriers to equity of opportunity and rewards at Bates and makes recommendations to the DAA on methods to remove these barriers and obstacles. Additionally, the AAAC seeks to educate the campus in regards to the principles of affirmative action and equal opportunity. The AAAC also evaluates and makes regular reports on the implementation of affirmative action policy. The Affirmative Action Advisory Committee is not empowered by the College or its officers to deal with specific complaints or grievances from individuals or from groups of individuals.

Members of the AAAC are appointed by the President for three-year terms. Each area of the College covered by the Affirmative Action Policy will have opportunity to nominate representatives to the AAAC. Areas of the College covered by the Affirmative Action Policy include: the Library, Admissions, Dining Services, Administrative Support Staff, the Administration, Faculty, and the Physical Plant. While students are not usually covered by the Affirmative Action Policy, students may nominate two representatives for the AAAC. Additionally, two at-large representatives will be nominated by current members of the AAAC. From this list of nominations, the current AAAC will make recommendations to the President, who has final responsibility for the appointment of members to the AAAC. The AAAC will in making its recommendations to the President consider the racial/ethnic and gender diversity of the campus.

III. Community Input

A. Any member of the Bates Community may bring an affirmative action concern to the attention of the AAAC by submitting a written statement to the DAA.

B. Any member of the AAAC may bring an area of affirmative action concern to the attention of the full Committee.

IV. Policies

Wherever reference is herein made to policies, practices, manuals, rules, regulations, or the like, the reference will be deemed to denote such elements as may at the relevant time be in effect, and no such references will be deemed to preclude changes, replacements, etc., in such elements in effect as of the date of this document.

V. General Affirmative Action Principles Governing the Operating Procedures at Bates College

A. EMPLOYEES (DEPARTMENTAL STAFFING)

1) Goals

The general affirmative action goal in recruitment and appointment of the College's Faculty and Staff will be to hire women and minority candidates in substantially the proportion they are available in the relevant applicant pools.

2) Procedures

- a) The present situation will be analyzed in each Department of the College by the DAA.
- b) In areas where the substantially appropriate proportions are not found to exist, an effort will be made to attract and give preference to those underrepresented candidates who are substantially equally qualified.

3) General Search Procedures

- a) A job description will be developed for each open or new position.
- b) Each open or new position will be publicly announced in a manner appropriate to contact the relevant applicant pool.
- c) Each open or new position will be posted at points (to be listed when determined) in the College designated for such purpose, and generally known to employees, and in appropriate College publications.
- d) Each advertisement will state: "Bates College values a diverse college community and seeks to assure equal opportunity through a continuing and effective affirmative action program."
- e) Each search will begin on (specified date) and remain open until filled. If the pool of candidates is considered to be unacceptable by the Search Committee for affirmative action reasons or other reasons, the search may be readvertised with the inclusion of a limited period of time for response.
- f) Each department and/or recruitment committee Chair will keep full records of searches made for candidates, inquiries, and applications received, correspondence exchanged, credentials examined, interviews held, and actions taken, as evidence of a good faith effort to recruit women and minority persons.
- g) For each search, an Affirmative Action Search Report form will be completed and given to the DAA within two weeks after the search is complete. It should minimally include a description of the efforts to find and consider women and minority candidates for the position, and, if such applicant was not selected, a statement of the reasons.
- h) Appointments will be made according to the following policy:
 - 1) The most qualified person, as judged by the required qualifications and the stated criteria for selection, shall receive the appointment.
 - 2) If the search committee considers more than one person as substantially equally qualified, the College's commitment to affirmative action should be a determining factor.

4) Termination

- a) Except in the case of termination for cause, an employee should be given warning that he or she is failing to perform the responsibilities of the position to which he or she is appointed, and given a genuine opportunity to improve.
- b) Each decision to terminate or not to reappoint should be communicated to the DAA and may be subject to discussion to confirm that affirmative action principles have not been violated.
- c) The DAA will keep data on the race and sex of terminated employees and should conduct an exit interview with employees leaving the College because of termination or nonreappointment in order to determine if any grievance or

corrective procedure should be recommended by the DAA. A *particular* grievance can not be brought against the will of the aggrieved party, although the DAA may consider more general corrective procedures.

5) Salary and Benefits

- a) Under the supervision of the President or his/her designate, the DAA will analyze each department for possible discriminatory practices, including then-current criteria for salary differentials, with consideration of starting, average, and current salaries, rate of progress, salary increment based on age, position, years of service, and market position.
- b) The relative market position of qualified women and minorities may be considered as relevant to compensation as are other factors affecting supply and demand.
- c) Analysis should include evaluation of benefits, and any employment regulations which might have an adverse effect on salary or benefit equity. If any areas of discrepancy are identified which result in discrimination, the DAA or the AAAC will consider and recommend appropriate actions.

6) Evaluation and Professional Development

- a) The College recognizes that an integral part of its commitment to eliminate discrimination and assure equal opportunity in employment must be the initiation and continuation of opportunities which will enhance the professional growth of its employees.
- b) Each division of the Bates work force will have specific policies pertaining to promotion, transfer, evaluation, educational fringe benefits, and termination, which are generally known and publicized to all members of that constituency.

7) Dissemination of Information

- a) All members of the Bates community are encouraged to channel through the DAA or AAAC any information or research relevant to affirmative action goals and procedures.
- b) All employees involved in recruitment and hiring procedures, in particular, will be advised of the existence of the above informational material and its location.
- c) A separate file of general material on this subject, including the College's equal opportunity/affirmative action policy and the grievance procedures, will be located at the Library.

VI. Specific Areas of Concern Involving Employees

A. FACULTY

1) Composition and Recruitment

a) Goals

In order to achieve the goal of hiring women and minority persons in each academic department in the proportion that women and minorities are available in national applicant pools, the College will:

- 1) Periodically seek statistics on the availability of women and minorities in each discipline, and analyze each department in respect to these figures.
- 2) Establish departmental goals which reflect the percentage of women and minority persons who have received the Ph.D. or equivalent credential in the relevant field during the past three years.

b) Procedures

- 1) Detailed recruitment procedures will be reviewed and revised on an ongoing basis.
- 2) Each tenure track position will be nationally advertised in appropriate professional journals and among women's and minority professional groups.
- 3) Each department Chair and/or recruitment committee Chair will keep full records of the searches made for candidates, and complete an Affirmative Action Search Report form for use by the Dean of the Faculty and the DAA.
- 4) Each offer of appointment will be documented in writing.

2) Reappointment, Tenure, and Promotion

- a) Decisions on reappointment, tenure, and promotion will be made in accordance with rules and procedures set forth in the *Faculty Handbook*.
- b) These rules and procedures should be reviewed annually by the DAA with any concerns reported to the President and to the Dean of Faculty.
- c) Evidence that women or minority group members stay at one academic rank longer than majority group members will be cause for a thorough analysis by the DAA.

3) Termination

- a) A decision not to reappoint a Faculty member should be communicated to the DAA and may be discussed among the Dean of the Faculty, the departmental Chair, and the DAA to confirm that affirmative action principles have not been violated.
- b) The DAA should conduct an exit interview with any Faculty member leaving the College.

4) Salary and Benefits

- a) The DAA should analyze the College and each academic department for possible discriminatory practices.
- b) Accepted procedures for analysis such as those outlined in Elizabeth L. Scott's *Higher Education Salary Evaluation Kit* (Washington, DC: AAUP) should be used.

5) Professional development policies are described in detail in the current *Faculty Handbook* and the Employee Handbook, subject to periodic revision. These policies should reflect ongoing recommendations of the DAA and the AAAC.

B. LIBRARY

1) Search and Appointments for Paraprofessional and Professional Positions (Excluding the Librarian)

a) General Preliminary Procedure

- 1) Appointments to the staff of the Library shall be made on the basis of an equal opportunity and affirmative action search. A search shall be conducted for any new position not previously staffed and for any vacant position.
- 2) This procedure does not limit the Library's ability to reorganize its positions and reassign its staff to meet the current and future needs of the College. Nothing in these procedures rules out the possibility of internal advancement when appropriate.
- 3) The Librarian will consult with members of the Library staff as appropriate. The Librarian will announce the opening to the Library staff and post it on the staff bulletin board before it is generally announced.
- 4) In case of an acting appointment or a temporary position, the Librarian and the head of the unit in which the opening exists, in consultation with the Library Personnel Committee, will determine appropriate search procedures in accordance with affirmative action goals, the circumstances of the position, and College policy.

b) Search Committee: Composition

1) Paraprofessional Position

In the case of a new or ongoing paraprofessional position, the unit in which the vacancy exists will serve as the Search Committee. The unit head will serve as the Chair of the Search Committee. The unit head in consultation with the Librarian may include additional members as needed.

