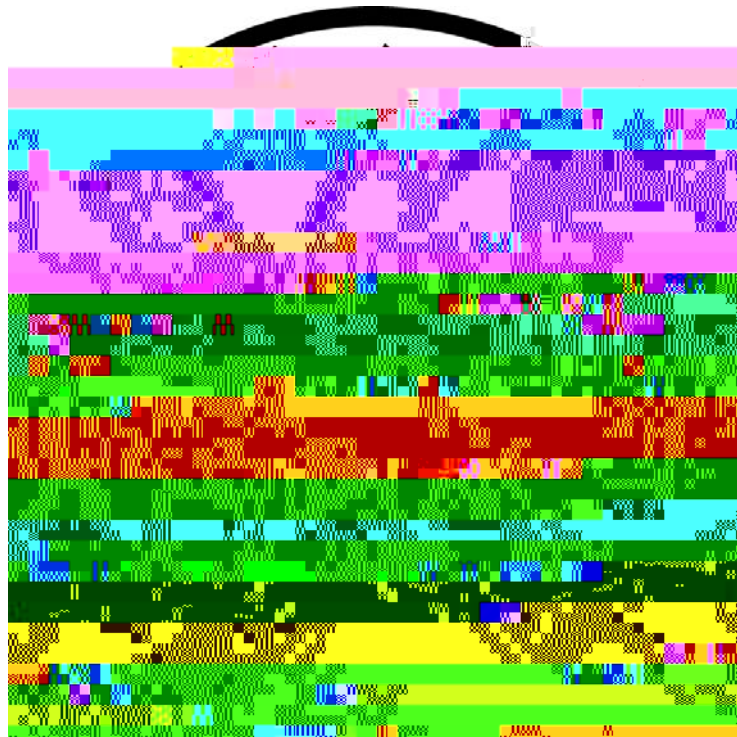


# Faculty Handbook



**Bowdoin College**  
2014-15



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# Bowdoin College

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The Faculty Handbook contains information of interest to members of the faculty. The regulations in Section IV concerning appointment, reappointment, tenure, and promotion have been adopted by the Faculty under Chapter 7 of the By-Laws of Bowdoin College and are subject to change.

Additional information concerning degree requirements and 6-1.14 de Bowdoin College (see Title 608 of the



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Bowdoin College is dedicated to undergraduate education. Accordingly, a high standard of teaching (including consultation outside the classroom and active participation in advising) is essential. Faculty members are also expected to be involved in their field outside the College, making scholarly, artistic, or other contributions which are recognized by the larger professional community. Each faculty member is further expected to participate in the intellectual and artistic life of the College community as well as to share in the work of the academic departments and in college governance by accepting appropriate administrative responsibilities, committee memberships and other duties that are essential to the life of the institution. As members of an inclusive learning community, Bowdoin faculty are expected to uphold appropriate standards of respectful and professional interaction with all members of the campus community.

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The college's legitimate interest in and concern with the commitment of faculty time can be expressed in terms of three principles (see Preamble). The first principle is that the faculty's primary responsibility is to teach. This includes adequate time allocated to course preparation and to advising students in their intensive learning by me

Faculty members are expected to meet all scheduled classes. In the case of a conflict between a scheduled class and some other professional activity, such as attendance at a conference, it is the faculty member's responsibility to inform students and his or her department chair well in advance and to arrange either appropriate alternative activities or make-up sessions for missed classes. Those who find it necessary, under extra-





leave of absence and a sabbatic leave; exceptions require the approval of the Dean for Academic Affairs.

The granting of a sabbatic leave will depend upon the necessary period of teaching, an evaluation of the progress for the successful completion of the sabbatic leave activities and the value of those activities for the faculty member and the College. Consideration will also be given to the leave pattern in the department.

If a faculty member defers or advances a sabbatical at the request of the College, doing so will have no negative effect on the faculty member's eligibility for a subsequent sabbatical. A faculty member may accrue no more than twenty semesters of service toward sabbatical eligibility (the equivalent of a one-year sabbatical at full pay).

