The Faculty Handbook of Bates College

Revised August 2026

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

Bates does not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, gender identity or gender expression, marital or parental status, age, or disability, in the recruitment and admission of its students, in the administration of its educational policies and programs, or in the recruitment and employment of its faculty and staff.[1]

[1] Resolution to recommend a revision to the Board of Trustees, 4 February 1980; 2 February 1981; 9 January 2006.

The Faculty Handbook of Bates College

The Faculty Handbook provides information regarding topics that are specific to the professional work of faculty, and is a companion to the employee handbook. The Employee Handbook (*bates.edu/hr/reference/employee-handbook*), is compiled by the Office of Human Resources, and contains extensive policy information pertaining to employment at the College. The Faculty Handbook is edited annually by the Office of the Dean of the Faculty, with changes and additions authorized by the Board of Trustees, the faculty, or appropriate administrative officers of the College. As information is updated on the web version of the Faculty Handbook, faculty are informed and changes are footnoted.

The Faculty Handbook has several parts. Part 1 contains information on the rules and procedures of the faculty, including appointment, tenure, and promotion (Part 1A) and faculty governance and committee structure (Part 1B). Most of these rules and procedures are legislated by vote of the faculty. Parts 2, 5, 6, and 7 offer information on benefits and support programs for teaching and scholarship; instruction of students; information and library services; and faculty scholarship. Parts 3 and 4 are taken from the Employee Handbook, and contain information about the College's policies on nondiscrimination, sexual harassment, and other federally regulated policies.

The Handbook is not a complete compilation of the organization, procedures, and policies of the College. It supplements other official College resources, including the Catalog, the Employee Handbook, the Student Handbook, and information behind the Garnet Gateway. The dean of the faculty's office website, *bates.edu/dof*, contains a wealth of information for faculty members on a wide range of topics.

All members of the faculty are responsible for being familiar with the information in the Faculty and Employee Handbooks. Please feel free to reach out with any questions.

Thank you for your many contributions to the life of the College. Best wishes for the year ahead.

Joanne Roberts
Dean of the Faculty

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Part 1: Rules and Procedures

Part 1A: Faculty Organization and Procedures

Part 1A of this Handbook may be changed by a simple majority of the faculty voting at a regular faculty meeting.[2]

Article I: Definition and Duties of the Faculty of the College[3]

Article I, Section 1: The Faculty of the College

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

By-Laws of Bates College, Article IX

SECTION 1: The faculty of the College will consist of the president, the deans, the treasurer, and the academic staff including the registrar, the librarian, the principal assistant librarian, the professors, associate professors, assistant professors, instructors, lecturers, and the visiting professors.[4] Designation as a member of the faculty confers the right to vote in faculty meetings and serve as a member of faculty committees.

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

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

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

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

Article I, Section 2: Statement of Academic Freedom and Tenure

Bates College faculty adhere to the ideals of the 1940 Statement of Principles on Academic Freedom and Tenure with the 1970 "Interpretive Comments" of the American Association of University Professors. aaup.org/report/1940-statement-principles-academic-freedom-and-tenure.

Per this statement, Bates faculty believe that "academic freedom is essential to…both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights."

In terms of academic freedom related to teaching, Bates faculty are (excerpted from the AAUP statement):

- "entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution."

[2] Approved, 6 October 2025.
[3] Revised, 5 April 2021.
[4] Per resolution to the Board of Trustees, 6 November 1967.

- "entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment."
- "citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution."

In terms of academic freedom related to tenure, Bates College recognizes the following practices (excerpted from the AAUP statement):

- "precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated."
- "the probationary period should not exceed seven years."
- "during the probationary period a teacher should have the academic freedom that all other members of the faculty have."
- "termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution."
- "termination of a continuous appointment because of financial exigency should be demonstrably bona fide."

Article I, Section 3: Statement of Intellectual Honesty and Academic Integrity

Intellectual honesty and academic integrity are cornerstones of all creative and scholarly work. Academic dishonesty jeopardizes the confidence we have in prior work, violates our mutual trust and a fundamental value of the Bates intellectual community, and interferes with the creation of new knowledge, learning, and intellectual development. Thus, Bates College expects the highest level of ethical academic conduct of all faculty. The faculty community does not condone or tolerate breaches in those expectations. Faculty found guilty of committing an intentional act of academic dishonesty (plagiarism, fabrication of data, intentionally impeding or damaging the academic work of others, etc.) will be disciplined and face penalties.

Article I, Section 4: Decisions of the President and the Board of Trustees Regarding Reappointment and Tenure

a) Needs of the College

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, subject to change as provided in (c) below. The dean of the faculty and all evaluators of a candidate are separately responsible for including assessments of the needs of the College in their recommendations on each pre-tenurial reappointment. The need for a given lectureship shall be established at the time of each reauthorization of the lectureship position.

b) Guidelines for Limiting Reappointment and Tenure

The Board of Trustees may establish guidelines or percentages for limiting reappointments or tenure. If any guidelines or percentage limitations are set, they must be announced in writing to the faculty by the president or the dean of the faculty. Prior to such corporate establishment and administrative announcement, the faculty Committee on Faculty Governance must be given the opportunity to discuss the specific proposal and its rationale separately with the faculty and the members of the Board of Trustees. Ordinarily such guidelines or limitations will restrict only the aggregate numbers or proportion of tenured members on the faculty as a whole. Ordinarily they will not restrict

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

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 Faculty Personnel Committee.

Article I, Section 5: Ranks of the Faculty

a) Regular appointments.
Regular appointments are renewable and subject to the reappointment, tenure, and promotion procedures described in the subsections below. Faculty on regular appointments normally pass through a probationary period the length of which may vary with prior service elsewhere. Faculty appointments are considered to be in rank when they use the following titles:

(i) Instructor
Normal rank for faculty who have not completed the Ph.D. degree or equivalent terminal degree. The completion of the degree normally leads to promotion to Assistant Professor without a review by the Faculty Personnel Committee. No individual may be reappointed as an instructor for service in that rank beyond the fourth year, excluding head coaches.

At Bates College, head coaches without an advanced degree whose employment at the College began prior to January 1, 2020 and all head coaches hired on or after January 1, 2020 carry the rank of Instructor.

(ii) Assistant Professor
Normal rank for faculty who have completed a terminal degree, but who have not been reviewed for and appointed to tenure.

(iii) Associate Professor
The rank awarded to faculty who have been promoted as part of the tenure review process, or whose initial appointment, based on accomplishment elsewhere, is at the rank of associate professor.

(iv) Professor
The rank awarded to faculty who have been promoted as part of the review process described below, or whose initial appointment, based on accomplishment elsewhere, is at the rank of professor.

(v) Lecturer in a lectureship
Normal rank for non-tenure-track faculty with renewable contracts who ordinarily teach fewer than 5 courses per year. At Bates College, head coaches with an advanced degree that were hired before January 1, 2020 carry the rank of Lecturer. The title of "artist in residence" shall apply to lecturers whose teaching and professional achievements are in the creative or performing arts.

(vi) Senior Lecturer in a lectureship
The rank awarded to non-tenure-track faculty with renewable contracts who ordinarily teach fewer than 5 courses per year and have been promoted as part of the review process described below.

b) Visiting Faculty.
Visiting faculty at Bates are hired on term appointments that are not normally renewable. No individual may be reappointed on a nontenurial contract extending beyond the seventh consecutive year of full-time teaching on the faculty of Bates College (see Article IV Section 5).

(i) Instructor
Normal rank for faculty at Bates who carry a 5-course teaching load and who have not completed a terminal degree.

(ii) Assistant Professor
Normal rank for visiting faculty at Bates who carry a 5-course teaching load.

(iii) Associate/Full Professor
The rank granted under special circumstances to visiting faculty at Bates who carry a 5-course teaching load and have significant experience teaching at liberal arts colleges or who earned tenure at another institution.

(iv) Lecturer
Normal rank for visiting faculty at Bates who carry a teaching load fewer than 5 courses.

Article I, Section 6: Duties of the Faculty

Faculty are expected to enhance the learning environment of Bates College through high-quality instruction, consequential scholarship and creative work, and committed service that supports the institutional mission. All faculty should be effective in the classroom, participate in continuous development of the curriculum, provide strong academic advising and support of students, foster a culture of equity and inclusion, foster healthy professional relationships, and maintain commitment to each student's academic success. Faculty shall participate in the governance of the institution by participating in committee work and/or meetings and providing input on matters related to the curricular and academic aspects of the institution.

Article II: Criteria for Reappointment, Tenure, and Promotion in Departments and Programs Other than Physical Education[5]

Article II, Section 1: Preamble

Bates College, which was founded upon principles of social justice, equity, and inclusion, acknowledges that complexity of academic careers and values faculty who are committed to furthering the educational mission of the institution. Bates faculty are responsible for engaging students in a liberal education that develops intellectual curiosity, reflection, and critical thinking. Bates faculty are committed to an equitable and inclusive learning environment that educates the whole student and cultivates informed civic action. Bates acknowledges that disciplinary boundaries change over time, and encourages its faculty to explore new pedagogies, epistemologies, and areas of interest.

Bates seeks faculty who are highly effective educators and are active scholars and artists. These faculty create knowledge and expand our worldview through creative expression. Bates faculty are committed to education that is broad and generous, they focus on student success, and they work to provide transformational educational experiences to all undergraduates. Bates faculty have a responsibility to contribute to the shared governance of the institution and to contribute to the collective goals of the College and its curriculum as well as to the broader communities in which they participate as professionals and engaged citizens. Bates engages in holistic review of colleagues and the domains below are integrally connected and interdependent.

Article II, Section 2: Teaching

The central mission of all faculty is to teach so that all students can learn and succeed, which is fortified by a clearly articulated pedagogical philosophy. Bates faculty are expected to be experts in their fields and to use their expertise to provide opportunities for encouraging and engaging students as scholars and artists. Excellent teaching is evidenced by self-reflection, exploration, and a continuing commitment to pedagogical development and growth. Effective teachers create an educational environment that permits an open exchange of ideas; they encourage deep learning, use high impact practices, and embrace inclusive pedagogies and evidence-based strategies. Excellent teaching involves effective mentoring and advising of students, which often takes place outside of the classroom. Academic advisors help students identify their academic passions, focus on the personal growth of their students,

[5] Established, 1 April 1968; revised, 30 March 1982; revised, 9 April 1990; revised, 5 April 2021.

and engage in holistic mentorship tailored to the individual student's needs during the arc of their Bates education. Effective advisors understand policies and procedures, provide accurate information about the curriculum, mentor students as they develop their capstone/thesis experience, and empower students to make independent and informed decisions.

Article II, Section 3: Professional Achievement

Bates supports and values the ethical advancement of knowledge, intellectual discovery, and creative production. As a liberal arts institution, Bates takes an expansive and progressive view of intellectual work. Peer-reviewed work is one essential dimension of what faculty do as scholars and artists, and this peer-reviewed work is necessary for tenure and promotion. Bates recognizes that the nature of professional achievement varies according to the field of the candidate. The College considers significant intellectual endeavors connected to our disciplines such as non-peer reviewed community-engaged research, digital and public-facing contributions, and involvement with professional associations as part of evaluation when assessed in appropriate ways. All professional achievements are evaluated for the quality of the work, their significance within the discipline, and evidence of ongoing development or future promise.

Article II, Section 4: Governance and Engagement

As a community of learners and scholars, Bates College relies on a model of shared governance which values the central role played by faculty. In every phase of their careers at Bates, faculty are therefore expected to make meaningful contributions to the work that sustains and advances the academic community at Bates College. Faculty members must provide evidence of their substantive contributions to their academic unit, college, or broader community as they stand for decisions on reappointment, tenure, and promotion. Examples of contributions include service on college committees, work within or chairing an academic program or department, engagement and leadership in campus initiatives, or leadership of or engagement with initiatives that identify and remove institutional or educational barriers due to racism, sexism, classism, or ableism. Bates also values professional contributions to the wider world, including professional organizations.

Article III: Evaluative Procedures

Article III, Section 1: Schedule of Evaluation

a) Schedules of Reappointment, Tenure, and Promotion[6]

i) Renewable Lecturers[7]

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. After the fourth successful reauthorization of a lectureship position held by a faculty member who then passes review by the Faculty Personnel Committee a fourth time, the lectureship will no longer require reauthorization by the division chairs and dean of faculty and the colleague will only require review by the Faculty Personnel Committee when seeking promotion.[8]

Lecturers may be considered for promotion to the rank of senior lecturer after thirteen years of employment as a lecturer, or through credit for prior experience arranged at the time of hiring. A lecturer who meets the minimum years of service may choose to be evaluated for this promotion by indicating this decision in writing to the dean of faculty by 1 January preceding the reappointment decision. Subsequent to the initial consideration for promotion,

[6] Established, 1 April 1968.
[7] Policies revised, 1 May 2000.
[8] Policy revised re: reauthorization of renewable lectureships, 3 May 2021; policy revised re: fourth successful reauthorization of a lectureship, 6 December 2021.

a lecturer may elect a new consideration in any year, by stating this decision in writing to the dean of faculty by 1 January preceding the reappointment decision. Lecturers attaining the rank of senior lecturer no longer need to undergo evaluation by the Faculty Personnel Committee. For any lecturers who attain the rank of senior lecturer and whose position has been reauthorized by the dean of faculty and division chairs four times, the dean of faculty and division chairs will no longer re-evaluate the need for the lectureship position.[9]

ii) Full-time Tenure Track
Initial appointments to full-time, tenure-track positions are for a term of four years.

For candidates on a four-year tenure-track appointment, an evaluation shall be conducted during the fall semester of the second year of teaching at Bates. This evaluation is not conducted by the Faculty Personnel Committee. Its purpose is to inform the candidates of their evaluators' judgment of their job performance and to aid the candidate in any appropriate improvement.

Normally reappointment decisions shall be made in the third year of full-time service. Reappointments to tenure-track positions are for a further term of three years. Decisions on tenure are made during the sixth year,[10] and first consideration for promotion to full professor is made in the sixth full year in rank as associate professor. See below, Article III Section 1(a)(iv) for exceptions.

iii) Part-time Tenure Track

Initial appointments to part-time tenure-track positions are for a term of five years. Reappointments to part-time tenure-track positions are for a further term of five years. Decisions on tenure are made during the ninth year, and first consideration for promotion to full professor is made in the sixth full year in rank as associate professor. See below, Article III Section 1(a)(iv) for exceptions. Evaluations of part-time tenure-track faculty shall proceed according to Article III, Sections 2 and 3, below, with the exception that evaluations by the Faculty Personnel Committee occur in different years of service than for full-time tenure-track faculty.

iv) Exceptions to the Normal Schedule

1) 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.

2) Early Consideration[11]

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

3) Delayed Consideration

Full-year leaves of absence may delay the schedule of reappointments, tenure, and promotion correspondingly (see www.bates.edu/dof/sabbaticals-and-leaves//). 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 Faculty Personnel Committee, which has authority to accept or deny.

[9] Policy revised re: reauthorization of renewable lectureships, 3 May 2021; policy revised re: fourth successful reauthorization of a lectureship, 6 December 2021.
[10] Revised timing, 9 March 1970.
[11] Revised policy, 1 March 2010.

b) Calendar[12]

Most dates below are subject to slight annual variations. Invariable dates are certification of the doctorate by 1 September, and notifications of decisions by the Faculty Personnel Committee to be mailed by 30 November (promotions to full professor and senior lecturer; reappointment of lecturers), 10 February (faculty tenure and in-depth reviews of coaches), and 15 May reappointment of tenure track faculty.

Candidate	Lecturer Reappointment	Tenure Stream Reappointment	Tenure Review	Promotion to Full Professor	Promotion to Senior Lecturer
Decision to Stand Due				December 1	January 1
Decision to Submit Outside Evaluator Names			March 15	March 15	March 15
Deadline to Submit Student Evaluators			May 1	March 15	March 15
Deadline to Submit Choice of Examiner	July 1	December 1	September 1	May 15	May 15
Deadline to Submit Dossier	August 22	January 26	October 15	August 22	August 22
Clarification Letter Sent	October 25	March 29	December 20	October 15	October 15
Candidate Response to Clarification Due	November 6	April 12	January 5	November 1	November 1
Recommendation to the President and Board of Trustees	November 15	May 1	January	November 15	November 15
Notification to Candidate Sent from FPC	November 30	May 15	February 10	November 30	November 30
Formal Written Notification Sent from the Board of Trustees	February 10	May 15	February 10	February 10	February 10

Article III, Section 2: The Dossier for Reappointment

The dossier is a portfolio of evidence that provides material that will be reviewed by the Faculty Personnel Committee. The candidate is responsible for building a case that is supplemented with material requested by the Faculty Personnel Committee. The candidate should provide a current CV as part of this dossier.

Individuals holding 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

[12] Calendar revised, 9 March 1970; revised, 12 January 2004; revised, 7 March 2011; revised 6 October 2025.

that this evaluation must be in conformance with the requirements of the joint contract, i.e., jointly they shall serve the College in ways equivalent to a full-time teaching member of the faculty. Evaluators should take particular notice that any possible quantitative standards of productivity used in the evaluation of individual holders of a joint appointment must be reduced in light of half-time employment.

a) Materials produced by Candidates in Renewable Lectureships

i) Teaching
The candidate is responsible for providing a statement on teaching and should provide pedagogical materials for Faculty Personnel Committee review (for example, syllabi, curricular activities, examinations etc.). 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 II, with the exception that academic advising is not required of all lecturers.

ii) Professional Achievement
The candidate is responsible for providing a statement on professional achievement and should provide materials for Faculty Personnel Committee review. 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. The definitions of excellence in professional achievement are those listed in Article II. 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 the faculty, lecturers may be appointed with an understanding that professional achievement is not necessary or appropriate. In these cases, evaluators and members of the Faculty Personnel Committee need not take professional achievement into account as part of their evaluation.

iii) Supplemental Teaching and Governance and Engagement
The candidate is responsible for providing a statement on their work in governance and engagement and should provide materials for Faculty Personnel Committee review. Excellence in governance and engagement is expected for the reappointment of a lecturer. The definitions of excellence for governance and engagement are those listed in Article II. Lecturers normally have responsibility for supplemental teaching or governance and engagement activities in proportion to the number of courses they teach. The kind of supplemental teaching may vary but could include teaching independent studies, major advising, thesis supervision, first-year advising, committee service, honors panel service, advising student organizations, or maintenance of teaching facilities such as studios, labs, and instrumentation. Appropriate forms of supplemental teaching and governance and engagement 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.

iv) The Examiners
The candidate may select one of the examiners to offer council concerning the submission of written materials and to check the dossier, prior to its review by the Faculty Personnel Committee, for completeness and correctness. See Section 6 below for details.

v) Clarification
The candidate has the right to respond to the committee in writing after the clarification letter has been received. The candidate may also bring up any matters on which the candidate would like to comment.

b) Materials Produced by Candidates in Tenure-Track Positions

i) Teaching
The candidate is responsible for providing a statement on teaching and should provide pedagogical materials for Faculty Personnel Committee review (for example, syllabi, curricular activities, examinations etc.). Excellence in teaching is a requirement for all tenure track positions. The definitions of excellence in teaching are the same as those defined in Article II.

ii) Professional Achievement
The candidate is responsible for providing a statement on professional achievement and should provide materials for Faculty Personnel Committee review. Excellence in professional achievement, in the form of research, writing, publication, or creative work and exhibition, is normally a requirement for reappointment. The definitions of excellence in professional achievement are those listed in Article II. The candidate is responsible for submitting regular annual reports of professional activities, which become part of the dossier considered by the Faculty Personnel Committee. Every candidate for reappointment, tenure, or promotion should also submit to the Faculty Personnel Committee a written statement of scholarly, artistic, or other comparable work in progress and of goals for the future. The candidate should submit copies of all successful grant proposals and all published articles or books. Finally, the candidate may submit any other relevant material, including all papers read to scholarly audiences, letters concerning scholarship, art, or equivalent achievement by professionally qualified persons.

iii) Governance and Engagement

The candidate is responsible for providing a statement on their work in governance and engagement and should provide materials for Faculty Personnel Committee review. Excellence in governance and engagement is expected for reappointment. The definitions of excellence for governance and engagement are those listed in Article II.

iv) The Examiners
The candidate may select one of the examiners to offer council concerning the submission of written materials and to check the dossier, prior to its review by the Faculty Personnel Committee, for completeness and correctness. See Section 6 below for details.

v) Clarification
The candidate has the right to respond to the committee in writing after the clarification letter has been received. The candidate may also bring up any matters on which the candidate would like to comment.

c) Materials Gathered by the Faculty Personnel Committee

i) Students' Evaluations of Instruction
Student evaluations of instruction shall be distributed to the candidate, to the candidate's department and/or program chair(s), and to the dean of the faculty for the candidate's personnel file. These materials will be made available to the Faculty Personnel Committee.

ii) Internal Colleagues' Letters
All evaluators shall write a signed letter of evaluation that discusses the evidence presented by the candidate in the context of the criteria described in Article II. Evidence of teaching excellence 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. Evaluators should discuss the candidate's professional achievement, governance and engagement, evidence of ongoing development, and future promise.

iii) 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.

Article III, Section 3: The Dossier for Tenure and Promotion to Full Professor/Senior Lecturer

The dossier is a portfolio of evidence that provides material that will be reviewed by the Faculty Personnel Committee. The candidate is responsible for building a case that is supplemented with material requested by the Faculty Personnel Committee. The candidate should provide a current CV as part of this dossier.

Individuals holding joint contracts shall be evaluated both individually and as a team. Before such evaluations, the dean of the faculty shall remind authors of letters and members of the committee that this evaluation must be in

conformance with the requirements of the joint contract, i.e., jointly they shall serve the College in ways equivalent to a full-time teaching member of the faculty. Evaluators should take particular notice that any possible quantitative standards of productivity used in the evaluation of individual holders of a joint appointment must be reduced in light of half-time employment.

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

a) Materials Produced by Candidate for Tenure and Promotion to Full Professor

i) Teaching

The candidate is responsible for providing a statement on teaching and should provide pedagogical materials for Faculty Personnel Committee review (e.g., syllabi, curricular activities, examinations, etc.). Excellence in teaching is a requirement for all tenure-track positions. The definitions of excellence in teaching are the same as those defined in Article II.

ii) Professional Achievement

The candidate is responsible for providing a statement on professional achievement and should provide materials for Faculty Personnel Committee review. Excellence in professional achievement, in the form of research, writing, publication, or creative work and exhibition, is normally a requirement for all tenure-track positions. The definitions of excellence in professional achievement are those listed in Article II. The candidate is responsible for submitting regular annual reports of professional activities, which become part of the dossier considered by the Faculty Personnel Committee. Every candidate for reappointment, tenure, or promotion should also submit to the Faculty Personnel Committee a written statement of scholarly, artistic, or other comparable work in progress and of goals for the future. The candidate should submit copies of all successful grant proposals and all published articles or books. Finally, the candidate may submit any other relevant material, including all papers read to scholarly audiences, letters concerning scholarship, art, or equivalent achievement by professionally qualified persons.

iii) Governance and Engagement

The candidate is responsible for providing a statement on their work in governance and engagement and should provide materials for Faculty Personnel Committee review. Excellence in governance and engagement is expected for all tenure track positions. The definitions of excellence for governance and engagement are those listed in Article II.

iv) Selection of Student Evaluators

See section 4(a) below

v) Selection of Internal Colleagues

See section 4(b) below

vi) Qualified Professionals Elsewhere

See Section 5 below

vii) The Examiners

The candidate may select one of the examiners to offer council concerning the submission of written materials and to check the dossier, prior to its review by the Faculty Personnel Committee, for completeness and correctness. See Section 6 below for details.

viii) Clarification

The candidate has the right to respond to the committee in writing after the clarification letter has been received. The candidate may also bring up any matters on which the candidate would like to comment.

b) Materials Produced by Candidates for Promotion to Senior Lecturer

i) Teaching
The candidate is responsible for providing a statement on teaching and should provide pedagogical materials for Faculty Personnel Committee review (for example, syllabi, curricular activities, examinations etc.). Excellence in teaching is a requirement for promotion to senior lecturer. The definitions of excellence in teaching are the same as those defined in Article II, with the exception that academic advising is not required of all lecturers.

ii) Professional Achievement

The candidate is responsible for providing a statement on professional achievement and should provide materials for Faculty Personnel Committee review. Excellence in professional achievement, in the form of research, writing, publication, or creative work and exhibition, is normally a requirement for promotion to senior lecturer. The definitions of excellence in professional achievement are those listed in Article II. 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 the faculty, lecturers may be appointed with an understanding that professional achievement is not necessary or appropriate. In these cases, evaluators and members of the Faculty Personnel Committee need not take professional achievement into account as part of their evaluation.

iii) Supplemental Teaching and Service

See Article 3 Section 2(a)iii above.

iv) Selection of Student Evaluations

See Section 4(a) below.

v) Selection of Internal Colleagues

See Section 4(b) below.

vi) Qualified Professionals Elsewhere

See Section 5 below.

vii) The Examiners

The candidate may select one of the examiners to offer council concerning the submission of written materials and to check the dossier, prior to its review by the Faculty Personnel Committee, for completeness and correctness. See Section 6 below for details.

viii) Clarification

The candidate has the right to respond to the committee in writing after the clarification letter has been received. The candidate may also bring up any matters on which the candidate would like to comment.

c) Materials Gathered by the Faculty Personnel Committee

i) Students' Evaluations of Instruction[13]

Student evaluations of instruction shall be summarized and distributed to the candidate, to the candidate's department and/or program chair(s), and to the dean of the faculty for the candidate's personnel file. These materials will be made available to the Faculty Personnel Committee.

ii) Students' Letters[14]

[13] Revised student evaluation policies, 7 April 2014.
[14] Due date for Student Letters to Personnel revised, 7 December 2015.

Students' letters evaluate the candidate's teaching, according to the criteria for teaching specified in Article II.

iii) Internal Colleagues' Letters

All evaluators shall write a signed letter of evaluation that discusses the evidence presented by the candidate in the context of the criteria described in Article II. Evidence of teaching excellence 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. Evaluators should discuss the candidate's professional achievement, governance and engagement, evidence of ongoing development, and future promise.

iv) External Colleagues' Letters

Outside judges, writing according to the provisions of Article III, Section 5, 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 Faculty Personnel Committee.

v) 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 the committee other materials from the candidate's file. All such material must be opened to the chosen examiner before submission to the committee.

Article III, Section 4: Internal Evaluation

a) Selection of Student Evaluators

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 Faculty Personnel Committee, concerning candidates for the tenurial decision and at first consideration for promotion to full professor or senior lecturer.

b) Selection of Internal Colleague Evaluators

If qualified, faculty standing for full professor may apply either option 1 or option 2 of the following two processes.

i) Option 1 (available to faculty considering promotion to full professor. This option also is available to faculty seeking reappointment as a lecturer).

Tenured members of departments and programs, as well as the chairs of departments, programs, and divisions share ongoing responsibility for the evaluation of junior-ranking members. The Faculty Personnel Committee requests evaluations from all such colleagues, as specified in Article III, Section 4(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[15]

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

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

[15] Evaluation Procedures revised, 11 January 1999.

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 III, Section 7(c)(vi) 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 studies, except in the case of lecturers.
2. The chair of the program.
3. Senior-ranking colleagues in the candidate's program.
4. To provide continuity, two senior-ranking colleagues (usually drawn from the appropriate program committee or the search committee) shall be identified at the time of the candidate's appointment by the dean of the faculty upon recommendation of the chair of interdisciplinary programs, in consultation with the chair of the program and the candidate. These colleagues shall serve as permanent evaluators from the time of appointment through subsequent tenure and promotion decisions.
5. Two additional senior-ranking colleagues drawn from the membership of the program committee at the time of the call for letters for the candidate's first evaluation by the Faculty Personnel Committee. These two additional faculty are selected by the Faculty Personnel Committee from four names recommended by the chair of interdisciplinary studies, 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 Faculty Personnel Committee through subsequent tenure and/or promotion decisions.
6. At the time of consideration for reappointment, tenure, or promotion, at the discretion of the candidate, one or two additional uniquely qualified senior-ranking colleagues who are familiar with the candidate's teaching and scholarship shall be selected by the chair of interdisciplinary studies, in consultation with the chair of the relevant program and the candidate.
7. In consideration of promotion, the chair of interdisciplinary studies and the chair of the program write evaluations regardless of rank.
8. Recommendations for replacement of any of the individuals specified in (3) and (4) above due to illnesses, retirements, and the like shall be made to the Faculty Personnel Committee from colleagues selected by the chair of interdisciplinary studies in consultation with the chair of the program and the candidate.
9. For anomalous situations, Article III, Section 7(c)(vi) of the Rules and Procedures of the faculty shall apply.

c) Evaluation of Candidates Holding Dual Appointments[16]

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

[16] Evaluation Procedures revised, 11 January 1999.

members of the faculty as follows:

1. The chair of each relevant division, except in the case of lecturers.
2. The chair of each relevant department and/or program.
3. Four senior-ranking colleagues, two drawn from each of the departments and/or programs in which the candidate serves. To provide continuity, these four faculty shall be identified at the time of the candidate's appointment by the dean of the faculty upon recommendation of the chair of the relevant division 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 in consultation with the relevant department and/or program chairs and the candidate.
5. In consideration of promotion, division chairs 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 Faculty Personnel Committee 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 III, Section 7(c)(vi) of the Rules and Procedures of the faculty shall apply.

d) Evaluation of Candidates Appointed in a Department, but with Significant Interdisciplinary Service[17]

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

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

At the discretion of the candidate:

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

[17] Evaluation Procedures revised, 11 January 1999.

ii) Option 2 (for candidates with tenure-track appointments whose tenure-track contract begins on or after 1 August 2015)[18]

Tenured members of the faculty share ongoing responsibility for the evaluation of junior-ranking members. At the scheduled occasions of consideration for reappointment, tenure, and promotion to full professor, the Faculty Personnel Committee will request evaluations from tenured faculty as specified in this section. 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 is expected to write. The dean of the faculty also shall notify all tenured faculty members who have served at least two years at the rank of associate professor of their options regarding selection of an evaluation committee for consideration of promotion to full professor. Additionally, at the beginning of each academic year, the dean of the faculty shall make available to all faculty a list of all tenured members of the faculty, annotated with the fields of expertise of each faculty member and the number of tenure and promotion review cases to which each faculty member is currently assigned.

a) For reappointment and tenure for all tenure-track appointments, evaluators shall be selected from members of the faculty as follows:

By the end of the first semester of the tenure-track appointment, preferably before the start date of the tenure-track contract, the Faculty Personnel Committee will appoint four distinctly qualified tenured faculty as evaluators of the candidate from a list of not fewer than six and not more than ten potential evaluators. This list of potential evaluators is assembled by the chair(s) of the appointing department(s) and program(s) in consultation with the search committee, the division chairs, and any additional faculty staffing the departments or programs of the candidate's appointment. The assembled list should include a description of the qualifications of each proposed potential evaluator to help the Faculty Personnel Committee in their selection. The four evaluators selected will serve from the time of appointment through the first evaluation by the Faculty Personnel Committee and any subsequent tenure decision. By the end of the academic year preceding the candidate's reappointment review, the Faculty Personnel Committee will appoint one additional distinctly qualified evaluator of the candidate from a list of three potential evaluators. This list is assembled by the candidate in consultation with the four faculty evaluators originally appointed to the review. Here again, the assembled list should include a description of the qualifications of each proposed potential evaluator to help the Faculty Personnel Committee in their selection.

Evaluators will be drawn primarily from among the tenured faculty who meet regularly to administer the department(s) and program(s) in which the candidate is appointed. They may also include tenured faculty on the search committee or in the candidate's fields of expertise. In the case of appointments spanning more than one academic unit, evaluators should be drawn from each of the departments and programs of the candidate's appointment, with representation roughly proportional to the candidate's curricular responsibilities. It is assumed that the lists provided to the Faculty Personnel Committee and the selected evaluators will be broadly representative of the candidate's fields of expertise, and that consideration will be given to the existing evaluation load of potential evaluators. It is further assumed that those appointed to review by the Faculty Personnel Committee will serve.

b) For promotion to full professor, evaluators shall be selected from members of the faculty by one of two methods at the will of the candidate:

If the group of evaluators appointed at the time of the tenure review includes at least four faculty members at the rank of full professor, the candidate for promotion may retain the original evaluators. All faculty from the original group who have achieved the rank of full professor shall serve as evaluators.

Alternatively, in the third year after tenure, or no later than one year before the candidate submits materials for consideration for promotion to full professor, the candidate may request that a new evaluation committee of at least four faculty holding the rank of full professor be appointed by the Faculty Personnel Committee. This written request must be made to the division chairs and must include an intellectual

[18] Evaluation procedures revised, 2 December 2013.

rationale for the formation of a new committee. In consultation with the candidate and the tenured full professors of the appointing department(s) and program(s), the division chairs shall assemble a list of six distinctly qualified full professors. The Faculty Personnel Committee will appoint four of the six faculty as evaluators, and it is assumed that if appointed, the faculty will serve.

c) Recommendations for replacement of any of the individuals specified above due to illnesses, retirements, and the like shall be made to the Faculty Personnel Committee from colleagues selected by the division chairs after consultation with the candidate and the tenured members of the department(s) and program(s) of appointment.

d) For anomalous situations, Article III, Section 7(c)(vi) of the Rules and Procedures of the faculty shall apply.

Article III, Section 5: External Evaluation

At promotion, the Faculty Personnel Committee solicits four outside evaluations from qualified judges of the candidate's professional work.[19] Once identified by the Faculty Personnel Committee, all communication with outside evaluators concerning this evaluation originates with the College. The judges are selected in the following manner. The candidate designates one judge and also provides an alternate name. In addition, the candidate submits six names of qualified persons with brief descriptions of their qualifications.

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

Article III, Section 6: The Examiners[20]

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 Faculty Personnel Committee or the Committee on Personnel for Physical Education. The individual examiners function independently of one another and of the committees 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 committees on personnel, prior to its consultation by the committee, for completeness and correctness; see Article III, Sections 2 and 3.

c. To state in writing to the dean of the faculty and the committees 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.