2) Professional Position

In the case of a new or ongoing professional position, a five-member committee will conduct the search.

- a) The Librarian and the staff member who supervises the vacant position will serve *ex officio*.
- b) The Librarian will appoint the remaining committee members within two weeks of the announcement of the opening. The committee will be selected to include persons who bring to the search knowledge of the position, perspectives on the work, or the College's intent to promote diversity.

- 1) Any staff member applying for the position cannot serve on the Search Committee.
- 2) At least one professional and one paraprofessional will be named to the committee.
- 3) The committee may include members from outside the Library staff.

c) The staff member who supervises the vacant position is Chair of the Search Committee.

c) General Search Procedure

Before considering any application, the Search Committee will meet to discuss the job description and qualifications for applicants. The Search Committee will be responsible for carrying out the search according to acceptable guidelines for equal opportunity access and for affirmative action. Should a vacancy occur on the Search Committee, the Librarian will appoint a replacement.

- 1) A paraprofessional opening will be posted in the College and advertised in suitable local publications and other sources.
- 2) A professional opening will be posted in the College and advertised in suitable professional journals and national publications.
- 3) The Search Committee will be responsible for selecting final candidates to be interviewed and will conduct the interviews.

d) Recommendations

1) Paraprofessional Position

For a paraprofessional opening, after all interviews with the Librarian, the Search Committee, and other staff members have been completed, the Chair will give the committee's recommendation to the Librarian.

2) Professional Position

For a professional opening, the Search Committee will gather reactions and comments in writing from individuals or groups involved in the search, and the Chair will give the committee's recommendation to the Librarian.

3) The Librarian will then give a recommendation to the Dean of the Faculty. Prior to making his recommendations, the Librarian will seek assurance from the Director of Affirmative Action that the search and selection process conformed to the College's affirmative action program.

4) The final decision to appoint a candidate rests with the President or the President's designate.

5) If none of the final candidates is hired, the Librarian will meet with the Search Committee to determine further action.

2) Evaluation

At regular intervals, staff members, working with their supervisors, will prepare written assessments of their work in relation to goals and plans of the Library and College. This will include revision of current job descriptions, as described in the Library Personnel Handbook and as approved, from time to time, by the Dean of Faculty.

3) Termination

a) All professional/administrative staff appointments serve at the pleasure of the President, who therefore has the right to terminate the appointment personally or through his/her designate.

b) The President should normally consult with the DAA to assure that affirmative action guidelines have been observed in dealing with the employees.

c) The DAA should conduct an exit interview with any administrative staff member leaving the College.

4) Staff professional development opportunities are described in detail in the current Library Personnel Policies and Procedures Manual and in the Employee Handbook, subject to periodic revision.

C. ADMINISTRATIVE STAFF

1) Staff Recruitment

a) An equal opportunity/affirmative action search will be conducted for any new position not previously staffed and for any existing position which becomes vacant. It is to be understood that nothing in these procedures rules out the possibility of internal advancement when appropriate.

b) Acting Appointments

- 1) The President may make an acting appointment if the time and circumstances warrant it.
- 2) When an acting appointment is made (for reasons other than leaves of absence), the search will be initiated within six months.
- 3) The acting appointee may be a candidate for the position.
- 4) No acting appointee who is a candidate for permanent appointment will be a member of the search committee charged with selecting a candidate to fill his/her acting position.

c) Search Procedure

- 1) The President, in consultation with the appropriate administrative or Faculty personnel and the DAA, will appoint a Committee of not fewer than three persons.
- 2) The Search Committee will be responsible for carrying out the search according to acceptable guidelines for equal opportunity access and affirmative action.
- 3) The opening will be advertised through the Human Resources Office in suitable professional journals and national publications, as well as locally.
- 4) The Committee will be responsible for selecting final candidates to be interviewed, and may ask other members of the College community to participate in the interviews.
- 5) The Committee will make final recommendations to the President.
- 6) All appointments to the professional/administrative staff are made by the President or his/her designate and serve at the pleasure of the President. Prior to making the appointment, the President should normally consult with the DAA to ensure that the search and selection process conformed to the College's affirmative action program.

2) Promotion and Evaluation

- a) The College should encourage nonteaching staff to broaden their skills so that they may qualify for positions of greater responsibility, and to seek satisfying work opportunities on the basis of promotions and lateral transfers.
- b) Supervisors should discuss job performance with each employee at least annually.

3) Termination

- a) All professional/administrative staff appointments serve at the pleasure of the President, who therefore has the right to terminate the appointment personally or through his/her designate.
- b) The President should normally consult with the DAA to assure that affirmative action guidelines have been observed in dealings with the employees.
- c) The DAA should conduct an exit interview with any administrative staff member leaving the College.

4) Professional development opportunities are described in detail in the current Employee Handbook, subject to periodic revision.

D. ADMINISTRATIVE SUPPORT STAFF, PHYSICAL PLANT, AND DINING SERVICES DEPARTMENT

1) Composition and Recruitment

a) The department supervisor and the Director of Human Resources will be responsible for making and documenting efforts to meet the College's affirmative action goals.

b) Job Descriptions

1) Written job descriptions will contain specific criteria and skills for each employment category.

2) Written job descriptions will include the qualities and capacities which are pertinent to the position.

c) Recruitment Procedures

1) A search will be coordinated by the Human Resources Office and the department supervisor.

2) The department head forms a Search Committee consisting of at least three employees and gives their name to the Human Resources Office. The Human Resources Office provides interview guides for members of the Search Committee.

3) Current employees should be given consideration for promotion or transfer by posting the job advertisement on College bulletin boards generally known to be for this purpose, at the same time as the position is advertised publicly, and by publishing notification in the employee newsletter.

4) The College may contact employment agencies and other sources to attract applicants, as well as placing advertisements in the media.

5) The Human Resources Office will maintain a file of all completed applications and their disposition according to the advice of the DAA.

6) The departmental Search Committee will make recommendations to the department supervisor.

7) The department supervisor will make the final selection.

2) Evaluation

a) To regularize employee/supervisor interchange, the College will develop a formal system of evaluation.

b) In addition to ongoing informal evaluation, the first formal review should take place after one month of employment, the second within a six-month orientation period, and thereafter annually at a stated time prior to salary recommendation.

c) The evaluation form should provide for written individual observations under suggested categories, and notes on corrections or comments made during the interview.

d) The form should be signed by both participants and retained in the employee's personnel folder.

3) Termination

a) If a supervisor is considering termination for reasons other than for cause, the employee should be interviewed and warned in writing at least once before the termination interview.

b) Both parties to the interview should read and sign the warning statement and a copy should be sent to the Human Resources Office to be retained in accordance with current legal requirements.

c) No one will be terminated, other than for cause, without prior notification to the Director of Human Resources.

d) If there is any question of possible discrimination, the DAA will conduct a consultation and exit interview.

4) Professional Development

a) The College encourages professional development of its staff with its educational benefit package, which is described in detail in the current Employee Handbook, subject to periodic revision.

b) Supervisors have the responsibility to inform their employees about the Human Resources Office's assistance in providing information about continuing and adult education courses, as well as the responsibility to inform the Human Resources Office about appropriate courses which come to their attention and which might benefit their employees.