### 3. Procedure

During each academic year, the Dean for Academic Affairs will determine which members of the faculty will be eligible, on the basis of the number of semesters taught, for a sabbatic leave during the academic year two years beyond a current academic year. The Dean for Academic Affairs will notify Assistant Professors of their eligibility for pre-tenure leave at the time at which reappointment in the rank of Assistant Professor is offered. The Dean for Academic Affairs will notify newly tenured Associate Professors of their eligibility for a post-tenure leave following a successful promotion. The Dean will then inform those members of the faculty about their prospective eligibility and invite discussions of possible sabbatic leave plans among the faculty member, department and the Dean for Academic Affairs.

The faculty member shall develop a plan for sabbatic leave activities. The plan should describe the relation of the planned activities to previous research and scholarly or artistic work, professional development, and teaching and course development in the future. Requests for sabbatic leave should normally be made in writing to the Dean no later than October 1 of the academic year preceding the year in which the leave would take place.

The Dean will consult with the relevant department chair and/or program director, evaluate the leave plan, and may consult with the Governance and Faculty Affairs Committee in determining approval for the leave. The Dean will review annually sabbatic leaves and leave activities with the Governance and Faculty Affairs Committee and with the Academic Affairs Committee of the Trustees.

Within three months of returning from sabbatical, the faculty member shall provide a report to the Dean for Academic Affairs on the activities undertaken during the sabbatical.

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1. The College encourages members of the faculty to seek funds from government agencies and foundations in support of leaves of absence for the pursuit of scholarly research or artistic work. Ordinarily, leaves of absence without pay are for one semester or one year. Applications may be made to the Faculty Development Committee for support of leaves. To extend one-semester leaves to a full year or to provide support for those otherwise ineligible for a sabbatic leave. Requests for all leaves of absence should normally be made in writing to the Dean no later than November 1 of the academic year preceding the year in which the leave would take place.
2. In considering approval for leaves of absence, the Dean for Academic Affairs will consult with the department chair and/or program director and consider the needs of the individual, the department and the College. Ordinarily, the College requires three years of teaching between leaves of absence, including sabbatic leaves.
3. Leaves of absence for research and scholarship or artistic work may postpone a tenure or reappointment review as described in Section IV.C.1 and Section IV.E.3. However, such leaves normally will postpone the tenure review by no more than one year.

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An underlying principle of all research is the quest for truth. The credibility of research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting research cannot be condoned. While breaches in such standards are rare, these must be dealt promptly and fairly by all parties in order to preserve the integrity of the research community and of this college.

1. Definitions

“Misconduct in research” is defined as any of the following:

- a) Fraudulent or improper practice in conducting scholarly research or reporting the results of such research, including plagiarism, intentional falsification or fabrication of data, intentional misrepresentation of data collection and analysis, or other practices that seriously deviate from those that are commonly accepted within the research community for proposing, conducting or reporting research. This does not include honest error or honest differences in interpretations or judgments of data.
- b) Misappropriation of research funds, including but not limited to diversion of such funds to personal or non-college use.

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<sup>6</sup> Revised per (00-2-3), approved by the faculty 6 March 2000.

- c) Retaliation of any kind against anyone who, in good faith, reports or provides information about suspected or alleged misconduct.

In the following text, “complainant” means a person who makes an allegation of misconduct in research. “Respondent” means the person against whom an allegation of misconduct in research is directed, or the person who is the subject of the inquiry or investigation. There can be more than one respondent and complainant in any inquiry or investigation.

## 2. Allegation

Allegations of misconduct in research on the part of a faculty member or other employee of the college should be reported in writing to the Dean for Academic Affairs (hereafter “the Dean”) who will treat any allegation impartially and confidentially, protecting to the maximum extent possible the privacy of those who in good faith report apparent misconduct. If the Dean determines that the concern is indeed one of possible misconduct in research, s/he will initiate a process which will consist of an initial inquiry, followed by an investigation, if warranted.

## 3. Inquiry

An inquiry is a preliminary evaluation of available evidence and testimony that attempts to determine whether an allegation or other evidence of misconduct has sufficient substance to warrant an investigation. Its purpose is not to reach a final determination of whether misconduct occurred or who was responsible.