[19] Modified policies regarding External Evaluators, 13 January 1986; revised 8 September 1986.
[20] Modified policies regarding the Examiners, 5 February 1990.

e. To advise the dean of the faculty of any material deemed "improper" by the criteria of Article II, 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 (e) above.

g. To maintain confidentiality according to the provisions of Article III, Section 7 (e). To check for completeness and correctness of the dossier and other material (with the exception of the minutes of the faculty committees on personnel) submitted to the Trustee Review Committee in case a candidate appeals a personnel decision.

Article III, Section 7: The Faculty Personnel Committee

a) How the Faculty Personnel Committee Makes Decisions[21]

i) Elected members of the Faculty Personnel Committee and the dean of the faculty share responsibility with the president for evaluating all candidates for reappointment, tenure, or promotion. All evaluations of evidence presented by candidates are guided by application of the criteria articulated (Article II, Sections 1-4). Reviews are mandated to occur at a particular time as indicated by the calendar (Article III, Section 1b). The Faculty Personnel Committee makes recommendations to the president in matters of reappointment, tenure, and promotion. The dean of the faculty and the president are responsible for the final preparation of any recommendations that require action by the Board of Trustees, which has final responsibility and authority for personnel decisions.

Every notification of a personnel decision shall include a detailed evaluation of individual performance based upon materials submitted to the Faculty Personnel Committee and its discussion of those materials. This evaluation shall include a statement of the merits of the case, a review of their relative importance, and a full statement of the reasons for the Faculty Personnel Committee's recommendation. This statement should include discussion of student ratings and letters on teaching, colleagues' evaluation of research and teaching, and outside evaluations of research and service to the college, as appropriate. All written notifications must include information relevant to institutional needs determined by the president or the dean of the faculty to the extent they may affect the individual's opportunity for reappointment, tenure, or promotion, as the case may be. The individual may respond to the notification 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. Performance notification letters from the Faculty Personnel Committee will be made available to the committee during all subsequent review processes.[22]

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

ii) Nondiscrimination

The committee may not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, gender identity, gender expression, marital or parental status, age, or disability.

b) Clarification

During reviews of candidates by the Faculty Personnel Committee for reappointment in the third year, for tenure, for promotion, and for lecturers on multi-year contracts, the following procedures shall apply: after the committee has made an initial review of all materials submitted, the committee shall write a letter to every candidate indicating as specifically as possible any points which the committee believes could be clarified by a response from the candidate, or indicating that no clarification is necessary. It is understood that the committee is not required to report to the

[21] Edited, 6 October 2025.

[22] Modified policies regarding notifications, 5 February 1990.

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.[23]

c) Conflicting Responsibilities and Special Conditions

i) 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.

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

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

iv) A chair of a division who would be the only participating representative of the division 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. The member selected must be notified of this responsibility early in the semester preceding the one in which the letter is due.

v) For reappointment of lecturers and promotion to senior lecturer, division chairs do not write as division chairs or serve as division chair in any other evaluative capacity (e.g., division chairs shall not participate in selecting additional colleagues).[24]

vi) 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.

vii) Recusals. In some cases, a member of the Faculty Personnel Committee must recuse themselves from review of a candidate due to a conflict of interest. The composition and size of the Faculty Personnel Committee must remain at five full professors for promotion to full and seven faculty for reappointment and tenure decisions. When an individual is recused, a replacement for that person will be selected by the current Faculty Personnel Committee from a roster of former Faculty Personnel Committee members who have served most recently, within a five-year limit. When possible, the Faculty Personnel Committee must maintain the divisional and rank composition as described in the Faculty Handbook.

For candidates for tenure whose initial tenure-track contract begins on or after 1 August 2015 and for candidates standing for promotion to full professor after 1 August 2015.[25]

i) Members of the Faculty Personnel Committee who are on a list of potential evaluators for a candidate may participate in deliberations on the composition of that candidate's list of evaluators. Potential evaluators on the committee shall not be present when the chair of the committee calls for the final discussion of the list, nor shall potential evaluators be present when the chair of the committee calls for the vote on the final composition of the list.

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

iii) Associate professors on the Faculty Personnel Committee neither participate in nor vote on promotion to full professor, nor do they review these dossiers.

[23] Review procedures amended, 5 February 1990.
[24] Division Chair responsibilities amended, 7 February 2011.
[25] Evaluation procedures revised, 2 December 2013.

iv) The dean of the faculty is responsible annually for recommending to the Faculty Personnel Committee how to deal with anomalous situations as they may arise, such as multiple evaluators for a candidate serving on the Faculty Personnel Committee, 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.

d) Privileges of the Vice President for Equity and Inclusion

The College's Office of Equity and Inclusion has access to all written material submitted to the committee.

e) Confidentiality

i) Written Materials

All evaluative letters from students and outside judges submitted to the committee according to the provisions of Article III shall be kept confidential by the committee, except for the provisions of (ii) below, and the notification requirements of Article III, Section 7(a). All evaluative letters written by Bates colleagues may be read by the candidate once they are ready for the appropriate personnel committee. The candidate's further rights of access are specified in Article VI, Section 6(c).[26]

ii) Proceedings of the Committee

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

f) Committee Examination of the Dossier

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

Article III, Section 8: The President and the Board of Trustees

Recommendations from the Faculty Personnel Committee will be submitted to the president for consideration by the president and for decision by the Board of Trustees. 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 Personnel Committee, such nonacceptance shall be stated in the letters of notification.

Article IV: Procedures and Policies

Article IV, Section 1: Administrative Consultation before Initial Appointment

Before an initial offer of tenure-track employment or of non-tenure-track initial appointments in a department or program can be extended to any person, the president or dean of the faculty consults with the department or program chair regarding the judgments of all department or program members in residence on the candidates.[27]

Article IV, Section 2: Conditions on Initial Appointments

a) Tenure is granted in connection with an initial appointment only upon recommendation of the Faculty Personnel Committee, and is not solely an administratively negotiable condition. Initial appointment may be made at any rank. See above, Article III Section 1(a)(iv)(1). Lecturers are not eligible for tenure.

b) Initial Authorizations, Lecturers

[26] Policy regarding confidentiality of outside letters created, 22 January, 1990.
[27] Established 1 April 1968. Amended, 2 February, 1990.

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

i) Reauthorizations, Lecturers

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.

ii) 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 Faculty Personnel Committee. Lecturers engaged in non-classroom forms of teaching shall also be evaluated by the Faculty Personnel Committee. Faculty Personnel Committee evaluations shall be conducted according to the schedule in Article III Section 1(b).

Article IV, Section 3: Initial Contracts[28]

To consummate the initial appointment, the president or the president's designee, on behalf of the Board of Trustees, and the appointee shall execute a written contract stating rank, salary, beginning and terminating dates of employment, fringe benefits, duties, and any special conditions specifically including credit for prior service as provided for above in Article III, Section 1(a)(iv)(1). Joint contracts shall indicate as fully as possible what modifications, if any, in these Rules and Procedures are matters of agreement. In the absence of such written modifications, the presumption must be that these Rules and Procedures apply.

Article IV, Section 4: Subsequent Contracts[29]

In annual contractual letters issued by 15 February, the College notifies each member of the faculty of the individual's rank, salary, and benefits for the succeeding academic year. The contract must be electronically signed by 15 March.

Article IV, Section 5: Limited Term of Nontenurial Service[30]

No individual may be reappointed on a nontenurial contract extending beyond the seventh consecutive year of full-time teaching on the faculty of Bates College. Lecturers, teaching less than full time, may be so reappointed. Part-time tenure-track faculty, teaching less than full time, may be so reappointed only in accordance with the schedule stated in Article III, Section 1(a)(iii). 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.[31]

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[28] Established 1 April 1968; Revised 9 March 1970.

[29] Ibid.

[30] Ibid.

[31] Amended, 2 April 1990.

Article IV, Section 6: Resignations[32]

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 V: Physical Education[33]

Article V, Section 1: Composition and Selection of the Committee on Personnel for Physical Education[34]

The Committee on Personnel for Physical Education makes recommendations in matters of contracts for head coaches in the Department of Athletics. The committee is composed of the dean of the faculty (*ex officio*), the vice president of student affairs (*ex officio*), the director of athletics (*ex officio*), the senior woman administrator (*ex officio*), the faculty athletics representative, and three elected members of the faculty of the College. The faculty elects these last three members for three-year, overlapping terms. The Committee on Faculty Governance 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. The dean of the faculty serves as the chair of the Committee on Personnel for Physical Education. Voting members of the committee are the senior woman administrator, the faculty athletics representative, and the three elected members of the faculty, and decisions of the committee are based on majority, notwithstanding Rules and Procedures of the Faculty Governance, Article V, Section 3(f). Decisions involving employment contracts for head coaches, or the renewal of contracts, are subject to the approval of the president and the Board of Trustees. As such, the Committee on Personnel for Physical Education makes recommendations related to head coach contracts to the president, who, in turn, makes recommendations to the Board of Trustees.

Article V, Section 2: Types of Reviews[35]

a) Fourth-Year Review

The initial contract for head coaches in the Department of Athletics shall be two years in length. If performance in the two years is satisfactory, as determined by the director of athletics, the director of athletics shall, with approval by the president and the Board of Trustees, offer a second contract of two years in length. Head coaches in the fourth year of service will be evaluated by the Committee on Personnel for Physical Education according to the relevant procedures and schedule described in Article V, Sections 4 and 5, based on the criteria set forth in Article V, Section 3. If the fourth-year evaluation by the Committee on Personnel in Physical Education is positive, the director of athletics will make a recommendation to the Committee on Personnel for Physical Education on the length of time for an additional contract, which will ordinarily be an additional two years. The Committee on Personnel for Physical Education will take that recommendation into consideration when recommending the length of the new contract.

If, after the fourth-year review, the head coach is not provided with a two-year contract, but rather is provided with a one-year contract, at the end of that year the director of athletics will recommend to the Committee on Personnel for Physical Education whether or not to then offer the head coach an additional one-year contract toward the sixth-year review process. The annual performance review process, completed by the Department of Athletics, will be used to inform such deliberations, with particular attention paid to areas of performance that were in need of improvement at the time of the fourth-year review. If the Committee on Personnel for Physical Education decides to recommend the head coach for another one-year contract, it shall make this recommendation to the president. If the Committee on Personnel for Physical Education decides not to recommend the head coach for another one-year contract, the head coach will not receive another contract. If the fourth-year evaluation is unfavorable, the head coach will not be reappointed after the fourth year.

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[32] Established 1 April 1968.
[33] Established policies for members of the Department of Physical Education regarding reappointment, promotion and contracts, 12 January 1976; revised 7 April 2003.
[34] Established committee, 4 October 1976; revised, 5 May 2003.; added Head Coaches to all policies in Article V, Section 1-4, 1 December 2003; revised, 9 April 2007; revised, 7 May 2012; revised, 4 November 2019.
[35] Ibid.

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

b) Sixth-Year Review

Head coaches in the sixth year of service will be evaluated by the Committee on Personnel for Physical Education according to the relevant procedures and schedule described in Article V, Sections 4 and 5, based on the criteria set forth in Article V, Section 3. Candidates who are positively reviewed as a result of the sixth-year review process will be recommended to receive a three-year rolling contract. Candidates who receive an unfavorable sixth-year review will not be reappointed.

c) After Sixth-Year Review

The contract renews each year for a subsequent three-year period, provided that the head coach receives an annual performance review that meets the standards as set forth in Article V, Section 3, for the prior year by the Department of Athletics. For a head coach with a performance review that does not meet the standards as set forth in Article V, Section 3, by the Department of Athletics, the head coach's three-year contract freezes. The second year of the contract provides an opportunity for the head coach to remedy the concerns that led to the unsatisfactory review. If successful, the head coach will resume on a three-year rolling contract. If after the second year the head coach receives an unsatisfactory performance review by the Department of Athletics, the director of athletics will bring a recommendation for non-renewal to the Committee on Personnel for Physical Education, supported by information demonstrating that the head coach is not meeting the criteria for a contract as set forth in Article V, Section 3. The Committee on Personnel for Physical Education will use the Department of Athletics annual performance evaluation, including the head coach self-assessment, which is a part of the annual performance evaluation to determine whether or not the head coach is meeting the criteria. The Committee on Personnel for Physical Education reserves the right to request any additional information as set forth in Article V, Section 4, deemed necessary to determine whether or not the head coach is meeting the criteria. If the Committee on Personnel for Physical Education determines the head coach is not meeting such criteria, then the head coach's contract will terminate at the end of the third year. If the Committee on Personnel for Physical Education determines the head coach is meeting the criteria, then the committee will recommend the head coach receive another three-year rolling contract.

Article V, Section 3: Criteria for Evaluation[36]

Needs of the College as finally determined by the president and the Board of Trustees must govern all decisions on appointments, reappointments, and contracts. Excellence as a coach is the normal condition for the awarding of contracts. Being an excellent coach involves many things, including serving as an educator who encourages the development in individual students of such qualities as self-confidence, self-control, persistence, discipline, cooperation, teamwork, strategic thinking, and skill acquisition. Areas of assessment shall include, but are not limited to, the following categories:

- support and mentorship of student-athletes
- team culture
- recruiting effectiveness and roster management
- technical coaching ability
- equity and inclusion program management
- team performance
- engagement in fundraising
- professional development

[36] Revised, 5 May 2003; Revised 7 May 2012

- fulfillment of secondary assignments
- service to the College and community

The evaluation of coaching excellence is necessarily holistic, requiring a look at the totality of the coach's performance.

Article V, Section 4: Evaluative Procedures for Fourth-Year and Sixth-Year Reviews[37]

a) Submissions from the Candidate

The candidate is responsible for submitting to the director of athletics annual reports of professional activities, including coaching and recruiting, which become part of the dossier considered by the Committee on Personnel for Physical Education. For fourth-year and sixth-year reviews, the candidate shall submit a dossier that includes information about the areas of assessment set forth in Article V, Section 3. At the discretion of the head coach under review an examiner may be requested (see Article III, Section 6).

b) Internal Colleagues' Letters

For fourth- and sixth-year reviews, two internal colleagues shall be selected by the director of athletics, in consultation with the candidate, who are head coaches and who have already successfully completed the sixth-year review. These two internal colleagues will be identified in the candidate's first year and will need to observe the candidate's performance for at least two seasons. Replacement of any of the selected internal colleagues due to illnesses, retirements, or other reasons shall be identified by the director of athletics, in consultation with the candidate.

Internal colleague letters should evaluate the candidate's professional achievement and promise as a coach. Internal colleague letters must be based on factual evidence as well as personal judgment. Internal colleague letters should evaluate the candidate based on the criteria set forth in Article V, Section 3. The internal colleague letters shall be available for the candidate to view in advance of submitting their dossier.

c) External Colleagues' Letters

For the sixth-year review, two external colleagues shall be selected by the director of athletics, in consultation with the candidate. Each external colleague shall be a head coach from another college or university. These two external colleagues will be identified prior to the beginning of the candidate's fourth year and will need to have observed the candidate's performance for at least two seasons at the time of writing the letter. Replacement of any of the selected external colleagues due to illnesses, retirements, or other reasons shall be identified by the director of athletics, in consultation with the candidate.

External colleague letters must be based on factual evidence as well as personal judgment. External colleague letters should evaluate the candidate based on the criteria set forth in Article V, Section 3. The external colleague letters shall be available for the candidate to view in advance of submitting their dossier.

d) Students' Evaluations

The committee shall be provided with the summaries of student feedback prepared by the Department of Athletics from the post-season team meeting with the director of athletics for each of the seasons preceding the review. The Committee on Personnel for Physical Education shall also be provided with a summary, by class year, of quantitative data related to the head coach that is collected from the annual post-season survey.

At the sixth-year review the candidate shall select three former team members who are now alumni/ae to write and submit evaluation letters. In addition, the Committee on Personnel for Physical Education shall randomly select three additional former team members who are now alumni/ae and who agree to write and submit evaluation letters based on the criteria set forth in Article V, Section 3. The Committee on Personnel for Physical Education will give preference to selecting those alumni/ae who were on the team and under the candidate's management for all four

[37] Revised, 5 May 2003; revised 9 April 2007; revised 7 May 2012; revised 3 March 2014.

years. The student post-season meeting summary and alumni/ae letters shall be available for the candidate to view in advance of submitting their dossier.

e) Annual Evaluations

The Department of Athletics completes performance evaluations for each head coach on an annual basis using the criteria outlined in Article V, Section 3. The Committee on Personnel for Physical Education shall review the candidate's annual performance evaluation provided by the Department of Athletics.

Article V, Section 5: Calendar for Fourth-Year and Sixth-Year Reviews[38]

Ordinarily, contract decisions shall be made by 10 February of the fourth-year and sixth-year of full-time service. This calendar may be adjusted in order to accommodate winter and spring coaches and their responsibilities during their playing seasons. The committee, upon recommendation from the director of athletics, will make the necessary adjustments. The process begins in the previous year and progresses according to the following schedule:

1 May: selection and confirmation with the candidate of internal colleague letter writers, external colleague letter writers, and alumni/ae letter writers; call for candidates' dossiers.

1 June: call for letters from internal colleagues, external colleagues, and alumni/ae; candidate provides materials to internal colleagues and external colleagues.

1 October: candidate's internal colleagues' letters, external colleagues' letters, alumni/ae letters, summaries of student feedback from post-season team meetings, summaries of quantitative data related to the head coach that is collected from the annual post-season surveys, and annual performance evaluations due. (Note: external colleagues' letters and alumni/ae letters are only for the sixth-year review)

1 November: all submitted materials available for candidate to view.

20 November: candidate's dossier due.

1 December: candidate's materials available for the Committee on Personnel for Physical Education to view.

10 February: deadline for mailing of formal written notifications on the review decisions.

In unusual circumstances and for good cause, the committee, in consultation with the director of athletics, may alter the above schedule, in whole or in part, to meet the needs of the College.

Article V, Section 6: Faculty Status

Head coaches, upon appointment, shall be Instructors, thereby granting head coaches the opportunity to attend and vote at faculty meetings.

Article V, Section 7: Appeals

Head coaches shall have the same rights of appeal, as outlined in Article VI, except that the Hearing Committee shall be governed by the criteria set forth in Article V, Section 3.

Article V, Section 8: Termination for Cause

All head coaches are subject to immediate termination for cause. "Cause" means any of the following:

a) Gross neglect of duty resulting in a clearly inadequate fulfillment of responsibilities as a head coach; Willful failure to comply with College rules or policies, or to comply with a lawful directive reasonably related to the performance of job duties from a supervisor;

b) Any act of fraud, misuse, or embezzlement of College funds or property, gross misconduct, dishonesty, gross insubordination, misuse of proprietary or confidential information or similar conduct;

c) Formal charge, whether by indictment, information, or complaint for a crime punishable as felony or any other crime for which imprisonment is a possible punishment;

[38] Revised, 7 April, 2003; revised, 5 May 2003; revised, 12 January 2004.

d) Elimination of an athletic program in which the head coach is employed;

e) *Bona fide* financial exigency of the College

Article VI: Appeals

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

Article VI, 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 III, Section 1(b). 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 Personnel Committee, shall be checked for completeness and correctness by the examiner of the appellant's dossier prior to its submission to the Trustee Review Committee.

Article VI, 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 I, Section 2 or Article III, Section 7(a)(ii). "Academic Freedom" is defined by the 1940 "Statement of Principles" and the 1970 "Interpretive Comments" of the American Association of University Professors.

Article VI, Section 3: Procedures for Initiating a Trustee Review Committee

After receiving from the faculty member who was denied reappointment, tenure, or promotion a written appeal that alleges violation of process, the dean of the faculty shall submit it to the president. The president shall request the chair of the board of trustees to convene the Trustee Review Committee, which shall report its findings to the president and to the appellant within 75 days of the time the appeal is delivered to the dean of the faculty.[39] This report should respond to the substance of the allegations made in the appeal submitted by the faculty member.

Article VI, 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 Faculty Personnel Committee in connection with the decision from which the appeal has been claimed may serve on the Review Committee. The Review Committee may elect its own chair.

Article VI, 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 Personnel Committee followed the *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*. The Review Committee should be governed by the criteria specified above in Article II and should have access to materials specified in Article III. 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 Faculty Personnel Committee (Article III, Section 7(e)) shall not prevent

[39] Establishing a Review Committee, 4 April 1988, approved by the Board of Trustees, May 1988.

submissions by individual members of the Faculty Personnel Committee to the Trustee Review Committee. If the Review Committee finds substantive evidence that the Faculty Personnel Committee 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 Personnel Committee must then formally reconsider the case, including in its reconsideration material submitted to the Trustee Review Committee, and make a fresh recommendation to the president that either upholds or reverses the committee's original recommendation. The president, in turn, shall make a fresh recommendation to the Board of Trustees.

Article VI, Section 6: Procedures in Cases Alleging Violation of Process which Result in Violation of Academic Freedom or of Equal Opportunity

a) Function of the Trustee Review Committee

In cases alleging violation of process that result in violation of academic freedom or of equal opportunity as stated in Article I, Section 2 or Article III, Section 7(a)(ii), 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 Faculty Personnel Committee (Article III, Section 7(e)) shall not prevent submissions by individual members of the Faculty Personnel Committee 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 Personnel Committee, then it shall instruct the president to convene the Faculty Review Board, and inform the appellant of such finding. If there is evidence of violation of academic freedom or of equal opportunity solely by the president or the Board of Trustees, then the Review Committee shall report it to the chair of the Board of Trustees for further Trustee consideration.

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

The board shall consist of nine tenured members elected by the faculty for five-year terms. If a member is elected to the Faculty Personnel Committee 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 II and shall involve access to all material specified in Article III. 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 Personnel Committee. 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 Personnel Committee 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 Personnel Committee

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

Article VI, Section 7: Physical Education

Head coaches, who hold faculty appointments 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, Section 4.

Article VII: Termination for Cause for Faculty in Departments and Programs Other than Physical Education[40]

Article VII, Section 1: Definition

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

a) Gross neglect of duty resulting in a clearly inadequate performance as a teacher and as a member of the faculty.

b) Physical or mental disability of such serious nature as to preclude acceptable performance as a teacher and as a member of the faculty.

c) Personal conduct in flagrant conflict with the purposes of teaching and of scholarship and seriously detrimental to the College.

d) *Bona fide* financial exigency of the College.

Article VII, 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 in Departments and Programs Other than Physical Education.

Procedures for Termination of Faculty Contract for Cause[41]

a) Preliminary Proceedings Concerning the Fitness of a Faculty Colleague

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

[40] Established, 1 April 1968.
[41] Established, 1 April 1968; revised, 3 October 1994.

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

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

b) Commencement of Formal Proceedings

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

c) Suspension of the Faculty Member

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

d) Composition of the Hearing Committee

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

e) Committee Proceeding

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

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

The faculty colleague shall have the option of assistance by counsel, whose functions shall be similar to those of the representative chosen by the president. The colleague shall have the additional procedural rights set forth in the 1940 American Association of University Professors Statement of Principles on Academic Freedom and Tenure (see Article I, Section 2), and shall have the aid of the committee, when needed, in securing the attendance of witnesses. The colleague or counsel, and the representative designated by the president, shall have the right, within reasonable limits, to question all witnesses who testify orally. The colleague shall have the opportunity to be confronted by all witnesses adverse to the colleague. Where unusual and urgent reasons move the Hearing Committee to withhold this right, or where the witness cannot appear, the identity of the witness, as well as the witness's statements, shall nevertheless be disclosed to the colleague. Subject to these safeguards, statements may when necessary be taken outside the hearing and reported to it. All of the evidence shall be duly recorded. Unless special circumstances warrant, it shall not be necessary to follow formal rules of court procedure.

f) Consideration by Hearing Committee

The committee shall reach its decision in conference, on the basis of the hearing. Before doing so, it shall give an opportunity to the faculty colleague or the colleague's counsel and the representative designated by the president to argue orally before it. If written briefs would be helpful, the committee may request them. The committee may proceed to decision promptly, without having the record of the hearing transcribed, where it feels that a just decision can be reached by this means; or it may await the availability of a transcript of the hearing if its decision would be aided thereby. It shall make explicit findings with respect to each of the grounds of removal presented, and a reasoned opinion may be desirable. Publicity concerning the committee's decision may properly be withheld until consideration has been given to the case by the Board of Trustees. The president and the colleague shall be notified of the decision in writing and should be given a copy of the record of the hearing. Any release to the public shall be made through the president's office.

g) Consideration by the Governing Board

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

h) Publicity

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

Part 1B: Rules and Procedures of Faculty Governance

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

Article I: Membership and Responsibilities

Article I, Section 1: Membership

The composition of the faculty shall be as given in Article IX, Section 1, of *The Charters and By-Laws of Bates College*: "The Faculty of the College will consist of the President, the Deans, the Treasurer, and academic staff including the Registrar, the Librarian, the principal Assistant Librarian, the Professors, Associate Professors, Assistant Professors, Instructors, Lecturers, and the Visiting Professors."

Article I, Section 2: Responsibilities

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

Article II: Organization of the Faculty

Article II, Section 1: Officers

a) The president of the College, as the principal officer of the faculty, shall preside at faculty meetings. In the president's absence, the president shall designate the dean of the faculty to preside or in the dean's absence, the senior faculty member holding the rank of professor will preside. The presiding officer shall have the right of debate without yielding the chair.

b) The president shall appoint the secretary of the faculty whose duty it shall be to compile and maintain a complete file of the minutes of faculty meetings. The secretary shall also keep on file in the Office of the Dean of the Faculty copies of all faculty minutes.[42]

Official records of the faculty's deliberative assemblies (minutes and supporting documentation) are to be labeled and made accessible to faculty via a digital repository, one maintained with attention to principles of universal design. All Bates faculty shall have ready access to this digital repository. Responsibility for managing the digital repository, including delegation of access for other staff members of the College, shall reside with the Faculty Secretary.

At least one complete paper copy of each set of circulated minutes and supporting documentation is also to be retained by the College Archives for permanent storage. Permission to access and use stored faculty records shall follow the posted policies and procedures of the Archives. Responsibility for ensuring the proper retention of archival minutes shall reside with staff of the Edmund S. Muskie Archives and Special Collections Library, in coordination with the Faculty Secretary.[43]

c) The parliamentarian shall be appointed annually by the president.

Article II, Section 2: Divisions, Departments, and Interdisciplinary Programs[44]

a) The faculty shall be divided into divisions, departments, and programs. Any additions or deletions to these categories shall be subject to approval by the faculty.[45]

b) Faculty members hold appointments in the college. Academic units are organized into the divisions of humanities, interdisciplinary studies, natural sciences and mathematics, and social sciences. Faculty members may have membership in a department, a program, or in any combination of departments and programs.[46]

c) There shall be a chair of each division elected by the faculty.[47] All chairs shall be tenured members of the faculty with at least three years of service at Bates.

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[42] Revised, 6 November 1967; revised, 6 October 2025.
[43] Established, 2 March 2026.
[44] Established, 6 November 1967; revised, 3 May 1999.
[45] Revised, 6 October 2025.
[46] Ibid.
[47] Revised procedures for appointing Chairs and electing Division Chairs, 1 October 1984; Division Chair elections revised, 2 November 1992; Interdisciplinary Chair created, 3 November 1997.

1) A slate for the election of the chair of a division shall be determined by the faculty appointed to the departments in that division, or in the case of interdisciplinary programs, by the faculty appointed to a program or currently serving on a program committee.

2) The chair of a division shall be elected by a vote of all faculty.

3) The faculty eligible to serve as the humanities, natural sciences and mathematics, and social sciences division chair shall each have an appointment to a department in that division. In the case of the interdisciplinary studies chair, the faculty eligible to serve shall have significant interdisciplinary experience, defined as one of the following: service for at least two years on a program committee (within the last five years)[48] or holding a full or part-time appointment in an interdisciplinary program.

4) In addition to their Academic Affairs Council responsibilities, division chairs are charged with meeting with the departments and programs within their division, supporting and advising the faculty within their division (at all stages of their career), meeting routinely with department and program chairs within the division so as to advance departmental/program aims and help solve problems. Additional responsibilities may be set by the dean of the faculty.

Article III: Faculty Meetings

Article III, Section 1: Time of Meetings[49]

a) Regular faculty meetings normally shall be held at 4:15 p.m. on the first Monday of each month during the fall and winter terms and during Short Term. If the specified day falls during a vacation or recess, the meeting normally shall be held on the first or second Monday following the vacation. Each year, the Committee on Faculty Governance shall provide the faculty with a list of any potential conflicts the normal faculty meeting schedule for the year presents, and recommends changes for the faculty to approve to that year's meeting schedule so as to avoid these conflicts.

b) The first faculty meeting in the fall shall be held at the call of the president within a period of seven days after the first day of classes.

c) Special meetings of the faculty may be called at the discretion of the president. The president shall also call a special faculty meeting at the written request of twenty members of the faculty.[50]

d) The presiding officer for special meetings will be designated by the Committee on Faculty Governance in consultation with the faculty group requesting the special meeting.[51]

e) The agenda for a special meeting will be set by the Committee on Faculty Governance in consultation with the faculty group requesting the special meeting.[52]

Article III, Section 2: Attendance and Quorum[53]

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

b) A quorum shall consist of a majority of the members of the faculty not on leave.

c) Individuals holding the following positions may attend faculty meetings as nonvoting observers.[54] The list includes heads of departments and other members of the college community whose work is closely linked with the

[48] Restriction added, 3 December 2018.
[49] Established, 6 November 1967; policy revised, 2 February 2004.
[50] Established, 6 November 1967; policy revised, 2 April 2012.
[51] Ibid.
[52] Ibid.
[53] Established, 6 November 1967; policy revised, 2 February 2004.
[54] List of non-voting attendees, established 3 September 1971; revised 2 October 1972, 10 September 1933, 9 September 1974, 11 September 1978, 10 September 1979, 15 September 1980, 14 September 1981, 9 September 1985, 19 September 1988; September 10 1990, 12 September 1994, 11 September 1995, 9 September 1996, 8 September 1997, 13 September 1999, 8 September 2003, (secretarial changes per the Faculty Handbook without faculty vote in 2005, 2009, 2014, 2017, 2019, 2021); revised 6 October 2025.

faculty's responsibilities but whose positions may not confer faculty status. If a person in any of these positions also has faculty status, then the person possesses the full voting rights accorded to all faculty members.

1) all library staff holding the position of professional librarian;

2) the associate and assistant deans of the faculty;

3) members of the senior staff;

4) the dean, associate, and assistant deans of students;

5) the associate dean and director of intercultural education;

6) the assistant dean of students and director of first-generation programs;

7) the director and associate deans of admissions;

8) the director of student financial services;

9) the senior director of corporate and foundation relations;

10) the senior associate dean for the center for purposeful work;

11) the director of counseling and psychological services;

12) the manager of outreach and support services, health services;

13) the assistant vice president for human resources and environmental health and safety;

14) the director of institutional research, analysis and planning;

15) the director of campus safety;

16) the director of student writing;

17) the director of the student academic support center;

18) the director and assistant director of the center for inclusive teaching and learning;

19) the multifaith chaplain;

20) members of the information and library services management team;

21) 3 students appointed by the Bates College Student Government for the year; 3 students may sign up individually to attend specific meetings;

22) 1 student reporter from the *Bates Student* newspaper selected by the editorial board.

d) The Committee on Faculty Governance will provide the faculty with names of the members of the Bates community who hold the offices listed in Article III, Section 2(c) 1-22, and will make any secretarial changes to the list required.

e) At its first meeting of the fall semester, the faculty may vote to invite others to attend faculty meetings throughout an academic year. At the beginning of a specific faculty meeting, the faculty may vote to invite others to attend that particular faculty meeting.

Article III, Section 3: Order of Business and Rules of Order[55]

a) The normal order of business shall be:

1) Call to order

2) Minutes

3) Unfinished business

[55] Established, 6 November 1967; policy revised, 2 February 2004.

4) Action reports of committees

5) New business

6) Information reports by committees

7) Information reports by officers of the College

8) Discussion of non-legislative matters

9) Suggestions for future action and discussions

10) Announcements

11) Adjournment

b) The agenda for each regular faculty meeting shall be prepared by the Committee on Faculty Governance. It shall consist of a list of the items of business to come before the faculty meeting in the order in which they are to be presented, including matters of new business where possible. The agenda shall be distributed to the faculty at least five days before the meeting of the faculty and shall be accompanied by texts of resolutions, reports, or other relevant documents to be considered with the items.[56]

c) A member of the faculty may submit items as "new business" not otherwise provided for in the agenda prepared by the Committee on Faculty Governance. Such items must be distributed to faculty in advance of the meeting, and with a two-thirds vote of faculty present may be considered at the meeting. Considering legislation as new business in this manner constitutes a first reading of that legislation.

d) Matters raised as "non-legislative matters," under section 8 of the order of business (Article III, Section 3) shall not be conducted under Robert's Rules. In all other cases Robert's Rules of Order shall be the authority for the conduct of faculty meetings except when in conflict with the By-Laws of the Faculty or the Corporation.

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

f) The Committee on Faculty Governance may alter the normal order of business as stated in paragraph (a) when in its judgment the urgency of a particular item requires its being taken up earlier in the meeting than the normal order would indicate. Such alterations, if made, shall be indicated at the time the agenda is distributed to the faculty.

Article III, Section 4: Voting[57]

a) All decisions shall be by a majority of those voting unless otherwise specified.

b) Voting may be by voice, by a show of hands, written ballot, or electronic ballot.

c) The method of voting shall normally be decided by the presiding officer unless

1) in the case of a voice vote, a show of hands is requested instead by a motion from the floor, or

2) in the case of a voice vote, a show of hands or an electronic ballot or a written ballot is requested instead by a majority of the faculty present.

Article III, Section 5: Recording Policies[58]

In recording the minutes of the meeting, the Secretary shall make note of all motions and amendments, and the names of those who present them. The minutes shall also record all votes. In addition, the minutes shall summarize briefly the main topics of discussion, including central considerations for and against the motion or amendment at hand. These summaries shall not include the names of contributors, but may include reference to the speaker's position—e.g. Registrar, Dean of the Faculty—if relevant to the topic. Direct quotations are to be avoided. Minutes also briefly characterize the topic of each information report, and substantive questions or comments raised following these reports. Discretion over the interpretation of these stipulations rests with the appointed Secretary.