VII. Specific Areas of Concern Involving Students

The College's relations with its students are not normally governed by the College's Affirmative Action Policy, which is part of the College's policy for all Faculty and other employees. It would thus apply to students when they are employees of the College. The principles behind affirmative action, however, apply to many of the College's ongoing relationships with its students, and the various departments and Faculty committees dealing with students should be fully aware of underlying policies of the College which deal with students or which have an impact on the quality of student life at Bates. Some of the specific areas of concern involving students are:

- 1) The general affirmative action goal in recruitment and acceptance of Bates students will be to secure, retain, and educate qualified women and minority students in the proportion they are available in the relevant applicant pools. The current composition of the student body should continue to be analyzed with special attention to race and sex as they pertain to matriculation, achievement, and departmental distribution. Where proportions appear to be out of balance, an effort should be made to determine the reasons for these imbalances and, if possible, to take corrective action.
- 2) The College recognizes that a critical enhancement to the present and future recruitment, retention, and development of excellent students is the presence of women and minority persons as role models in positions of high achievement in the College community.
- 3) The College recognizes that student diversity benefits all members of the College community, and believes that positive steps should be taken to recruit minorities, in particular, and to develop support systems crucial to the success of minority and women students at Bates.
- 4) The College will continue to make every effort to ensure that women, men, and minorities continue to be represented on the Admissions Staff.
- 5) The College will continue to explore and implement means of actively recruiting minority candidates for admissions.
- 6) The Admissions Office will continue to give consideration to relevant criteria other than standardized measurements of ability in assessing the potential of applicants, particularly in the case of minority students.
- 7) The College will encourage the various other components of the College community, including Faculty and Alumni, to participate in minority student recruitment.
- 8) The presence of minority members of the Faculty is recognized as essential to the success of Admissions Office efforts in minority recruitment.
- 9) Financial Aid
 - a) All financial aid at Bates College is awarded on the basis of financial need.
 - b) The College will continue to try to develop new sources of scholarship funding.
 - c) Minority students should be encouraged to apply for admission, regardless of financial circumstances.
- 10) Academic Support
 - a) The existing program between the Office of the Dean of Students and the Admissions Office, which identifies students who may need special academic support, should be continued and refined.
 - b) Support may include the following methods, as well as others yet to be developed:
 - 1) assistance in improving study skills and habits
 - 2) tutorial assistance by upper-class students
 - 3) extra attention by Faculty members
 - 4) when possible, special care in assigning Faculty Advisors who are sensitive to the concerns of affirmative action.

11) Career Development

a) The College will continue its policy to prohibit discrimination on the basis of race and/or gender in the recruitment and employment of its students by the following methods, as well as others yet to be developed:

1) The Office of Career Services (OCS) will apprise all recruiters of this policy who seek to employ through its auspices.

2) The OCS will encourage organizations to send women and minority recruitment officers.

b) The OCS will continue to monitor and inform students of special minority and women's recruitment opportunities in employment and in graduate schools.

c) The OCS should sponsor programs which alert the student body and the business community to the issues of affirmative action.

12) Student Activities

a) The College will adhere to its tradition of openness by continuing to require that its social and extracurricular organizations be open to all students without regard to race/ethnicity, color, creed, sex, religion, or national origin, sexual orientation, disability, marital/parental status.

b) Before being allowed to use the name of Bates, use College facilities, or qualify for institutional financial support, a student organization must commit itself to the above goals by a statement in its constitution.

c) No student organization which evinces and persists in discriminatory practices will be funded or recognized by the College.

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Part 5: Instruction

Faculty Teaching Load

Departments of the Faculty may design their curricula on the basis of a 5-course teaching load for the fall and winter semesters (3-2 or 2-3), and one Short Term unit. Faculty members offer Short Term units two out of every three years.

Within this general teaching load, the following additional policies are in effect:

- 1) Department and program Chairs may elect to receive one course or course equivalent credit (not unit credit) per year for their administrative responsibilities. This credit may be taken only during the semester when the Chair has 3 courses.
- 2) Members of the Faculty taking a one-half year leave of any kind must teach the heavier semester of the 3-2 or 2-3 year.
- 3) Part-time Faculty who teach full-time for one semester only (not counting Short Terms) must teach 3 courses during that semester.
- 4) "Course equivalent" credit may be given for thesis supervision, but not for 360 tutorials. (Unit credit may not be given for s50 supervision.) Any department which proposes to have course credit for thesis supervision as a regular, ongoing pattern must have written approval of the same from the Dean of the Faculty.
- 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) Teaching credit cannot be carried over to another year.

The Faculty Advisory System

As a part of regular teaching duties, all Faculty members are serving as academic advisors to students. In addition to serving as major field advisors, Faculty are assigned to first- and second-year students. Every effort is made to distribute the advising function equitably throughout the Faculty, and normally Faculty are assigned a New Student Center only in alternate years.

The advisor's principal official task is consultation with the student concerning curricular choices at the time of registration for the following term, discussion of petitions to the Committee on Academic Standing requesting exceptions to Faculty regulations, and advising the student wishing to make changes in registration. When an advising session occurs, it does not necessarily indicate that the advisor agrees with the action a student may take. In the event that the advisor strongly opposes a choice made by the student, a further consultation by the student with the Dean of Students or an Associate Dean of Students should take place, in conjunction with the advisor. The student is encouraged to discuss academic problems and the development of curricular programs with the advisor at any time. Faculty members are expected to post their office hours for their advisees.

Academic information on the student is supplied by the Registrar's Office to the advisor periodically and at the advisor's request. 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). All faculty should be familiar with basic FERPA regulations and should contact the Registrar with any questions. FERPA regulations are described in detail in the College catalog.

Faculty members are assigned advisory functions by the Dean of Students.

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Class Procedures

NEW COURSE PROPOSALS. Faculty members may propose courses to be added to the curriculum by

- 1) obtaining the department or program Chair's permission on the course proposal form (available in the Office of the Registrar and Student Financial Services);
- 2) obtaining a course number from the Registrar, who will present the proposal to the Committee on Curriculum and Calendar for approval.

Approved courses are reported to the Faculty each semester. New course proposals should be submitted early in the semester preceding the semester in which the course is to be taught. Unless it is absolutely necessary, Faculty members are discouraged from limiting course enrollment.

REGISTRATION ADJUSTMENT PERIODS.

- 1) Students may add courses during the first ten class days of the semester. Courses may be dropped until the end of the seventh full week of the semester. Exceptions to this adjustment period may be granted for serious illness or personal emergency by the Dean of Students or the Associate Deans of Students.
- 2) During the Short Term courses 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 or the Associate Deans of Students.
- 3) Petitions for exceptions to registration adjustment deadlines on grounds other than illness or emergency must be addressed to the Committee on Academic Standing; a fee may be applied.
- 4) Withdrawals from courses and units during the registration adjustment periods are not recorded on the students' transcripts, however late withdrawals are recorded.

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 area coordinator as soon as possible so that students may be advised of the cancellation. If the area coordinator cannot be reached, the instructor should contact the department or program chair or another colleague so that he or she may inform students of the cancellation. In cases of cancellations due to campus emergencies, the instructor should consult the Emergency Procedures (7.13, revised).

SCHEDULING. The scheduling of all courses is done 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. The following policies apply regarding the scheduling of courses:

- 1) The Committee on Curriculum and Calendar shall continue to approve schedules 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 members. The equitable assignment of instructors to unpopular class hours is likewise the responsibility of the departments and programs.
- 4) The Committee will request the Registrar to solicit course information from each department or programs, including course numbers, and the preferred time for each class to be given. Departments should disperse classes throughout the entire range of class hours and, unless specifically granted exceptions by the Committee, should observe guidelines specified by the Committee.

Room assignments are made by the Registrar. *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. Tuesday and Thursday classes may be scheduled from 7:30 to 10:30 p.m. Faculty and staff are strongly encouraged to avoid scheduling evening events on Tuesday and Thursday. All-campus time is from 12:05 to 1:00 p.m. every Tuesday when classes are in session. No classes should be scheduled at this time. Requests for changes in class meeting times are discouraged after pre-registration and require approval of the Committee on Curriculum and Calendar. For information on the new calendar, please consult with the department/program Chair or the Registrar, or review the new class meeting grid on the World Wide Web site of the Registrar [<http://www.bates.edu/admin/office/reg/pro.htm>]

The Registrar should be informed of the meeting times for a course listed in the schedules as "to be arranged" (TBA) by the end of the second week of the academic term.

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.

ATTENDANCE SYSTEM. Class lists are available from the on-line system or by request from the Registrar. Only after a name has been officially added to class lists should a student be considered properly registered in a course or unit. 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. Students who have neglected to drop a course will receive an "F" grade.

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 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 who are reported to the Registrar as absent the first class meeting of a semester or Short Term without prior approval of the instructor, or excused by a Dean, are dropped from the course or unit.

FIELD TRIPS. Whenever class trips entail absences from other classes, the instructor must secure advance approval from his/her department 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. Students may not be asked to go on field trips if they involve absences from classes in which examinations are scheduled.

COURSE ASSIGNMENTS. Instructors should make clear to the students at the beginning of each course not only the general intent and scope of the course, but insofar as possible, the structure of the assignments, the number, timing, and weighing of the examinations, and any term paper obligations. *A written syllabus for each course is expected.* Copies of the syllabus should be sent to the department Chair.

Faculty should make every effort to provide an evaluation to a student of his or her work in a course or unit *before* the last day to drop a course in a semester or Short Term.