The Dean will assign a committee, consisting of three members, at least one of whom shall be drawn from the research oversight committees (Institutional Research Board, Institutional Animal Care and Use Committee, Institutional Biosafety Committee), to conduct an initial inquiry into the allegations. The Dean will meet with the respondent to discuss the allegations and the procedures of the inquiry as set forth below, and will notify the respondent of the committee membership. If the respondent submits a written objection within five calendar days to any of the persons appointed to the inquiry committee, the Dean may replace the challenged person with a qualified substitute. At the time the Dean meets with the respondent, all data, records and materials relevant to the inquiry will be preserved and secured in the interest of protecting the respondent as well as the College. Every attempt will be made to do this in a way that will minimize disruption to the research program.

Once the membership of the inquiry committee has been finalized, the inquiry will involve interviewing the complainant, respondent, and key witnesses and examining the relevant research records and materials. The inquiry shall be completed within 60 calendar days, unless circumstances clearly require a longer period. At the conclusion of the inquiry, the committee will present a written report to the Dean which states what evidence was reviewed, summarizes relevant interviews, and includes the conclusions of the inquiry as to whether an investigation is warranted. If the inquiry takes longer than 60 days to complete,

the record of the inquiry shall include documentation of the reasons for exceeding the 60-day period. The respondent will be given a copy of the report of inquiry and will be provided with an opportunity to comment on the report. To the maximum extent possible, the inquiry committee will provide confidential treatment to the affected individual(s).

Should the Dean, based on the report from the committee, conclude that further investigation is not justified, detailed documentation of the inquiry shall be maintained for three years to permit later assessment of that conclusion.

If the conclusions of the inquiry determine that a formal investigation is warranted, such an investigation will be initiated within 30 days.

Interim administrative actions, as appropriate to the allegations, may be taken at any time prior to the completion of the inquiry or investigation if such actions are necessary to protect the welfare of human or animal subjects of research or to prevent the inappropriate use of funds.

#### 4. Investigation

An investigation is a formal examination and evaluation of relevant facts to determine whether misconduct has taken place, if so, to assess its gravity and propose what action should be taken. During the investigation, additional instances of possible misconduct may be identified that would justify broadening the scope beyond the initial allegations. The Dean will appoint an investigative committee of three to five members who have the appropriate expertise to examine the evidence, interview the witnesses, and conduct the investigation. Committee members may be from within or outside the Bowdoin community, and must have no real or apparent conflicts of interest with respect to the respondent(s) or the case in question.

At the time the investigative body is appointed, the Dean shall inform in writing the respondent(s) and any co-investigated the affected research effort that an investigation is to be conducted. This statement shall include information on the focus of the investigation and the composition of the investigation committee, and shall inform those being investigated of the opportunity to defend their conduct and provide comments and other relevant information to the investigative body. If the respondent submits a written objection to any of the persons appointed to the investigation committee, the Dean may decide to replace the challenged person with a qualified substitute. The Dean shall inform the Chair of the department of each affected individual that an investigation is under way. The Dean shall also inform any agency sponsoring the research if such action is required by the agency.

The investigation normally will include examination of all documentation including, but not necessarily limited to, relevant research data materials, proposals, publications, correspondence, memoranda, and notes of telephone calls. Whenever possible, interviews will be conducted of all individuals involved either in making the allegation against whom the allegation is made, as well as other individuals who might have information regarding key aspects of



Faculty and appropriate administrative staff will be informed on an annual basis of these policies and procedures and the importance of compliance.

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Bowdoin College is required to assure the federal government that the welfare, rights, and privacy (where applicable) of human study subjects are being safeguarded. All research involving human subjects must be submitted for Institutional Review Board (IRB) approval. The IRB ensures compliance with all applicable Federal and State laws/regulations and conducts an ethical evaluation of human research activities including initial, continuation, and modification reviews, unanticipated problems, and alleged noncompliance. The responsibilities of the IRB are determined by federal mandates ([The Common Rule](#) and [DHHS 45 CFR 46 A, B, C, D, & E](#)) for institutions that receive federal funds to support research.