[56] Established, 6 April 1970.

[57] Established, 6 November 1967; revised, 2 February 2004; revised, 2 November 2009.

[58] Established, 1 December 2023.

Faculty maintain their power to offer amendments or corrections to address errors of fact in the circulated minutes during the standard approval process at the next faculty meeting.

No attendee at faculty meeting shall record any portion of the meeting using audio, video, or still image recording, without the explicit discussion and consent of the assembly.

Article IV: The Legislative Process[59]

Article IV, Section 1: The Committee on Faculty Governance[60]

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

Article IV, Section 2: Legislative Routes for Proposals from Committees

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

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

Deliberative legislation shall require at least two readings extending over at least two regular faculty meetings.[61] At the first reading there shall be opportunity for questions and explanatory discussion not subject to Robert's Rules; debate on the issues shall be confined to the second, third, and any subsequent readings. Those proposing new legislation may choose to defer the second and third readings for the length of time they deem appropriate.

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

c) The Committee on Faculty Governance may, under unusual circumstances, authorize faculty action after only one reading for legislative proposals that would normally require three readings. Deliberation of such matters shall be conducted pursuant to Robert's Rules of Order.

d) Committee proposals normally are submitted to the chair of the Committee on Faculty Governance at least two weeks prior to the faculty meeting.

Article IV, Section 3: Legislative Routes for Proposals from Individuals[62]

a) The Committee on Faculty Governance shall route proposals from individuals in any one of the following ways.

1) Refer the proposal to an existing committee. The agenda for the following faculty meeting shall include notice of the referral along with the text of the proposal. The committee to which the proposal has been referred must, within a reasonable period of time, submit a recommendation on the proposal to the faculty, including in its report the text of the original proposal.

2) Recommend to the faculty that an *ad hoc* committee be established to consider and make a recommendation on the proposal. At least one of the originators of the proposal shall be a member of the committee. The *ad hoc*

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[59] Established, 6 November 1967; Policy revised (Article IV, Sections 1, 2(a-d), 3(a)(b) 2 February 2004.

[60] Established, 6 November 1967; combined the functions held by the Committee on Committees and Governance, the Committee on Conference with the Trustees, and the President's Institutional Planning and Advisory Committee to create the Committee on Faculty Governance, 3 May 2010.

[61] Policy revised from three readings to two, 2 April 2012.

[62] Established, 6 April 1970.

committee shall follow the procedure in paragraph 1 above. If the faculty rejects the recommendation to establish an *ad hoc* committee, the original proposal shall become deliberative legislation.

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

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

Article IV, Section 4: Emergency Legislation

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

Article V: Faculty Committees

Guiding Principles for Faculty Governance[63]

In 2019, the Committee on Faculty Governance convened an ad hoc Faculty Governance Reform Committee to review faculty governance, particularly the structure of faculty committees. The following principles were approved by a faculty vote on March 7, 2022.[64]

The Faculty Governance Reform Committee was guided by the following principles:

Shared governance is the governance work of the board of trustees, the administration, and the faculty, both independently and collectively. A shared commitment to its value strengthens the College. For shared governance to be effective, faculty governance must be robust, transparent, and equitable, yet also reasonable in its workload demands. Faculty governance at Bates College is an essential aspect of the college and of faculty life, supporting and promoting our mission and our values as a community.

Faculty governance centers faculty responsibility primarily in areas of faculty expertise and within the educational mission of the college: faculty line allocation; educational policy; curriculum design and review; student access; aspects of student life related to the educational process; standards for evaluation of teaching, artistic and scholarly activity; faculty status, tenure, and promotion.

Effective faculty governance includes faculty voices in other key areas of the college, including: long-term strategic planning and resource allocation; priority setting for institutional budgets; admissions; selection of academic administrators.

An effective system of faculty governance must be forward-thinking, creative, resilient, and nimble. A governance system best achieves these goals when it represents the collective decision-making of the full diversity of the faculty.

Considering this, the Faculty Governance Reform Committee adheres to the following principles for an effective governance structure at Bates:

Mission: Governance structures will be aligned with the Bates mission, committed especially to engaging the transformative power of our differences and informed civic action in faculty governance.

Clarity: Committee charges should be clear. Expectations for faculty on those committees should be clear. Faculty should understand who they are representing when serving on a committee (i.e. the institution as a whole, their

[63] Guiding Principles for Faculty Governance created, 7 March 2022.
[64] Wording revised, 6 February 2023.

division, their academic unit, their rank). Faculty should endeavor to learn about the needs and concerns of the constituents they represent.

Communication: Effective communication is key to faculty governance, and strengthens faculty voice in shared governance. Committees should post agendas, minutes, and reports of their work. Colleagues are responsible for reading this information. Information flow and transparency of processes should be standardized to facilitate effective decision-making and continuity of work both across time and different groups.

Collaboration: Committee structures should value collaboration across different groups, and across differences within groups. Structures should ensure that diverse voices have an impact on decision-making, that faculty work is collectively aligned to the common goal of promoting the educational mission of the institution.

Commitment to Antiracism: Governance models should be committed to antiracist ideas and policies.

Distribution of leadership roles: Faculty leadership of committees should be distributed to give a wide range of faculty an opportunity to lead committees and influence key decisions.

Distribution of work: Faculty governance work should be equitably distributed across and within ranks. Faculty will be expected to regularly serve in governance roles.

Article V, Section 1: Principles of Committee Work

Definitions: 1) Committee: All members appointed or elected to a committee ordinarily participate in the work and decision making of that committee, unless otherwise specified in legislation. 2) Board: Members of a board ordinarily do not meet as a group. They participate in the work and decision making of that board only when selected to do so for a matter that comes before it, as specified in the faculty handbook.

Equity and Inclusion. All committees of the faculty shall attend to equity and inclusion in the manner and product of their work to create a culture that values collaborative leadership among a diverse group. Equitable is defined as follows: workload and leadership responsibilities shall be evenly distributed across faculty members within rank and across time. Inclusive is defined as follows: faculty shall listen to, recognize, and value the different and unique perspectives and expertise of all committee members. All committee members, faculty and staff, shall attend to power differences within committees.

Shared Responsibility. Shared governance involves the governance work of the Board of Trustees, the college administration, and the faculty, both independently and collectively. For shared governance to be effective, faculty governance ought to be robust, transparent, equitable, and reasonable in its workload demands. As a result, responsibility for faculty governance ought to be distributed broadly and equitably among the faculty.

Communication. In conducting their work, committees shall identify and communicate with relevant college stakeholders when and as appropriate. Committees shall provide regular updates to the faculty about their work and seek input as is appropriate.

Committee Records. Committees shall use agendas for their meetings that are communicated in advance of the meeting to all members of the committee. Committees shall keep minutes of their meetings. Committees shall write a brief annual report of their work to share with the faculty.

Applicability. All standing committees listed in this Article and any other select committee created by a vote of the faculty are subject to these principles. Unless specified otherwise, all stipulations in this section also apply to faculty boards.

Article V, Section 2: Membership

a) Method of Selection

Appointments. With the exception of program committees, all appointments to standing committees or to faculty-created ad hoc committees shall be made by the Committee on Faculty Governance. When the dean of the faculty or the president appoints an ad hoc committee, the appointing office shall consult with the Committee on Faculty Governance in the process of appointing the ad hoc committee.

Elections. Slates for elected seats shall be assembled by the Committee on Faculty Governance. Voting shall be conducted by electronic means and all those with faculty status at the time of the election shall be eligible to vote.

Equity. In making appointments and filling election slates for standing committees or for ad hoc committees overseen by the Committee on Faculty Governance, appointed by the dean of the faculty, or appointed by the president, the Committee on Faculty Governance or those making appointments to the ad hoc committee shall aim to distribute appointments and nominations equitably to ensure diverse representation and promote a culture of inclusion on all committees. In order to promote workload equity, appointments shall be informed by data about faculty workload and committee assignments for faculty members.

Terms. The term of office of both elected and appointed members of standing committees shall begin with the fall semester. Unless specified otherwise, the term for a seat is three years.

Ex Officio Members. The president and dean of the faculty shall be members ex officio of all committees.[65]

Student Members. Some committees have student members. There is a student Committee on Committees, selected by the Representative Assembly. The duty of the student Committee on Committees shall be to make recommendations to the Representative Assembly for student appointments to faculty-student committees, subject to approval of the majority of the membership of the Representative Assembly.

b) Filling Vacancies. Vacancies in appointed seats on committees shall be filled for the semester(s) of leave for the faculty member being replaced by the Committee on Faculty Governance. Vacancies in elected seats on committees shall be filled for the semester(s) of leave for the faculty member being replaced by a special election following the same process for nominations and voting as with other elected seats on that committee.[66]

Temporary vacancies in seats on boards will not ordinarily be filled for the balance of the unexpired term unless the Committee on Faculty Governance deems it necessary. Vacancies when a member cannot complete the term will be filled for a new full term.

c) Expectations. All members of faculty committees, shall be considered voting members of the committee with all the privileges and responsibilities attached thereto unless otherwise indicated in the Rules and Procedures of Governance.

d) Chairs.

Selection. Unless otherwise indicated, in the Rules and Procedures of Faculty Governance, the Committee on Faculty Governance will name an initial convener of the committee. The committee will then select its chair at the first meeting.

Responsibilities. The appointed convener of a committee shall call the first meeting within the first month of the academic year. At this meeting, the committee shall review its charge, select a chair, discuss its scope of work for the academic year, and determine specific responsibilities for each member and for the chair. The chair shall set the

[65] Revised, 6 October 2025.
[66] Ibid

committee's agenda in consultation with the other members of the committee. The chair may invite other stakeholders to meet with the committee directly. The chair shall oversee the committee's communication about its work to the faculty and to college stakeholders. The chair, in collaboration with other committee members, may delegate responsibilities, including the regular keeping, distributing, and archiving of meeting minutes.

Article V, Section 3: Committees[67]

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.[68]

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.[69]

Procedural Committees

c) There shall be a **Committee on Faculty Governance**[70] composed of eight faculty members representing all divisions. Such faculty will have at least three years of service at the College. The members of the committee shall be elected by a vote of the faculty. For purposes of fulfilling Article V, Section 4(g), the committee may consult with such staff as are needed. The president and the dean of the faculty shall serve as *ex officio* members of the committee. They shall be *ex officio* members of any subcommittee of the committee where specified in legislation or by resolution of the committee.

Responsibilities of the Committee on Faculty Governance shall be to:

1) Appoint faculty to all non-elected faculty committee seats for standing committees designated in Article V.
2) Prepare the slate of candidates for elected faculty committees and boards for action by the faculty.[71] Slates shall be prepared in accordance with the rules for eligibility defined in Article V. The dean of the faculty and president may take on advisory roles by invitation from the committee.
3) Review all legislation proposed by committees or other faculty members and determine disposition of the proposal in accord with Article IV, Sections 2, 3, and 4. Meet at least twice each year with the designated committee of the Board of Trustees to discuss matters of mutual concern.
4) Consult with and advise the president on any matters of concern to the faculty, and on matters of short- and long-range planning. The committee may also respond to questions or ideas raised by the president, and to proposed policies before they are adopted.
5) Consult with the dean of the faculty on matters of concern to faculty.
6) Consult with the division chairs on matters of concern to faculty.
7) Respond to questions and concerns from faculty about matters of governance generally, including adjudicating questions that pertain to the legislative status of policy changes related to faculty governance.[72]

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[67] Revised Structure, Stipulations, Standing Committees, 6 December 1971.
[68] Established, 6 November 1967.
[69] Established, 6 November 1967.
[70] Dissolved the Nominating Committee and created the Committee on Committees, 6 December 1971; revised the committee charge, 8 October 1979; modified the eligibility for the Committee on Committees. 5 May 1980; combined the functions held by the Committee on Committees and Governance, the Committee on Conference with the Trustees, and the President's Institutional Planning and Advisory Committee to create the Committee on Faculty Governance, 3 May 2010; revised number of faculty seats, 1 April 2013.
[71] Committee responsibilities revised, 3 October 1983; revised 12 September 2005; revised, 6 October 2025.
[72] Charge revised re: adjudication, 6 October 2025.

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

d) There shall be a **Faculty Personnel Committee**[73] composed of the president and the dean of the faculty, *ex officio*, and seven members of the faculty, each elected for three-year overlapping terms. (See *Rules and Procedures Governing Faculty Appointment, Reappointment, Tenure, and Promotion*, Article II.) 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 four academic divisions must be represented by the seven elected members of the committee. Additional nominations may be made from the floor at the February meeting of the faculty, but such nominations must conform to the same conditions.

5) The dean of the faculty, as the chair of the Faculty Personnel Committee, convenes, facilitates discussion by, and administers the work of the committee.[74]

e) There shall be a **Committee on Teaching and Learning**[75] The dean of the faculty, ex officio, four teaching faculty appointed by the Committee on Faculty Governance, with one representative from each academic division (Arts and Humanities, Natural Sciences and Mathematics, Social Sciences, and Interdisciplinary Programs), and the director of the Center for Inclusive Teaching and Learning (CITL), ex officio. The director of CITL shall act as co-chair alongside a faculty committee member. Of the four teaching faculty, two must be untenured and two must be tenured.[76]

f) There shall be a **Committee on Personnel for Physical Education**[77] composed of the president, dean of the faculty, vice president of student affairs, the athletic director, and the senior woman administrator (SWA), all *ex officio*, the faculty athletics representative, and three elected members of the academic faculty of the College who are not members of the Department of Physical Education. If either the athletic director or the senior woman administrator is not a faculty member, that person shall nonetheless serve on the committee *ex officio*. The three elected members serve for three-year overlapping terms. The election of these three members must adhere to the following conditions:

1) Each elected member shall be from one of the four academic divisions.

2) All shall be tenured.

3) At least one of the elected members must be a full professor.

Additional nominations may be made from the floor at the February meeting of the faculty, but such nominations must conform to the above conditions.

g) **Faculty Scholarship and Grants Committee**.[78]
Charge. The committee shall: (1) work to develop policies that support and promote faculty scholarship and inclusive pedagogy; (2) allocate funds from the Bates Faculty Development Fund and Learning Associates program, per defined policies; evaluate and decide on applications for Phillips Faculty Fellowships and enhanced sabbaticals; and

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[73] Committee established, 9 September 1974; committee eligibility revised, 3 October 1983; committee name changed, 1 November 2021; charge of committee revised, 1 April, 2022; composition policy regarding elections revised, 6 October 2025.

[74] Codified the Dean of Faculty as the Chair of the Faculty Personnel Committee, 6 December 2021.

[75] Created the Teaching Development Committee, 1 May 1989; created the Committee on the Evaluation of Teaching, 5 April 1982; created the Committee on Teaching and Learning by merging the Committee on the Evaluation of Teaching and the Teaching Development Committee, 7 March 2016.; composition revised, 2 October 2023; composition revised 2 February 2026.

[76] Committee composition revised, 2 October 2023; composition revised 2 February 2026.

[77] Established committee, 4 October 1976; committee eligibility revised, 3 October 1983; composition policy regarding elections revised, 6 October 2025.

[78] Created Committee on Faculty Scholarship 3 April 2006; revised charge of committee, 7 March 2022; revised charge of committee re: serving on the Committee on Honorary Degrees, 5 February 2024.

approve all other sabbaticals; (3) work with the work with the Office of Research and Sponsored Programs to educate faculty on internal and external grant opportunities; (4) communicate leave decisions in a timely manner to the Academic Affairs Council; (5) serve as members of the Committee on Honorary Degrees, a standing committee of the Board of Trustees.

Composition. Four elected faculty members. A representative of the Office of the Dean of the Faculty shall serve ex officio. Any faculty member with at least three consecutive years of full-time faculty employment at the college may serve. The committee shall have one faculty member from each division. At least one committee member shall be an untenured faculty member.

Chair. The representative of the dean of the faculty.

Article V, Section 4: Stipulations[79]

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

b) In making appointments and nominations to committees, the Committee on Faculty Governance shall seek to implement, in a manner consistent with the *Rules and Procedures* of the faculty, the College policy on nondiscrimination and affirmative action.

c) All members of faculty committees shall be considered voting members with all the privileges and responsibilities attached thereto unless otherwise indicated in the *Rules and Procedures of Faculty Governance*.

d) The term of office of both elected and appointed members of standing committees shall begin with the fall term.

e) Continuous faculty membership on a committee, except for *ex officio* members, shall normally be limited to a term of four years.

f) Vacancies occurring in the membership of the Committee of Faculty Governance, the Faculty Personnel Committee, the Committee on Personnel for Physical Education, the Curriculum Review Committee, the Committee on Faculty Scholarship and Grants, shall be filled for the semester(s) of leave for the faculty member being replaced by special election.[80] Vacancies occurring in the membership of the Faculty Review Board because of sabbaticals or leaves will not normally be filled.

g) Vacancies occurring in the membership of the appointed committees and boards may be filled for the semester(s) of leave for the faculty member being replaced by the Committee on Faculty Governance.[81]

h) The president and dean of the faculty shall be members *ex officio* of all committees. Unless the dean of faculty is explicitly named as a member of a committee, they may designate a representative of their office to attend in their place.[82]

i) When job titles change for ex officio or appointed staff members of committees, the Committee on Faculty Governance will make the needed secretarial changes.[83]

j) Note: The Bates College Student Government is responsible for overseeing the selection process that appoints student representatives to faculty-student committees.[84]

Article V, Section 5: Standing Committees

a) In addition to the procedural committees, i.e., the Faculty Personnel Committee, the Committee on Teaching and Learning, the Committee on Personnel for Physical Education, the Committee on Faculty Scholarship and Grants, and the Committee on Faculty Governance, delineated in these *Rules and Procedures of Faculty Governance* in Article V,

[79] Established, 6 November 1967; revised, 6 December 1971.
[80] Revised the list of committees, 8 October 1979; revised policy, 6 October 2025.
[81] Revised policy, 6 October 2025.
[82] Ibid
[83] Ibid
[84] Revised, 6 October 2025

Section 3, c-g, there shall be other standing committees of the faculty which are listed below along with certain stipulations in addition to those given in Section 4.[85]

b) **All Faculty Committees**.[86]

1) **Academic Affairs Council**[87] — chair of each division of the faculty and the dean of the faculty.

2) **Africana Program Committee** — faculty who oversee the interdisciplinary Program in Africana.

3) **American Studies Program Committee** — faculty who oversee the interdisciplinary Program in American Studies.

4) **Asian Studies Program Committee** — faculty members most directly involved with Asian and South Asian studies.

5) **Classical and Medieval Studies Program Committee** — seven members.

6) **Committee on Admission and Financial Aid**[88] — four faculty members, one from each division; dean of admission, *ex officio*.

7) **Committee on Academic Standing**[89] — vice president for student affairs or a designate, assistant dean of students for accessible education and student support, and registrar, *ex officio*, five faculty.

8) **Digital and Computational Studies Program Committee** — faculty who oversee the interdisciplinary major and minor Program in Digital and Computational Studies.[90]

9) **Environmental Studies Program Committee** — faculty who design and oversee the major program in environmental studies.

10) **European Studies Program Committee**[91] — shall be composed of a minimum of five members which shall consist of two faculty members appointed in the languages: French, German, Russian and Spanish; and shall include at least two faculty members from the Division of Social Sciences. The European Studies Program Committee shall be responsible for administering the interdisciplinary major in European studies.

11) **Gender and Sexuality Studies Program Committee**[92] — seven faculty.

12) **Graduate Fellowship Committee** — five members.

13) **Latin American and Latinx Studies Program Committee**[93] — eight faculty directly involved in the program with key disciplines.

14) **Medical Studies Committee**[94] — five faculty, and dean of students, or associate dean of students, *ex officio*.

15) **Neuroscience Program Committee** — faculty most directly involved with the Program in Neuroscience.

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

d) **Faculty-Student Committees**.[95]

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[85] Revised the list of procedural committees, 8 October 1979.
[86] Legal Studies Committee dissolved, 6 October 2025.
[87] Established, 2 March 2015; revised charge, 6 February 2023.
[88] Committee reconstituted, 12 April, 2010.
[89] Composition revised, 1 May 1978; administrative titles updated, 7 November 1988; revised, 6 October 2025.
[90] Digital and Computational Studies minor establish, 3 May 2021; major established, 3 March 2025.
[91] European Studies Committee created, 7 May 2012.
[92] Women's Studies Committee created 5 February, 1990; revised composition, 8 September 1997.
[93] Latin American Studies Committee created, 1 October, 2012
[94] Composition revised, 1 May 1978; faculty members increased from three to four, 2 December 1974; administrative titles updated, 7 November 1988.
[95] College Lectures Committee, Extra Curricular Activities and Residential Life Committee, dissolved, 6 October 2025.

1) **Curriculum Review Committee**[96] — registrar, *ex officio*; member of the registrar's office, *ex officio*; member of the information and library services staff, *ex officio*; four faculty elected by vote of the faculty, one from each of the divisions of the faculty; two students. Student members will be selected according to the guidelines spelled out in Article V, Section 4(i).

2) **Extracurricular Activities and Residential Life Committee**[97] — dean of students or associate dean of students, *ex officio*, vice president for finance and administration, *ex officio*, two faculty members who are advisors of major student organizations, two faculty members at large, and six students.

4) **Honors Committee** — four faculty, one student.[98]

5) **Off-Campus Study Committee**[99] — three faculty, the director of the Center for Global Education, *ex officio*, vice president of student affairs, 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.

6) **Writing Committee**[100] — four faculty members (ideally one from each division), the director of student writing (ex officio), a representative from the library (ex officio), a representative from the Dean of Faculty's office (ex officio) two students.

e) **Faculty-Staff-Student Committees**.

1) **Arts Collaborative Committee**[101] — seven faculty members, most representing the academic arts programs; representatives of the Bates Dance Festival, Bates Museum of Art, Harward Center for Community Partnerships, and Olin Arts Center; a communications specialist; and three students.

2) **Athletics Committee**[102] — three to four members of the faculty outside the physical education department; three to four students; director of athletics, associate dean of students for campus life, ex officio. The committee size will be modified with the consent of the committee chair.

3) **Budget and Finance Advisory Committee**[103] — four faculty members, two elected and two appointed. The president, the dean of the faculty (or their designee), and the vice president for finance and administration shall sit on the committee ex officio. Any faculty member with at least three consecutive years of full-time faculty employment at the college may serve.

4) **Committee on Environmental Responsibility**[104] — three faculty members, three students, the sustainability manager, *ex officio*, and additional staff and administrators appointed by the president or their designee in consultation with the environmental coordinator and chair of the committee.

5) **Library and Information Services Committee**[105] — three faculty members, three students, the vice president for information and library services and librarian, *ex officio*, two *ex officio* members of the information and library

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[96] Created following the abolishment of the Schedules and Examination Committee, 1 June 1970; composition revised, 3 April, 2000; revised charge, 6 February 2023; composition revised 2 February 2026.
[97] Merged the Residential Life and Extracurricular Activities Committees, 7 May 1984; Composition revised 4 November 1985; charge revised 5 May 2003.
[98] Reduced composition to four faculty, 7 May 1984; added one student, 7 November 1988.
[99]Established the Writing Committee, 9 April 1979; merged with the Committee on Freshman Seminars to become the Freshman Seminar and Writing Workshop Committee, 6 December 1976; revised number of faculty seats, 1 April 2013.
[100] Revised number of faculty seats, 1 April 2013; revised charge and composition, 2 November 2020; revised charge and composition, 3 November 2025.
[101] Revised Arts Collaborative Committee to serve as a standing committee, 1 April 2013.
[102] Established, 3 March 1980; administrative titles updated, 7 November 1988; revised number of faculty and student seats, 1 April 2013; revised committee charge and classification (faculty-staff-student), 7 October 2024.
[103] Established as a standing committee, 3 April 2006; committee charge updated, 21 March 2022; revised number of faculty, staff, and student seats, 1 April 2013.
[104] Established as a standing committee, 2 Feb 2007.
[105] Dissolved Computing Services Committee and created Information Services Advisory Committee, 5 October, 1998; revised number of faculty seats of the Library Committee, 1 April 2013; created the Library and Information Services Committee by merging the Library Committee and Information Services Advisory Committee, 7 March 2013.

services management team appointed by the vice president for information and library services and librarian, and two *ex officio* administrative members chosen by the vice president for academic affairs.

6) **Martin Luther King, Jr. Day Planning Committee**[106] — three faculty members, at least one student, the chaplain, *ex officio*, the dean of the students, *ex officio*, and three college administrators chosen by the vice president for academic affairs in consultation with the chair of the committee. In appointing faculty members to this committee, consideration shall be given to appointing faculty interested in or engaged with issues of equity, diversity, or social justice.

7) **Student Affairs Committee**[107] — four faculty members, appointed in consultation with the vice president of student affairs, four to eight students, with at least one student from every graduating year represented on campus; the vice president of student affairs, *ex officio*; the dean of students and one associate dean of students, *ex officio*; the associate dean and director of the Student Center for Belonging and Community, *ex officio*; and one or more staff in the department of athletics, *ex officio*, designated by the director of athletics. The selection of the students should reflect the college's intention of broad inclusion and engagement across the college community.

7) **Student Conduct Board Pool**[108] — Minimum of eight full-time teaching faculty, eight staff members and eight students. These members form the pool from which the composition of the Student Conduct Committee or the Student Conduct Appeals Committee shall be drawn for each specific case.

f) **Faculty-Staff-Community Committees**.

1) **Institutional Animal Care and Use Committee**[109] — at least five members, comprised of three faculty members, one being a faculty member involved in animal research, as well as one doctor of veterinary medicine, and one public member who is not involved in animal research, affiliated with the College, or related to anyone affiliated with the College.

2) **Institutional Review Board** — at least five members with varying backgrounds, one being a faculty member whose primary concerns are in scientific areas, one being a faculty member whose primary concerns are in nonscientific areas, and one person who is not affiliated with the College or in the immediate family of anyone affiliated with the College.

3) **Institutional Biosafety Committee** —at least five members who monitor and oversee all research and educational activities involving biological hazards, including recombinant DNA and infectious agents. Among these five members, two must be unaffiliated with Bates.

Article V, Section 6: Boards[110]

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

1) **Examiners** — four tenured members of the faculty, elected for three-year, overlapping terms, as stipulated in Article III, Section 6 of the *Rules and Procedures*.

2) **Faculty Review** — nine tenured members of the faculty, elected for five-year terms, as stipulated in Article VI, Section 6(b) of the *Rules and Procedures*.

[106] Established as a Standing Committee, 7 April, 2003; composition revised 1 December 2015.
[107] Created the Student Affairs Committee, 7 March 2016; composition revised, 4 Oct 2021.
[108] Student Conduct Committee merged with the Student Conduct Appeals Committee to form the Student Conduct Board Pool, 5 May 2014.
[109] Edited composition description, 6 October 2025.
[110] Boards added, 1 April 2002.

3) **Judicial Educators**[111] — two members of the faculty, chosen from among former members of the Student Conduct Board Pool.

Article VI: Amendments

Article VI, Section 1: Method of Initiation

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

Article VI, Section 2: Method of Voting

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

Standing Committees of the Faculty: Charge of the Committees

This section of the *Handbook* is not part of the *Rules and Procedures of Faculty Governance*, but serves as a description of faculty committees based on the various legislative actions of the faculty that established the committees. Faculty committees are constituted according to Article V of the *Rules and Procedures of Faculty Governance*. Standing committees may be classified as (1) elected (and including or not including students), (2) appointed faculty, (3) appointed faculty-student, (4) appointed faculty-administrative staff-student, and (5) appointed faculty-staff-community. The president and the dean of the faculty are *ex officio* members of all committees.

Elected Committees

ACADEMIC AFFAIRS COUNCIL.[112]
Composition: the dean of the faculty and the division chairs; there is no committee chair; agenda is set by all members.
The committee is responsible for setting long-term academic priorities; allocation of resources, including faculty lines, replacement positions and courses, lecturers, and temporary faculty positions; oversight of the curriculum (including reviewing, vetting, and approving, as appropriate, extra-cost Short Term courses); oversight of General Education requirements; oversight of graduation requirements, including the types of courses that count towards graduation (including Advanced Placement and transfer credit policies); oversight of policy regarding the academic calendar; oversight of majors, minors, concentrations, thesis (number of courses per major, thesis threshold requirements), and participation in decadal reviews in academic units; reviewing policies concerning: academic integrity, number of meeting hours for courses, exam protocols, and course enrollment; serving as a liaison with the Academic Affairs Committee of the Trustees; consulting and meeting with the Curriculum Review Committee every semester to discuss matters of mutual interest, including curricular management and oversight.

ADMISSIONS AND FINANCIAL AID.[113] The committee works with the dean of admission and financial aid to establish and evaluate admissions and financial aid policies; facilitate and coordinate the direct involvement of the faculty in student recruitment, admission, and retention.

CURRICULUM REVIEW COMMITTEE.[114] The committee is responsible for reviewing and approving new course proposals and their designation within the curricular requirements (including first-year seminar proposals, Practitioner-Taught Short Terms, Mode of Inquiry tags, W1/W2 tags, and other General Education tags) within the

[111] Updated composition description, 6 October 2025.
[112] Committee charge updated based on a revised charge of the Faculty Scholarship and Grants Committee, 7 March 2022; committee charge revised, 6 February 2023; Charge modified as "General Education Concentrations" changed to "concentrations," 2 March 2026.
[113] Committee reconstituted, 12 April, 2010.
[114] Committee charge revised, 3 April, 2000; revised charge, 6 February 2023.

structure of established educational policy and practice, and reporting these to the faculty in writing once a semester. The CRC[115] is also charged with the maintenance of the concentrations, including but not limited to: identifying concentration coordinators, liaising with concentration coordinators to ensure a concentration is viable and still active, and making recommendations to the Academic Affairs Council about concentrations. The committee also reviews and approves class and examination schedules, as presented to the committee by the registrar. The committee certifies courses for annual publication in the *College Catalog*. The committee reviews, vets and approves, as appropriate, proposals for Interdisciplinary Studies majors. The committee is generally responsible for oversight of implementation of general education and consults and meets with the Academic Affairs Council every semester to discuss matters of mutual interest, including decisions about enrollment limits, registration processes, and curricular management and oversight. Courses tagged W1 or W2 (including all FYS courses) are also reviewed, vetted, and approved, as appropriate, by the Writing Committee.

COMMITTEE ON FACULTY GOVERNANCE.[116] The duties of this committee are given in Article V, Section 3(c) of the *Rules and Procedures of Faculty Governance*.

FACULTY PERSONNEL COMMITTEE.[117] The duties of this committee are given in Article III, Section 7 of the *Faculty Organization and Procedures*.

FACULTY SCHOLARSHIP AND GRANTS.[118] The committee shall: (1) work to develop policies and to support and promote faculty scholarship and pedagogy. (2) allocate funds from the Bates Faculty Scholarship Fund and Learning Associates program, per defined policies.; evaluate and decide on applications for Phillips Faculty Fellowships and enhanced sabbaticals; and approve all other sabbaticals. (3) work with the Office of Research and Sponsored Programs to educate faculty on internal and external grant opportunities. (4) communicate leave decisions in a timely manner to the Academic Affairs Council; (5) serve as members of the Committee on Honorary Degrees, a standing committee of the Board of Trustees.

PERSONNEL FOR PHYSICAL EDUCATION. The duties of this committee are given in Article V, Section 3(f) of the *Faculty Organization and Procedures*.

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 Academic Affairs Council 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 vice president of campus life and the associate dean of students according to faculty legislation.

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[115] Charge modified as "General Education Concentrations" changed to "concentrations," 2 March 2026.
[116] Combined the functions held by the Committee on Committees and Governance, the Committee on Conference with the Trustees, and the President's Institutional Planning and Advisory Committee to create the Committee on Faculty Governance, 3 May 2010.
[117] Committee established, 9 September 1974; committee eligibility revised, 3 October 1983; committee name changed, 1 November 2021; charge of committee revised, 1 April, 2022.
[118] Created Committee on Faculty Scholarship 3 April 2006; Revised charge of committee, 7 March 2022; revised charge of committee re: serving on the Committee on Honorary Degrees, 5 February 2024.

AFRICANA PROGRAM.[119] The committee designs and oversees the major and minor, including the development of the curriculum, course and thesis requirements, and the advisement of students. The committee ensures that the following curricular arrangements are fulfilled: 1) Introduction to African American Studies and Perspectives on Africa, (offered each year as part of the introductory sequence requirements); 2) a course on methods (offered each year and required of students); 3) thesis advising. The committee creates programs in accordance with its mission statement.

AMERICAN STUDIES PROGRAM.[120] The committee designs and oversees the major, including the development of the curriculum, major and thesis requirements, and the advisement of students. The committee ensures that the following curricular requirements are fulfilled: 1) Introduction to American Studies is offered each year and is required of majors; 2) an upper-level seminar on American studies attending to race, decolonization, class, and cultural analysis is offered each year and is required of majors; 3) and each student is required to complete a senior thesis. The committee sponsors faculty development workshops and seminars to support faculty who share a common interest in American studies.

ASIAN STUDIES PROGRAM.[121] This committee, established by faculty legislation in 1996, oversees the interdisciplinary program in Asian studies, which offers majors in Chinese, Japanese, and East Asian studies and minors in Chinese, Japanese, and Asian studies. Its duties include designating the major and minor requirements, overseeing student majors, approving thesis programs, recommending any General Education contributions from the Asian studies curriculum, and evaluating colleagues teaching in Asian studies.

BUDGET AND FINANCE ADVISORY.[122] This committee's charge is to: (1) communicate faculty budget priorities to the vice president for finance and administration; (2) communicate with the faculty about budget constraints, priorities, and processes for developing the budget; (3) consult with the Office of Advancement and with the Committee on Admission and Financial Aid; (4) serve as the liaison to its appropriate committee counterpart with the Board of Trustees; (5) work together in its first year to ensure that its composition is appropriate.

CLASSICAL AND MEDIEVAL STUDIES PROGRAM.[123] This committee, established by faculty legislation in 1982, oversees 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.