OPTIONAL READING PERIOD. The last week of classes in each semester may be used as an optional reading period by instructors who deem it academically desirable. The reading period option may only be exercised in courses for which a final examination is to be given during the final examination period. The dates for the reading periods are included each year in the calendar reported to the Faculty by the Committee on Curriculum and Calendar.

SHORT TERMS. According to Faculty legislation, students can register for no more than three Short Term units. Only two units are required to fulfill the degree requirement, unless the student graduates under the three-year program, when three units are required.

Students wishing to register for their third Short Term unit 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 units requiring written permission of the instructor.

Examinations

IN-TERM EXAMINATIONS. Student learning is more probable in courses where there are multiple forms of evaluation. At least one week's notice should be given to students of an hour written examination, 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, including the optional reading period. 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 vacation for which all students leave campus.

No in-class examinations shall be conducted on either Rosh Hashana or Yom Kippur. The Dean of Students shall be responsible for reminding all Faculty members, prior to the beginning of each fall semester, of this legislation and of the dates on which these holidays fall.

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. *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 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.

Final examinations are regularly scheduled as two-hour written exercises. Variant forms of examination or waiver of the examination in course may be determined by the instructor, in consultation with the department Chair. The Chair must inform the Registrar, at the time registration information is submitted, whether or not there are any variant forms of final examination (e.g., oral or take-home) or any waivers of final examinations in the department's course offerings. This information is to be included in the registration material going to the students. After registration, any change must be presented by the department to the Committee on Curriculum and Calendar for approval. Such request for a change must be submitted to the Committee not later than the end of the registration adjustment period for the courses.

All student absences from scheduled final examinations are to be reported promptly to the Registrar and to the Dean of Students, who may arrange with the instructor for a make-up examination, unless the examination is specifically waived by the Committee on Academic Standing. Unless the examination is made up or waived as stated, absence from the final examination is to be counted as failure in the course. Final examinations will not be administered in the Health Center.

Graded final examinations are normally not returned to the students, but should be retained by the Faculty member for at least several weeks into the following term, so that a student may discuss the examination paper with the instructor.

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The Grading System

GRADES USED. Grades in completed 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 W = 0

A = 4.0 B = 3.0 C = 2.0 D = 1.0 DEF = 0 P = 0

A- = 3.7 B- = 2.7 C- = 1.7 D- = 0.7 ON = 0

A grade of “ON” is used to indicate that a student’s academic work is ongoing into the next semester and that a final grade will be determined at the end of that semester (as in senior thesis courses).

Students are expected to complete all work for a course by its terminal date. An incomplete grade will not be accepted by the Registrar, unless the Academic Standing Committee, the Dean of Students, or an Associate Dean of Students 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, a 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 “F.”

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 “W” is used to indicate that a student was required to withdraw from a course due to extenuating circumstances, or after the legislated drop date.

PASS/FAIL GRADING. Students may elect to take a total of two Bates courses (but not Short Term units) 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 paragraphs for each department’s and program’s courses and units 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.

OPTIONAL SHORT TERM UNIT GRADES. An instructor must indicate “letter grade” or “satisfactory/unsatisfactory” grade for a Short Term unit when submitting registration materials. This applies to all students registered for the unit.

DEFICIENCY REPORTS. All Faculty are requested by the Office of the Dean of Students at least once a semester to report any student whose academic work to date falls below C-. In addition, however, 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. *Grades in a course are due in the Office of the Registrar and Student Financial Services no later than 4 p.m. four calendar days from the time of the final examination, or four calendar days after classes end for courses with no final examination scheduled.* Grades may be submitted electronically using the NoLine OnLine Student Records Service. In some cases, especially for seniors in their final semester, honors candidates, and students on academic probation, the Registrar may demand the grades earlier. At the same time, if a Faculty member has two or three large section examinations

on the same day or some other special circumstance which makes it impossible to comply with the above timetable, the Registrar should be notified *in advance* of the final examination.

It is imperative that final grades be submitted on time. Until all grades are submitted, students cannot be informed of any academic deficiencies, and students may lose employment or educational opportunities that require current transcripts. Failure to submit grades to the Registrar by the deadline is a failure to meet the responsibilities called for by contract.

REPORTING GRADES TO STUDENTS. Semester grades are officially reported to students only through the NoLine OnLine Student Records Service, which students access through the World Wide Web. Faculty members may unofficially report semester grades to students, but not before 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 students are required to complete an evaluation of each course taken. Students may not access their grades online until this requirement has been fulfilled.

CHANGING A FINAL GRADE. Course grades, after they have been submitted to the Registrar, may be changed only on professorial petition 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.

9/2001

The Junior Year and Junior Semester Abroad Programs

The purposes of studying abroad, the eligibility requirements, and the Off-Campus Study Registration and selection process are stated in the College *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 the Dean of Students.

ACADEMIC CREDIT FOR JUNIOR YEAR PROGRAMS. Work done under JYA or JSA status is awarded 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 unit credit. Students who complete the equivalent of a Bates semester off campus (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 Chair, in consultation with the returned student, determines what courses taken abroad may be applied to the department's major program, possibly exempting the student from certain requirements. It is thus very important that the student, before going abroad, consult with the department Chair and establish what must be done during JYA or JSA in order to satisfy all major requirements for graduation.

9/2000

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 Hashana, 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, all classes on Martin Luther King Jr. Day are cancelled.

9/2000

Part 6: Information and Library Services

The George and Helen Ladd Library

Library services are provided in the George and Helen Ladd Library, which serves 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.

Hours

During the fall and winter semesters, the hours of Ladd Library are as follows:

BUILDING, STACKS, CIRCULATION, RESERVES, AND AUDIO

Monday - Thursday: 7:30 a.m. - 1:00 a.m.

Friday: 7:30 a.m. - 10:00 p.m.

Saturday: 10:00 a.m. - 10:00 p.m.

Sunday: 10:00 a.m. - 1:00 a.m.

REFERENCE

Monday - Thursday: 8:00 a.m. - 5:00 p.m. and 6:30 p.m. - 10:00 p.m.

Friday: 8:00 a.m. - 5:00 p.m.

Saturday: 1:00 p.m. - 5:00 p.m.

Sunday: 1:00 p.m. - 5:00 p.m. and 6:00 p.m. - 10:00 p.m.

SPECIAL COLLECTIONS

Monday - Friday: 9:00 a.m. - 5:00 p.m.

Wednesday: 7:00 p.m. - 9:00 p.m.

SHORT TERM HOURS

Monday - Thursday: 8:00 a.m. - 10:00 p.m.

Friday: 8:00 a.m. - 8:00 p.m.

Saturday: noon - 8:00 p.m.

Sunday: noon - 10:00 p.m.

During recesses and summer vacation, the Library is open 9:00 a.m. - 5:00 p.m., Monday - Friday; closed Saturday and Sunday, except when otherwise announced.

Collection

The Library's collection is designed primarily for undergraduate research but Faculty members may procure materials not in the collection through the nationwide interlibrary loan network. Currently, the Library holds more than 525,000 volumes of print material, 70,000 pieces of microform, 27,000 items of recorded material, and access to hundreds of resources on-line. These resources are augmented by the collections of Colby and Bowdoin Colleges; the combined library holdings exceed 2,000,000 volumes. Faculty members should consider the Colby and Bowdoin collections as part of the resources available for their research.

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On-Line Services

ON-LINE CATALOG. The central point for information about library holdings is the On-Line Public Access Catalog (OPAC), which can be consulted at terminals located throughout the Library, and on almost any personal computer via the campus network. The system also provides access to the catalogs of Bowdoin, Colby, and other libraries, and information about the periodical holdings of libraries in Maine (MULS).

OTHER ON-LINE SERVICES AND ELECTRONIC RESOURCES. Through the Internet, a user may access library catalogs, full-text resources, guides to academic World Wide Web sites, and much more. The Library also subscribes to many general and subject-related services that are made available through the campus network. The reference librarians are happy to assist Faculty members in accessing all on-line databases.

Reference and Instructional Services

In addition to individual reference consultation, reference librarians and other information professionals can provide instruction on the use of computing and information resources for groups of students in the Library's electronic classroom. Faculty members are encouraged to take advantage of this service so as to provide their students with improved skills in utilizing the Library's wealth of information, the growing array of resources available elsewhere, and the computing skills that are now essential to scholarship.