Principal Investigators (PIs) must submit their protocols at least two weeks in advance of the next scheduled IRB meeting to insure review at that meeting. Investigators should allow two weeks for appropriate review even for projects not requiring full committee review (including modifications or continuing reviews of existing protocols). Protocols will not be reviewed until all application components have been received. Research may not begin until 7 business days after IRB approval.

IACUC for approval. Documentation of training must be submitted to the IACUC before a protocol will be reviewed.

The investigator or instructor is required to wait for approval from the IACUC prior to initiation of the research or teaching activity. Formal approval of the protocol must also be obtained before acquiring or using any laboratory animals.

Please refer to Appendix H of the Faculty Handbook for the complete Animal Subjects Research Policy.

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The current Intellectual Property Policy, which was developed by the former Faculty Affairs Committee, endorsed by the Faculty in May 2006, and approved by the Board of Trustees in February 2007, replaces the College's former Patent Policy and addresses the ownership of intellectual property created by faculty, staff, and students. This Intellectual Property (IP) Policy defines and clarifies the central principles of intellectual property at Bowdoin, answers important questions of ownership, and sets up effective and efficient procedures for the resolution of questions about IP ownership in the future.

Bowdoin's IP Policy recognizes and comports with the common law and traditions of intellectual property ownership at colleges and universities. The majority of the works of community members fall within clear categories: in most cases, "traditional scholarly work" is owned by the creator, and "work made for hire" is owned by the College. These terms are defined and discussed in further detail in the complete text of the IP Policy (see Appendix D). For cases that may not be clear, section IV of this document sets out specific procedures for determining the allocation of ownership rights.

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Paid parental leave (of up to 4 weeks) is available to all employees who have been employed by the College for at least one year of continuous service in a benefits-eligible position at the time they have a child(ren) born or placed for adoption. Given the nature and timing of the teaching responsibilities of the faculty, the paid parental leave options described above can be challenging, both for the individual faculty member and for the College. Accordingly, it is possible for eligible faculty to take paid parental leave in a variety of alternative forms, each of which is designed to provide a reduction in teaching and/or other responsibilities that is comparable to 4 weeks at full time, but is packaged in ways that are compatible with the semester teaching cycle. With the approval of the Dean, it is possible for a faculty member to begin a parental leave of absence prior to birth/adoption if the birth/adoption is expected early in the semester. The paid parental leave options for faculty are outlined below.

#### 1. Course Reduction

- a) Faculty and lecturers in ongoing or tenure-track appointments with one year of service at the College who have primary or coequal responsibility for the care of a newborn or a newly placed child are eligible for a two-course reduction in teaching load with no reduction in base salary or benefits. In the case of faculty who are parents of the same child, the course reduction may be shared; however, the total reduction in teaching load may not exceed two courses per birth or adoption event. Faculty members may take the total two-course reduction during the semester in which the birth or adoption occurs, during the semester following the birth/adoption, or may spread the two-course reduction over those two semesters (i.e., one course reduction in each semester). In the case of departments which have a variance from the normal four-course load per year, it is anticipated that the two-course reduction will provide complete release from teaching if taken in a single semester. For tenure-track faculty or lecturers with on-going appointments in their first year, a two-course reduction may be granted by the Dean for Academic Affairs in consultation with the relevant department chair or program director. Faculty on visiting appointments and post-docs are not eligible for paid course reduction.
  - b) In the semester(s) in which the course reduction is taken, a faculty member is expected to continue with non-teaching responsibilities to the department and College such as advising, committee assignments, and independent studies or honors projects. Departments will be responsible for providing whatever coverage of these duties might be necessary if the faculty member is unable to perform them for a short period of time.
  - c) A faculty member should notify the Office of the Dean for Academic Affairs of a birth or adoption event with as much advance notice as feasible. The Dean's office will meet with the faculty member and then consult with department chairs and/or program directors. The specific distribution of the
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two-course reduction must be approved by the Dean in consultation with the faculty member and department chairs and department chairs and/or program directors.