DIGITAL AND COMPUTATIONAL STUDIES.[124] This committee, established by faculty legislation in 2015, designs and oversees the interdisciplinary Program in Digital and Computational Studies, having the same authority over the program and its student participants as normally is held by academic departments in regard to their major programs. The committee is responsible for designating the major and minor requirements, developing the core curriculum; overseeing the academic program of student majors, including senior thesis; and recommending any General Education contributions from the digital and computational studies curriculum.

ENVIRONMENTAL STUDIES PROGRAM. This committee, established by faculty legislation in 1995, oversees the interdisciplinary Program in Environmental Studies. Normally composed 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.

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[119] Committee on African American Studies and American Cultural Studies created, 1 April, 1991.
[120] Ibid
[121] Committee on Asian Studies created, 4 November, 1996.
[122] Established as a standing committee, 3 April 2006; revised Committee charge, 21 March 2022; changed category to All Faculty Committee as students are no longer members of the Committee, 8 September 2025.
[123] Committee on Classical and Medieval Studies created, 16 September 1991.
[124] DCS major established effective in 2025-2026 and beginning with the Class of 2027, 3 March 2025.

EUROPEAN STUDIES PROGRAM. This committee, established by faculty legislation in 2012, oversees the interdisciplinary Program in European Studies. Normally comprised of a minimum of five faculty, with at least two faculty members appointed in the languages: French, German, Russian and Spanish and to include at least two faculty members from the Division of Social Sciences. The Committee shall be responsible for administering the interdisciplinary major in European Studies. Its duties include designating the major requirements; developing the core curriculum; overseeing the academic program of student majors, including senior thesis; and recommending any General Education contributions from the European studies curriculum, and evaluating colleagues teaching in European Studies.

GENDER AND SEXUALITY STUDIES PROGRAM. This committee designs and oversees 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 gender and sexuality 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 gender and sexuality studies. The committee shall sponsor a faculty development seminar, which shall assist members of the faculty who wish to integrate gender and sexuality studies into their curricular offerings or who wish to introduce new courses with a gender and sexuality studies focus.

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

LATIN AMERICAN AND LATINX STUDIES PROGRAM. This committee, established by faculty legislation in 2012, oversees the interdisciplinary Program in Latin American and Latinx Studies. Normally comprising no more than eight faculty, its membership is drawn from faculty directly involved in the program. Its duties include designating the major and minor[125] requirements; developing the core curriculum; overseeing the academic program of student majors, including senior thesis; and recommending any General Education contributions from the Latin American and Latinx studies curriculum, and evaluating colleagues teaching in Latin American and Latinx studies.

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

MEDICAL STUDIES. This committee serves 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 PROGRAM. This committee oversees 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 AND LEARNING.[126] The Committee on Teaching and Learning (TLC) shall support and promote effective teaching and learning at Bates College. The committee advances pedagogical excellence, inclusive teaching practices, and the recognition of outstanding instruction across the faculty. Committees and units considering teaching and learning issues can consult with TLC.

The committee pursues its mission through the following responsibilities:

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[125] LALS minor established effective in 2025-2026, 4 November 2024.

[126] Created the Teaching Development Committee, 1 May 1989; created the Committee on the Evaluation of Teaching, 5 April 1982; Created the Committee on Teaching and Learning by merging the Committee on the Evaluation of Teaching and the Teaching Development Committee, 7 March 2016; composition revised, 2 October 2023; composition and charge revised, 2 February 2026.

1) Student Course Feedback and Advising the Faculty Personnel Committee

a) Develop and periodically revise the student course feedback survey instrument.

b) Recommend procedures and effective practices for the administration and use of student course feedback in faculty evaluation processes.

c) Study and recommend methodologies for the comprehensive evaluation of teaching effectiveness, including but not limited to student feedback, peer observation, teaching portfolios, and advising assessment.

2) Teaching Recognition and Awards

a) Recommend and periodically review processes for recognizing and celebrating teaching excellence among faculty, including teaching awards.

3) Support for Teaching Excellence

a) Collaborate with the Center for Inclusive Teaching and Learning (CITL) and other campus groups to identify faculty needs and priorities related to teaching development and pedagogical innovation.

b) Make recommendations to support inclusive teaching practices and faculty capacity to address diversity, equity, and inclusion in teaching and advising.

c) Make recommendations to support curricular assessment.

d) Make recommendations responding to educational and learning technologies that affect teaching effectiveness and student learning outcomes.

e) Advise on institutional priorities and initiatives related to teaching and learning.

3) Reporting and Review

a) The committee reports to the faculty and makes recommendations to the Faculty Personnel Committee, the Dean of the Faculty, and other appropriate bodies as needed and/or requested. The committee shall conduct periodic reviews of its charge and practices to ensure continued relevance and effectiveness.

Appointed Faculty-Student Committees[127]

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

OFF-CAMPUS STUDY.[128] 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 Academic Affairs Council for possible approval by the faculty as programs available to students in the College; (2) to establish procedures for the selection of student applicants to such off-campus study programs; (3) to approve students for participation in off-campus study programs other than those within the curriculum of the academic departments and programs, including the junior year abroad.

WRITING.[129] The Writing Committee serves as a collaborative space where committee members share information and expertise to support writing across the curriculum at Bates College. The committee stewards the writing-attentive curriculum, and reviews W1 and W2 course proposals to assure that these courses include writing instruction and outcomes aligned with current curricular standards. This review precedes final approval of course proposals by the Curriculum Review Committee. The committee may offer recommendations and consult with faculty, other committees, and campus partners in response to institutional goals, writing initiatives, and the evolving needs of student writers.

Appointed Faculty-Staff-Student Committees

[127] Lectures Committee dissolved, 6 October 2025.

[128] Renamed from Committee on Study Abroad to Committee on Off-Campus Study, 4 November 1974.

[129] Established the Writing Committee 9 April 1979; merged with the Committee on Freshman Seminars to become the Freshman Seminar and Writing Workshop Committee, 6 December 1976; revised number of faculty seats, 1 April 2013; revised number of faculty seats, 1 April 2013; revised charge and composition, 2 November 2020; revised charge and composition, 3 November 2025.

ARTS COLLABORATIVE.[130] This committee is an interdisciplinary group of faculty, staff and students dedicated to infusing the arts and creative process into a broad spectrum of a liberal arts education. The Arts Collaborative supports art makers and scholars, coordinates collaborative work in the arts, advocates for the arts in college planning, and gives the arts a voice in the leadership of the College.

ATHLETICS COMMITTEE.[131] The Athletics Committee is composed of faculty, staff, and students who work in tandem to amplify the integral role of athletics in the College. The committee works to advance productive relationships among Bates students, coaches, faculty, and staff. The committee collaborates on policies and initiatives to promote equity and inclusion for all participants in programs supported by the Department of Athletics, including students, faculty, staff, and community members.

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

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

LIBRARY AND INFORMATION SERVICES.[132] This committee shall sit as an advisory body to the vice president for information and library services and librarian, who shall be an *ex officio* member. It shall also serve the faculty as the committee of the first referral in all matters concerning the library and information services. Given the integrated nature of Library and Information Services, this committee also shall advise the information services management team on operations, programs, and operational information services plans and shall provide a forum to discuss problems and needs. In particular, this committee shall keep abreast of how information technologies, research, and pedagogy interact. Its responsibilities would include, but not be limited to, promoting student and faculty awareness of various issues concerning depositories such as, access to new software, access to a range of databases and other offerings at Ladd Library, innovations in digital humanities, best practices in information technologies, and increasing use of open access software. The committee shall evaluate access to resources, e.g., innovative approaches that might meet the challenges of needed but increasingly expensive course resources such as textbooks, classroom technologies, and software packages, as part of the college's ongoing charge to increase inclusivity. 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 library, technology, and information policy issues through discussion at faculty meetings.

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

STUDENT AFFAIRS.[133] This committee collaborates with the vice president of student affairs on matters of shared concern. As educators in a residential college setting, student affairs staff support the personal development, health,

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[130] Revised Arts Collaborative Committee to serve as a standing committee, 1 April 2013.
[131] Established, 3 March 1980; administrative titles updated, 7 November 1988; revised number of faculty and student seats, 1 April 2013; revised Committee charge and classification (faculty-staff-student), 7 October 2024.
[132] Committee on Computing established, 2 May 1977; created the Library and Information Services Committee by merging the Library Committee and Information Services Advisory Committee, 7 March 2013.
[133] Created the Student Affairs Committee, 7 March 2016; charge revised 4 Oct 2021.

and well-being of students by providing cohesive programs and services. These programs and services should actively affirm the College's commitment to access, success, and inclusion of all students. The Student Affairs Committee provides a structure in which faculty, staff, and students work collectively to make improvements to the student experience as it relates to these programs and services, including but not limited to: accessible education, campus life, campus safety, community standards/student conduct, counseling and psychological services, health services, intercultural education, purposeful work, residence life and health education, and student support.

STUDENT CONDUCT BOARD POOL. 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 Code of Student Conduct. The faculty co-chair shall report to the faculty at the first regular faculty meeting of each semester of all action taken by the committee since the preceding report.

Appointed Faculty-Staff-Community Committees

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

INSTITUTIONAL BIOSAFETY COMMITTEE. This committee monitors and oversees all research and educational activities involving biological hazards, including recombinant DNA and infectious agents. For protocols involving animals or plants that include biological hazards, federal guidelines require a plant expert or animal containment expert to be included as members on the committee when reviewing related protocol applications. The committee is responsible for review and approval of all protocols that involve biohazardous agents; ensure compliance with applicable federal, state, and local regulations and guidelines; and provide guidance to the Bates community on biosafety policies and procedures.

INSTITUTIONAL REVIEW BOARD. This committee composed of faculty members and a psychiatrist from the local community, oversees research projects involving human participants. All faculty and student research projects supported by research grants involving human participants, all projects where individuals are not allowed to withdraw from participation, all projects where the research procedure poses any mental or physical risk to the participant, all projects where the anonymity/confidentiality of the participants cannot be guaranteed, all projects where deception is a part of the research design and all projects involving children under the age of 18 must be reviewed by the Institutional Review Board. The committee maintains guidelines on research protocol, fair and respectful treatment of subjects, issues of confidentiality, and informed consent.

Part 2: Faculty Benefits and Support Programs

Salary

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

The College reports salary and employment data to the Integrated Postsecondary Education Data System (IPEDS) administered by the National Center for Education Statistics of the Department of Education. The American

Association of University Professors receives its information on faculty compensation from this survey, and publishes pertinent indices in its spring issue of the AAUP bulletin, *Academe*.

The minimum salaries for full-time permanent faculty are published annually by the Dean of Faculty's Office.

Instructor	$65,000
Assistant Professor	$75,000
*Associate Professor	$90,000
* Professor	$110,000

*In rank with tenure

Benefits in Addition to Salary

The College provides all its employees, including faculty members, with an *Employee Handbook* that can be found online at ***bates.edu/hr/reference/employee-handbook*** or obtained from the Office of Human Resources. The *Employee Handbook* is meant to supplement or complement the information provided in this section of the *Faculty Handbook*.

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

Health Benefits Eligibility for Faculty

Full Benefits –eligible with 3.5 or more courses

Half Benefits – eligible with 2.5 and 3.0 courses

Not eligible for benefits – fewer than 2.5 courses

Non-Medical Benefits Eligibility for Faculty

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

Full Benefits – eligible with more than 4 courses (or course equivalents) or more per academic year in any combination.

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

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

Not eligible for benefits – not eligible with fewer than 2.5 courses per academic year for an FTE between .00 - .49.

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

Bates Flexible Benefits Plan

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

The benefits that are provided under the College's Flexible Benefits Plan are as follows:

- Health insurance
- Dental insurance
- Vision insurance
- Life insurance and accidental death and dismemberment insurance (AD&D)
- Long term disability insurance (LTD)
- Hospital indemnity plan (HIP)
- Medical Flexible Spending Account (Medical FSA)
- Dependent care Flexible Spending Account (Dependent Care FSA).

Retirement Benefits

Bates College maintains two separate retirement plans: the Bates College Money Purchase Pension Plan (Bates College Pension Plan) and the Bates College 403(b) Retirement Plan (Bates College Savings Plan). In order to participate in the Bates College Pension Plan, or receive a college matching contribution from the Bates College Savings Plan, the employee must be classified in a benefit status of half-time or more. All employees regardless of their status can contribute to the Bates College Savings Plan.

Bates College Pension Plan

Eligibility starts on the first of the month following one year of employment in a benefit eligible position. If a non-benefit eligible employee exceeds 1000 hours in an employment year, they will become eligible to participate in both the Bates College Pension Plan and receive a college matching contribution on the first of the month following the anniversary of their employment year.

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

To establish investment elections and designate beneficiaries the employee must enroll online at *www.tiaa.org/bates*. If the employee does not make investment elections, contributions will be defaulted into the Lifecycle Fund that most closely matches the employee's expected retirement date at age 65. Information on how to enroll, the Lifecycle Funds and the Qualified Default Investment Notice are available in the Office of Human Resources or online at *bates.edu/hr/benefits* or the TIAA website above.

Complete details of the pension plan are described in a Summary Plan Description provided. Contact benefits@bates.edu for more information.

Bates College Savings Plan

The Bates College 403(b) Retirement Plan is a 403(b) Tax Deferred Annuity plan, which provides employees with an additional opportunity to save for future financial security for retirement. All employees are eligible to participate in the Bates College 403(b) Retirement Plan; to participate, employees must complete the appropriate online enrollment at ***www.tiaa.org/bates***.

Automatic Enrollment: Employees who are newly hired have 30 days from their date of hire to enroll in the Bates College Savings Plan or opt out of it. If no action is taken, employees will be automatically enrolled in the plan at a

6% contribution amount, ensuring that they will get the full match amount of 3%. Contributions can be adjusted at any time by going to tiaa.org/bates.

If the employee does not enroll online and make investment elections, the contributions will be defaulted into the Lifecycle Fund that most closely matches the employee's expected retirement date at age 65. Information on how to enroll, the Lifecycle Funds and the Qualified Default Investment Notice are available online at ***bates.edu/hr/benefits*** or the TIAA website above.

Contributions can be made on a pre-tax or a post-tax (Roth) basis. Pre-tax contributions reduce your taxable income now; post-tax (Roth) contributions are taxed upfront but grow tax-free. Amounts must be in the form of a percentage of wages. Pre-tax contributions are not exempt from Social Security or Medicare Taxes. The maximum that an employee may contribute to the Bates College Savings Plan is limited each year by law.

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

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

Complete details of the Bates College 403(b) Retirement Plan are described in a Summary Plan Description or contact benefits@bates.edu for more information.

Flexible Spending Accounts

Bates College provides Flexible Spending Accounts (FSA) that allow employees to have pre-tax dollars deducted from their salaries to pay for eligible out-of-pocket expenses. Flexible spending accounts can be used to pay for predictable, non-reimbursed health care and dependent care expenses during the plan year for which the account was created. Participation in the Medical Flexible Spending Account, the Limited Purpose Flexible Spending Account and/or the Dependent Care Flexible Spending Account is optional. Employees desiring to participate in an FSA must enroll/re-enroll each plan year. The amount an employee may contribute to an FSA is set by IRS regulations. Care must be given in determining how much to contribute to an FSA because unused contributions are subject to forfeiture. (The accounts help employees pay less in taxes and, as a result, the IRS regulations are very restrictive).

It is recommended that employees make conservative elections to these accounts because of the "use it or lose it rule," which is a federal law and not a policy of the College. Employees have until March 31st to file claims for the prior year's contributions (expenses incurred prior to becoming eligible are not eligible for reimbursement). Details of the Flexible Spending Accounts are described in the Summary Plan Description (SPD). Contact someone from the Benefits team in the Human Resources Department for more information about Flexible Spending Accounts.

In order to be reimbursed for Medical or Dependent Care, employees must submit receipts with a claim form to the third-party administrator of the College's Flexible Spending Accounts. When claims are submitted for reimbursement for dependent care, they must include the dates of service, cost, and tax identification number of the dependent care provider. Reimbursement Claim forms can be found on the Human Resources Benefits Website or at the Benefits Office. Claims may either be mailed or faxed as described on the claim form or through the third-party administrator website.

Dependent Care Subsidy

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

An application for a Dependent Care subsidy must be submitted along with a copy of the first page of the employee's most recent tax return. If tax information is not provided, the subsidy will be based on the highest income bracket on the chart.

The combined amount of subsidy and the employee's contribution to a DCFSA cannot exceed the maximum allowed by law. For tax filers who file single and married couples filing a joint return, the IRS will allow contributions up to $7,500 per year. For married couples filing separate returns, the IRS will only allow contributions up to $3,750.

The subsidy is based on total household income and the number of dependents that are eligible to be covered; children 12 years old or younger that you claim on your tax return.

The following is a chart of the Dependent Care Subsidy Contributions:

Total Annual Benefit Based on Last Year's Tax Return Gross Household Income

Number of Dependents (annual/monthly)	$0 - $30,000	$30,00 - $45,000	$45,000 - 60,000	$60,000 and over
1st Dependent	$1,300/108.34	$ 1,040/86.67	$ 780/65.00	$520/43.34
2nd Dependent	$2,340/195.00	$1,872/156.00	$1,404/117.00	$936/78.00
3rd Dependent	$3,120/260.00	$2,496/208.00	$1,872/156.00	$1,248/104.00
4th Dependent	$3,640/303.34	$2,912/242.67	$2,184/182.00	$1,456/121.34
5th Dependent	$3,900/325.00	$3,120/260.00	$2,340/195.00	$1,560/130.00
6th Dependent	$3,900/325.00	$3,120/260.00	$2,340/195.00	$1,560/130.00

Contact benefits@bates.edu for more information about the Flexible Spending Accounts and the Dependent Care Subsidy.

Travel Accident Insurance

Any benefit-eligible 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.

Dependent Higher Education Benefit Program for Children of Employees (with support from the Harry W. Rowe Tuition Grant Fund)

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

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

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

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

Maine Paid Family Medical Leave[134]

Beginning May 1, 2026, eligible employees will be able to take leave and receive income replacement benefits under the Maine Paid Family Medical Leave (ME PFML) program.

EMPLOYEE ELIGIBILITY

Employees are eligible for ME PFML if they have earned at least six (6) times the state average weekly wage (AWW) during their base period, which is the first four of the last five completed calendar quarters before their leave begins.

EMPLOYEE CONTRIBUTIONS

The employee contribution rate is 0.4% of each eligible individual's post-tax wages or other earnings up to the Social Security wage base in effect for that particular year. Employees who have questions regarding the contribution amount should contact Payroll.

LEAVE ENTITLEMENTS

Eligible employees may generally take up to 12 weeks of ME PFML leave per year for the following reasons:

- To care for a newborn child or a child newly placed for adoption, foster care, or kinship care within one year of birth, adoption, or placement;
- To care for a family member with a serious health condition;
- For the employee's own serious health condition;
- For safe leave reasons if the employee or their covered family member is a victim of violence, assault, sexual assault, stalking, or any act that would support an order for protection;
- To care for a service member with a serious health condition resulting from military service for whom the eligible employee is next of kin;
- To attend to a qualifying exigency arising out of the deployment of a service member who is a family member; or
- Any other reason allowed under the Maine Family Medical Leave Act.

For purposes of this policy, an eligible employee's "family member" is defined in the Maine PFML Law.

Employees taking medical leave will not be paid for the first 7 calendar days of leave. Employees may take leave in minimum increments of one (1) day. When leave is needed for planned medical treatment, employees must make a reasonable effort to schedule treatment so as not to unduly disrupt the College's operations.

Employees taking leave for the care of a family member will not have a waiting period before the benefit takes effect. Employees may take leave in minimum increments of one (1) day. When leave is needed for a family member's planned medical treatment, employees must make a reasonable effort to schedule treatment so as not to unduly disrupt the College's operations.

While on leave, the College's leave administrator will calculate employee benefit amounts. An employee's weekly benefit amount is calculated as a percentage of their earnings. Employees may receive up to 90% of their wages equal

[134] New policy per Maine law, 20 May 2026.

to or less than 50% of Maine's average weekly wage, plus 66% of an employee's wages that exceed 50% of Maine's average weekly wage. Benefits are currently capped at the Maine average weekly wage, which is adjusted annually.

REQUESTING AN ME PFML LEAVE
Employees apply for ME PFML with the College's leave administrator, The Hartford. The Hartford is responsible for making ME PFML determinations. Eligible employees should make requests for leave to their supervisors at least 30 days in advance of foreseeable events or on the same day or the next day for unforeseeable events.

MEDICAL CERTIFICATION
Employees may be required to provide a certification from a health care provider indicating the need for leave. Upon return to work from an employee's serious health condition, the College may require employees to submit a certification that they are able to resume work.

Employees requesting leave related to the serious health condition of a child, spouse, or parent may be required to submit a health care provider's statement verifying the need for leave to provide care, its beginning and expected ending dates, and the estimated time required.

USE OF OTHER LEAVE AND BENEFITS
Employees can use accrued paid leave time (sick and vacation leave), or other paid time off (holiday pay or personal time off) to supplement ME PFML benefits up to 100 percent of wages. Employer-provided benefits, including Short-Term Disability and parental leave, will run concurrently with ME PFML, not to exceed 100 percent of the employee's regular wages. In no instance will an employee ever be permitted to receive more than 100 percent of their regular wages.

Accrued paid leave may not be used to automatically extend an employee's leave beyond the initial 12 weeks of job-protected leave. An employee requesting additional time off beyond 12 weeks using available accrued leave balances must obtain advance approval from both their supervisor and the department Vice President. Approval will be based on operational needs, staffing coverage, and the department's ability to accommodate the extended absence.

Unless the employee is on an approved Short-Term Disability leave of absence (which may provide approved leave for up to six months, subject to plan terms), any approved leave extension beyond 12 weeks will not be considered job-protected leave, unless otherwise required by applicable law.

Maine PFML leave runs concurrently with federal FMLA leave and Maine's Family and Medical Leave law. Any leave taken under the federal FMLA and/or Maine's Family and Medical Leave law in the 12 months preceding the start of leave will reduce an employee's ME PFML leave entitlement.

PAY AND BENEFITS WHILE ON FMLA LEAVE
For employees currently on our flexible benefit plans, the College will maintain group insurance coverage and employer contribution levels for an employee on ME PFML, provided they were on the plans before the leave was taken. If applicable, arrangements will need to be made for employees to pay their share of insurance premiums while on leave. Taking ME PFML will not affect an employee's right to accrue vacation time, sick time, bonuses, advancement, seniority, length of service credit, or other employment benefits, plans, or programs.

JOB RESTORATION
Employees who have been employed for at least 120 days are entitled to be returned to the position held when leave commenced or to an equivalent position with equivalent employment benefits, pay, and other terms and conditions of employment upon return from ME PFML.

DISCRIMINATION AND RETALIATION
The College strictly prohibits and will not tolerate any discrimination or retaliation against an employee who requests to use ME PFML benefits, uses ME PFML benefits, or exercises any other rights protected under this policy.

Any employee who believes that they have been wrongfully denied leave, retaliated or discriminated against for exercising any rights under this policy must immediately notify Human Resources.

Temporary Medical Disability Leave

To be eligible for Temporary Medical Disability Leave, a faculty member must be eligible under the Federal Family Medical Leave Act of 1993 (FMLA). To be eligible for FMLA, a faculty member must have worked for the College for a total of 12 months and have worked at least 1,250 hours over the previous 12 months.

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

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

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

While it is not anticipated, in the event that, due to the coronavirus pandemic, the College adopts a modular academic calendar in 2022-23, while the modular calendar is in effect, any member of the faculty who is unable, as a result of a disability, to fully meet teaching obligations for a continuous period in excess of two weeks during the module will, unless otherwise agreed between the faculty member and the dean of the faculty, be deemed disabled for the remainder of the module and paid disability benefits for the remainder of the module.

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

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

In the case of a *scheduled* disability leave, including one for childbirth, the faculty member must discuss plans with the department or program chair as soon as possible so that arrangements can be made to find a replacement to teach any course deemed essential to the curriculum. The semester in which the leave occurs shall be the two-course semester. In some cases, a faculty member may request a reduced teaching load due to a medical disability. In these cases, the teaching load and compensation are adjusted according to the circumstances of the situation, in consultation with the dean of the faculty. When a half-year leave of absence is granted in combination with a disability leave, that year does not count toward the probationary period for tenure or toward years of service for determining promotion or other employment benefits.

Faculty Parental Leave

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

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

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

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

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

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

Faculty who are not eligible for the Faculty Parental Leave benefit may be eligible for the Staff Parental Leave benefit and should contact benefits@bates.edu to determine their eligibility.

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

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

Faculty members who are not U.S. citizens or legal permanent residents should not travel outside the United States without discussing the implications first with the dean of the faculty's office.

Teaching and learning at Bates are greatly enhanced by diverse perspectives and life experiences of faculty and students. The College welcomes international faculty of high qualifications, and assists faculty members whenever possible in securing visas and permanent residency. The College does not sponsor permanent residency petitions for visiting faculty.

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

1) maintain current legal status in the appropriate visa category and notify the College of any anticipated change of status. Normally non-U.S. faculty members work at Bates on F-1 student visas (Optional Practical Training), H-1B visas, TN (Trade NAFTA) visas, or J-1 exchange visitor visas. Faculty with F-1 visas who are eligible to use Optional Practical Training (OPT) must do so before the College sponsors an H-1B visa. However, the College does not participate in E-Verify, so faculty in the STEM fields using OPT cannot engage OPT for the second year afforded to F-1 visa holders working in those fields; an H-1B visa will be secured when the first year of OPT expires. NOTE: J-visa holders changing their visa to an H-IB visa must verify that they are not subject to the two-year foreign-residency requirement;

2) maintain a current passport and ensure the faculty member's ability to travel outside of the United States and return legally in time to fulfill teaching obligations to the College.

3) initiate the individual's own permanent-residency petition if appropriate (tenure-track faculty members are expected to seek permanent residency as soon as possible after beginning their service to the College). NOTE: The

filing of the first part of this application *must* be completed within a *limited* time period (currently eighteen months) from the date the faculty member *signs the initial contract.* Failure to initiate the permanent-residency process in a timely manner may have serious consequences for the faculty member's ability to remain employed at Bates;

4) manage all immigration matters pertaining to dependents;

5) bear specified expenses associated with permanent residency, including some filing and immigration attorney fees;

6) consult with the dean of the faculty before accepting salaries, stipends, or honoraria from any other institution, so that full compliance with U.S. Citizenship and Immigration Services (USCIS) and Department of State (J-visa program) regulations will be guaranteed;

7) inform the dean of the faculty's office if traveling outside the United States;

8) inform the dean of the faculty and the payroll office as soon as U.S. permanent residency and/or U.S. citizenship is secured;

9) maintain and renew the lawful permanent residency authorization ("Green Card").

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

1) assist faculty members using OPT associated with their F-1 visa sponsored by their graduate school;

2)prepare documentation for J-1 exchange visitor visas in the SEVIS database and pay the SEVIS and visa fees;

3) provide general information about H-1B visa and permanent-residency requirements;

4) provide information necessary for the preparation by the non-U.S. national's legal counsel of a Labor Condition Application to the Department of Labor on behalf of the faculty member (required for an H1-B visa);

5) generate documentary materials as required to assist in the submission of a Labor Certification Application (PERM) required to apply for permanent residency;

6) assist with supporting documentary evidence (such as copies of contracts, letters of support from the dean or department chair, etc.) as required;

7) retain an immigration attorney whose work has been vetted by the College and with whom the non-U.S.-citizen faculty members will work;

8) pay all attorney's fees and government filing fees relating to H1-B visas and H1-B visa renewals; pay attorney's fees and related filing fees for the U.S. Department of Labor's PERM process, the first step in the permanent residency petition. For additional information concerning non-U.S. nationals in faculty positions and guidelines for bringing exchange visitors (teaching assistants, short-term scholars, speakers, visiting faculty or learning assistants) see website ***bates.edu/dof/teaching-and-advising/visa-guidelines/.***

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

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

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

Faculty Emeritus/Emerita Guidelines

Eligibility

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

Process

For teaching faculty:

1) The department/program chair(s) or the dean of the faculty (after consulting with the senior members of the department/program) generally initiate recommendations for emeritus/emerita status.

2) Recommendations should include a curriculum vitae and a summary of the candidate's achievements.

3) Recommendations are made to the dean of the faculty for consideration by the appropriate personnel committee, which makes recommendations to the president for final decision by the Board of Trustees.

4) Emeritus rank of a teaching faculty is always raised to full professor except in the case of senior lecturers and lecturers.

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

1) Recommendations are initiated by the candidate's administrative superior.

2) Recommendations include a curriculum vitae and a summary of the candidate's achievements.

3) Recommendations are made to the president for final decision by the Board of Trustees.

For the President:

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

Eligibility Associated with Emeritus Status

Faculty with emeritus status:

- are listed in the *Catalog* and the faculty directory and retain any endowed professorship title held at the time of retirement;
- receive identification cards permitting faculty library privileges and access to athletic/recreation facilities;
- are invited to process in the ceremonial occasions of the College;
- receive email access;
- receive campus-wide publications and announcements;
- receive a college parking tag;
- use official stationery when called on to act as reference for former students and colleagues or any other similar service.
- Emeritus faculty who plan to conduct research after retirement should consult "Involvement of Emeriti in Sponsored Research and Other Grant-Funded Activities" in Section 7 of the *Faculty Handbook*.

Technical support for emeritus faculty is limited. Emeriti with questions about support for their computers should contact the Vice President for Information and Library Services, Pat Schoknecht (pschokne@bates.edu).

Program in Support of Faculty Development and Research

Members of the faculty are expected to pursue ongoing professional development through participation in scholarly organizations, research, artistic production, publication, professional writing, or other professional activities 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. The College provides support for faculty professional activities through the programs cited below. These programs are contingent upon the financial resources of the

College. Faculty members who have questions or concerns about professional development opportunities should consult with the dean of the faculty.

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

I. Leaves and Release Time

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

To be eligible for paid or unpaid leaves, eligible tenure-track and tenured faculty members shall have met their teaching obligations at the college for no fewer than three consecutive years between leaves of any kind. Exceptions are granted for medical disability, parental leaves, and by petition to the Academic Affairs Council.[135]

A. Sabbatical Leave

A faculty member becomes eligible for a first sabbatical after an award of tenure and a period of twelve semesters of full-time teaching at Bates. (Full-time teaching is defined as meeting a faculty member's contractual teaching obligations and not being on sabbatical.)[136] The faculty member notifies the dean of the faculty's office in the thirteenth semester of service (this is typically during the fall following the granting of tenure) of the intention to apply for a sabbatical to be taken during the eighth academic year. The faculty member thereby receives the initial sabbatical following fourteen semesters of service or in the eighth academic year. Following the initial sabbatical, a faculty member is eligible for sabbatical leave after each twelve semesters of full-time teaching at Bates. For personal or departmental reasons, a sabbatical leave may be deferred up to four semesters without the loss of any credit toward the next sabbatical. For deadlines and guidelines and for information on leaves for lecturers, see ***bates.edu/dof/sabbaticals-and-leaves/***.

B. Leave of Absence

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

C. Pre-Tenure Leave

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

D. Course Reduction for Faculty and Curricular Development

Members of the faculty may apply for a one-course or course-equivalent reduction in their regular teaching obligation during the two-semester period of an academic year. These may be applications for course development, unusual teaching arrangements and strategies, or other projects related either to the planning or implementation of innovative pedagogies. Alternatively, applications may concern specific research projects. Selection is made by the dean and the division chairs. Even when the faculty member receives support from internal or external funding, an application must be made through the dean of the faculty.

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[135] Administrative change - Policy clarified with CFG consultation, 31 March 2026.

[136] Clarification added by Academic Affairs Council, 8 April 2026.

Members of the faculty who are on the tenure track or tenured, or who are in ongoing lectureship positions who are pursuing grants or fellowships may apply to the Dean of the Faculty to buy out up to one course per year to a maximum of three courses over a period of three years. Alternatively, they may buy out three courses in one semester, at most every three years. Course reductions are also possible for serving as a department or program chair, thesis supervision, or exceptional teaching loads. For deadlines and guidelines, see ***https://www.bates.edu/dof/course-reductions-new/*** [137]

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

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

A. The Bates Faculty Development Fund

The Bates Faculty Development Fund supports faculty scholarship, curriculum development, and innovative pedagogy projects. The Fund includes the pooled assets from a number of faculty development endowments and grants, including the Research Indirect Cost Reserve Fund and Professional Development Grants (leave support); The Kathleen Curry Akers '41 Fund (sabbatical leave support); The Kunreuther Fund for Economics; The McGinty Faculty Research Fund (humanities); The Roger C. Schmutz Faculty Research Grants (all disciplines); The Philip J. Otis Faculty Curricular Development Grants (courses or research pertaining to the environment). This pooled fund requires only one application. Other grants, including Phillips Fellowships, Summer Research Apprenticeships, INBRE grants, and STEM grants have separate application processes. Grants of $500.00 to $10,000 are made through the Bates Faculty Development Fund; most awards average about $4,000. All faculty are eligible to apply for Bates Faculty Development Grant support, though with some limitations.

Full guidelines and the application instructions may be found on the dean of the faculty's website at ***bates.edu/dof/bates-faculty-development-fund/***.

B. Phillips Fellowships

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

C. Enhanced Sabbatical Program

To encourage faculty scholarship and professional development, the College offers the Enhanced Sabbatical Program on a competitive basis. Tenured faculty and senior lecturers may apply for a full-year sabbatical at 80% pay. To be eligible, applicants must submit at least one application for funding outside the College. For deadlines and application guidelines, see bates.edu/dof/description-of-sabbatical-options/.

D. Summer Research Apprenticeships

Each year the College awards Summer Research Apprenticeships for Bates students to participate in research projects under the direction of College faculty working in all disciplines. Each grant provides an hourly wage for the students to pay for room-and-board. 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

[137] Expanded policy by Academic Affairs Council, 6 April, 2026.

involvement. These grants are competitive. Full guidelines, application procedures, conditions, information on available funding, and reporting requirements are available on the website at ***bates.edu/dof/summer-research-apprenticeships/.***

E. INBRE Grants for Faculty and Student Scientific Research

Through support from a major grant to a consortium of Maine institutions from the National Institutes of Health, the College makes funds available to faculty and Bates students for the pursuit of research involving molecular and cell biology and biochemistry related to comparative genomics as well as basic research at the molecular level.