Circulation

There is no set limit for the number of books Faculty members may borrow from the Library. All books are due one year from the date they are checked out, and are subject to recall two weeks after the book is checked out if someone else needs the material. All Library users are required to return materials recalled for others. Failure to do so will result in a block on circulation privileges. Each Faculty member will need a BatesCard to charge out materials from the Library. 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 it is against Library policy to disclose the name of the patron who has borrowed a particular item.

Circulation Reserves

The Library operates a closed reserve system in circulation. Approximately a month before the winter 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, will be processed and ready for the first day of classes. After this date has passed, reserves will be 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. 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. All photocopied materials for reserve must meet "fair use" guidelines under the Copyright Law of the United States (Title 17 of the U.S. Code). Copies of the Library's Copyright Policy are available at Circulation and Audio and on the Library's World Wide Web page.

Audio Reserves

Videotapes, laserdiscs, LPs, and compact discs may be put on reserve in Audio; requests should be sent to the Associate Librarian or the Audio Assistant.

Photocopying and Duplication of Copyrighted Material

The Library has the responsibility to see that it does not infringe on copyright laws in reproducing any materials, whether in print or in any other format. College policies on copyright are available from the Dean of the Faculty's Office. Faculty members have the responsibility to comply with copyright laws; the College will provide no defense or indemnification to Faculty members who illegally reproduce copyrighted material.

Security System

The Library's security system prevents patrons from taking material out of the Library without charging it out. Students who violate the security system are reported to the Dean of Students and Faculty members who willfully avoid charging out Library materials are reported to the Dean of the Faculty after a second violation.

CBB Consortium

Many materials held at the Bowdoin and Colby libraries may be requested directly by using the "requester function" of the On-Line Catalog; if the needed materials are not available from these two sources, interlibrary loan will seek the materials at other libraries. The Bowdoin, Bates, and Colby libraries employ a delivery service which can usually deliver material in less than three working days after the request is made. A Faculty member with a BatesCard may borrow materials over-the-counter at Bowdoin and Colby.

Interlibrary Loan

Borrowing of materials from other libraries is a basic service of the Library to Faculty members, staff, and students. Requests may be placed at the reference desk or electronically from the Library's web page. 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 Ladd Library. Periodicals from other libraries are normally not lent; instead, the Library purchases photocopies of the particular articles needed.

Student theses and research projects should be conceived within the range of research materials available at the Bates, Bowdoin, or Colby libraries. Assignments which do not require extensive interlibrary loans for long periods of time are encouraged. 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 referral to the library with the desired resources.

United States Government Publications

The Library holds a collection of government publications, dating back to 1883, which is shelved on the ground floor. These documents circulate to Faculty, staff, students, and members of the local community.

Audio and Video Recordings

The Library holds an extensive collection of recorded materials on compact disc, LP, cassette, laserdisc, and videotape, which are all listed on the On-Line Catalog. Circulating video recordings are charged out to students for a 24-hour period; both circulating and non-circulating video recordings may be charged out to Faculty members for a three-day period. Sound recordings do not circulate to students; Faculty members may charge them out for a two-week period.

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 Faculty. 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.

The Edmund S. Muskie Archives and Special Collections Library

Dedicated in 1985, the Edmund S. Muskie Archives documents alumnus Edmund S. Muskie's (1914-1996) career in public service from his first election to the Maine House of Representatives in 1946 to his appointment as U.S. secretary of state in 1980 by President Jimmy Carter, as well as his activities after leaving public office. It also holds a permanent collection of memorabilia from Muskie's personal and public life. The collection—one of the largest in the nation on a non-presidential political figure—provides students from Bates and elsewhere an opportunity to gain firsthand experience in historical research using primary documentary material, complementing the College's academic programs. It is a rich source of documentation on national and state politics, foreign policy, environmental issues, and other matters of public policy to which Muskie made important contributions.

The Special Collections include nearly two thousand rare books; one of the strongest collections in America of early Baptist publications (reflecting the College's origins); the Jonathan Stanton Natural History Collection; the Phelps Collection of signed first editions; the Isaac Rice Collection of nineteenth-century works in French and German; publications of Maine small presses; the Marsden Hartley Collection (consisting of books owned by the early twentieth-century painter and poet, a Lewiston native); the Berent Collection of Judaica; works by authors associated with Bates, both alumni and staff; and archival material related to the College and its history. It has more than fifteen thousand volumes in its collections and thousands of photographs and other manuscript and archival documents.

Beginning in the 2000-2001 academic year, the Muskie Archives and the Special Collections Department have combined to form the Edmund S. Muskie Archives and Special Collections Library. This facility, housed in the Muskie Archives building, provides resources to improve archives and rare books services to the College community and the public, and creates the first Bates College Archives program.

Members of the Faculty are encouraged to consult with Muskie Archives and Special Collections staff to design research experiences using original documents, photographs, and other materials. Faculty members disposing of College records and personal papers should also consult with the staff to determine the records' potential as permanent sources of information for the College Archives.

9/2000

Bates College Information Services

Bates College Information Services (BCIS) provides computers, software, training, and information resources to Faculty, students, and staff, and twenty-four hours access to the campus network and academic minicomputers. Information Services is the purchasing agent for all College computers, and manages repair services for College-owned machines.

BCIS manages a campus network connecting all computers using TCP/IP and the Windows NT network operating system. The network provides access to a wide variety of print and file facilities, software resources, and minicomputer servers. All student rooms and offices are part of the network. The Bates College computer network is connected to the Internet and supports electronic mail, file transfer, remote login services, and access to the World Wide Web.

Academic Computing Services operates the Information Services HelpDesk and the public computing facilities, supports Faculty computing needs, and works with reference and instructional services staff in the Library to offer training in the use of software and electronic resources. User Assistance offices are located on the ground floor of Pettigrew Hall. The HelpDesk in 117 Pettigrew provides computing assistance to students, Faculty, and staff. More than 175 public microcomputers are clustered in Hathorn Hall, Pettigrew Hall, Pettengill Hall, Dana Chemistry Hall, Carnegie Science Hall, and Ladd Library.

As a member of ICPSR (Inter-University Consortium for Political and Social Research), Bates can obtain databases from many different sources. BCIS staff assist with data extraction from these data sets and statistical packages such as SPSS enable students and Faculty members to perform requisite data analysis.

BCIS provides a variety of software packages. A list of software packages used at Bates College is available on the Information Resources pages on the World Wide Web.

The Bates College World Wide Web home page (<http://www.bates.edu>) is managed by Information Services and the Office of College Relations. The Bates web site includes the admissions application, access to Ladd Library, course listings, web pages for many courses, career services information, news and special events information, sports scores, student home pages, and the on-line course registration and student records system. Video conferencing among Bates, Bowdoin, and Colby Colleges is also available.

Academic Computing staff offer consulting services in finding appropriate software and hardware for specific needs in offices and classrooms, assistance with facility design, and support for presentation needs.

For information about classroom audiovisual equipment and services, or to borrow a portable computer, slide projector, audio cassette player, or similar item, or to arrange for classroom display of imagery, contact Media Services at 6424.

Information Services makes computer hardware and software available for private purchase by students, faculty and staff members. Dell and Macintosh desktop and laptop microcomputers appropriate for use on the campus network are offered, as are peripherals and software, many at substantially discounted prices. The sales program staff facilitates repair services for privately owned machines, and provides referral for warranty and non-warranty repair services. Non-warranty repairs are paid for by the user. Refer to BCIS Service and Repair Policies on the World Wide Web for more details.

BATES COLLEGE COMPUTER USE POLICY

Each user of Bates College Information Services has two basic rights: (1) the right to privacy with respect to the information stored in their user account, hard drive, or on diskette, as well as their computer output; and (2) the right to a fair share of the system resources. Users who violate the rights of others, either by accessing information to which they have no right, or by using an excessive amount of system resources, are acting in an unethical manner. Information Services reserves the right to take whatever actions are necessary to prevent a user from violating the rights of other users.

To assure each user privacy and a fair share of system resources, all users must comply with Information Services policies. Since Information Services cannot anticipate every possible way in which users might intentionally or unintentionally violate the rights of other users, the guidelines listed below are illustrative, not exhaustive. Any activity that results in loss of privacy or unreasonable reduction in system performance for other users is unethical. Cases involving unethical behavior will be referred to the Office of the Dean of Students, the Dean of the Faculty, or the Human Resources Office, as appropriate.

1) Each user is issued a user account and should always log into the computer under that account. Using any other account is an invasion of the privacy of the individual issued that account. The right to use the Bates College computing facilities is

nontransferable: a user should not allow another individual to use his or her account. Each user is held responsible for the computing activities that occur under his or her account, so users should make special efforts to preserve the security of their passwords.