- d) A faculty member receiving a course reduction affirms him-herself to be the primary or coequal caregiver of the child during the time of the course reduction. Course reductions are only available to faculty in the role of primary or coequal caregivers.
- e) Faculty who are not primary or coequal caregivers may request exemption from non-teaching duties for the semester in which her or his child is born/adopted or the following semester, upon timely notification of the Dean's Office of an anticipated birth or adoption. Departments will be responsible for providing whatever coverage of these duties might be necessary.
- f) Other paid and unpaid leave time is available to eligible mothers and fathers following childbirth or adoption, based on College and federal policies (see [Family Medical Leave Policy](http://www.bowdoin.edu/hr/pdf/benefits-%20FML-Policy%209-6-13.pdf) for eligibility requirements and additional information). The paid Parental Leave options for faculty outlined above run concurrently with the provisions of FMLA.
- g) For birth mothers, when leave is needed for medical reasons during pregnancy, childbirth, and postpartum, the College's [Medical Absences and Leave Policy for Faculty](#) (embed link to: <http://www.bowdoin.edu/hr/pdf/benefits-absence-mgmt-faculty.pdf>) applies. As with any other short-term medical event, the expectation is that departments or programs will cover classes in such instances without additional resources from the College. Your medical leave begins when your doctor determines that you are unable to work and extends for up to 6 weeks past the date your child is born (pending any medical complications). During this time you are required to initiate a Short Term Disability claim. Human Resources will assist you with this process.
- h) The birth or adoption of a child is a "qualified event" (<http://www.bowdoin.edu/hr/benefits-perks/qualified-events.shtml>) which allows you to add your child to your health plan. You must do so within 31 days of the birth of your child by completing a new benefits enrollment form available in Human Resources.

## 2. Extension of the Tenure Probationary Period

- a) Any faculty member who becomes a parent through birth or adoption, regardless of whether s/he takes a parental leave, is eligible for extension of the probationary period. (See [Faculty Handbook 2014-15, p. 557T\\*](#) [(available) 6/10/14])

- b) A standard letter will be placed in the file of a faculty member whose tenure probationary period is extended because of a birth or adoption event, and included in the materials for reappointment and tenure. The letter will outline the policy on extension of the tenure probationary period for a parental leave and state that the criteria for review and the expectations for research and teaching are identical for all faculty members at the conclusion of the tenure probationary period.



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Free speech is a constitutional right in a democratic society and a cornerstone of intellectual life at Bowdoin. Members of the college community are encouraged to express their views on all matters including controversial, political issues in the public domain. Preservation of freedom of speech is a primary task of the College; the right to express both popular and unpopular views is to be protected. The College furthers this end best by serving as a forum where ideas be debated and discussed. When taking public positions members of the college community should make an effort in good faith to avoid the appearance of speaking for Bowdoin.

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The students and faculty of Bowdoin College belong to a community of scholars dedicated to the principles of free inquiry and free expression. The College is also a community of men and women whose pursuit of knowledge and whose social relations should rest upon the ethical foundations of a free and humane society: tolerance, honesty and civility. An institution of higher learning, devoted in large part to the examination of human values, can realize its goals only when each of its members recognizes the dignity and worth of every other member, and when the community as a whole is willing to declare intolerable any statement that constitutes or results in the harassment or intimidation of another human being. Every student and faculty member at Bowdoin must maintain toward every other student and faculty member an unqualified respect for those rights that transcend differences of race, sex, or any other distinctions irrelevant to human dignity. When violations of those rights occur, Bowdoin will assume its responsibility to protect the members of the college community from discrimination and intimidation.

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Academic Affairs is regularly advised by the Committee on Appointments, Promotion and Tenure.

1. Initial Appointment

- a) Non-tenured appointments are normally made at the rank of instructor or assistant professor, appointment to the rank of assistant professor being contingent upon the completion of requirements for a doctorate or its professional equivalent (see Section IV.B.1.c below). If work on a doctorate is completed during an instructorship, promotion to the rank of assistant professor is automatic following award of the degree, within the term of that person's current appointment.
- b) The College expects that instructors will normally complete the requirements for the doctorate by September 1 of the third year. Failure to earn the doctorate or its professional equivalent within this time will result in non-reappointment. In exceptional circumstances and with the concurrence of the department, the Dean for Academic Affairs may grant an extension of the deadline until June 30 of the third year of the appointment.
- c) The Dean for Academic Affairs, in consultation with the appropriate academic department chair, will determine at the time of appointment, or during an appointment, whether or not an individual has achieved the professional equivalent of a doctorate. The possession of a terminal degree in a field which does not offer the doctorate, as well as teaching, professional distinction and experience in an academic field, are among the factors to be weighed in the determination of professional equivalency.