INBRE **FACULTY-STUDENT SUMMER GRANTS SUPPORT**

For faculty members to mentor one or two students on a biomedical research project. The project budget, including student stipends, equipment and supplies, cannot exceed $9,500 per student. Faculty/student projects may take place for eight to ten weeks during the summer; projects may begin during Short Term. Full guidelines, application procedures, conditions, and reporting requirements are available on the dean of the faculty's office website ***https://www.bates.edu/dof/inbre/***

F. STEM Faculty-Student Research Grants

An endowed fund supports math and science research by providing funding for faculty who hire student research assistants during the summer. Faculty working in biochemistry, biology, biomedical research (including public health), chemistry, earth and climate sciences, environmental science, mathematics, neuroscience, and physics may apply for this funding, which includes support for student summer wages and funding for supplies or travel. The Faculty Scholarship and Grants Committee reviews these proposals. Please see ***bates.edu/dof/stem-summer-grants/*** for more information.

G. Barlow Fund Grants

The Barlow Endowment for Off-Campus Study supports a number of student grant programs to enrich the study-abroad experience. Barlow grants are also available to faculty members who travel to off-campus study programs and assess their offerings. More information is available on the off-campus study website at ***bates.edu/global-education/barlow-grants/.***

H. NEH Foreign Language Teaching Support Grants

An endowment established in part by a National Endowment for the Humanities matching grant provides support for teaching, curriculum development, and pedagogical research in Chinese, French, German, Greek, Japanese, Latin, Russian, and Spanish. Funds are available through a competitive grant program; the acquisition of teaching materials, the development of library collections; and special events, speakers, and performances in these languages. Faculty members teaching in these languages may apply; information is available from the dean of the faculty's office or by visiting ***bates.edu/dof/neh-fund/***.

I. Other Student Assistance for Faculty Research

1) Student Research Grants and Fellowships

Some student research funds provide wages, fellowships, and/or room-and-board support to students conducting faculty-directed research at the College. These grants are competitive, and students must submit application forms to Center for Purposeful Work.

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 housing during recesses. Permission can only be granted if such convenience is necessary to research projects. Summer housing on-campus is available to student researchers. There are financial charges for such housing.

J. Professional Travel to Conferences

The purpose of conference travel funds is to encourage scholarly activity by the faculty by supporting travel associated with professional conference activity. Full-time faculty and those holding ongoing, long-term lectureships are eligible. This annual allowance per faculty is restricted to use for participation at a discipline-specific professional

venue where peer-reviewed scholarly activities are featured. Information on support for conference travel by faculty members is available at ***bates.edu/dof/professional-travel/***.

K. External Grants

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

The Office of Research and Sponsored Programs maintains a comprehensive website that provides information for faculty seeking external grant support, including information from the dean of faculty's office, the accounting office, and the human resources office. Faculty members planning to submit a grant proposal should consult this site *bates.edu/grants/*.

The Kroepsch Award for Excellence in Teaching

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

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

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

1) Stimulates student interest in the subject and fosters desire for further learning.

2) Helps students understand subject matter and its importance in a broad context.

3) Is innovative and/or creative in teaching.

4) Is demanding and expects a high standard of performance.

5) Engages students in research and scholarly work.

6) Is committed to student learning.

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

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

Part 3: "Nondiscrimination and Sexual Harassment"

For the most current information refer to *Employee Handbook*

bates.edu/hr/reference/employee-handbook/

Note: Faculty are mandatory reporters of incidents involving sexual misconduct. Such incidents should be reported immediately to the Title IX Director.

Part 4: "Affirmative Action"

For the most current information refer to *Employee Handbook*

bates.edu/hr/reference/employee-handbook/

Part 5: Instruction

Faculty Teaching Load

Departments and programs of the faculty design their curricula on the basis of a 5-course teaching load for full-time faculty during the academic year.[138] Chairs, in consultation with their colleagues concerning the needs of their department or program, determine teaching schedules, including those for Short Term.

1) Department and program chairs may elect to receive one course or course equivalent credit per year for their administrative responsibilities or make other arrangements with the dean of the faculty. See ***https://www.bates.edu/dof/course-reductions-new/***

2) Members of the faculty with a one-half year leave of any kind must teach 3 courses, or 2.5 courses if the department or program can arrange such teaching credit, in the terms in which the faculty member is not on leave.

3) Part-time faculty who teach full-time for one semester only (not counting Short Term) must teach 3 courses during that semester.

4) "Course equivalent" credit may be given for thesis supervision. Allocation of thesis credit may vary among departments and programs but is generally equal to .5 course credit for ten thesis semesters and 1.0 course credit for twenty thesis semesters over the course of three academic years. Faculty seeking course equivalent credit for thesis supervision must secure approval from the chair, who reports the credit to the dean of the faculty at the time the course grids and faculty workload plans are submitted. Course equivalent credit is not awarded for independent study supervision (360 or s50).

5) In exceptional circumstances, and only after written approval by the dean of the faculty prior to submission of semester course offerings to the Registrar's office, 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) Criteria for Reviewing Courses with Low Enrollments:[139] During registration, courses with three or fewer students are reviewed by the dean of the faculty's office each semester. In some cases, courses with three or fewer students enrolled may be canceled. Faculty members whose courses are canceled must teach alternative courses in the same or a future semester to meet workload expectations. The following criteria are used to evaluate low-enrollment courses:

a) the importance of a course to the Bates curriculum, including General Education requirements;
b) the importance of the course to the major, and/or to students who might need the course to graduate;
c) the importance of the course to a liberal arts education, broadly defined;
d) the status of the course and/or faculty member teaching the course (for example, faculty teaching in their first semester may attract fewer students).

The decision to cancel a course is made by the dean of the faculty.

7) Teaching credit cannot be carried over to another year, except in circumstances expressly approved by the dean of the faculty.

8) Faculty teaching in the Bates Fall Semester Abroad Program are credited for three courses, leaving two courses to be taught in the other semester, and Short Term.

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[138] Reduced teaching load to five courses per College policy, 25 January 1988.
[139] Low Enrollment policy change by Dean of Faculty with faculty consultation, 3 February 2014.

The Faculty Advisory System

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

Academic information about the student is supplied by the Office of the Registrar and Academic Systems to the advisor electronically, including Degree Audit, an overview of the student's progress toward completing degree requirements. Faculty members are reminded that comments made in advisee files are part of the educational record and are open to student review under the terms of the federal Family Educational Rights and Privacy Act (FERPA).

Family Educational Rights and Privacy Act (FERPA)

Bates College fully complies with the Family Educational Rights and Privacy Act, known as FERPA. FERPA (20 U.S.C1232g and 34 CFR 99) applies to all educational institutions and agencies that receive funds under any program administered by the U.S. Secretary of Education. The purpose of the law is to protect the confidentiality of the records educational institutions maintain on their students, allow students to limit disclosure of "personally identifiable information" contained in education records, and to give students access to review their records to ensure the accuracy of their contents.

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

Class Responsibilities

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

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

All full-time and part-time faculty members are expected to arrange their personal schedules to be available for the full range of obligations on campus. If unusual personal circumstances require a different pattern of availability over

an extended period of time, faculty members should make arrangements in advance with their department or program chair and receive approval from the dean of the faculty.

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

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

Gender-Neutral Language. Bates strives to be an inclusive and respectful learning community. The Office of the Dean of the Faculty offers these best practices in the use of gendered pronouns. Please avoid using gendered pronouns such as "he" or "she" in print or electronic academic materials ranging from syllabi to announcements and other material communicated by academic departments and programs and administrative offices. Students may make their chosen pronouns known in the Bates Directory and on class rosters at their discretion.

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

Emergency Procedures. On rare occasions, the administration may declare an emergency, closing the College; in this case, classes are canceled. These announcements are made through the college emergency communications system, which may be a text, call, and/or an email, and posted on *emergency.bates.edu*. For more information about conducting classes during emergencies see ***bates.edu/dof/teaching-and-advising/policies-for-holding-classes-in-emergencies/*****.** If a faculty member encounters an emergency: immediately leave the area and go to the nearest telephone and call campus safety at extension 6111 or press the red HELP button to initiate an emergency call. For more information about campus emergencies, consult bates.edu/campus-safety/emergency-preparedness/**.**

Attendance System. Class lists are available from the online system, Garnet Gateway. Faculty may also view their class lists using the learning management system, Lyceum. Only after a name has been officially added to the class lists in Garnet Gateway should a student be considered properly registered in a course, and students are responsible for finalizing their registration for all courses they intend to take in a semester. While students may add a course until the end of the add/drop period, class attendance is expected at the start of the semester. Instructors should, at the beginning of each semester or Short Term, make clear to the students in the course the expectations regarding attendance and nonattendance at all scheduled class meetings. It is up to each instructor, according to departmental or program policy, to excuse or penalize excessive absences in a course.

Students are responsible for attending the first meeting of the classes for which they are registered. Instructors, at their discretion, may drop those students who do not attend that meeting by emailing the student name(s) to registrar@bates.edu. If faculty choose to report to the Registrar's office students who are absent from the first class

meeting without prior approval of the instructor, or excused by a dean, they are dropped from the course by the Registrar's office.[140]

Field Trips.[141] Whenever class trips entail absences from other classes, the instructor must secure advance approval from the department or program chair. A list of all students involved, and a list of all courses they will individually miss as a result of the field trips, must accompany the request. Faculty requesting that students miss a class of another faculty member are asked to inform that faculty member of the request. Students may not be required to go on field trips if they involve absences from classes in which examinations are scheduled. Faculty must notify the Campus Safety Office of any field trips that include an overnight component.

Evaluative Assignments. It is important that faculty provide an evaluation to a student of the student's work in a course *before* the last day to withdraw from a course in a semester or Short Term.

Optional Reading Period.[142] The last week of classes in each semester may be used as an optional reading period by instructors who deem it academically desirable. The dates for this reading period are included each year in the calendar reported to the Faculty by the Academic Affairs Council.

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

Instructors of Short Term courses must conduct the course for the entire duration of the Short Term, including off-campus courses in which travel is completed before the end of the Short Term.

Examinations

In-Term Examinations.[143] Multiple forms of evaluation are encouraged. One week's notice should be given to students of an examination of an hour's length or more, and some advance notice should also be given of any shorter quiz if it has considerable weight in determining the final grade. No examinations or quizzes in classes should be given during the last full week of any semester.[144] This provision shall not apply to practical examinations given in laboratory work or to the Short Term.[145] Faculty may not ask academic administrative assistants to proctor exams. Hour-long examinations should not be assigned on the first day after a College vacation.

In recognition of Bates' commitment to a diverse and inclusive student body and the variety of religions observed and practiced by our students, faculty are encouraged to consult the Multifaith Calendar posted online by the Office of the Multifaith Chaplain when developing course syllabi so that conflicts between in class examinations and major religious holidays may be avoided. Given the range of faiths embraced by our students, it may not be possible to avoid all conflicts between scheduled examinations and religious holidays. Students are expected to approach the

[140] Registration policy established, 5 April 1993.
[141] Policy established, 20 February 1953; revised, 26 October 1953.
[142] Policy established, 5 May 1975; policy revised, 3 December 2001.
[143] In-class exams and religious holidays policy revised, 19 September 1988.
[144] Established policy per the Committee on Curriculum and Calendar, 6 November 1972.
[145] Policy established 6 December 1976; revised, 3 December 2001.

instructor within the first two weeks of the semester if there is a conflict with a scheduled examination, paper, or project due date and a significant religious holiday observed by the student so that, when warranted, alternative arrangements for completing the work may be made.[146]

The Multifaith Chaplain shall be responsible for reminding all faculty members of this policy prior to the beginning of each fall semester.

Final Examinations.[147] The final examination schedule is composed by the Registrar's office. All students are expected to take final examinations at the time scheduled. Exceptions are made for students who have two exams at the same time or three exams in one day.[148] Those students should complete a Request to Move a Final Examination form in the Office of Accessible Education and Student Support. Final examinations cannot be rescheduled to accommodate the travel plans of students. Students should not make any travel plans until they have full knowledge of their final examination schedule. It is not within the discretion of the instructor to waive or alter the examination requirement for individual students, or to reschedule the examination for the entire class. Requests from individual students to have an exam rescheduled outside of the two scenarios described above must be made to the Committee on Academic Standing. Any exam approved for rescheduling by the faculty member and the Academic Standing Committee should be proctored by that faculty member or a colleague, unless the rescheduling request is due to a personal or medical emergency on the part of the student.

Instructors indicate to the Registrar's office whether or not their courses will use a two-hour block of time during the final examination period for evaluation purposes, in time for inclusion of such information in registration materials. Instructors may use this reserved time period for any form of evaluation, including in-class written examinations, oral examinations, presentations of final projects, or the deadline for handing in take-home examinations or final papers or projects.[149] Scheduled final examinations cannot be rescheduled after students have registered.

All student absences from scheduled final examinations are to be reported promptly to the Registrar's office and to the dean of students. At the discretion of the faculty member and depending on the circumstances, a make-up examination may be arranged with the instructor.[150]

Faculty may decide whether or not to return final examinations to students, and must make their policy clear to students. According to FERPA regulations, if faculty choose to return examinations, they must not create a situation in which students have access to the examinations or grades of other students. If faculty do not choose to return examinations, they should make them available for student viewing. Faculty should provide students with opportunities to discuss the results of final exams, and retain exams for at least one year.[151]

The Grading System

Grades Used.[152] Grades in complete courses are assigned according to the following schedule of letters and quality point equivalents:

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[146] Educational Policy Committee approved revision, 26 April 2010; Academic Affairs Council revision, 10 September 2025.
[147] Policy revised, 10 March 1975.
[148] Academic Affairs Committee revised the policy that no student is required to have more than two final exams or more than six hours of final examination time on a single day, 4 November 2019.
[149] Revised, 3 December 2001.
[150] Policy revised, 2 November 1981.
[151] Administrative Policy recommended by EPC, 3 December 2001.
[152] Quality point equivalents for letter grades revised, 12 September 1977.

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

Students are expected to complete all work for a course by its terminal date. A grade submitted after the grade due date (10 days after the final examination period per faculty legislation) will not be accepted by the Registrar's office, unless the student has been pre-approved for a course deferral, which must be requested through the Office of Accessible Education and Student Support Services no later than the last day of classes. Exceptions to this deadline must be approved by the Committee on Academic Standing. A grade of "DEF" indicates that the student has secured a course deferral. Incomplete work for which deferred grades are given must be completed in a specific period of time, as determined on the deferral form, or the "DEF" grade becomes an administrative F notated as "F#." All final grades that were previously deferred are identified with an asterisk (*) on the student's transcript.

Grades must be submitted for all students on a class roster by the grade submission deadline. Students who remain on the roster but who attended classes only during the add period and have neglected to drop a course will receive an "F#" grade (an administrative F) posted by the Registrar's office. For more information see ***bates.edu/student-affairs/student-support-and-advising/course-deferral-guidelines***.

Thesis Deferrals. 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 four calendar weeks from the posted date for the submission of such grades, and the deferred grade shall not be higher than a "D-."[153]

Withdrawals.[154] A grade of "W" is used to indicate that a student was required to withdraw or take a leave of absence from the College due to extenuating circumstances, or approved to withdraw from a course(s) after the legislated drop date by the Committee on Academic Standing. W grades are not punitive and do not count in the GPA.

Pass/Fail Grading.[155] Students may elect to take a total of two Bates courses (not including Short Term courses) on a pass/fail basis, with a maximum of one per semester. The following conditions apply:

1) All courses are taken for a letter grade by default. Students may change their grade mode to pass/fail or from pass/fail back to letter grade until the last Friday of classes for the term in which the course is being taken.

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's office, which are then converted to a pass or a fail. Unless the student chooses to inform the instructor, only the student, the student's advisor, and the Registrar's office know the grading mode the student has selected 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 minor requirements. This information is available in each department and program listing 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 2.0 quality points.

Short Term Grades. An instructor must indicate if a Short Term course will be graded on a letter-grade or "satisfactory/unsatisfactory" basis to the Registrar's office prior to the publication of the Short Term registration materials.[156] This applies to all students registered for the course and to independent studies.

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[153] Policy approved, 4 February, 1991.
[154] Policy revised, 8 December 1975.
[155] Policy approved, 1 February 1999; revised 3 February 2025.
[156] Satisfactory/Unsatisfactory Short Term grade option approved Short Term 1971, 1 February 1971; option made permanent, 18 January, 1988.

Academic Performance Warnings. BatesReach is the online system used to record concerns about academic performance. Warning reports are sent to the student, who is advised to review the situation immediately with the advisor, instructor, and student support advisor. All faculty are requested by the Dean of Students to report at least once during a module or a semester any student whose academic work to date falls below C-. In addition, faculty are encouraged to report a deficient student at any time.

Faculty Grades Due. All student work must be completed and turned in to instructors by the end of the examination period. Any exceptions to this require a formal grade deferral. Faculty are responsible for submitting grades by a date set by the Registrar's office, so as to make grades available to students eleven days after the end of the final examination period. In some cases, especially for seniors in their final semester, honors candidates, and students on academic probation, the Registrar's office may demand the grades earlier.[157]

If special circumstances make it impossible to comply with the legislated schedule for grade submission, the faculty member should notify the Registrar's office, dean of the faculty's office, and all affected students. It is imperative that final grades be submitted on time. Until all grades are submitted, students cannot be informed of any academic deficiencies, including academic dismissal; graduation honors cannot be calculated; and students may lose employment or educational opportunities that require current transcripts.

Grades for Prospective Graduates. In order to certify seniors for graduation, all final grades for seniors, including those previously deferred, must be submitted by the end of the day of the Wednesday prior to Commencement. Short Term final grades for seniors are considered passing if the Registrar's office is not informed otherwise by noon on the last day of Short Term.

Reporting Grades to Students. Semester grades are officially reported to students through Garnet Gateway. Faculty members may unofficially report semester grades to students after the end of the final examination period. In compliance with federal law, student names and grades cannot be posted on office or classroom doors, bulletin boards, or other public places and should not be communicated via email. Homework and exams should not be left in a stack or on a door for students to retrieve.

Course Evaluations. At the end of each semester or Short Term, students are required to complete an evaluation of each course taken. All course evaluations are the exclusive property of Bates College.

Changing a Final Grade. Course grades, after they have been submitted and made available to students, may be changed only on professorial petition to the registrar stating specific grounds of clerical or computational error. All other requests for a change of grade shall be directed to the Committee on Academic Standing, with the instructor initiating the request.

Academic Appeals Procedures.

I. Initial Appeals of Grades and Academic Actions.

Bates' commitment to fairness and consistency supports an appeal process that affords students the opportunity to have certain significant decisions affecting their academic work and status reviewed. Any such review requires carefully balancing the College's interest in upholding its academic standards, faculty members' autonomy under principles of academic freedom, and students' accountability and responsibility as well as their expectations of fair treatment.

Accordingly, if a student has reasonable grounds to believe that a faculty member has assigned a final grade or taken other academic action that significantly departs from established course-specific policies, is inconsistent with established College policies, or is grossly unfair for other reasons, the student may follow the appeal procedures below to obtain equitable review of the matter. It is the student's responsibility to make a timely, compelling case.

A. Course-specific Policies. If a student has reasonable grounds to believe that the faculty member has made a significant error or oversight in recording or calculating final grades; (b) grossly misevaluated specific

[157] Due date revised, 9 February 1970; Administrative Policy recommended by EPC, 3 December 2001.

academic work that impacts a final grade; or (c) failed to respect the terms of the syllabus in assigning final grades or taking other academic action, the student should:

1. Present the case to the faculty member, providing all supporting documentation, and make a sincere effort to reach a resolution.

2. Review the case with their academic advisor or their student support advisor to determine the seriousness of the complaint, and to attempt resolution.

3. If these actions fail to resolve the concern, the student may appeal to an associate dean of the faculty within 30 days of the faculty member's action or within 30 days of the final grade becoming available to the student. The student should submit a letter of appeal that describes in detail why the grade or action taken should be reconsidered, the steps taken to resolve the matter, and the outcomes the student seeks, together with copies of all relevant documents. If the action or final grade in question occurs at the end of Short Term, the student will have an additional 30 days at the beginning of the fall semester in which to submit an appeal. The associate dean will attempt to resolve the matter, consulting with the student and faculty member as needed and obtaining any additional information or documents required. If the associate dean is unable to achieve resolution, the associate dean will issue as soon as possible a written summary statement, inform the student, and consult with the faculty member. The associate dean does not have the authority to implement grade changes.

B. College Policies. If a student has reasonable grounds to believe that a) a faculty member's assigned final grade or other academic action significantly departs from established college policies or practices; b) a faculty member's assigned final grade or other academic action is a result of bias, discrimination, or disfavor on prohibited grounds such as gender, race, sexual orientation, or disability; or c) a faculty member's assigned final grade or other academic action was not based solely on the faculty member's fair professional judgment of the student's performance in the course, but rather as a result of personal animus, retaliatory motives, or other improper grounds, then the student may bypass consultation with the faculty member and instead appeal directly to the associate dean of the faculty as follows:

1. Meet with their academic advisor or student support advisor to review the case.

2. Within 30 days of the decision, action or final grade being available to the student in question, the student should submit a letter of appeal that describes in detail why the grade or action taken should be reconsidered, the policy or policies in question, the steps taken to resolve the matter, and the outcomes the student seeks, together with copies of all relevant documents. If the action in question occurs at the end of Short Term, the student will have an additional 30 days at the beginning of the fall semester in which to submit an appeal. The letter of appeal should first be reviewed with the student support advisor or a staff member from the Office of Student Affairs. The faculty member may be consulted if appropriate. If the matter is not resolved, the letter of appeal may be forwarded to the appropriate associate dean of the faculty.

3. If, after reviewing the appeal, the associate dean believes that the matter calls for additional expertise, the associate dean may refer the case directly to the Academic Standing Committee (ASC) or to other offices as described in subsections 2) and 3) below. The associate dean will provide relevant materials with the referral. In other cases, the associate dean will attempt to resolve the matter and may consult with the student or faculty member and obtain additional information or documents as needed. If the associate dean is unable to achieve an agreed upon resolution, the associate dean will issue as soon as possible a written summary statement, inform the student, and consult with the faculty member about next steps. The associate dean does not have the authority to implement grade changes.

II. Appealing Outcomes from A and B (above)

Students who are dissatisfied with the outcomes of the processes above may appeal to the dean of the faculty.

4. If a student is not satisfied with a decision or resolution determined by the associate dean, the student may appeal to the dean of the faculty within 10 days of the decision. This route of appeal is not available to the student if the associate dean has referred the case to the Committee on Academic Standing per I.B.3 above, because the decisions of the Committee on Academic Standing are final. The student should submit a letter of appeal that describes in detail why the grade or action taken should be reconsidered, the policy or policies in question, and the outcomes the student seeks, together with copies of all relevant documents, including the associate dean's decision.

5. If, after reviewing the appeal, the dean of the faculty makes the determination that the matter is not sufficiently substantive to warrant further action, the dean will inform the student, and the dean's decision is final. If the dean determines that a different body has jurisdiction over the student's grievance (e.g., violations of Title IX), the dean will make the appropriate referral and advise the student about next steps.

6. If the dean determines that further review is warranted, the dean will forward the matter to the Committee on Academic Standing, with the option of appointing two additional faculty members with relevant expertise; and others whose expertise the dean deems necessary. For example, if the student's appeal involves issues of reasonable accommodation for a learning difference, the dean might request the participation of a representative with relevant expertise from the Office of Accessible Education and Student Support Services.

7. The Committee on Academic Standing (ASC) will review files referred by the associate dean (see I.B.3) or by the dean of the faculty II.3) on appeal, and may obtain additional information or documents as needed to make its determination. The student and faculty member will be given an opportunity to communicate their views to be considered. On completion of its review, the ASC will report its decision to the student and faculty member. If the ASC concludes that a grade or academic action affecting a grade was improper and the ASC can determine the appropriate letter grade, the ASC will direct the registrar to change the grade accordingly. The recommendations of the ASC, consultation with the dean, and any other aspects of the appeals process are considered confidential. In the case of Section II, the actions and decisions of the dean of the faculty and the Committee on Academic Standing are final.

Course Scheduling[158]

All courses are scheduled by the Registrar's office, with the approval of the Curriculum Review Committee, 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 Curriculum Review Committee, in consultation with the Registrar's office, organizes the academic week into the following class meeting time slots. All fall and winter classes shall normally meet for a minimum of 160 minutes per week. Instructors using time slots that offer the possibility of using more than this minimum may organize the use of

[158] Revised, 18 November 1968; revised, 9 March 1970; revised 3 October 1977; revised 13 February 1978; revised 5 April 1999; revised, 2 May 2016.

that time in any way they deem to be pedagogically beneficial, using anywhere from 160 minutes to 240 minutes per week. Short Term courses shall meet for a minimum of 7.2 hours per week.

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

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

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

11:00-12:20 p.m. Classes in this time slot normally meet two times a week on Tuesday and Thursday.

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

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

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

7:30-8:50 p.m. Classes in this time slot normally meet twice on Tuesday and Thursday.[159]

In addition, the Curriculum Review Committee, in consultation with the Registrar's office, shall normally schedule:

1) Three-hour seminars, on Monday, Tuesday, Wednesday, Thursday, or Friday from 1:05-4:00 p.m.; on Tuesday, from 7:30-10:30 p.m.; or on Thursday, from 7:30-10:30 p.m.

2) Laboratories, on Monday, Tuesday, Wednesday, Thursday, or Friday from 1:05-4:00 p.m.; on Tuesday, from 7:30-10:30 p.m.; or on Tuesday or Thursday from 8:00-10:50 a.m., but only if five sections of the same lab are scheduled at other times, or under special circumstances.

3) Two-hour classes, twice a week on Tuesday and Thursday, anytime between 8:00-10:50 a.m.; or twice a week on Tuesday and Thursday, anytime between 1:05-4:00 p.m.; or twice a week on Monday, Wednesday, and/or Friday, anytime between 1:05-4:00 p.m.

4) Extra Session Times, on Tuesday and/or Thursday from 11:00-11:55 a.m., or from 12:05-1:00 p.m. These sessions are designed for MWF classes that need to meet regularly four or five times a week, or as a discussion section time for classes with multiple discussion sections.

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

The Curriculum Review Committee (CRC) shall have the responsibility of coordinating the scheduling of classes in the above time slots. Its members shall request from department and program chairs a tentative schedule of all departmental and program courses. The CRC shall examine these schedules in conjunction with each other and decide whether they achieve a roughly proportional use of all the available time slots. The CRC shall take into consideration that some time slots are less convenient both for faculty and students and shall not require that all time slots be used in the same proportion. If the tentative department and program schedules, considered together, fail to achieve a roughly proportional use of all available time slots, and if this, in the opinion of the members of the CRC,

[159] Tuesday evening classes established, 17 January 1977.

make it unnecessarily difficult for many students to select courses in non-competing time slots, the CRC shall take the following steps: its members shall determine which departmental or program schedules are not making use of enough time slots and shall request changes of those departments or programs. In extreme cases of departments or programs failing to schedule their courses proportionally, the CRC shall create new schedules.

Any guidelines the CRC adopts in order to accomplish its responsibilities shall be disseminated to all department and program chairs.

The following policies apply regarding the scheduling of courses.

1) The Curriculum Review Committee approves the schedule of courses.

2) In granting such approval, the Curriculum Review Committee shall consider it necessary to distribute courses as equally as possible throughout the available hours of the day in order to satisfy the following principles:

a) that students have the greatest freedom of choice possible in their selection of courses;

b) that there may be maximum equal access to various teaching facilities, such as seminar rooms, laboratories, language laboratories, rooms with audio-visual facilities, etc.;

c) that conflicts in final examinations may be minimized to the greatest extent possible.

3) Consistent with such principles of distribution, and with the principle of dealing equitably with all departments and programs of the College, departments and programs should be free to schedule courses according to their academic needs and those of individual department and program members. The equitable assignment of instructors to unpopular class hours is likewise the responsibility of the departments and programs.

4) The committee requests that the Registrar's office solicit course information from each department or program, including course numbers, the preferred time for each class to be given, and instructor name. Departments and programs should disperse classes throughout the entire range of class hours and, unless specifically granted exceptions by the committee, must observe guidelines specified by the committee.

Room assignments are made by the Registrar's office. Faculty may state their room preferences for each course, but preferences are not guaranteed. Room *assignments must not be changed, even temporarily, without Registrar's office approval.* With the obvious exception of field trips, academic classes normally are not to be held outdoors.

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. Requests for changes in class meeting times should not be made after the schedule is posted for students to review in advance of registration.[160] In the event of an emergency or unforeseen circumstance that may require a change to a meeting time, the instructor and department/program chair should consult with the Dean of Faculty's office and the Registrar's office. For information on the schedule, please consult with the department/program chair or the Registrar's office, or review the class meeting grid on the Registrar's office website ***bates.edu/registrar/faculty/grids-for-course-scheduling/*.**

[160] Established policy per the Committee on Curriculum and Calendar, 6 November 1972.

Administrative Course Procedures

New Course Proposals. Faculty may propose new courses following guidelines outlined by the Curriculum Review Committee and the Registrar's office. An electronic archive is maintained online and all courses approved are reported to the entire faculty at the end of each semester. Deadlines for submitting course proposals for future terms are set by the Curriculum Review Committee and are communicated via the annual calendar of dates and deadlines produced by the Registrar's office.

General Education Designations.[161] When a faculty member proposes a new course, the faculty member should, if appropriate, designate the courses as filling one or more General Education requirements. The General Education designations are the Modes of Inquiry: AC, CP, GL, HS, SR, and QF and the Writing Requirements W1, W2, and W3.

Faculty should also contact concentration coordinators if the course proposed could fulfill one or more concentrations.

Registration and Adjustment Periods.[162]

Open Add/Drop Period. Students may add or drop a class for the first 7 calendar days of a semester.

Instructor-Permission Change Period. For the following 7 calendar days students may add a class, but only if they obtain instructor permission. Students should not assume that instructors field such requests outside of business hours, so they should seek permission in a timely manner. Students may drop a class without instructor permission.

In Short Term a student may add during the first 3 calendar days, and drop during the first 5 calendar days.

Late Registration Adjustments. For a student seeking to add a course after the faculty-legislated add deadline, if the student's instructor verifies that the student was in attendance prior to the last day to add, the adjustment is made by the Registrar's office. For a student seeking to drop a course after the faculty-legislated drop deadline, if the student's instructor verifies that the student was in not attendance prior to the last day to drop, the adjustment is made by the Registrar's office.

The Committee on Academic Standing reviews all other requests for late registration adjustments.

Course drops during the registration adjustment periods are not recorded on student transcripts, however late withdrawals for individual course drops are recorded. If a student withdraws or takes a leave of absence from Bates prior to the end of the semester, a grade of "W" is recorded for all courses.

Independent Study and Internship Courses

Independent Study.[163]

Each department and program may elect to offer "independent study" courses to allow students to pursue individually a course of study or research not offered in the Bates curriculum. This may be pursued as a semester

[161] New General Education requirements approved, 6 March 2006; revised 14 May 2013; revised 5 May 2014; 5 March 2018; 4 March 2023; 6 May 2024.

[162] Revised, 6 October 1969; policy revised 8 December 1975; revised, 5 October, 1987; deadlines revised, 3 February 2025.

[163] Independent Study courses established, 2 April 1973.

course (using the number 360) or a Short Term course (using the number s50)[164]. The student designs and plans the independent study, in consultation with the faculty advisor as outlined on the Independent Study form found on the Registrar's office website at ***bates.edu/registrar/forms/*****.** The work must be completed during the semester or Short Term for which the student has registered for the course approved by a Bates department or program, and supervised by a Bates faculty member who is responsible for evaluation of the work and submission of a grade. Faculty members may refuse independent study requests (Faculty Legislation, March 2001). The student must be in residence and may not complete an independent study away from campus unless participating in a Bates Fall Semester Abroad.

Internships.

Each department and program may elect to offer "internship" courses to allow students to incorporate extracurricular activities into structured, curricular learning experience. This may be pursued as a semester course or a Short Term course. A faculty member organizes and plans student participation in a work or service activity as part of a course established by the department or program. Students may be supervised directly by someone other than the faculty member, however the Bates faculty member is responsible for oversight of the curricular learning experience, evaluation of the work, and submission of a grade.[165]

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, 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 papers, examinations, other work requiring subjective evaluations, or conduct work that must remain confidential without FERPA training. If student assistants must see or grade work of students in a course, the instructor should consult with the Registrar's office regarding FERPA training and documentation for the student assistant.

A faculty member who would like to hire a student to perform these tasks must contact the student employment office. The student employment office has a record of all created positions and is responsible for assigning a rate of pay for each job. If a faculty member has a position in mind, the student employment office will assist the faculty member in creating a formal position description and will then grade the position based on the information provided. Student employees must have all tax forms completed before they are allowed to begin working. No student may work more than twenty hours per week during the academic year, unless they are not enrolled in a Short Term course and are working as a research assistant to a faculty member during Short Term. During the summer, students may not work more than forty hours per week. The payroll office can advise faculty supervisors on a student's work eligibility.

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

Off-Campus Study Programs

Off-Campus Study opportunities, eligibility requirements, and the application and selection process for off-campus study are stated in the *Catalog*. Basic requirements for selection have been established by faculty vote. The Committee on Off-Campus Study, a standing committee of the faculty, reviews proposals for Bates-sponsored off-campus study programs (Fall Semester Abroad programs and Short Term Off-Campus/Extra Cost courses), proposes legislation related to global education, considers student petitions, awards credit, and evaluates new and approved off-campus study programs. Most students participate in Off-Campus Study semester or academic year programs in the junior

[164] Short Term Independent Research courses established, 8 December 1975.
[165] Established internship policy, 5 March 2001.

year. The Center for Global Education is the administrative office that oversees all off-campus study program procedures, policies, and implementations of faculty-led programs.