2) All files and computer output belong to someone. They should be assumed to be private and confidential unless the owner has explicitly made them available to others. A user should not alter, manipulate, or inspect the contents of another user's file area without the user's knowledge and explicit permission. Similarly, a user should not alter or manipulate the contents of a public library or directory unless the owner has specifically authorized the user to do so. Users should also take steps to protect their data.

3) Because electronic information is volatile and easily reproduced, respect for the work and personal expression of others is especially critical in computer environments. Violations of authorial integrity including plagiarism, invasion of privacy, unauthorized access, and trade secret and copyright violations may be grounds for sanctions against members of the academic community. (From *Using Software* published by EDUCOM, used with permission.) For example, a user who presents the work of another user as his or her own by simply submitting a duplicate listing of a homework assignment is committing plagiarism. A user who exploits flaws in system or instructor software to obtain answers to an assignment or examination or who manipulates the contents of a file containing grades or other records of course performance is being academically dishonest. For more information, see the Bates College *Statement on Plagiarism and a Guide to Source Acknowledgments*.

4) Information content supplied by users and visible or sent to others over computer networks is subject to the same rules of conduct that apply to any message in any other medium.

5) Networks such as the World Wide Web have greatly expanded the capacity of Bates users to view and interact with computers all over the world. A user should not use the Bates College computing facilities to go beyond normal Internet connections to gain unauthorized access to other computers off campus. Users should notify Information Services staff of any off-campus computing arrangements they have that may have an impact on Bates computing resources. Unauthorized access to, and use of, other computers may result in criminal and/or civil action.

6) A user should not alter the normal functioning of the computing system. This applies to attempts to reallocate storage space, to change the priority levels at which programs run, or to gain unauthorized access to other user accounts, passwords, or system directories. It also applies to attempts to degrade system performance, to "crash" the computer, to disconnect other users from the computer, or to send unsolicited messages and "junk" mail to other users of the system. These restrictions apply to all Bates computers, including public microcomputers. More generally, all users have a responsibility to avoid running programs that are wasteful of system resources, especially when doing so noticeably reduces the performance of the system for other users.

7) A user should not attempt to reserve access to the computer for his or her own use, and should log out when the computer is not in use. Generally a user should not use more than one port or microcomputer at a time.

8) Game and other recreational programs have the lowest priority on the system. Anyone using a computer in a public lab for game or conference must relinquish it to another user upon request. Modems may not be used for games, which includes muds and irc. Modems are a limited resource, and may only be used for educational purposes.

9) A user should not abuse or mistreat Information Services equipment. All users should become thoroughly familiar with the proper operating procedure for a given device before attempting to use it. High-speed printers, plotters, multimedia equipment, scanners and similar equipment are quite delicate and easily damaged through careless or rough use. A user is held responsible for any damage to equipment caused by his or her own carelessness.

10) Information Services provides documentation on-line, in Treat Gallery, at remote sites on campus, and in the Library. A user should not remove documentation from any of these locations. Documentation may also be purchased from Information Services, the Bookstore, and through other commercial channels.

11) Bates College computing systems are available to the Bates community to further the educational goals of the College. Bates College does not permit use of its computing resources to support commercial enterprises of account holders. A user in doubt about a particular case should contact the Information Services Management Team.

SYSTEM ADMINISTRATION

1) Information Services staff charged with the responsibility for maintenance of the integrity and security of the College's computing systems are permitted to copy or move user files for routine backups and preservation. They are authorized to investigate possible abuse of computer systems, and to take appropriate action. A user can expect that staff will not inspect the contents of their files without proper justification and authorization.

2) Bates College IP addresses are issued and authorized by Information Services staff. They are available for use only by the person to whom they have been issued for uses authorized by Information Services.

3) Most software is protected by copyright law unless it has been placed in the public domain. It is illegal to duplicate or distribute software or its documentation without the permission of the copyright owner. Software acquired by Bates College is licensed to the College. The licenses restrict how and where the software may be used by members of the College community, and Information Services manages the system in order to minimize the number of copies of software needed to support College work. Consult Bates College Information Services for information about the content of particular license agreements.

The guidelines discussed above are intended to insure that each user's rights to privacy and fair share of system resources are protected. Users are requested to inform Information Services staff if they suspect that their rights are being violated.

9/2000

Part 7: Miscellaneous Information

Research Involving Human 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 and animal subjects. Both Faculty and students who undertake research using human or animal subjects are required to comply with the guidelines for proper practices established by these committees.

The Institutional Review Board, composed of Faculty members and a psychiatrist from the local community, oversees research projects involving human subjects. All Faculty and student research projects supported by federal research grants, and all projects involving children under 18 years should be reviewed by the Institutional Review Board. For research involving adult subjects, those projects involving moderate to extensive intrusion in the lives of subjects should also be submitted to the Board. Specific guidelines are under development that address research protocol, the fair and respectful treatment of subjects, issues of confidentiality, and informed consent. Information about the review process is available from the Chair of the Institutional Review Board.

The Institutional Animal Care and Use Committee, composed of Faculty members and a veterinarian from the local community, reviews research involving mammalian subjects. The Committee considers research protocols to assure that the animals involved in the research are handled properly and humanely. The Committee also conducts routine inspections of the animal colony in Carnegie Science Hall. Guidelines and information on the review process are available from the Chair of the Institutional Animal Care and Use Committee.

9/2000

Financial Disclosure Policy for National Science Foundation Investigators

The National Science Foundation now requires, as part of the routine certification process, that the College establish and administer a financial disclosure policy for investigators. This is designed to ensure appropriate management of actual or potential conflicts of interest. The Bates College policy fulfills the requirements of grantee institutions with more than fifty employees as put forth in the National Science Foundation's Grant Policy Manual Section 310.

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

Those who intend to submit a proposal to either agency are asked to review the policy itself, as well as NSF's answers to frequently asked questions. These documents may be obtained from the Dean of the Faculty's office, or from NSF. (They may be downloaded from <http://www.nsf.gov>. Go to "documents on-line" and request iin117, iin118, and faqinfin.) The central points are summarized below:

- Each investigator is required to disclose to a responsible representative of the institution all significant interests (including those of the investigator's spouse, partner and dependent children) (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.
- *Investigator* means the principal investigator, co-principal investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.
- *Significant financial interest* means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees, honoraria); equity interest (e.g., stocks, stock options, other ownership interests); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights).
- The term does not include: a) salary, royalties, or other remuneration from the applicant institution; b) any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program; c) income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; d) income from service on advisory committees or review panels for public or nonprofit entities; e) any equity interest that, when aggregated for the investigator and the investigator's spouse, partner, and dependent children does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, *and* does not represent more than a 5% ownership interest in any single entity; or f) salary, royalties, or other payments that, when aggregated for the investigator and the investigator's spouse, partner, and dependent children, are not expected to exceed \$10,000 during the twelve-month period.
- Investigators must provide all required financial disclosures at the time the proposal is submitted to NSF, and must update those financial disclosures during the period of the award, either on an annual basis, or as new reportable significant financial interests are obtained.
- An institution must designate one or more persons to review financial disclosures, determine whether a conflict of interest exists, and determine what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate such conflict or interest. A conflict of interest exists when the reviewer(s) reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of NSF-funded research or educational activities.
- The following are examples of conditions or restrictions that might be imposed to manage, reduce, or eliminate conflicts of interest: a) public disclosure of significant financial interests; b) monitoring of research by independent reviewers; c) modification of the research plan; d) disqualification from participation in the portion of the NSF-funded research that would be affected by significant financial interests; e) divestiture of significant financial interests; or f) severance of relationships that create conflicts.
- If the reviewer(s) determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific

progress, technology transfer, or the public health and welfare, then the reviewer(s) may allow the research to go forward without imposing such conditions or restrictions.

- The College is required to have adequate enforcement mechanisms, and provide for sanctions where appropriate.
- The College is required to keep NSF's Office of the General Counsel appropriately informed if it is determined that the College is unable to satisfactorily manage a conflict of interest.
- The College must maintain records of all financial disclosures and of all actions taken to resolve conflicts of interest for at least three years beyond the termination or completion of the grant to which they relate, or until the resolution of any NSF action involving those records, whichever is longer.