Academic Credit for Off-Campus Study Programs. Students who complete academic work on a program approved by the Center for Global Education are awarded "approved program" credits by Bates College by the Committee on Off-Campus Study if they meet the guidelines established by the Committee. If the student satisfactorily completes a full academic year as a full-time student, the student may choose to receive either 8.0 course credits or 7.5 course credits and .5 Short Term course credit. Students who complete the equivalent of a semester off-campus may receive 4.0 credits. Official transcripts or grade reports from the institution or program are required to process these approved credits. Grades earned on off-campus study programs are not recorded on the Bates transcript, nor are they computed in the GPA. The major or minor department or program chair, in consultation with the returned student, determines what courses taken abroad may be applied to the department's or program's major or minor requirements, possibly exempting the student from certain requirements. Courses taken abroad may also be approved to count towards concentration requirements. The Concentration Coordinator is responsible for this review in those cases. It is thus very important that the student, before studying off-campus, consult with the department or program chair and establish what must be done during their academic year or semester off-campus in order to satisfy all major requirements for graduation.

The Academic Calendar

The faculty uses a formula for establishing the academic year calendars. The current formula, cited below, guides the Academic Affairs Council in designating annual calendars five years in advance.[166]

1) Fall and winter semesters comprise 15 federally-defined academic weeks.

2) Each course taught in a semester must require 180 total student work hours, in and outside of class; each Short Term course must require 90 total student work hours.

3) The fall semester begins on the first Wednesday in September, unless the first Wednesday is a holiday; if the first Wednesday is a holiday, classes begin on the second Wednesday in September. A fall recess begins after the last class on the sixth Tuesday of the semester. Classes resume the following Monday at 8:00 a.m. There is 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.

4) The winter semester begins on the second Wednesday in January. A one-week February winter recess, timed to coincide with the local school holiday, begins after the last class on a Friday and ends at 8:00 a.m. on the following Monday. There is a three-day winter recess in March beginning three weeks and two days after the completion of the February break.

5) There is a four-day recess between winter semester and Short Term.

6) Short Term comprises 18 business days (beginning on a Monday and ending on the Wednesday of the fourth week.

7) For those particular years in which the faculty's academic calendar policies result in conflicts between major academic occasions (specifically, the opening of the academic year and the scheduling of final examinations) and the major Christian or Jewish holidays (specifically, Christmas, Good Friday, Easter, Rosh Hashanah, Yom Kippur, and the first two days of Passover), the Academic Affairs Council shall designate calendars which avoid such conflicts.[167] According to faculty vote, classes are suspended on Martin Luther King Jr. Day.

8) A reading day prior to examinations is held on the Monday after the last day of classes in both the fall and winter semesters. Following the reading day, there are five days of exams; Tuesday-Friday, and the following Monday.

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[166] Academic calendar modified, 4 November, 1968; Calendar formula revised, 4 March 2019.
[167] Policy revised 2 November 1981; revised, 19 September 1988.

Part 6: Information and Library Services

Information and Library Services (ILS) supports the mission of Bates via reliable and responsive information resources, services and programs to meet the evolving needs of the College community. ILS strives to be a high quality and service-oriented library and computing organization, while helping students, faculty and staff members embrace the continuous change that prevails in information use, information access, and communications media and technology. Library services are provided in the George and Helen Ladd Library, which serve the general curricular, reference, and research needs of the College; and in the Edmund S. Muskie Archives and Special Collections Library, which houses the archives, manuscripts, rare books, and other special collections of the College. Curricular and Research Computing staff manage three major computer labs: the Digital Media Studios in Pettigrew Hall is the primary location for multimedia, video production, and photography support; the Visualization Studio in Coram Library supports 3-D and spatial analysis and visualizations; and the Language Resource Center in Roger Williams Hall supports language and other humanities programs. More information on ILS services is available at ***bates.edu/ils***.

The George and Helen Ladd Library

The George and Helen Ladd Library provides books, periodicals, sound, and video recordings and other library materials in print and electronic formats, as well as access to online databases and other resources essential for student and faculty research. The library offers a learning environment conducive to individual and group study and research, and provides easy access to information in a variety of formats. The Library includes more than 935 study spaces, all with wireless network access. More than 620 seats have electric power for charging portable devices. A fully equipped instruction room and staffed reference area are located on the main floor. Group study is encouraged on the two lower floors; the upper two floors are reserved for quiet study.

The Library's website (***bates.edu/library***) provides access to the Colby, Bates and Bowdoin (CBB) combined library catalog and all electronic resources licensed by Bates. The library functions as the primary point of service for Information and Library Services, with access, research, and computer help desk services centrally located. In addition to individual consultation, research librarians and other ILS professionals provide instruction for classes and other groups of students on research skills and library use as well as use of computing and other information resources.

In all, the library contains some 600,000 cataloged volumes in print and more than 36,000 audio and video recordings. It provides access to many thousands of sources of information online, including more than 85,000 ejournals and periodicals, 725,000 electronic books, and 100,000 sound and video resources. CBB libraries together constitute a combined collection of more than two million volumes. The three college libraries collaborate closely to plan and build these collections, providing faculty, students, and staff the systems to use CBB resources before searching elsewhere. The Bates ID card allows Bates students, faculty, and staff to borrow materials from the Bowdoin and Colby libraries. Through the MaineCat statewide catalog (a service of Maine Info Net), Bates users may initiate loan requests for materials at other academic and public libraries throughout the state.

Circulation

The Bates ID is required to charge out materials from the library. Books circulate to faculty members for one year, and may be renewed twice. Books are subject to recall two weeks after check out. All library users are required to return recalled materials. Items needed for reserve are subject to immediate recall. Failure to return recalled materials results in a block on circulation privileges. The library expects that all books charged out to faculty members will be returned to the library when due. 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 fee. A faculty member is not permitted to charge out additional items until either the material is returned or the invoice is paid.

Faculty members must pay the replacement cost of any lost or damaged items, plus processing fee. Faculty members should be aware that library policy does not permit staff members to disclose the name of the patron who has borrowed a particular item. Updated information regarding loan periods for faculty members is available at: ***bates.edu/library/access/facstaff/.***

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 Colby, Bates, and Bowdoin (CBB) library consortium. Requests for purchase of all materials, including periodicals, video recordings, sound recordings, and other electronic resources, as well as books should be made through the library liaison who works closely with the faculty member's department or program. See: ***bates.edu/library/library-liaisons-by-subject-area/*.**

Assigned Reading for Courses

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

Circulation Reserves. The library operates a closed reserve system in circulation. Approximately a month before each semester and Short Term begin, request forms for reserves are sent out to all faculty members. Request forms for the fall semester are sent out during Short Term. The library works with the College Store to provide a single copy of all books on the required lists for Bates courses. Faculty members are asked not to use the library reserves for purposes other than course-related readings for their students. When possible, library staff members provide a link to an electronic version of reserve text as a convenient alternative to a printed copy. If the desired materials are not available in the library's collection, faculty members should request that the library purchase the materials at least eight weeks before they are needed for reserve purposes (purchase requests should be directed to the library liaisons). Material placed on reserve may be borrowed for a two-hour, one-day, or three-day period; most two-hour reserves may be borrowed overnight. Circulation statistics for reserves are available to faculty members during the semester.

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

Interlibrary Loan

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

Use of Other Libraries

Faculty with a current Bates ID can borrow materials directly from the Bowdoin and Colby libraries.

Archives and Special Collections

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

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

The **Manuscript Collections** contain materials related to the history of Bates College, including papers of faculty members, alumni, and student work. Because of its roots as a Freewill Baptist institution, the library collects pamphlets, letters, diaries, and other materials related to Freewill Baptist organizations and individuals. The Edmund S. Muskie Papers include almost all the extant records documenting the life and work of Edmund S. Muskie (1914-1996), a 1936 Bates graduate who dominated Maine politics from the mid-1950s to 1981. Serving as governor, senator, and Secretary of State, Muskie became a national leader for environmental protection, government reform, and fiscal responsibility. The library is named in his honor and collects materials related to his work, his associates' work, and the environmental movement he helped create. The Archives also has numerous collections relating to Lewiston.

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

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

Technology Services

Information and Library Services provides a technology-rich environment in support of the mission of the college, which includes hardware, software, consultation, instruction, and information resources to faculty, students, and staff. All faculty, students, and staff are assigned credentials that allow secure access to Bates computers and network services, including wireless and wired ports, online transactional services, mail, calendar, printing, network storage, licensed software, and proxy service for access to on-campus services and numerous library research databases from off campus. All members of the college community must comply with the Bates College Computer Use Policy *bates.edu/ils/policies/access-use/computer-use-policy/*. All users connecting personally-owned computers and mobile devices to the campus network are required to have active virus protection software and up-to-date operating system patches installed on their computers. There is guest access to the college's wireless network for campus visitors. Bates is a member of the eduroam consortium, which supports wireless access at member institutions using home institution credentials.

Bates students and faculty members use technology extensively in their learning, research, and teaching. This is made possible by a wide range of services and facilities. There are more than 175 workstations located across the Bonney Science Center, Carnegie Science Hall, Dana Hall, Ladd Library, Hedge Hall, Pettengill Hall, Pettigrew Hall, and Roger Williams Hall. All classrooms and the majority of event and meeting spaces have high-speed network connections, computers, and digital projection. Special facilities include interactive classrooms with large video screens for group instruction, classroom capture systems, plotters, 3-D printing, color laser printers, scanners, and digital editing suites for producing broadcast-quality video, animation, audio.

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

ILS is the purchasing agent for all computers, software licenses, printers, and miscellaneous equipment purchased with college funds. ILS also manages repair services for college-owned devices.

The Garnet Gateway

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

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

The Garnet Gateway is accessed through the Bates home page ***bates.edu/garnet-gateway/*.**

Curricular and Research Computing

Curricular and Research Computing staff members support faculty computing needs, manage computing labs and classrooms, conduct workshops on the intersection of technology and pedagogy, and consult with faculty on appropriate software and hardware for their teaching and research. Support for course-related content is provided by Lyceum, the Moodle-based learning management system ***lyceum.bates.edu***, and related technologies.

Curricular and Research Computing staff can be found in the Visualization Studio (Coram Library), Digital Media Studios (Pettigrew), and Digital Language Resource Center (Roger Williams). The Visualization Studio supports data visualization, 3-D printing, and virtual reality.

The Digital Media Studio is a suite of specialized studio-lab spaces and a center of knowledge for exploring the creative uses and production of both traditional and new emerging digital media. The studios include three private video editing suites, a radio interview studio, a flexible studio space, and an instructional lab. Additional resources allow for live broadcasts and remote recordings.

The Digital Language Resource Center is a technology-intensive teaching and lab space designed to support and complement computing intensive work in the humanities.

Help Desk Services

Located on the first floor of Ladd Library, Help Desk Services provides technology assistance to all students, faculty and staff. Help Desk staff members provide both direct support and referrals to other areas of ILS. For more information, including self-service, please contact ***bates.edu/helpdesk***.

CTES (Classroom Technologies and Event Support)

Located on the ground floor of Pettengill Hall, CTES provides design, assistance, and technical support for all college classrooms and event spaces.

Part 7: Research

Commitment to Openness in Intellectual Inquiry, Research, and Education

Consistent with the college mission's commitment to "cultivating intellectual discovery and informed civic action," the faculty of Bates commit to students and to society to be engaged in intellectual inquiry, research, and education.

Therefore, openness in intellectual inquiry and research and the free exchange of information through education are essential to the Bates mission.

As a general policy, Bates will not undertake, on the campus, research that may not be published without prior permission. For example, without permission of governmental or industrial research sponsors or without prior approval by the dean of the faculty. Openness also requires that, once they are at Bates, foreign faculty, students, and staff not be singled out for restriction in their access to the college's educational and research activities.

All research projects at Bates shall consist of fundamental research which expands the boundaries of human knowledge for the benefit of all humankind, regardless of nationality, race, gender, class, or sexual orientation. Therefore, all such research must be conducted in a manner fully consistent with the principles of freedom of inquiry and open exchange of knowledge.

It is the policy of the college that grants or contracts shall not be accepted for any research project that requires imposition of restrictions on the research process, results, publication or access without the prior approval of the dean of the faculty, who shall seek the advice of the Committee on Faculty Scholarship and Grants and will inform the committee of all approvals. Further, no project requiring that a faculty member have a security clearance or requiring a security review upon its completion may be embarked upon without the prior approval of the dean of the faculty. Such exceptions are to be made only in those very rare instances when the area of work is crucially important to the college's educational mission and the exception is demonstrably necessary for the public good.

Student theses are an integral part of the research program of the college and fall within the statement of policy concerning classified or otherwise restricted research on campus as stated above. No thesis requiring that a student have a clearance or requiring a security review upon its completion may be embarked upon without the prior approval of the dean of the faculty.

Intellectual Property Policy

Bates College (hereinafter "Bates" or "the College") holds teaching and the expansion and dissemination of knowledge among its primary purposes. Bates believes that respect for intellectual labor and creativity is vital for academic discourse and enterprise. Thus, where possible, Bates should make results from scholarly pursuits available to industry and the public on a reasonable and effective basis.

Bates has an interest in protecting such intellectual properties (hereinafter "IP") to:

1. Serve the public good by promoting the disclosure, dissemination, and utilization of inventions that arise in the course of Bates research through established channels of commerce;
2. Provide incentives to members of the Bates community who create such inventions; and
3. Support further research and development by securing a share in the proceeds of such inventions for Bates.

The Bates Intellectual Property Policy (hereinafter "Policy") has been established to provide equitable responsibilities and rewards among inventors and creators (hereinafter, "inventors" and "creators" may be used interchangeably), their academic units, Bates, and any external organizations that have sponsored and financed research activities at the College. Under this Policy, IP can be managed to further Bates's mission, enhance the value of such properties, and maximize benefits to Bates, inventors, and authors. These policies and procedures apply to the reporting of inventions by investigators, prosecution of patent rights by Bates, development of commercial applications, distribution of financial benefit and expense within the Bates, and distribution of a share of net income from inventions to the inventor(s).

Scholarly work created by faculty or students is IP and is typically owned by the creator(s). Scholarly work is defined broadly to include pedagogical, literary, scientific and other creative work developed by faculty members and/or students (or staff members acting outside the scope of their employment).

This includes:

1) work related to scholarship, such as books, journal articles, inventions, advances, discoveries, software, creative works, artistic works in any medium (including, but not limited to, musical composition, choreography, visual art, scriptwriting), videos and photographs, and

2) work related to teaching, such as textbooks, lecture notes and other course notes (whether in summary or verbatim form, whether privately held by the faculty member or distributed to the class, whether paper or electronic), problem sets, syllabi, training materials, and websites for classes.

While the majority of scholarly work generated by faculty and/or students is IP that is owned exclusively by the creator(s), Bates reserves the right to collaborate with the creator(s) on decisions to pursue patents and other protections of the IP.

Covered Individuals

All Bates employees are covered by this policy. Also covered are non-employees (including students, visitors, volunteers, fellows, and scholars) who are aided by significant use of Bates resources.

Definitions

Inventions are, under federal patent law (U.S.C. Title 35), novel and useful ideas relating to processes, machines, manufactures, and compositions of matter. An invention can be made solely or jointly with others as co-inventors. To be recognized legally, a co-inventor must have conceived of an essential element of an invention or contributed substantially to the general concept.

Copyrightable works are, under federal copyright law (U.S.C. Title 17, as amended by the 1976 Copyright Act), original works of authorship that have been fixed in any tangible medium of expression from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device.

These works include:

- Literary works, such as books, journal articles, poems, manuals, memoranda, tests, instructional material, databases, bibliographies;
- Computer software, which in addition to being copyrightable, may also be patentable;
- Musical works including any accompanying words;
- Dramatic works, including any accompanying music;
- Pictorial, graphic, and sculptural works, including photographs, diagrams, sketches, and integrated circuit masks;
- Motion pictures and other audio works such as videotapes; and sound recordings.

A trademark includes any word, name, symbol, or device, or any combination, used, or intended to be used, in commerce to identify and distinguish the goods of one manufacturer or seller from goods manufactured or sold by others and to indicate the source of the goods.

Discoveries are defined for the purpose of this policy as new products or processes that are not patentable inventions or copyrightable works but that may contain or be based on proprietary information. Examples include tangible

research properties such as biological materials (including cell lines), chemical substances, prototype devices and equipment, and research data. Discoveries may sometimes be protected as trade secrets.

To make an invention or discovery means to first conceive it or reduce it to practice.

A royalty is a payment made to an owner of IP for the privilege of practicing a right under a patent, copyright, or discovery. The term 'royalty' does not apply to funds awarded to Bates under sponsored agreements or philanthropic gifts made to the College.

An employee's scope of employment is determined by the employee's job description (or a functionally equivalent document). It typically does not include the general obligation of faculty to produce scholarly/aesthetic works and course materials.

Significant use of Bates resources is defined as the use of Bates facilities, staff, or funds beyond those normally available to members of the Bates community. Significant use of Bates resources involves the material use of funds or facilities of the College. When an inventor is uncertain about the application of this policy to an invention, they are encouraged to disclose it promptly to the College so that application of this policy might be agreed upon in advance of any attempts to commercialize it.

Some examples are:

- The provision of faculty start-up funds, enhanced sabbatical leaves, and research space.
- Extended use of time and energy by the developer(s) in the creation or promotion of the intellectual property enabled by a reduction in the levels of teaching, scholarship, or citizenship activities, so that anticipated performance in these areas is at a level significantly less than normal;
- Use of products or services obtained by a substantial expenditure of Bates funds in support of the intellectual property's creation;
- Direct assignment or commission from Bates to undertake a creative project as a part of the developer's regular appointment;
- Substantial use of funding from gifts to the College to support the creation of the intellectual property involved;
- Production of the intellectual property under specific terms of a sponsored research grant or contract.
- Use of assigned office space, normal clerical support, and routine use of library resources, desktop computers, and office supplies are not significant use of College resources.

A work for hire, according to the 1976 Copyright Act, is:

- A work prepared by an employee within the scope of their employment [see above definition]; or
- A work specially ordered or commissioned for use if the parties expressly agree in a written instrument signed by them that the work shall be considered a work made for hire.

Discoveries and Inventions

1. All rights to and interests in discoveries or inventions, including patents thereon, which result from research or investigation conducted in any experiment station, bureau, laboratory, or research facility of Bates or involve significant use of Bates facilities or resources, shall be the sole property of Bates. All rights and interests in software, although it is copyrightable, shall be the property of Bates when it is required for an invention or is part of an invention. Covered individuals who make or participate in making such discoveries or inventions while fulfilling their Bates responsibilities or using Bates resources shall promptly disclose their

discovery or invention to the Office of Research and Sponsored Programs via the disclosure form. The use of this form has the effect of initiating the review process for patentability and commercialization potential.

2. Rights to inventions arising during government or other externally sponsored research are controlled by the terms of the agreement between the Bates and the sponsor and/or applicable federal regulations.

3. Inventors shall be entitled to share in any royalty income received by Bates for their discoveries or inventions in accordance with the royalty distribution schedule (attached). Bates shall maintain distributions of an inventor's respective share of such royalties after the inventor terminates their Bates employment.

4. Covered individuals agree to assist and cooperate with Bates in obtaining and enforcing patents, including, without limitation, executing and delivering all assignments, documents, and instruments reasonably requested by Bates in conjunction with obtaining and enforcing patents within the United States or any foreign jurisdiction.

5. Bates has no obligation to pursue or maintain patent protection for disclosed inventions. If the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, recommends that Bates not pursue a patent application, maintain a patent, or otherwise market that invention, then Bates may assign ownership to the inventor(s) while retaining a royalty-free license to use the invention for non-commercial purposes. Bates shall duly consider a covered individual's request for assignment of an invention in which that individual has had input when Bates chooses not to pursue a patent application, maintain a patent for that invention, or otherwise, market that invention.

Copyrightable Works

1. Covered individuals retain ownership of their own copyrightable works unless the work is a work-for-hire or is subject to a separate written agreement that requires assignment to Bates or to a third party. In the case of assignment to Bates, the author will retain the right to use the material for personal, non-commercial purposes. It is emphasized that the legal copyright owner is the author of the work—the person(s) who gives tangible expression to the idea regardless of who might have been the original creator of that idea. (For example, if a student writes a paper based on a professor's idea, and the professor is not a co-author of the work, the student is, by law, the sole copyright owner.)

2. Covered individuals shall cooperate with and sign all documents reasonably requested by Bates to enable it to secure, register, and enforce in the U.S. and any foreign countries, copyrights in all works owned by or assigned to Bates. Bates shall cooperate with and sign all documents reasonably requested by a covered individual to enable him or her to secure, register and enforce in the U.S. and any foreign countries copyrights in all works owned by or assigned to that individual.

3. Traditional faculty products of scholarly activity that have customarily been considered to be the restricted property of the author will be owned by the author regardless of the medium in which the work is embodied. Such traditional products include, but are not limited to, journal articles, textbooks, monographs, works of art, including paintings and sculptures, and musical compositions. Bates does not claim any ownership rights to such works.

Bates also does not claim ownership of traditional academic works produced by professional employees who, though not appointed as faculty, play a role in supporting the university's academic mission. In addition, the author of such traditional works is responsible for compliance with applicable copyright laws. If such works embody a patentable invention, the inventor will disclose and assign ownership of the invention to Bates in accordance with the above policy on "Discoveries and Inventions."

4. Royalties earned from the commercialization of traditional faculty products will accrue entirely to the author(s) as personal income unless copyright was previously assigned to Bates or significant Bates resources

were used in the production of the work. For traditional faculty products requiring significant use of Bates resources, author(s) will repay Bates for identifiable resources from any personal income earned. Before making significant use of Bates resources in the creation of such works, covered individuals shall consult with their Chair or supervisor, who shall have the opportunity to consult with the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, before approval.

5. Bates faculty may request the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, to assist them in registering their copyrights with the U.S. Copyright Office. Copyright owners may assign their copyrights to Bates, which may, at its option, endeavor to commercialize the copyrighted work. Any royalties generated would be shared in accordance with the royalty distribution schedule attached to this policy.

6. As a condition of enrollment, a student grants royalty-free permission to Bates to reproduce and publicly distribute, on a noncommercial basis, copies of student project reports, theses, or dissertations, including any computer software developed as part of the student project, thesis or dissertation. In certain situations, the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, in consultation with the thesis director or faculty advisor, may conclude that joint ownership by Bates and the student is appropriate for computer software developed as part of a student project, thesis, or dissertation. In such rare cases, the Office of Research and Sponsored Programs office, acting in the capacity of technology transfer representatives, shall prepare an agreement between Bates and the student as soon as practicable during the process of carrying out the research project but prior to the final submission of the student project report, thesis, or dissertation. Notwithstanding the preceding, if the student creates copyrightable material that is either subject to requirements of a sponsored agreement or is research data, such material will be owned by Bates or the supervising faculty member pursuant to any such sponsored agreement and this policy.

Trademarks

1. Any trademarks created by a covered individual at the request of Bates shall be owned by Bates.

2. Trademarks created by a covered individual in association with an invention, discovery, or copyrighted material shall be owned by the same party that owns the invention, discovery, or copyrighted material.

Responsibilities

1. Inventors are responsible for promptly disclosing their inventions to the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, when required by this policy. The Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, may call upon inventors for advice and cooperation to assist Bates in patenting and/or marketing the invention.

2. Copyright holders are responsible for assigning copyright ownership to Bates when required by this policy. Copyright assignments should be processed through the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives.

3. Custodians of Bates-owned discoveries and proprietary information owned by third parties are responsible for taking reasonable steps to prevent unauthorized use or inadvertent public disclosure of such discoveries and information. These steps may require those with access to the discovery or information to sign a non-disclosure agreement.

4. The Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, with the advice of the office of general counsel, the inventor or author, and outside organizations as appropriate, is responsible for:

1. administering, in a confidential and expeditious manner, all intellectual property disclosed to him or her;
2. conducting patent searches, marketability assessments, and license negotiations;
3. licensing, marketing, and distributing (either directly, through members of the Bates community, or through outside organizations) intellectual property in which Bates has rights;
4. providing information on intellectual property issues to Bates's community;
5. interpreting requirements of sponsored agreements regarding intellectual property;
6. providing assistance in registering the copyright to any works in which Bates has rights and, upon request, in registering the copyright to faculty-owned work;
7. arranging the distribution of royalty income earned by Bates under license agreements or other arrangements in accordance with the attached royalty distribution schedule;
8. making recommendations to the office of the general counsel concerning patent applications and maintenance of patents;
9. defraying the costs (either directly or through licensees) of patent applications, maintenance fees, registration fees, and other costs incurred in administering intellectual property;
10. preparing or assisting in preparing reports on intellectual property matters, including royalty income, for members of Bates's community, external sponsors, and other requesting organizations;
11. determining the rights of the Bates in any invention, discovery, or copyrightable work covered by this policy. Inventors and authors may appeal this determination to the dean of faculty.

5. The Office of General Counsel is responsible for providing advice to the Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, and for liaison with Bates' patent attorneys.

6. The Office of Research and Sponsored Programs, acting in the capacity of technology transfer representatives, is responsible for ensuring that professional consulting agreements awarded by Bates contain appropriate provisions for the protection of Bates' intellectual property rights.

Royalty Distribution

1. Covered individuals who are makers of inventions and discoveries, or authors of copyrighted works will share in royalties received by Bates. Net royalties are defined as gross royalty income less actual expenses incurred by Bates in the administration of the intellectual property, including but not restricted to legal fees, patent maintenance fees, and marketing expenses. Covered individuals shall receive 50% of net royalties regardless of whether the covered individual remains employed by or affiliated with the College. Where there is more than one covered individual, royalties shall be divided equally unless the participants have unanimously agreed otherwise in writing.

2. Payments shall be subject to all laws and third-party agreements. Distributions of the covered individual's share will be made at least annually in the year in which net royalties are distributed. Compliance with all tax laws and any liability under such laws shall be the sole responsibility of persons receiving payments. In the event of the death of a payee, such payments shall continue to their estates to the extent permitted under state law.

Determination Process

When a report is required by the creator(s), and no agreement with the creator(s) is reached, the Dean of the Faculty, in consultation with the creator, shall make a determination about the college's pursuit of intellectual property protection. This determination should be made in a timely manner. In all cases, the Dean will be guided by the

principles set forth in this Policy and the creator(s) will be given an opportunity to explain the situation or proposal and recommend terms for ownership, responsibilities, use rights, risks and financial arrangements.

The Dean's determination shall be made in writing, signed by the Dean, which will be delivered promptly to the creator(s). The determination, bearing the date on which it was delivered to the creator(s), shall be filed with and maintained by the Bates Treasurer's Office. The determination shall become final and shall be binding on the creator(s) and the College unless, within thirty (30) days of the date on which the Dean has delivered the determination to the creator(s), the creator(s) file a notice of appeal with the dean of faculty.

On receipt of a notice of appeal, an ad hoc committee of Bates students, faculty or staff members shall be formed by the College Treasurer's Office. It shall consist of one individual selected by the Dean of the Faculty, one individual selected by the creator(s), and one individual agreed to by the creator(s) and the Dean. In the event that the creator(s) and the Dean cannot agree, the third member will be appointed by the College Treasurer. The committee will make a written recommendation to the president after reviewing the dean of faculty's determination. The president's determination will be filed with the College Treasurer, and a copy will be delivered to the creator(s). This determination of the president will be final and will be binding upon the college and the creator(s). Each of the parties will execute a written agreement allocating respective right, title, and interest in and to the IP consistent with the president's determination after receiving a copy of the president's determination

In the event that the president or the dean of faculty is a creator or co-creator of IP as to which no agreement has been reached, and which requires a determination under this Section, the determination shall instead be made by the Chair of the Board of Trustees. The Chair's determination, when ratified by majority vote of the Board of Trustees, shall be final and shall be binding upon the creator(s) and the College. [168]

Research Data Management Policy

Good research data management practices allow Bates College and its researchers to meet funder, ethical, legal, and other obligations. This Policy describes the shared responsibilities and expectations for the retention, disposal, and access of research data generated at Bates College regardless of funding or external collaborations.

This policy must be followed by anyone whose research project is Bates-sponsored or supported, including external funding via a grant or gift. However, we strongly encourage everyone to follow the policy for every project because, by doing so, you ensure that your research data are properly protected during the life of the project and into the future.

I. Ownership

The ownership of research data generated by researchers is governed by Bates' Intellectual Property Policy. Bates College has a functional interest in works for which the college has a contractual or legal obligation, and data resulting from a Bates-sponsored award remains the responsibility of the College until all legal and award-stipulated data management issues have been fully resolved.

II. Responsibilities

A. General Considerations

All Bates faculty, staff, and students who engage in research or conduct research on behalf of the College are responsible for ensuring that the data they collect and/or generate are managed using methods consistent with Federal and State law and college policies. The lead researcher of any project or the supervising faculty member of student research is responsible for ensuring this policy is followed.

B. Research Data Management and Sharing (RDMS) Plan

[168] IP policy updated in consultation with faculty, 29 March 2024.

Researchers planning to engage in externally- or internally-sponsored or supported projects that will collect and/or generate research data must, before initiating their project, coordinate with the Office of Research and Sponsored Programs (ORSP) and Information & Library Services (ILS) to develop a Research Data Management and Sharing Plan by completing a Research Data Management and Sharing Plan (RDMS) Worksheet. The RDMS Worksheet will document all anticipated data and scholarly products, expectations for location and timeline of storage, and plans for sharing data.

If researchers have data management needs from unsponsored projects, completion of the RDMS worksheet is recommended to ensure adequate retention of valuable research data. Research data not tied to RDMS plans will be deleted immediately when the researcher's employment is terminated.

C. Annual RDMS Plan Review

Researchers who have an established RDMS plan are required to complete the RDMS Annual Review form annually, within 30 days of the research project start date anniversary, to accommodate and record any necessary changes. Researchers will be contacted by ORSP prior to the anniversary date with directions for completing this update. Annual updates will be reviewed by ORSP and ILS jointly and are subject to ORSP approval. This review will continue each year until it is explicitly communicated and understood by the researcher, ORSP, and ILS that all data management compliance issues have been fully satisfied.

III. Retention and Disposal

To ensure effective handling, curation, and archiving of research data, Bates requires that data be retained for a minimum of three (3) years following the completion of the research project and any applicable report submission (see Record Retention Schedule). Research data generated and/or collected in whole or in part from a sponsored project are maintained according to applicable State and Federal laws and regulations, funding agency requirements, and College policies. Barring any legal constraints, sponsored project data must be retained for a minimum of three (3) years after the project's final financial report has been submitted, or the period required by the applicable sponsor, whichever is longer, with original data retained wherever possible.

All research data from human participant research studies must be maintained in a manner consistent with the approved IRB protocol and IRB Policy.

A. Audit and Investigation Considerations

All research data that includes intellectual property, ongoing or pending audits, investigations, or lawsuits (including reasonably anticipated lawsuits) should not be destroyed, damaged, or altered (even if the records retention date has expired) until the matter has been resolved and the lead researchers have been specifically advised in writing by the Dean of Faculty's office or the Office of Research and Sponsored Programs, as appropriate, that such data may be destroyed.

B. Data Disposal Requirements

If the records retention period has expired, the research data is not appropriate for long-term storage or official archiving by Bates, and the data is not subject to additional sponsored project or legal obligations, the data must be disposed of in a secure and timely manner. Before disposal, researchers should consult with the Bates Archivist.

Research data maintained with Bates IT infrastructure (including but not limited to Google Drive, Bates-controlled network storage, personal computers, and equipment-associated computers, etc.) and not subject to additional sponsored project retention requirements will be deleted no later than six months following termination of an employee by Human Resources.

IV. Sharing and Transfer of Research Data

When an externally funded researcher plans to leave Bates, the Dean of Faculty's office will inform ORSP to ensure compliance with data maintenance, access, retention, and disposition responsibilities and requirements.

Data resulting from a Bates-sponsored award remains the responsibility of the college until all legal and award-stipulated data management issues have been fully resolved. Lead researchers of a Bates-sponsored award who are leaving the College and desire to transfer a copy of these research data must contact ORSP to coordinate an explicit data transfer agreement with the dean of faculty.

Data wholly owned by a researcher leaving the College will be deleted from all Bates IT infrastructure no later than six (6) months after employment termination by Human Resources. Transfer of these data from Bates IT infrastructure is the sole responsibility and at the discretion of the departing researcher.

V. Storage Resources

Data must be maintained within the faculty member's scholarship section of Etna. A folder should be created for each project and named using the following convention: Last name of Bates PI Grant # (if applicable) Shortened Project Title. If the Bates PI needs to share any of the data with a non-Bates collaborator, a shared drive should be created within Google Drive and that shared drive should be named exactly as the Etna folder is named.

Research data may also reside in storage resources maintained by third parties, such as cloud-based network storage (e.g. Dropbox, GIT) or discipline-specific archives (e.g. Dryad, PDB), however, the College must maintain access to those resources. Use of a third party must be detailed in the RDMS Annual Review Form, including necessary access information.

When research data includes physical materials that need to be retained before the start of the project researchers are required to consult with their department chair to determine adequate storage locations for the materials. This information should be included as part of their RDMS Plan.

VI. Definitions

Research Data, for this Policy, is all information in whatever form (e.g., both physical and electronic) collected and/or generated in the course of research conducted at Bates, under the auspices of the Bates, or with Bates resources. This includes original and derivatives of research data, including recordings of such data. Examples of research data can be found here.

Research Data Management and Sharing Plan is a concise cradle-to-grave "life cycle" narrative for the products of your scholarship that describes how the research data will be collected, stored, analyzed, preserved, and shared.

Sponsored Projects are those funded by external funding sources and/or designated specifically to support research and scholarly work.

Unsponsored Projects are those not supported by external funding sources and/or designated specifically to support research and scholarly work.

Citi Training in Research Ethics

Bates recognizes the curricular importance of faculty and student research, and supports such endeavors with a variety of internal and external grant programs. The college is committed to the responsible and ethical conduct of research, and has appointed a research integrity officer to help ensure compliance with federal regulations. To help insure that faculty and students are trained in a variety of research-related areas, the college has joined the Collaborative Institutional Training Initiative (CITI), an online research training program that includes modules on

responsible conduct of research, biosafety, export control, animal care, human subjects, and data management. CITI training is available to all faculty and staff at **citiprogram.org/** by logging in as a Bates employee.

Export Control

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

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

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

There are other areas of risk, however, when it comes to export control, particularly as they relate to "controlled items." Faculty travel with technical data, technical reports, equipment, or technology to sanctioned countries is prohibited. Faculty members must acquaint themselves with the countries that are subject to embargo. Travel to these countries may require consulting with Information and Library Services (ILS) and the director of research and scholarship about restrictions and possible exemptions. For example, taking a college laptop with standard software and no specialized data to certain embargoed countries is prohibited; the countries currently (7/2026) subject to sanctions for reasons of anti-terrorism are Afghanistan, Balkans, Belarus, Burma (Myanmar), Burundi, Central African Republic, Luhansk region of Ukraine, Cuba, Democratic Republic of the Congo, Iran, Iraq, Lebanon, Libya, North Korea, Russia, Somalia, Sudan, Syria, Venezuela, Yemen, and Zimbabwe, although this list is subject to change The Office of Foreign Assets Control (OFAC) provides information on sanctions for each of the above countries, as well as other OFAC-administered sanctions programs https://ofac.treasury.gov/sanctions-programs-and-country-information. Broader lists of countries may be subject to export control regimes covering certain controlled items, such as technical data not intended for publication or manuals to controlled equipment items. Faculty concerned about the security of data stored on their Bates laptop may wish to borrow a "clean laptop" from ILS for purposes of foreign travel. Please check with ILS about availability of such loaners well in advance of the planned departure date as possible.

A flow chart designed to assist faculty in determining if their research qualifies as exempt, or whether it may require referral to the dean of the faculty's office for export control review can be found here: ***bates.edu/dof/faculty-scholarship/faculty-grant-information-2/export-control***. For those who require export control review, the travel disclosure form can be found here: ***bates.edu/dof/faculty-scholarship/faculty-grant-information-2/travel-disclosure-form.*** If the project requires an export control license or approval, please submit the form well in advance of the expected travel dates.

In order to promote understanding of and compliance with the relevant federal laws, the Office of the Dean of the Faculty requires that faculty traveling with Bates laptops or other equipment complete the Export Control Overview

Module of CITI training available at *www.citiprogram.org*. The training is brief and summarizes federal export control regulations. Those working in science or engineering are encouraged to take the entire export control suite of CITI training modules.

In addition, faculty who intend to take college-owned equipment out of the country while employed at Bates should complete a general export control travel form accepting the risks and personal responsibility for the decision to take college equipment abroad and review ILS's guidance on data security and technology protection during international travel: *bates.edu/policies/access-use/data-security-and-technology-protection-for-international-travel/*. According to federal guidelines, faculty are asked to:

- attend to export control guidelines;
- maintain effective control over the item;
- use secure internet connections;
- utilize personal firewall protection and password protect any files that contain controlled technology; and
- ensure the device contains no mass market 64-bit encryption software or other encryption capabilities restricted under the EAR.

These forms are available from the director of research and sponsored programs and can be completed at any time and kept on file.

Research Involving Human Participants, Animal Subjects, or the Use of Recombinant DNA

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

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

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

The Institutional Biosafety Committee (IBC) is composed of at least five members who monitor and oversee all research and educational activities involving biological hazards, including recombinant DNA and infectious agents. Among these five members, two must be unaffiliated with Bates. For protocols involving animals or plants that include biological hazards, federal guidelines require a plant expert or animal containment expert to be included as members on the IBC when reviewing related protocol applications. The IBC is responsible for review and approval of all protocols that involve biohazardous agents; ensures compliance with applicable federal, state, and local regulations and guidelines; and provides guidance to the Bates community on biosafety policies and procedures. See the IBC web page at *bates.edu/biosafety*.

The Institutional Animal Care and Use Committee (IACUC) is composed of at least five members who review classroom and research use of vertebrate animals. Among these five members, one must be a veterinarian, one must be a scientist experienced with animal research, one must be a nonscientist, and one must be a person unaffiliated with Bates except as a member of IACUC. The committee considers classroom and research protocols to assure that the animals involved are handled properly and humanely and in accordance with Public Health Service guidelines and Animal Welfare Act and Regulations. The committee also conducts routine inspections of the animal colonies in Bonney Science Center. Guidelines and information on the review process are available at ***bates.edu/dof/grant-management/government-compliance/institutional-animal-care-and-use-committee/*.**

Policies and Procedures for Responding to Allegations of Research Misconduct[169]

General Policies and Principles

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

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

The policies and procedures in this document are written to comply with guidance from the U.S. government's Office of Research Integrity (ORI) – an oversight body responsible for research integrity activities of the agencies of the Public Health Service (PHS). Both the ORI and the PHS are situated within the Department of Health and Human Services (HHS).
For definitions of terms used in this section and elsewhere, see the Definitions section.

Scope and Applicability

These policies and procedures apply to allegations of research misconduct involving a Bates faculty member or research associate on the staff of the College, including:

- Research proposed, performed, reviewed, or reported, as well as any research record generated from that research, regardless of whether an application or proposal resulted in an awarded grant, contract, cooperative agreement, subaward, or other form of support.
- Research, research training, or related activities conducted under the auspices of Bates College regardless of funding source.

[169] Policy updated to be in compliance with the federal Office of Research Integrity, 20 May, 2026.

- Research records, data, materials, or other documentation generated in the course of any research, research training, or related activities conducted under the responsibility of Bates College.

This policy does not apply to authorship or collaboration disputes and applies only to allegations of research misconduct that occurred within six years of the date the institution or the Department of Health and Human Services (HHS) received the allegation, subject to the subsequent use and health or safety of the public exceptions in 42 CFR § 93.104.

Scope in relation to non-PHS activities

For research activities not supported by Public Health Service (PHS) funds, Bates College will apply the same internal procedures, definitions, and standards for reviewing allegations of research misconduct; however, reporting to the U.S. Office of Research Integrity (ORI) is not required. Reporting obligations for non-PHS supported research will be limited to the applicable sponsor, regulatory body, or others as required by institutional policies.

Scope in relation to recency

These policies and procedures apply only to research misconduct occurring within six years of the date HHS or Bates College receives an allegation of research misconduct, subject to the following exceptions:

- The six-year time limitation does not apply if the respondent continues or renews any incident of alleged research misconduct that occurred before the six-year period through the use of, republication of, or citation to the portion(s) of the research record alleged to have been fabricated, falsified, or plagiarized, for the potential benefit of the respondent ("subsequent use exception"). For alleged research misconduct that appears subject to this subsequent use exception, but Bates College determines is not subject to the exception, the institution will document its determination that the subsequent use exception does not apply and will retain this documentation for the later of seven years after completion of the institutional proceeding or the completion of any HHS proceeding.

- The six-year time limitation also does not apply if ORI or Bates College, following consultation with ORI, determines that the alleged research misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.

Definitions

Accepted practices of the relevant research community - those practices established by 42 CFR Part 93 and by PHS funding components, as well as commonly accepted professional codes or norms within the overarching community of researchers and institutions that apply for and receive PHS awards

Administrative record - comprises: the institutional record; any information provided by the respondent to ORI, including but not limited to the transcript of any virtual or in-person meetings under § 93.403(b) between the respondent and ORI, and correspondence between the respondent and ORI; any additional information provided to ORI while the case is pending before ORI; and any analysis or additional information generated or obtained by ORI. Any analysis or additional information generated or obtained by ORI will also be made available to the respondent.

Allegation - disclosure of possible research misconduct through any means of communication and brought directly to the attention of an institutional or HHS official.

Assessment -a consideration of whether an allegation of research misconduct appears to fall within the definition of research misconduct and is sufficiently credible and specific so that potential evidence of research misconduct may be identified. The assessment only involves the review of readily accessible information relevant to the allegation. For the purposes of annual reporting to ORI, a further assessment would include whether the allegation appears to involve PHS-supported biomedical or behavioral research, PHS-supported biomedical or behavioral research training, or activities related to that PHS-supported research or research training.

Complainant -an individual who in good faith makes an allegation of research misconduct.

Evidence - anything offered or obtained during a research misconduct proceeding that tends to prove or disprove the existence of an alleged fact. Evidence includes documents, whether in hard copy or electronic form, information, tangible items, and testimony.

Fabrication - making up data or results and recording or reporting them.

Falsification -manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Good faith - (a) Good faith as applied to a complainant or witness means having a reasonable belief in the truth of one's allegation or testimony, based on the information known to the complainant or witness at the time. An allegation or cooperation with a research misconduct proceeding is not in good faith if made with knowledge of or reckless disregard for information that would negate the allegation or testimony. (b) Good faith as applied to an institutional or committee member means cooperating with the research misconduct proceeding by impartially carrying out the duties assigned for the purpose of helping an institution meet its responsibilities under 42 CFR Part 93. An institutional or committee member does not act in good faith if their acts or omissions during the research misconduct proceedings are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the research misconduct proceeding.

Inquiry - preliminary information-gathering and preliminary fact-finding that meets the criteria and follows the procedures of § 93.307 through § 93.309.

Institutional Deciding Official (DO) - the institutional official who makes final determinations on allegations of research misconduct and any institutional actions. The same individual cannot serve as the Institutional Deciding Official and the Research Integrity Officer. The Bates College deciding official (DO) shall be the dean of the faculty.

Institutional member - an individual (or individuals) who is/are employed by, is an agent of, or is affiliated by contract or agreement with an institution. Institutional members may include, but are not limited to, officials, tenured and untenured faculty, teaching and support staff, researchers, research coordinators, technicians, postdoctoral and other fellows, students, volunteers, subject matter experts, consultants, or attorneys, or employees or agents of contractors, subcontractors, or sub-awardees.

Institutional record - the institutional record comprises: (a) The records that the institution compiled or generated during the research misconduct proceeding, except records the institution did not consider or rely on. These records include but are not limited to (1) documentation of the assessment as required by § 93.306(c); (2) if an inquiry is conducted, the inquiry report and all records (other than drafts of the report) considered or relied on during the inquiry, including, but not limited to, research records and the transcripts of any transcribed interviews conducted during the inquiry, information the respondent provided to the institution, and the documentation of any decision not to investigate as required by § 93.309(c); (3) if an investigation is conducted, the investigation report and all records (other than drafts of the report) considered or relied on during the investigation, including, but not limited to, research records, the transcripts of each interview conducted pursuant to § 93.310(g), and information the respondent provided to the institution; (4) decision(s) by the Institutional Deciding Official, such as the written decision from the Institutional Deciding Official under § 93.314; (5) the complete record of any institutional appeal consistent with § 93.315; (b) a single index listing all the research records and evidence that the institution compiled during the research misconduct proceeding, except records the institution did not consider or rely on; and (c) a general description of the records that were sequestered but not considered or relied on.

Intentionally. To act intentionally means to act with the aim of carrying out the act.

Investigation - the formal development of a factual record and the examination of that record that meets the criteria and follows the procedures of §§ 93.310 through 93.317.

Knowingly. To act knowingly means to act with awareness of the act.

Plagiarism - the appropriation of another person's ideas, processes, results, or words, without giving appropriate credit. (a) Plagiarism includes the unattributed verbatim or nearly verbatim copying of sentences and paragraphs from another's work that materially misleads the reader regarding the contributions of the author. It does not include the limited use of identical or nearly identical phrases that describe a commonly used methodology. (b) Plagiarism does not include self-plagiarism or authorship or credit disputes, including disputes among former collaborators who participated jointly in the development or conduct of a research project. Self-plagiarism and authorship disputes do not meet the definition of research misconduct.

Preponderance of the evidence -proof by evidence that, compared with evidence opposing it, leads to the conclusion that the fact at issue is more likely true than not.

PHS support -Public Health Service (PHS) funding, or applications or proposals for PHS funding, for biomedical or behavioral research, biomedical or behavioral research training, or activities related to that research or training,

that may be provided through funding for PHS intramural research; PHS grants, cooperative agreements, or contracts; subawards, contracts, or subcontracts under those PHS funding instruments; or salary or other payments under PHS grants, cooperative agreements, or contracts.

Recklessly - to propose, perform, or review research, or report research results, with indifference to a known risk of fabrication, falsification, or plagiarism.

Research Integrity Officer (RIO) - the institutional official responsible for administering the institution's written policies and procedures for addressing allegations of research misconduct in compliance with 42 CFR Part 93. The Bates College RIO shall be appointed by the Deciding Official.

Research misconduct - involves any of the following in proposing, performing, or reviewing research, or in reporting research results, whether committed by an individual directly or through the use or assistance of other persons, entities, or tools, including artificial intelligence (AI)-based tools.

- Fabrication - making up data or results and recording or reporting them.
- Falsification - manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record,
- Plagiarism - the appropriation of another person's ideas, processes, results, or words without giving appropriate credit

Research misconduct does not include honest error or differences of opinion.

Research misconduct proceeding - any actions related to alleged research misconduct taken under 42 CFR Part 93, including allegation assessments, inquiries, investigations, ORI oversight reviews, and appeals under subpart E of 42 CFR Part 93.

Research record - the record of data or results that embody the facts resulting from scientific inquiry. Data or results may be in physical or electronic form. Examples of items, materials, or information that may be considered part of the research record include, but are not limited to, research proposals, raw data, processed data, clinical research records, laboratory records, study records, laboratory notebooks, progress reports, manuscripts, abstracts, theses, records of oral presentations, online content, lab meeting reports, and journal articles.

Respondent -the individual against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

Retaliation - an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to (a) a good faith allegation of research misconduct or (b) good faith cooperation with a research misconduct proceeding.

Suspension and Debarment Official (SDO) - the HHS official authorized to impose suspension and debarment, which are the actions that Federal agencies take to disqualify persons deemed not presently responsible from doing business with the Federal Government.

Roles, Rights, and Responsibilities

Institution

Bates College's General Responsibilities

To the extent possible, the institution will limit disclosure of the identity of respondents, complainants, and witnesses while conducting the research misconduct proceedings to those who need to know, inform all institutional members about these policies and procedures, and make these policies and procedures publicly available. This limitation on disclosure no longer applies once the institution has made a final determination of research misconduct findings. The institution will respond to each allegation of research misconduct in a thorough, competent, objective, and fair manner. The institution will take all reasonable and practical steps to ensure the cooperation of respondents and other institutional members with research misconduct proceedings, including, but not limited to, their providing information, research records, and other evidence. The institution agrees to cooperate with ORI during any research misconduct proceeding or compliance review, including addressing deficiencies or additional allegations in the institutional record if directed by ORI and to assist in administering and enforcing any HHS administrative actions imposed on institutional members. The institution may also take steps to manage published data or acknowledge that data may be unreliable.

Bates College's Responsibilities During and After a Research Misconduct Proceeding

Except as may otherwise be prescribed by applicable law, the institution will maintain confidentiality for any records or evidence from which research subjects might be identified and will limit disclosure to those who need to know to carry out a research misconduct proceeding. Before or at the time of notifying the respondent of the allegation(s) and whenever additional items become known or relevant, the institution will promptly take all reasonable and practical steps to obtain all research records and other evidence and sequester them securely. The institution will ensure that the institutional record contains all required elements, i.e., research records that were compiled and considered during the proceedings, assessment documentation, and inquiry and/or investigation reports. Upon completion of the inquiry, the institution will add it to the institutional record and, if related to PHS-supported research, will provide ORI with the complete inquiry report. The institution will maintain the institutional record and all sequestered research records and other evidence in a secure manner for seven years after completion of the institutional and/or HHS proceeding.

For PHS-supported research, the institution will provide information related to the alleged research misconduct and proceedings to ORI upon request and transfer custody or provide copies of the institutional record or any component of it and any sequestered evidence to HHS, regardless of whether the evidence is included in the institutional record. Additionally, the institution will promptly notify ORI of any special circumstances that may arise.

Disclosure of the identity of respondents, complainants, and witnesses while the institution is conducting the research misconduct proceedings is limited to those who need to know, which the institution will determine consistent with a thorough, competent, objective, and fair research misconduct proceeding, and as allowed by law. Those who need to know may include institutional review boards, journals, editors, publishers, co-authors, and collaborating institutions.

Bates College's Responsibilities to the Complainant(s)

The institution will provide confidentiality consistent with 42 CFR Part 93 for all complainants in a research misconduct proceeding. The institution will also take precautions to ensure that individuals responsible for carrying out any part of the research misconduct proceeding do not have potential, perceived, or actual personal, professional, or financial conflicts of interest with the complainant(s). The institution agrees to take all reasonable and practical steps to protect the positions and reputations of complainants and to protect these individuals from retaliation by respondents and/or other institutional members. If Bates College chooses to notify one complainant of the inquiry results in a case, all complainants will be notified by the institution, to the extent possible.

Bates College's Responsibilities to the Respondent(s)

As with complainants, the institution will provide confidentiality consistent with 42 CFR Part 93 to all respondents in a research misconduct proceeding. The institution will make a good-faith effort to notify the respondent(s) in writing of the allegations being made against them. The institution will take precautions to ensure that individuals responsible for carrying out any part of the research misconduct proceeding do not have unresolved personal, professional, or financial conflicts of interest with the respondent. The institution is responsible for giving the respondent(s) copies of or supervised access to the sequestered research records. The institution will notify the respondent whether the inquiry found that an investigation is warranted, provide the respondent an opportunity to review and comment on the inquiry report, and attach their comments to the inquiry report. If an investigation is commenced, the institution must notify the respondent, give written notice of any additional allegations raised against them not previously addressed by the inquiry report, and allow the respondent(s) an opportunity to review the witness transcripts. The institution will give the respondent(s) an opportunity to read and comment on the draft investigation report and any information or allegations added to the institutional record. The institution will give due consideration to admissible, credible evidence of honest error or difference of opinion presented by the respondent.

The institution will bear the burden of proof, by a preponderance of the evidence, for making a finding of research misconduct. The institution will make all reasonable, practical efforts, if requested and as appropriate, to protect or restore the reputation of respondents against whom no finding of research misconduct is made.

Bates College's Responsibilities to Committee Members

The institution will ensure that a committee, consortium, or person acting on the institution's behalf conducts research misconduct proceedings in compliance with this policy and the PHS regulation. The institution will take all reasonable and practical steps to protect the positions and reputations of good-faith committee members and to protect these individuals from retaliation.

Bates College's Responsibilities to the Witness[es]

The institution will provide confidentiality consistent with 42 CFR Part 93 for all witnesses. The institutions will take precautions to ensure that individuals responsible for carrying out any part of the proceedings do not have unresolved personal, professional, or financial conflicts of interest with the witnesses. The institutions will also take all reasonable and practical steps to protect the positions and reputations of witnesses and to protect these individuals from retaliation.[170]

Research Integrity Officer

The Research Integrity Officer (RIO) is the institutional official responsible for administering Bates College's written policies and procedures for addressing allegations of research misconduct in compliance with this policy and the PHS regulation. The same individual will not serve as both the Institutional Deciding Official and the RIO. The institution may choose to have the RIO or another designated institutional official conduct the inquiry in lieu of a committee, and, if needed, this individual may utilize one or more subject matter experts to assist them in the inquiry.

Upon receiving an allegation of research misconduct, the RIO or another designated institutional official will promptly assess the allegation to determine whether the allegation (a) is within the definition of research misconduct as defined by this policy, (b) is within the applicability criteria of the regulation at § 93.102, and (c) is sufficiently credible and specific so that potential evidence of research misconduct may be identified. If the RIO or another designated institutional official determines that the requirements for an inquiry are met, they shall document the assessment, promptly sequester all research records and other evidence per the PHS regulation, and promptly initiate the inquiry. If the RIO or another designated institutional official determines that requirements for an inquiry are not met, they will keep sufficiently detailed documentation of the assessment to permit a later review by ORI of the reasons why Bates College did not conduct an inquiry. The institution will keep this documentation and related records in a secure manner for seven years and provide them to ORI upon request.

Complainant

The complainant is the person who in good faith makes an allegation of research misconduct. The complainant brings research misconduct allegations directly to the attention of an institutional or HHS official through any means of communication.

The complainant will make allegations in good faith, as it is defined in the PHS regulation, as having a reasonable belief in the truth of one's allegation or testimony, based on the information known to the complainant at the time.

Respondent

The respondent is the individual against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding. The respondent has the burden of going forward with and proving, by a preponderance of evidence, affirmative defenses raised. The respondent's destruction of research records documenting the questioned research is evidence of research misconduct where a preponderance of evidence establishes that the respondent intentionally or knowingly destroyed records after being informed of the research misconduct allegations. The respondent's failure to provide research records documenting the questioned research is evidence of research misconduct where the respondent claims to possess the records but refuses to provide them

[170] § 93.300(d).

upon request.

The respondent will not be present during the witnesses' interviews but will be provided a transcript of the interview after it takes place. The respondent will have opportunities to (a) view and comment on the inquiry report, (b) view and comment on the investigation report, and (c) submit any comments on the draft investigation report to Bates College within 30 days of receiving it.

If admitting to research misconduct, the respondent will sign a written statement specifying the affected research records and confirming the misconduct was falsification, fabrication, and/or plagiarism; committed intentionally, knowingly, or recklessly; and a significant departure from accepted practices of the relevant research community.

Committee and Consortium Members

Committee members (and consortium members where applicable) are experts who act in good faith to cooperate with the research misconduct proceedings by impartially carrying out their assigned duties for the purpose of helping Bates College meet its responsibilities under 42 CFR Part 93. Committee and consortium members will have relevant scientific expertise and be free of real or perceived conflicts of interest with any of the involved parties.

Committee or consortium members or anyone acting on behalf of Bates College will conduct research misconduct proceedings consistent with this policy and the PHS regulation. They will determine whether an investigation is warranted, documenting the decision in an inquiry report. During an investigation, committee or consortium members participate in recorded interviews of each respondent, complainant, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the investigation, including witnesses identified by the respondent(s). They will also determine whether or not the respondent(s) engaged in research misconduct and document the decision in the investigation report. They consider respondent and/or complainant comments on the inquiry/investigation report(s) and document that consideration in the investigation report.

An investigation into multiple respondents may convene with the same investigation committee or consortium members or anyone acting on behalf of Bates College, but there will be separate investigation reports and separate research misconduct determinations for each respondent. Committee or consortium members may serve for more than one investigation, in cases with multiple respondents. Committee members may also serve for both the inquiry and the investigation.

Witnesses

Witnesses are people whom Bates College has reasonably identified as having information regarding any relevant aspects of the investigation. Witnesses provide information for review during research misconduct proceedings. Witnesses will cooperate with the research misconduct proceedings in good faith and have a reasonable belief in the truth of their testimony, based on the information known to them at the time.

Institutional Deciding Official

The Institutional Deciding Official (DO) makes the final determination of research misconduct findings. The DO cannot serve as the RIO. The DO documents their determination in a written decision that includes whether research misconduct occurred, and if so, what kind and who committed it, and a description of the relevant actions Bates College has taken or will take. The DO's written decision becomes part of the institutional record. The Bates College DO shall be the Dean of the Faculty.

Procedures for Addressing Allegations of Research Misconduct

Assessment

An assessment's purpose is to determine whether an allegation warrants an inquiry. An assessment is intended to be a review of readily accessible information relevant to the allegation.

Upon receiving an allegation (written, oral statement, or other communication) of research misconduct, the RIO will promptly determine whether the allegation (a) falls within the definition of research misconduct, (b) is within the applicability criteria of this policy , and (c) is credible and specific enough to identify and sequester potential evidence.

If the RIO or another institutional official determines that the allegation meets these three criteria, they will promptly: (a) document the assessment and (b) initiate an inquiry and sequester all research records and other evidence. The RIO or other institutional official must document the assessment and retain the assessment documentation securely for seven years after completion of the misconduct proceedings. If the RIO or another institutional official determines that the alleged misconduct does not meet the criteria to proceed to an inquiry, they will write sufficiently detailed documentation to permit a later review by ORI of why Bates College did not proceed to an inquiry and securely retain this documentation for seven years.

Inquiry

An inquiry is warranted if the allegation (a) falls within the definition of research misconduct under 42 CFR Part 93, (b) is within the applicability criteria of this policy, and (c) is sufficiently credible and specific so that potential evidence of research misconduct may be identified. An inquiry's purpose is to conduct an initial review of the evidence to determine whether an allegation warrants an investigation. An inquiry does not require a full review of all related evidence. Bates College will complete the inquiry within 90 days of initiating it unless circumstances warrant a longer period, in which it will sufficiently document the reasons for exceeding the time limit in the inquiry report.

Sequestering Evidence and Notifying the Respondent

Before or at the time of notifying the respondent(s), Bates College will obtain the original or substantially equivalent copies of all research records and other evidence that are pertinent to the proceeding, inventory these materials, sequester the materials in a secure manner, and retain them for seven years. The institution has a duty to obtain, inventory, and securely sequester evidence that extends to whenever additional items become known or relevant to the inquiry or investigation.

At the time of or before beginning the inquiry, Bates College will make a good-faith effort to notify the presumed respondent(s), in writing, that an allegation(s) of research misconduct has been raised against them, the relevant research records have been sequestered, and an inquiry will be conducted to decide whether to proceed with an investigation. If additional allegations are raised, the institution will notify the respondent(s) in writing. When appropriate, the institution will give the respondent(s) copies of, or reasonable supervised access to, the sequestered materials.

If additional respondents are identified, Bates College will provide written notification to the new respondent(s). All additional respondents will be given the same rights and opportunities as the initial respondent. Only allegations specific to a particular respondent will be included in the notification to that respondent.

Convening the Committee and Ensuring Neutrality

In undertaking an inquiry, the RIO may consult confidentially with the respondent's department chair, division chair or chair of interdisciplinary programs or other knowledgeable individuals regarding the allegation. If the inquiry requires the review of specialized scientific data, or otherwise at the RIO's discretion, the RIO may engage two or more individuals, which may include individuals from outside the Bates faculty, to assist with the Inquiry and with

preparation of the Inquiry Report (the inquiry committee). The RIO shall (a) select individuals who possess the expertise appropriate to carry out a thorough and authoritative evaluation of the evidence; and (b) take steps to ensure that no person with an unresolved personal, professional, or financial conflict of interest is involved in a research misconduct proceeding. The DO shall have no direct participation in the inquiry. The RIO (or the inquiry committee, as applicable) shall take confidential testimony from the individual(s) who filed the initial allegation(s) and from the respondent.

Bates College will ensure that all inquiry committee members understand their commission, keep the identities of respondents, complainants, and witnesses confidential, and conduct the research misconduct proceedings in compliance with this policy and the PHS regulation.

Determining Whether an Investigation Is Warranted

The inquiry committee, RIO, or other designated institutional official will conduct a preliminary review of the evidence. In the process of fact-finding, the inquiry committee may interview the respondent and/or witnesses. An investigation is warranted if (a) there is a reasonable basis for concluding that the allegation falls within the definition of research misconduct under 42 CFR Part 93; and (b) preliminary information-gathering and fact-finding from the inquiry indicates that the allegation may have substance.

The inquiry committee will not determine if research misconduct occurred, nor assess whether the alleged misconduct was intentional, knowing, or reckless; such a determination is not made until the case proceeds to an investigation.

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

Documenting the Inquiry

At the conclusion of the inquiry, regardless of whether an investigation is warranted, the inquiry committee, RIO, or other designated institutional official will prepare a written inquiry report. The contents of a complete inquiry report will include:

1. The names, professional aliases, and positions of the respondent and complainant(s).
2. A description of the allegation(s) of research misconduct.
3. Details about the PHS funding, including any grant numbers, grant applications, contracts, and publications listing PHS support, if applicable.
4. The composition of the inquiry committee, if used, including name(s), position(s), and subject matter expertise.
5. An inventory of sequestered research records and other evidence and description of how sequestration was conducted.
6. Transcripts of interviews, if transcribed.
7. Inquiry timeline and procedural history.
8. Any scientific or forensic analyses conducted.
9. The basis for recommending that the allegation(s) warrant an investigation.
10. The basis on which any allegation(s) do not merit further investigation.
11. Any comments on the inquiry report by the respondent or the complainant(s).
12. Any institutional actions implemented, including internal communications or external communications with journals or funding agencies.
13. Documentation of potential evidence of honest error or difference of opinion.

Completing the Inquiry

Bates College will give the respondent a copy of the draft inquiry report for review and comment. The institution may, but is not required to, provide relevant portions of the report to a complainant for comment.

Bates College will notify the respondent of the inquiry's final outcome and provide the respondent with copies of the final inquiry report, the PHS regulation, if applicable, and these policies and procedures. The institution may, but is not required to, notify a complainant whether the inquiry found that an investigation is warranted. If the institution provides notice to one complainant in a case, it must provide notice, to the extent possible, to all complainants in the case.

If an Investigation Is Not Warranted:

If the Deciding Official determines that an investigation is not warranted, Bates College will keep sufficiently detailed documentation to permit a later review by ORI of why the institution did not proceed to an investigation, store these records in a secure manner for at least seven years after the termination of the inquiry, and provide them to ORI upon request if the allegation concerned PHS-supported research.

If an Investigation is Warranted:

If the Deciding Official determines that an investigation is warranted, Bates College must: (a) within a reasonable amount of time after this decision, provide written notice to the respondent(s) of the decision to conduct an investigation of the alleged misconduct, including any allegations of research misconduct not addressed during the inquiry; and (b) within 30 days of determining that an investigation is warranted, provide ORI with a copy of the inquiry report, if the allegation concerned PHS-supported research.

On a case-by-case basis, Bates College] may choose to notify the complainant that there will be an investigation of the alleged misconduct but is required to take the same notification action for all complainants in cases where there is more than one complainant.

Investigation

The purpose of an investigation is to formally develop a factual record, pursue leads, examine the record, and recommend finding(s) to the DO, who will make the final decision, based on a preponderance of evidence, on each allegation and any institutional actions. As part of its investigation, the institution will diligently pursue all significant issues and relevant leads, including any evidence of additional instances of possible research misconduct, and continue the investigation to completion. Within 30 days after deciding an investigation is warranted, Bates College will notify ORI of the decision to investigate and begin the investigation.

Notifying the Respondent and Sequestering Evidence

Bates College will notify the respondent(s) of the allegation(s) within 30 days of determining that an investigation is warranted and before the investigation begins. If any additional respondent(s) are identified during the investigation, the institution will notify them of the allegation(s) and provide them an opportunity to respond consistent with the PHS regulation. If the institution identifies additional respondents during the investigation, it may choose to either conduct a separate inquiry or add the new respondent(s) to the ongoing investigation. The institution will obtain the original or substantially equivalent copies of all research records and other evidence, inventory these materials, sequester them in a secure manner, and retain them for seven years after its proceeding or any HHS proceeding, whichever is later.

Convening an Investigation Committee

After vetting investigation committee members for conflicts of interest and appropriate scientific expertise, Bates College will convene the committee and ensure that the members understand their responsibility to conduct the research misconduct proceedings in compliance with the PHS regulation. The investigation committee will conduct interviews, pursue leads, and examine all research records and other evidence relevant to reaching a decision on the merits of the allegation(s). The institution will use diligent efforts to ensure that the investigation is thorough,

sufficiently documented, and impartial and unbiased to the maximum extent practicable. The institution will notify the respondent in writing of any additional allegations raised against them during the investigation.

Conducting Interviews

Bates College will interview each respondent, complainant(s), and any other available person who has been reasonably identified as having information regarding any relevant aspects of the investigation, including witnesses identified by the respondent. The institution will number all relevant exhibits and refer to any exhibits shown to the interviewee during the interview by that number. The institution will record and transcribe interviews during the investigation and make the transcripts available to the interviewee for correction. The institution will include the transcript(s) with any corrections and exhibits in the institutional record of the investigation. The respondent will not be present during the witnesses' interviews, but the institution will provide the respondent with a transcript of each interview, with redactions as appropriate to maintain confidentiality.

Documenting the Investigation

Bates College will complete all aspects of the investigation within 180 days. The institution will conduct the investigation, prepare the draft investigation report for each respondent, and provide the opportunity for respondents to comment. The institution will document the DO's final decision and transmit the institutional record (including the final investigation report and DO's decision) to ORI, if required. If the investigation takes more than 180 days to complete, the institution will ask ORI in writing for an extension and document the reasons for exceeding the 180-day period in the investigation report.

The investigation report for each respondent will include:

1. Description of the nature of the allegation(s) of research misconduct, including any additional allegation(s) addressed during the research misconduct proceeding.
2. Description and documentation of the PHS support, if any, including any grant numbers, grant applications, contracts, and publications listing PHS support. This documentation includes known applications or proposals for support that the respondent has pending with PHS and non-PHS Federal agencies.
3. Description of the specific allegation(s) of research misconduct for consideration in the investigation of the respondent.
4. Composition of the investigation committee, including name(s), position(s), and subject matter expertise.
5. Inventory of sequestered research records and other evidence, except records the institution did not consider or rely on. This inventory will include manuscripts and funding proposals that were considered or relied on during the investigation. The inventory will also include a description of how any sequestration was conducted during the investigation.
6. Transcripts of all interviews conducted.
7. Identification of the specific published papers, manuscripts submitted but not accepted for publication (including online publication), PHS funding applications, progress reports, presentations, posters, or other research records that contain the allegedly falsified, fabricated, or plagiarized material.
8. Any scientific or forensic analyses conducted.
9. A copy of these policies and procedures.
10. Any comments made by the respondent and complainant(s) on the draft investigation report and the committee's consideration of those comments.
11. A statement for each separate allegation of whether the committee recommends a finding of research misconduct.

If the committee recommends a finding of research misconduct for an allegation, the investigation report will present a finding for each allegation. These findings will (a) identify the individual(s) who committed the research misconduct; (b) indicate whether the misconduct was falsification, fabrication, and/or plagiarism; (c) indicate whether the misconduct was committed intentionally, knowingly, or recklessly; (d) identify any significant departure from the accepted practices of the relevant research community and that the allegation was proven by a

preponderance of the evidence; (e) summarize the facts and analysis supporting the conclusion and consider the merits of any explanation by the respondent; (f) identify the specific PHS support, if applicable; and (g) state whether any publications need correction or retraction.