Copies of the College's Disclosure Statement are available from the Dean of the Faculty's Office or the Office of Corporate and Foundation Relations. It must be completed by all investigators who are submitting proposals to the National Science Foundation. The certification page of each proposal cannot be signed until forms for all investigators are submitted to the Dean of the Faculty. By signing this form the applicant certifies that he/she has read this section of the *Faculty Handbook* and that he/she either a) does not have potential conflicts of interest ("I certify that as far as I am aware, neither I nor my spouse, partner, or children, hold any significant financial interests that would reasonably be affected by the research or educational activities funded or proposed for funding by NSF or in entities whose financial interests would reasonably be affected by such activities. Significant financial interest is defined as more than the \$10,000 equity interest or 5% ownership thresholds") or b) does have potential conflicts ("I have the following relationships, affiliations, activities, or interests (financial or otherwise) which constitute potential conflicts under the NSF Conflict of Interest Policies"). Either way, the applicant also declares that he/she will notify the Dean of any change or discovery that is in any way contradictory of the above statement.

9/2000

Procedures for Responding to Allegations of Misconduct in Scientific Research

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

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

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

PROCEDURES

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

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

- a) The importance, in fact and appearance, of fairness, objectivity, and reasonable expediency.

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

- b) Protecting, to the maximum extent possible, the privacy of those who in good faith report alleged misconduct.
- c) Protecting, to the maximum extent possible, the rights and privacy of the accused colleague, including the right to be informed of the alleged misconduct, of the evidence in support of the allegations, and other procedures to be followed.
- d) The importance of ensuring that the professional interests and integrity of the Faculty are respected.
- e) The importance of consulting with outside agencies or institutions which have an interest in the research in question.

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

9/2000

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 Bookstore. Such purchase, expected by the College, may be a tax-deductible expense.

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 or examinations, 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.

Students are paid at the regular student hourly wage according to the student pay scale. They submit time sheets, signed by the appropriate Faculty member, to Human Resources and are paid on student pay days.

Bookstore

Faculty are urged to get lists of textbooks and other required class materials to the course materials buyer of the Bookstore by *12 April* (for the fall term), by *31 October* (for the winter term), and by *1 March* (for the Short Term). Late orders will delay books from arriving on time.

Sale to students of any books or course materials is to be made only through the Bookstore. 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 done through the Bookstore.

Desk copies must be ordered directly from the publisher by the instructor of the course. The Bookstore is not allowed to supply desk copies from its supply of ordered books. (Desk copy request forms are available at the Bookstore.)

In addition to selling course texts, the Bookstore offers general books, office supplies, art supplies, Bates clothing and specialty items, local movie passes, ski passes, pre-paid phone cards, international student/teacher ID cards, film processing, gift wrapping, and gift certificates. The Bookstore also serves as the on-campus delivery point for airline tickets purchased through Carson Wagonlit/Dube Travel. Other special services include purchase order processing, special book orders, and general supply orders. All office furniture is processed through the Bookstore as well.

During the academic year, the Bookstore is open 8:30 a.m. to 5:00 p.m., Monday through Friday, and 10:00 a.m. to 4:00 p.m. on Saturday. During breaks and the summer, the Bookstore is open Monday through Friday, 8:30 a.m. to 4:30 p.m. The Bookstore is also open additional hours during special College events.

Office of College Relations

The Office of College Relations (OCR) is the College's primary communications link with print and electronic news media, with alumni, and with key external audiences. It is responsible for production of the College's major publications and for design and development of Bates Online, the College's external World Wide Web site.

The office generates publicity for Bates and disseminates news and information to news media and the general public and produces the monthly calendar. College Relations helps members of the College community publicize campus events, scholarly achievements, and other news of general interest, which may be targeted to appropriate local, regional, or national outlets.

All news and information to be released to the media from the College should be coordinated through the Office of College Relations. When contacts are made by the media directly to Faculty members, College Relations should be notified immediately so as to ensure consistency of communication.

The Office of College Relations is responsible for editing, designing, and producing the College's major publications, including *Bates Magazine* and the Admissions *Viewbook*, and "official" electronic World Wide Web pages, as well as numerous brochures, reports, and mailing pieces. It also coordinates the College's visual standards program.

Printed pieces to publicize special events and programs normally come to the Office of College Relations from the Office of Special Projects and Summer Programs. Anyone planning a workshop, symposium, or other event to which off-campus audiences are invited should work with Special Projects on complete program details, including printed pieces.

9/2001

Office Services

SECRETARIAL SERVICES

Complete secretarial services are available to the Faculty. Secretarial Services is located in Room 7 of Lane Hall. This Office scans information into computers, formats electronic documents, transfers documents electronically, and prepares coursework documents for printing and distribution; it transcribes information presented on a cassette tape. This Office provides support for Faculty recruitment, the Honors Program, the Graduate Studies Program, and for text preparation for departments, programs, and committees.

COPYRIGHT PERMISSIONS. Secretarial Services provides assistance in obtaining copyright permission to reproduce copyrighted material. It is the responsibility of Faculty and staff to be sure that their reproductions of copyrighted material are consistent with copyright law. Bates College complies with all aspects of copyright law, and has adopted the American Library Association's guidelines on copyright permissions.

FACSIMILES. There are many fax machines on campus. A general fax machine which receives incoming documents 24 hours a day is in Secretarial Services. The number for this machine is 207-786-6123. Please provide a name and office to those who will be sending faxes to this number; the recipient will be notified when a fax is received.

AREA COORDINATION SUPPORT

Area coordinators provide reception and clerical support to departments and programs. They are located in the following buildings: Pettengill Hall, Carnegie Science Hall, Pettigrew Hall, Hathorn Hall, Olin Arts Center, and 73/75 Campus Avenue. The nature of each area coordinator's work varies according to the departments and programs assisted. Area coordinators support many Faculty members; their specific duties include:

- 1) receiving visitors and responding to general inquiries;
- 2) communicating information for College and departmental events;
- 3) coordinating student employees;
- 4) acting as liaison between students and Faculty;
- 5) scheduling and coordinating meetings and facilities;
- 6) coordinating the distribution of materials (printed matter, mail, and so forth);
- 7) requisitioning office equipment and supplies;
- 8) photocopying, scanning, typing, and faxing documents;
- 9) entering and retrieving information in databases;
- 10) filing and retrieving documents;
- 11) monitoring examinations.

PRINT AND MAIL SERVICES

Print and Mail Services is located in Room 1 of Lane Hall. This Office coordinates printing, copying, and mailing. There are many copiers on campus which can be accessed by using departmental codes. It is most economical for the College for Print and Mail Services to reproduce anything of which fifty or more copies are needed. This Office provides stamps, envelopes, papers, FedEx, UPS, labeling, folding, collating, binding, stapling, and laminating. An outgoing fax machine is available for use by the Bates community.

Print and Mail 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; this annual order occurs in May for July delivery.

CAMPUS POST OFFICE

Mail is delivered to departments and programs once a day, Monday through Friday. Campus and U.S. mail is picked up from those locations as well.

A same-day courier service for emergencies is available if needed by calling 786-6226.

Student mailboxes are located in Chase Hall near the Bookstore. Arranging correspondence to students in the numerical order of the mailboxes greatly increases delivery speed. Because students share mailboxes, papers and exams should not be sent through campus mail.

9/2000

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 in the Financial Office. Parking on city streets is regulated and enforced by the City of Lewiston.

Keys

Office and outside building keys are handled through Physical Plant. Keys may be issued as needed, on a temporary or long-term basis, with authorization of the Dean of the Faculty. Faculty must return and pick up keys from Physical Plant, either when they are no longer needed, or as they are needed, with a signature necessary for the files. There is no deposit required for keys.

Faculty keys must not be lent to students. If there is a legitimate purpose for which a student needs a key, arrangements must be made through Physical Plant and the Dean of the Faculty's office by giving the student a signed note for the specific keys required. A key deposit will be charged to the student's account.

Identification Cards

All Faculty are issued BatesCards, identification cards bearing a photograph, a magnetic strip, a College ID number, and a barcode. Family members may be issued affiliate cards. Identification cards are used for library circulation, admission to athletic facilities, lectures, concerts, ATM machines, copying, and vending on campus. The BatesCard entitles the holder to bring a guest. BatesCards must be returned to the Human Resources Office upon termination of employment or retirement.

Blueslip Procedures

Members of the Faculty, in connection with their courses and regular advisory functions, and student groups recognized by the Committee on Extracurricular Activities and Residential Life are invited to make use of College facilities and services, subject to established policies. So that an orderly coordination of demand and available space or service can be achieved, the blueslip system of reservation has been developed. Faculty are expected to follow blueslip procedures whenever they need space, equipment, or services not regularly assigned to them. Classrooms are assigned by the Registrar for use during class hours; for use at other times the blueslip system should be used through the Student Activities Office (Chase Hall).

Blueslips may be completed by Faculty members in the Student Activities Office. Requests for a blueslip may be made by visiting the Student Activities Office or by calling 6305. Information entered on the slip includes a brief description of the event planned, its inclusive 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 requested. When approved by the appropriate offices, the event is listed in the reservations calendar book, and the facilities or services and announcements will be provided as requested.

It is important that requests for use or service be made at least one week before the time of the event to insure that the various offices may be notified of their obligations. In unusual circumstances requests may be processed more quickly, but in such cases there should be a strong reason why the usual procedures could not be followed. Events which require publicity beyond the Bates campus rely upon the efforts of the Office of College Relations. The Office of College Relations should be contacted as soon as the event is scheduled so as to enable the meeting of publication deadlines for the *Monthly Calendar* and semester calendar of cultural events.

It is not necessary to enter a separate blueslip for every one of a continuing series of meetings or events, provided the days, time, and place of the entire series are consistent. A "blanket" blueslip is available upon request for reserving facilities on a long-term basis. The blanket blueslip must be renewed at the beginning of each semester and at the beginning of the Short Term.

The Bluebook, available for consultation at all times in the Student Activities Office, lists all events scheduled to date through the blueslip system, and should be checked before final planning of an event. Whenever possible, significant events should not be scheduled in conflict.

Buildings, Equipment, and Services for Extracurricular Activities

Details on conditions of availability of buildings, equipment, and Dining Services for all extracurricular activities are available at the Office of Special Projects and Summer Programs.

9/2000

College Emergency Procedures and Policies

(including weather emergencies)

Revised by the senior staff April 2001

A Senior Emergency Response Group (SERG) is established to determine the existence and nature of an emergency (including weather emergencies) affecting the College, and to initiate appropriate action and communication regarding such emergencies. The Group will continue to serve during the emergency, to coordinate the College's efforts, and to advise the President on decisions regarding the emergency.

MEMBERS OF THE SENIOR EMERGENCY RESPONSE GROUP

President

Vice President for Asset Management and Treasurer

Vice President for Academic Affairs

Dean of Students

Director of College Relations

Director of Human Resources

Director of Physical Plant

Director of Security

SERG OPERATING PROCEDURES

1) Following consultation with Security, the President or, if the President is unavailable, the Vice President for Academic Affairs, the Dean of Students, or the Vice President for Asset Management (in that order) will determine whether to convene SERG. In their absence, Director of Security will activate the SERG committee. The Director or his designee will inform the Office of College Relations of the incident. In the event of imminent danger to individuals or groups of individuals, public safety procedures will take precedence over immediately activating SERG.

2) Bates Security and Campus Safety will contact the SERG and other necessary personnel.

3) If SERG is convened, they will meet in the Bates Security and Campus Safety Office during the emergency or crisis.

4) Immediate objectives of SERG, once convened:

Identify the nature and scope of the emergency.

Establish priorities and coordinate crisis response efforts.

Activate the emergency telephone system in the event of a power failure. If this system fails, activate the campus phone tree or courier system.

Interact with outside agencies including, but not limited to, the American Red Cross, law enforcement, fire department, and the Emergency Management Agency.

Determine the times and means to report efforts and progress to the campus community.

Depending on the nature of the emergency, additional members of SERG may be added, including, but not limited to, the head of Bates Emergency Medical Service (EMS), Director of Health Services, or the Vice President for External and Alumni Affairs.

WEATHER EMERGENCIES

At the announcement of a weather emergency, the Senior Emergency Response Group (SERG) will determine whether or not College services are to be open or closed. The announcement will be made on radio and television (see below), as well as by Security when contacted. *If College offices are closed, only those personnel already defined in advance by the director of the department as "essential" should report for work; no other personnel should report. "Essential" personnel will be needed only to preserve safety, health, and maintenance functions. If College offices are declared open, all personnel should assume that they report to work.*

GUIDELINES FOR STAFF

When Bates College declares a weather emergency, only “essential” personnel should report for work as scheduled.

If the President, or his or her designee, declares a weather emergency and the College closes its offices, each department head will have determined, in advance, on the basis of typical categories of situations (e.g., weather emergencies), who in the department is to be considered “essential.” However, it is understood there will be unanticipated categories of emergency that may require the director of the department to make last-minute contact with key employees.

Employees not asked to report to work (except temporary employees) will receive their regular pay. If an employee is on vacation or sick during a declared weather emergency (and College offices are closed), the day(s) of emergency will be added to the employee’s vacation time.

Regular employees who are required to work during a weather emergency will receive pay at 2 1/2 times the straight time rate of pay. This is figured by adding 1 1/2 times pay (the overtime rate) and an added 1 times (straight-time) pay to make allowance for the excused time pay received by other nonexempt employees during the emergency. Temporary employees who work during the weather emergency will be paid in accordance with normal pay policies and practices of the College.

If Bates does not declare that College offices are closed as a result of a weather emergency, weather conditions nevertheless may cause employees to be concerned about traveling to and from work depending on the distance of travel, the hazards of driving or other subjective factors. In such cases, the employees will have to make their own judgments about whether to stay home or to leave work early. An employee’s decision, based on individual circumstances, will be respected when shared with his or her supervisor. If an employee chooses not to travel or decides to leave work early because of concerns about the weather, he or she may use accumulated vacation time, make up the time on other days within the same pay period (or its practical equivalent), or take leave without pay.

Temporary employees may be required to report for work during weather emergencies if they are declared essential. However, temporary employees do not receive compensatory time off with pay at a later date.

Classes. Because Bates is a residential college, the College may be in session (during the academic term) when a declared emergency occurs; the operating assumption will be that classes will still be held. On rare occasions, the College, through SERG, may have to announce an emergency so severe that classes are canceled. *The announcement of the cancellation of classes will be a separate announcement from the declaration of the closing of College offices. [Announcements would be “Bates College offices are closed; classes remain open. Only essential personnel should report to work.”; — or “Bates College offices are closed; classes are canceled. Only essential personnel should report to work.”]*

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 later. This information would be most effectively addressed to the Office of the Dean of the Faculty. On the unusual condition of the official declaration of the cancellation of classes, radio announcements, electronic and telephonic postings, as well as written postings on campus buildings will be made.

Professional services at the College. Unless an emergency has been declared which closes College services, the assumption should be that offices and services are open. If the College is open, individuals may decide not to come to work when travel risks or other weather-related factors make it inadvisable. Professional service providers, who are unable to come to work when a weather emergency has not been declared, will use vacation or sick time.

Independent contractors not providing services, whether or not an emergency has been declared, should not bill for that time.

Special events and programs (including non-resident summer programs) will be canceled if the College closes its services; while an effort to provide appropriate notice will be made canceling a specific event, the assumption shall be that if College offices are closed, then the special event will be canceled.

Volunteers. Employees not asked to work as a result of the emergency situation, and who wish to volunteer to assist, may volunteer at the central communications center (see below). A member of the Human Resources staff will be available to coordinate deployment of volunteers.

Parking restrictions during a weather emergency will be announced by Security and posted throughout the campus.

ANNOUNCEMENTS

Announcements will be made that the College has declared a weather emergency and closed basic services and/or has declared a weather emergency, closed basic services, and canceled classes. These announcements will be:

- First news media notification will be made to WCSH TV-6.
- Broadcast over radio stations: WLAM-AM 870, WRBC-FM 91.5 - as well as television stations - WCSH-TV (Channel 6) , WGME-TV (Channel 13) and WMTW-TV (Channel 8), Fox TV-51.
- If power is available, emergency messages will be on the campus e-mail network and on voicemail so many employees can dial in from home. The College Web page will also carry the relevant information.

The Security Office, or a designated alternate site, will be the College's central communications center. An emergency telephone information number will be provided and published in College publications which can be used to obtain current information.

9/2001



Bomb Threat Procedures

New policy approved by senior staff Spring 2001

In the event that a bomb threat is received:

- 1) Contact Security immediately by calling 6111.
- 2) Leave the building.
- 3) DO NOT pull the fire alarm.
- 4) Please take with you all electronic devices (such as pagers and cell phones) and TURN THEM OFF once you are outside the building.

Emergency personnel will evacuate the building by repeatedly blowing a whistle provided by Security. Personnel will simultaneously check each room beginning with the lowest floor and advise anyone remaining in the building to leave immediately in a calm manner.

9/2001