If the investigation committee does *not* recommend a finding of research misconduct for an allegation, the investigation report will provide a detailed rationale for its conclusion.

The investigation committee should also provide a list of any current support or known applications or proposals for support that the respondent has pending with PHS and non-PHS Federal agencies.

Completing the Investigation

Bates College will give the respondent a copy of the draft investigation report and, concurrently, a copy of, or supervised access to, the research records and other evidence that the investigation committee considered or relied on. The respondent will submit any comments on the draft report to the institution within 30 days of receiving the draft investigation report. If Bates College chooses to share a copy of the draft investigation report or relevant portions of it with the complainant(s) for comment, the complainant's comments will be submitted within 30 days of the date on which they received the report. The institution will add any comments received to the investigation report.

DO Review of the Investigation Report

The DO will review the investigation report and make a final written determination of whether the institution found research misconduct and, if so, who committed the misconduct. In this statement, the DO will include a description of relevant institutional actions taken or to be taken.

Creating and Transmitting the Institutional Record

After the DO has made a final determination of research misconduct findings, Bates College will add the DO's written decision to the investigation report and organize the institutional record in a logical manner.

The institutional record consists of the records that were compiled or generated during the research misconduct proceeding, except records the institution did not rely on. These records include documentation of the assessment, a single index listing all research records and evidence, the inquiry report and investigation report, and all records considered or relied on during the investigation. The institutional record also includes the DO's final decision and any information the respondent provided to the institution. The institutional record must also include a general description of the records that were sequestered but not considered or relied on.

If the respondent filed an appeal, the complete record of any institutional appeal also becomes part of the institutional record. Bates College will wait until the appeal is concluded to transmit the institutional record to ORI. After the DO has made a final written determination, and any institutional appeal is complete, the institution must transmit the institutional record to ORI, if applicable.

Other Procedures and Special Circumstances

Multiple Institutions and Multiple Respondents

If the alleged research misconduct involves multiple institutions, Bates College may work closely with the other affected institutions to determine whether a joint research misconduct proceeding will be conducted. If so, the cooperating institutions will choose an institution to serve as the lead institution. In a joint research misconduct proceeding, the lead institution will obtain research records and other evidence pertinent to the proceeding, including witness testimony, from the other relevant institutions. By mutual agreement, the joint research misconduct proceeding may include committee members from the institutions involved. The determination of whether further inquiry and/or investigation is warranted, whether research misconduct occurred, and the

institutional actions to be taken may be made by the institutions jointly or tasked to the lead institution.

If the alleged research misconduct involves multiple respondents, Bates College may either conduct a separate inquiry for each new respondent or add them to the ongoing proceedings. The institution must give additional respondent(s) notice of and an opportunity to respond to the allegations.

Respondent Admissions

As applicable, Bates College will promptly notify ORI in advance if at any point during the proceedings (including the assessment, inquiry, investigation, or appeal stage) it plans to close a research misconduct case because the respondent has admitted to committing research misconduct or a settlement with the respondent has been reached. If the respondent admits to research misconduct, the institution will not close the case until providing ORI with the respondent's signed, written admission. The admission must state the specific fabrication, falsification, or plagiarism that occurred, which research records were affected, and that it constituted a significant departure from accepted practices of the relevant research community. The institution must not close the case until giving ORI a written statement confirming the respondent's culpability and explaining how the institution determined that the respondent's admission fully addresses the scope of the misconduct.

Other Special Circumstances

At any time during the misconduct proceedings, Bates College will immediately notify ORI if any of the following circumstances arise:

1. Health or safety of the public is at risk, including an immediate need to protect human or animal subjects.
2. HHS resources or interests are threatened.
3. PHS-supported research activities should be suspended.
4. There is reasonable indication of possible violations of civil or criminal law.
5. Federal action is required to protect the interests of those involved in the research misconduct proceeding.
6. HHS may need to take appropriate steps to safeguard evidence and protect the rights of those involved.

Records Retention

Bates College will maintain the institutional record and all sequestered evidence, including physical objects (regardless of whether the evidence is part of the institutional record), in a secure manner for seven years after the completion of the proceeding or the completion of any HHS proceeding, whichever is later, unless custody has been transferred to HHS.

Financial Disclosure Policy for All Investigators Conducting Research Funded by Federal Grants

The federal government requires that the college establish and administer a financial disclosure policy for investigators and a program for training investigators in that policy. This is designed to ensure appropriate management of actual or potential conflicts of interest. The Bates policy fulfills the requirements of grantee institutions as put forth in the National Institutes of Health's guidelines (see ***grants.nih.gov/grants/policy/coi/index.htm***) and the National Science Foundation's conflict of interest policies (see *nsf.gov/policies/conflicts.jsp*).

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

A. Significant Financial Interest (SFI)

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

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

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

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

d) Any occurrence of reimbursed or sponsored travel related to your institutional responsibilities, the cost of which (reimbursed or estimated) exceeds $5,000, must also be disclosed, including instruction, research or service to Bates, with the exception of any travel reimbursed or sponsored by a federal, state or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research center affiliated with an institution of higher education. Travel that is reimbursed by Bates from a sponsored fund account whose sponsor is an entity that is *not* one of those exempt entities shall be treated as a significant financial interest. The investigator must disclose the purpose of the trip, the identity of the sponsor and/or organizer, the destination and its duration. Additional information, including the estimated cost of travel, may be requested by the RIO and must be furnished upon request.

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

B. Timing of Required Disclosures.

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

1) In addition, investigators must update those financial disclosures:

a. Within thirty (30) days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) any new significant financial interest; and

b. Annually within the period of the award, beginning with the anniversary date of the original disclosure.

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

1) Determination of Financial Conflicts of Interest. The RIO shall review each disclosed SFI; determine whether such SFI relates to federally-funded research, and, if so related, determine whether a "Financial Conflict of Interest" (as defined below) exists; and determine what conditions or restrictions, if any, should be imposed by the institution to manage, reduce, or eliminate such conflict of interest. The RIO may, depending on the scope

2) of the potential conflict, request that additional staff or faculty serve on an *ad hoc* review committee to assist in its timely review. A document detailing "Procedures for Evaluating and Managing Conflicts of Interest" is available upon request from the RIO. For more information on the RIO position please see "Policy and Procedures for Responding to Allegations of Research Misconduct" in the *Faculty Handbook*.

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

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

5) Reporting of Financial Conflicts of Interest

a. *Sponsoring agency*. Significant financial interests that are determined by the RIO to be financial conflicts of interest will be reported to the sponsoring agency in accordance with its requirements within 60 days of the original disclosure.

b. *Public request*. As required by sponsoring agency regulations, information on the nature of such conflicts of interest will be made available to members of the public by the RIO in response to inquiries specifying the investigator name and the research project in question within 5 business days of receipt of such requests.

c. *College reporting*. The RIO will also compile regular reports to the Committee on Audit and Legal Affairs of the Bates College Board of Trustees for review and oversight.

6) Indemnity. Participation by a Bates faculty or staff member in a conflict of interest review committee or management plan at the request of the RIO shall be considered part of that faculty or staff member's

institutional responsibilities, and that person shall therefore be indemnified by Bates. All such participants must hold any information obtained in the course of these duties in strict confidentiality.

D. Enforcement. The college shall establish appropriate mechanisms for enforcement of this policy, which shall provide for sanctions where appropriate*. Disciplinary proceedings initiated in connection with this policy shall be conducted in accordance with the Bates *Faculty Handbook*, the Bates *Employee Handbook,* or the Student Code of Conduct. All relevant regulatory bodies and funding agencies will be promptly informed of disciplinary sanctions.

E. Records. The College shall maintain records of all financial disclosures and of all actions taken to resolve financial conflicts of interest for at least three years beyond the termination or completion of the grant to which they relate, or until the resolution of any federal action involving those records, whichever is longer.

F. Training

o *Investigators on NIH/PHS-funded projects*. Each investigator (including senior/key personnel) on projects funded by or proposed to NIH or other Public Health Service (PHS)-affiliated agencies must complete training in the College's conflict of interest policy. Training is available through CITI Conflicts of Interest and Commitment Series.

o *New or previously unfunded Investigators*. Investigators who have not previously completed COI training who notify the Office of Research and Sponsored Programs of their intent to submit a research proposal to NIH or another PHS-affiliated agency are required to complete the CITI COI-Public Health Service-Basic course (and make the disclosures described above) prior to submission of their proposal.

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

o *Repeat training*. Investigators who have previously completed the Basic course are required to repeat COI training every four years by completing the COI-Public Health Service -Refresher course.

o *Additional training*. On any occasion when Bates revises its financial conflict of interest policies and procedures in any manner that affects the requirements of investigators, the RIO and ORSP will provide additional training on the revisions to investigators.

G. Disclosure Statement. Copies of the College's Disclosure Statement are available online at ***bates.edu/grants/compliance-2/conflict-of-interest-policy*.** This Disclosure Statement must be completed by all senior personnel who are submitting proposals to a federal funder. The certification page of a proposal cannot be signed until forms for all investigators are submitted to the RIO. By signing this form the applicant certifies that the investigator has read this section of the Faculty Handbook and that the investigator either a) does not have potential financial conflicts of interest ("*I hereby certify that I have read the Financial Disclosure Policy in the Bates* Faculty Handbook *which is effective for all federal proposals submitted through the College. I certify to the best of my knowledge that neither I nor my spouse, partner, or dependents hold any significant financial interests that would reasonably appear to be related to my research, teaching and service responsibilities to Bates College*") or b) does have potential conflicts ("*I have the following relationships, affiliations, activities, or interests (financial or otherwise) which constitute potential conflicts under the Bates College conflict of interest policy*"). In either case, the applicant also declares that the applicant will notify the RIO of any change or discovery requiring modification of the above statement.

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

with each subrecipient that shall specify whether this policy, or the applicable policy of the subrecipient's institution, will apply to subrecipient investigators. Said agreement will specify the timing for reporting of financial conflicts of interest by subrecipients to Bates to enable the timely review and reporting of such financial conflicts of interest in compliance with funding agency requirements.

I. Mandatory Disclosures of Criminal Violations to Federal Awarding Agencies. It is the responsibility of all employees, including faculty, to comply with the law and to report violations or suspected violations of the law in accordance with the Whistleblower Policy (see below). As a recipient of federal grants, Bates has an obligation to disclose to federal awarding agencies all violations of federal criminal law involving fraud, bribery, or gratuity violations that could potentially affect one or more federal grants. The institutional officials responsible for making mandatory disclosures to federal agencies are the dean of the faculty, in any cases involving faculty of the college, or the vice president of finance and administration, in any cases involving other employees of the college.

Whistleblower Protection Policy

(Section 113 of the Bates College Employee Handbook)

Bates requires all employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the college, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

(1) Reporting Responsibility. It is the responsibility of all employees to comply with the law and to report violations or suspected violations of the law in accordance with this Whistleblower Policy. As a recipient of federal grants, Bates College has an obligation to disclose to federal awarding agencies all violations of federal criminal law involving fraud, bribery, or gratuity violations that could potentially affect one or more federal grants. The institutional officials responsible for making mandatory disclosures to federal agencies will be the dean of the faculty, in any cases involving faculty of the college, or the vice president for finance and administration, in any cases involving other employees of the college.

(2) No Retaliation. This Whistleblower Policy is intended to encourage and enable employees to raise serious concerns within the college prior to seeking resolution outside the college. Any employee who, in good faith, reports a violation of the law is protected from harassment, retaliation and adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. Employees are protected from retaliatory actions because they have reported to college management:

- a violation of the law;
- a gross waste of public funds;
- something that risks someone's health or safety;
- something that will endanger their life or someone else's life.

Employees are protected if they are involved in an investigation or hearing held by the government.

(3) Reporting Violations. Employees are encouraged to share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, an employee's supervisor is in the best position to address an area of concern. In cases of suspected research misconduct, defined as the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, the appropriate person is the research integrity officer in the Office of the Dean of the Faculty. Employees who are not comfortable speaking with a supervisor or who are not satisfied with the supervisor's response are encouraged to speak with someone in the human resources department or anyone in management whom they are comfortable in approaching. Supervisors

and managers are required to report suspected violations to the assistant vice president for human resources, who has the responsibility to oversee the investigation all reported violations.

Employees are asked to allow reasonable time for the problem to be investigated and corrected; if they have reason to believe that management will not correct the problem, they are encouraged to report the problem to the proper oversight agency. In addition, as it relates to federal grants, according to the National Defense Authorization Act, P.L. 112-239 (PDF), employees are protected from reprisal for disclosure of information that the employee reasonably believes is evidence of gross mismanagement of a federal contract or grant, a gross waste of federal funds, an abuse of authority relating to a federal contract, or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal contract (including the competition for or negotiation of a contract) or grant. Specifically, Section 828(a) of the NDAA, Pilot Program for Enhancement of Contractor Employee Whistleblower Protections, provides that,

> "An employee of a contractor, subcontractor, or grantee may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing the aforementioned types of information to:
>
> (a) A Member of Congress or a representative of a committee of Congress.
>
> (b) An Inspector General.
>
> (c) The Government Accountability Office.
>
> (d) A Federal employee responsible for contract or grant oversight or management at the relevant agency.
>
> (e) An authorized official of the Department of Justice or other law enforcement agency.
>
> (f) A court or grand jury.
>
> (g) A management official or other employee of the contractor, subcontractor, or grantee who has the responsibility to investigate, discover, or address misconduct."

A person who believes that the person has been subjected to a reprisal prohibited by subsection may submit a complaint to the Inspector General of the executive agency involved. Procedures for submitting fraud, waste, abuse, and whistleblower complaints are generally accessible on agency Office of Inspector General (OIG) Hotline or Whistleblower Internet sites, such as these:

> National Institutes of Health and other Department of Health and Human Services programs: https://oig.hhs.gov/fraud/report-fraud/index.asp
>
> National Science Foundation: http://www.nsf.gov/oig/
>
> Environmental Protection Agency: http://www.epa.gov/oig/hotline.html
>
> National Aeronautics and Space Administration: http://oig.nasa.gov/contact.html
>
> Department of Justice: https://oig.justice.gov/hotline/whistleblower-protection.htm

(4) Acting in Good Faith. Anyone filing a complaint of wrongful conduct must be acting in good faith and have reasonable grounds for believing the information disclosed indicates wrongful conduct. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

(5) Confidentiality. Reports of wrongful conduct or suspected wrongful conduct will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Involvement of Emeriti in Sponsored Research and Other Grant-Funded Activities

Bates College welcomes the continued participation of emeritus faculty in the intellectual life of the college community. To facilitate such participation while maintaining compliance with federal and state laws governing employment and the management of grant funds, the following policy applies. The term "emeritus" is used herein for brevity but is regarded as gender-neutral.

I. Facilities Access by Emeritus Faculty Involved in Research Grants and Ongoing Scholarly Activity

Bates has often found that ongoing engagement of retired faculty is promoted by furnishing of office space for continued scholarly activity. The availability of such space, however, cannot be guaranteed on a long-term basis. Emeritus faculty requesting Bates office space must re-apply annually. Assignments of such space are made by the dean of the faculty on a yearly basis, with availability varying depending upon the needs of active teaching faculty and other core operations of the College. Ongoing contributions to the College community, through student thesis supervision, scholarly activity, grant funding, or other service to the College, will be considered by the dean of the faculty in making such assignments. If office space is required for performance of proposed grant-funded activity, such proposals must be approved by the Office of the Dean of the Faculty prior to proposal submission. Preference is given to proposals on which indirect costs may be recovered at the College's full, federally negotiated, on-campus indirect cost rate. If indirect costs are not allowed or are subject to a mandatory reduction, the Office of Research and Sponsored Programs encourages the budgeting of off-campus office space. In no case may grant funds or College funds be used for the establishment or maintenance of a home office. If neither full indirect costs nor rental costs are allowed by the sponsor, prioritization of the request is determined by the dean of the faculty based upon whether the proposed activity is judged to advance the academic mission of the College.

Due to present limitations on available laboratory space and scientific equipment, it is highly unlikely that laboratory space can be allocated for the exclusive use of a faculty member no longer teaching at Bates. Access to facilities and equipment explicitly set up to be shared among multiple departments and programs (e.g., the advanced microscopy suite, the Environmental Geochemistry Lab), may be included in proposals without pre-approval, but scheduling must follow the protocols determined by the management of these facilities. Proposals that contemplate use of space or equipment primarily used by another member of the faculty, or summertime use of instructional equipment or laboratory space is, in general, discouraged. Exceptions are rare, and must be pre-approved by the dean of the faculty, the relevant department chair, and (if applicable) any other faculty member(s) in question.

II. Emeritus Faculty as Principal Investigators (PIs)

Principal Investigators (PIs) must be Bates employees for the duration of any federally-funded project. Therefore, salary must be budgeted for all grant project periods subsequent to the PI's projected retirement from teaching faculty status. While a PI is a grant-funded employee of the College, they are not able to withdraw any Bates-funded portion of their retirement accounts still held by TIAA. To achieve retirement status and access their retirement accounts, emeriti must have had a break in service from the college of at least six months, so depending upon timing, grant-funded employment may delay such eligibility. Faculty considering such proposals should consult with the Office of Human Resources (HR) regarding potential impacts on retirement and health insurance benefits.

For purposes of budgeting, a full-time equivalent (FTE) month's salary is calculated as one-ninth of the academic year base salary in effect during the PI's final year as a member of teaching faculty. If the year in question coincides

with a Phased Retirement Plan, family or medical leave, or other reduced duty status, the "institutional base salary" is the full-time equivalent base salary recorded by Human Resources.

Unless subject to a more stringent restriction by the grant sponsor (e.g., NSF's "two-months" limit), the PI's grant-funded effort must not exceed 50% FTE within any 12-month period. Any such return to Bates employment must be discussed in advance with Human Resources, as per Section 219 of the *Employee Handbook*. In the event of such a grant being awarded, the PI is appointed as a temporary staff member for a term concurrent with the duration of the grant. Such appointments are subject to the Fair Labor Standards Act, and require the submission bi-weekly timesheets.

III. Emeritus Faculty in Non-PI roles

Where appropriate, emeriti can assist on projects as volunteers, without the need for any compensation to be budgeted. Human Resources must be notified of any such volunteers, and whether the planned volunteer service requires travel on the College's behalf, human-subjects research, and/or contact with vulnerable populations.

If compensation is necessary for emeritus faculty in non-PI roles, it must be calculated and limited as described above for PIs. Emeriti may not serve as "independent contractors" or "consultants" to the College. Any such hiring decision requires consultation with Human Resources, per Section 219 of the *Employee Handbook*.

In general, the project takes place in the office or lab space readily available to the faculty or staff member(s) listed as PI or co-PI on the project. If additional space or equipment is required for the emeritus faculty member to perform their work, it must be pre-approved by the dean of the faculty, as on any other proposal which contemplates additional space requirements.

Emeriti who are or will be eligible for Social Security and/or Medicare should be aware of Social Security and/or Medicare's earnings caps in budgeting their yearly compensation on grants. Investigation of such caps shall be the individual responsibility of the faculty member.

Access of Emeritus Faculty to Unrestricted Research (Indirect Cost Recovery) Accounts

Unrestricted research accounts containing distributions from indirect cost recoveries are the property of the College and, in general, revert to the College upon a faculty member's final day of contractual service. Unobligated balances shall be distributed 50% to the Bates Faculty Development Fund and 50% to the College's operating revenues. Exceptions are made only in the event that as of such date, the faculty member in question is either:

1) PI or co-PI on a grant that provides for indirect cost recovery at the College's full negotiated rate, or

2) PI or co-PI on a grant application that is still pending decision and that would result, if selected for award, in a grant providing for indirect cost recovery at the College's full negotiated rate.

3) Such exceptions are reviewed at the end date of the grant in question, or at the end date of each fiscal year (June 30), whichever comes soonest. If upon such review date the emeritus faculty member is no longer PI or co-PI on an eligible grant or pending application as described above, the unrestricted research account is closed.

Faculty remain eligible for further indirect cost recovery distributions according to the policies in place for such distributions so long as their unrestricted research account remains open. Upon review and closure of such an account, such eligibility is ended, and any indirect cost recoveries from future grants awarded to such a PI shall be distributed 50% to the Bates Faculty Development Fund and 50% to the College's operating revenues.

*(*From E—Enforcement)* Such sanctions may include, but are not limited to, any one or more of the following: letter of admonition; temporary suspension of access to active research funding, either for a fixed term or pending completion of a remediation plan;

temporary suspension of rights to apply for internal and external research funding as a PI, either for a fixed term or pending completion of re-training and remediation; investigation and mitigation of possible research bias resulting from improperly disclosed Significant Financial Interests, and reporting of corrective action to the relevant funding agency/ies; inquiry into possible research misconduct in accordance with the College's policies and procedures; non-renewal of appointment, as per the terms and procedures outlined in the *Faculty Handbook;* involuntary termination of employment, as per the terms and procedures outlined in the *Faculty Handbook.* This passage shall not be construed to contradict or supersede any disciplinary policies and procedures detailed elsewhere in the *Faculty Handbook*.

Part 8: Miscellaneous Information

International Exchange Visitors

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

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

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

Inviting scholars, experts, and practitioners from abroad involves considerable time and effort by the College and by the visitor. When applying for support for scholars and others from abroad, faculty members must consider the amount of time required to secure an appropriate visa, usually a J-1 visa. Ideally, two to four months are needed to secure a visa, though more time may be needed to secure a visa for a scholar from a developing country or a country that the U.S. government regards with suspicion.

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

For more information on foreign visitors, please contact the dean of the faculty's office, 753-6982.

Jury Duty

Members of the College community are encouraged to serve, as a matter of good citizenship, when called upon for jury duty or as a court witness. General information on jury duty for employees is outlined in the *Employee Handbook* (Section 411).

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

a substitute. The faculty member should request a deferment of their service until the summer or the next term in which they are not teaching.

Commencement and Convocations

Faculty attendance is expected at Commencement and convocations. For these and all other ceremonial occasions, the appropriate attire is academic dress that reflects the highest earned degree.

Faculty currently working towards a higher degree who expect to complete it within a few years may wear a bachelor's gown without a hood.

The College Store has catalogs and price lists from most academic dress manufacturers for convenience. Please note that this expected purchase may be a tax-deductible expense.

For those who need them, the College also offers a lending service for caps and gowns (hoods are not included) for use during College ceremonies. The Dean of the Faculty's office will provide timely announcements regarding events requiring academic dress and details on how to borrow regalia.

Bates Communications and Marketing Office

The Bates Communications and Marketing Office (BCM) is responsible for raising the visibility of Bates as a powerful and innovative leader in the liberal arts. The office is charged with telling the College's story across multiple channels to its diverse audiences, including Bates alumni, parents, prospective families, students, faculty, and staff. With broad expertise in integrated marketing communications, media relations, social media, print and digital design, and multimedia content curation, BCM supports the College's goals and provides strategic direction for its overall internal and external communications.

The College Store

The College Store sells Bates merchandise, office and school supplies, sundries, and books by Bates authors. They are the on-campus retail store owned and operated by Bates College, located on the first floor of Kalperis Hall. All staff are employed by Bates College and all profits go back into the general fund of Bates College.

The College Store has partnered with eCampus to facilitate the sale and distribution of textbooks. The College Store will provide eCampus with adoption information and eCampus will sell the textbooks directly to students on a Bates-branded website (bates.ecampus.com). Students will have the option to purchase textbooks from this website and have them shipped to the College Store or their home address.

Adoptions may be submitted directly to the store and to eCampus using the Faculty & Administration Support Tool (FAST). A link to access FAST can be found at https://store.bates.edu/pages/faculty-resources.

Other course materials including but not limited to lab manuals, course packs, notebooks, and lab accessories will continue to be sold by the College Store. Open Education Resources (OER) can continue to be adopted and linked with eCampus.

Faculty must notify the College Store of changes to their materials list any time changes are made before or during a term. This includes but is not limited to adding a book, canceling a book, modifying the status of a book (i.e., required to optional), adding supplementary materials or supplies, version or edition preferences, etc. For more information on course material adoptions, please contact textbook@bates.edu or visit https://store.bates.edu/pages/faculty-resources.

The federal Higher Education Opportunity Act of 2008 requires colleges and universities to make information on textbooks and other course materials available to students well in advance of the course so that students are aware of additional costs of taking the course. The statute requires that the College disclose, at the registration period on the Bates course schedule on the Garnet Gateway and in other formats, the International Standard Book Number (ISBN) and retail price information of required and recommended college textbooks and supplemental materials for each

course listed. Faculty must submit lists of textbooks and other class materials in a timely manner in order to meet this requirement. Text deadlines and other general information can be found on the College Store's website store.bates.edu/pages/faculty-resources.

Academic Administrative Assistants

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

Academic Administrative Assistants (AAAs) primarily provide support to assigned departments and programs; the nature of their work varies according to the needs of those departments and programs. AAAs are located across campus in the Bonney Science Center, Carnegie Science Hall, Hathorn Hall, Pettigrew Hall, Olin Arts Center, Roger Williams Hall, and Hedge Hall. They assist faculty with materials pertaining to course work. They also support departments, programs, and committees, including maintaining websites and faculty expertise pages. They assist in organizing and publicizing special events sponsored by departments and programs. They support searches, oversee student workers, maintain supplies and equipment, provide word processing and database management, and conduct day-to-day operations such as photocopying, scanning, answering telephones, and filing. They also may be assigned special project work by the dean of the faculty's office. More information can be found at ***bates.edu/dof/about/aaa/aaa-guidelines/***.

Post & Print

Post & Print is located at 65 Campus Avenue, adjacent to the College Store.

Post Services. Post Services provides options for shipping and mailing such as selling stamps, packing materials, and boxes for U.S. Mail, FedEx, UPS, and DHL, both for personal and business use. Post Services assists with bulk mail fulfillment and addressing.

A campus mail route delivers mail and packages to administrative and academic buildings three times per week. Outgoing mail is picked up from these locations. Mail sent to students should include the students' name and virtual box number, available through the college directory at ***bates.edu/directory***.

Print Services. Print Services provides design, layout, digital print, and wide-format printing for interior and exterior spaces, including wall signage and banners. Print Services provide specialty printing for research and presentation posters, booklets, course and lab materials, and signage for indoor or outdoor use. Bindery services include spiral and heat binding, folding, collating, stapling, and laminating. Available for order are Bates branded stationery, business cards, envelopes, paper (colored and recycled), and labels. Jobs should be submitted via email in pdf format to postandprint@bates.edu.

Parking

Faculty must obtain a free parking permit from Campus Safety and display it on the driver's side rearmost window before parking in designated faculty/staff spaces. Faculty may request a parking pass on the Garnet Gateway or by stopping by the Campus Safety office. Parking incorrectly or without a permit results in being issued a ticket. Parking tickets can be appealed within one week or must be paid in full within two weeks of issuance. Parking on public streets is enforced by the City of Lewiston, including winter restrictions.

Keys

New and current faculty request keys through the Dean of Faculty's Office at deanoffaculty@bates.edu. Once the request has been approved, keys are ready for pick up on the next business day at the Access Control office, 245 College Street (M-F 8:30am-4pm). Keys need to be picked up within four weeks after approval. Faculty are required to present a valid college ID and sign an acknowledgment of the Key and Card Access Policy at the time they receive the key. Faculty must comply with the policy and "Best Practices for Keys and Master Keys."

Faculty Key Return Policy

Keys remain property of Bates College. Faculty must return all Bates keys directly to the **Access Control office** under the following circumstances:

- **No Longer Needed:** When keys are no longer required for current job responsibilities.
- **During Leave:** Before going on leave, to be held safely until your return.
- **Separation:** On or before your last day of employment with the college.

Important: Keys left with supervisors, or left behind in offices, rooms, or rental units, are **not** considered officially returned and may result in a bill for unreturned property.

Keys are officially considered "returned" only when handed to an Access Control employee during business hours or placed in the 24/7 drop box located at the Access Control window.

A key is deemed unreturned one week after the employee's final day. A non-refundable fee for hardware replacement (lock and key) will be charged to the department.

If a key is lost or stolen, it must be reported to the Access Control office and to Campus Safety immediately.

Departments/programs are responsible for lost, stolen, and unreturned key charges.

Bates Identification Cards

Faculty are issued a Bates identification card with a photograph and Bates ID number. Bates ID cards are used to access buildings, spaces, athletic facilities, for library circulation, key issuance, and admission to some College events. Faculty can access most buildings with their Bates ID during building hours, enter their "home" building 24/7, and bring one guest per visit to Athletic facilities. (Access and Guest Policy for Athletic Facilities)

Lost, Stolen, or Damaged ID Cards

Report lost, stolen, or not working ID cards immediately via Garnet Gateway, Access Control, or Campus Safety.

- **After-Hours Support:** Campus Safety can issue a temporary card with identical building access, valid until the next business day.
- **Replacements:** Pick up your new ID card at the Access Control office after 9:00 AM the next business day. Temporary cards must be returned at this time.

Event and Space Reservation Procedures

Bates College faculty, advisors, and recognized student groups can use college facilities and services for their courses, advising, and group activities, provided they follow established policies.

How to Make a Reservation.

To reserve space, equipment, or services, use the online event reservation system, Event Management System (EMS). This system helps coordinate demand with available resources.

- Faculty should use the online system for any space, equipment, or services not regularly assigned to them.
- During class times, the Registrar's Office assigns all classrooms.
- During non-class times, classrooms can be reserved through the online EMS (Event Management System).

Submitting a Reservation Request

Faculty can submit requests for meetings and special events via the online system, Event Management System (EMS). The following information will be needed to complete the request form:

- A brief description of the event
- The scheduled time
- Requested space and/or services
- The name of the sponsoring organization and the individual making the request
- The type of publicity needed (if any)

Once submitted, the request will be sent for approval. Faculty must receive a confirmation before finalizing event plans. Approved events can be listed on the online events calendar, and requested facilities, services, and announcements will be provided.

For more information and FAQs, check the terms and conditions section of the reservation form or visit bates.edu/conference/scheduling-space-on-campus/.

Important Deadlines and Considerations

To ensure all necessary offices are notified and services can be provided, submit requests for space or services at least **five working days** before your event.

- Catering: If your event requires catering, submit a request form to the catering office at least five working days in advance to avoid significant late fees. Bookings are approved on a first-come, first-served basis, and requests may be denied if the date is already full. For more details, visit Bobcat Catering.

- Alcoholic Beverages: Events serving alcohol outside of Commons require a state liquor site license, which must be requested at least three weeks in advance. Additionally, all alcoholic beverages serviced in reservable EMS spaces must be booked through Bobcat Catering.

- Expedited Requests: In unusual circumstances, requests may be processed more quickly, but there must be a compelling reason why standard procedures couldn't be followed.

- Please be sure to check with Chrysta Coulombe, associate director of catering and campus events, to ensure Bobcat Catering has the bandwidth to accommodate your event before moving forward with planning.
    - Note that the following black-out dates for Bobcat Catering
        - August 15, 16 2026 - Closed
        - August 17, 18 2026- DCCE Departmental Training
        - August 27, 2026- New Student Arrival
        - September 1, 2026- Convocation
        - October 2, 3, 4 , 2026- Back to Bates
        - November 18, 2026- Harvest Meal
        - December 15, 2026 - January 12, 2027- Closed
        - January 18, 2027- MLK Day
        - May 23-29, 2027- Senior Week/ Commencement
        - June 17, 18, 2027- Trek Across Maine
        - June 9-13, 2026- Reunion

Checking the Online Calendar

Always consult the online calendar at events.bates.edu before finalizing event plans. This system lists all currently scheduled and approved events by location. Whenever possible, avoid scheduling significant events that conflict with others.

You can find Bates College's complete scheduling policies and guidelines here.

College Emergencies Policies and Procedures

(including weather emergencies)

The Senior Emergency Response Group (SERG) assesses the existence and nature of an emergency (including weather emergencies) affecting the college, and initiates appropriate action and communication regarding such events. SERG will continue to serve during the emergency, to coordinate the college's efforts, and to advise the president on decisions regarding the emergency. All faculty members should be familiar with the policies and procedures regarding campus emergencies, including weather emergencies, which are described in detail on the following websites:

bates.edu/campus-safety/emergency-preparedness/serg/
(General information, weather emergencies, and emergency announcements)

bates.edu/campus-safety/emergency-preparedness/
(Emergency information and important contact information)

In the event of an emergency, SERG will determine whether or not college services are to remain open. When services are interrupted or if the college is to close, an announcement will be made at bates.edu and through the college's emergency notification service. 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 you are uncertain about whether you fall under the definition of "essential personnel," please check with your supervisor. If college offices are declared open (or not declared closed), all personnel should assume that they report to work. When an emergency is declared and only essential staff employees report, the staffing is minimal in offices and services of the college; the Library and Commons remain open, while Technology Services are not available. While emergencies can take many forms, most, in Maine, involve weather. Snow does not by itself constitute an emergency. As a residential college, every effort is made to keep the campus open to support our students and their education. Closure – which can be a full day, a delayed start, or an early close – occurs when a unique hazard exists on campus, when the college facilities team is unable to suitably prepare the campus to be open, or if extreme weather is present, particularly during regular commuting hours.

Policy for Holding Classes in Emergencies

If the college is closed, **classes are canceled**. This information is communicated through the emergency notification system to the College community on emergency.bates.edu and with a banner on bates.edu.

Instructors normally make up the missed class at a later date, rescheduling to meet during regular class meeting times. When rescheduling faculty should utilize the campus calendar and request to schedule an appropriate room and time through the Event Management System (EMS) at events.bates.edu.

The registrar will identify replacement days (e.g., an available weekend day) to make up for educational opportunities that are impossible to replace such as theater, dance, and musical performances, science laboratory

sections that cannot fit into the regular grid, etc. More information on weather emergencies can be found on the Dean of Faculty's Office website: bates.edu/dof/teaching-and-advising/policies-for-holding-classes-in-emergencies.

If the campus is open but you deem travel to be unsafe or you have caregiving obligations that prevent travel to campus, you can switch the class format to an alternative format if necessary. Please communicate quickly and clearly to your students.[171]

[171] Policy clarified by Academic Affairs Council, 20 August 2026