2. Progress Towards Tenure

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- a) For candidates whose appointments are in a single department or program with two or more tenured members, tenured members of the department or program at the time of the candidate's reappointment normally will evaluate the candidate. In department programs that have or will have fewer than two tenured members at the time of a candidate's reappointment, the Dean for Academic Affairs will appoint a review committee consisting of the tenured member of the department or program and at least one member of the Faculty from outside of the candidate's department or program.
- b) For candidates with joint appointments whose primary appointment is in a department, all tenured members of the department at the time of the candidate's reappointment normally will evaluate the candidate. In addition, the Dean for Academic Affairs will appoint at least two tenured faculty members who teach in the relevant program and who are not members of the candidate's department to serve on the review committee. When possible, one of the program's representatives will be the individual serving as director of the program during the candidate's first year of employment and one will be the director of the program at the time of reappointment.
- c) For candidates with joint appointments whose primary appointment is in a program, all tenured members of the program at the time of the candidate's reappointment normally will evaluate the candidate. In addition, the Dean for Academic Affairs will appoint at least two tenured faculty members who teach in the relevant department and who are not members of the candidate's program to serve on the review committee. When possible, one of the department's representatives will be the individual serving as chair of the department during the candidate's first year of employment and one will be the chair of the department at the time of reappointment.

Above are standard compositions of review committees for reappointment. On occasion with respect to joint appointments between departments and programs, the Dean for Academic Affairs, in consultation with the chair of the department or director of the program may determine that a review committee whose membership varies from the above models would be more appropriate. In these cases, the Dean for Academic Affairs will appoint the review committee upon consultation with CAPT.

In the fall semester of the first year of the initial four-year appointment, the candidate, the chair of the review committee, the Dean or Associate Dean for Academic Affairs/Affirmative Action Officer will meet to confirm all parties' understandings of institutional reappointment procedures.

At the end of the second semester of the first year of the initial four-year appointment, the candidate, the chair of the review committee, and at least one other tenured member of the department or program will meet to discuss the candidate's progress in teaching and scholarly/artistic work, and to exchange views of the candidate's long-term teaching and scholarly/artistic goals and the means of effecting those goals. A letter addressed to the candidate summarizing this discussion will be written by the review committee chair, a copy given to the candidate and a copy placed in the candidate's file in the department or program.

In addition, a copy should be sent to ~~the~~ office of the Dean for Academic Affairs.

appointments may choose to submit forms from semesters prior to their tenure-track appointment; failure to do so will not jeopardize the evaluation.

- b) The chair of the review committee will provide the following materials:
- (i) The letter summarizing the discussion that took place at the end of the first year of the appointment.
  - (ii) Separate departmental student opinion forms if used and kept by the department rather than the candidate. Candidates who taught at Bowdoin on non-tenure track appointments may choose whether forms from semesters prior to their tenure-track appointment are included; failure to do so will not jeopardize the evaluation.
  - (iii) Letters solicited from a sample of the candidate's students. The sample will consist of students chosen from all courses taught by the candidate while at Bowdoin approximately in proportion to their enrollments, according to a method prescribed by the Committee on Appointments, Promotion and Tenure<sup>1</sup>.
  - (iv) Departments and programs may consider their observations of departmental colloquia or other presentations made by the candidate.

### 3. Formal procedure

- a) The tenured members of the department, program, or review committee appointed by the Dean for Academic Affairs, will meet to consider whether the candidate should be offered reappointment to the Bowdoin faculty. They will consider the candidate's performance as a faculty member in light of the evaluation criteria outlined above in IV.A and on the basis of the materials of the dossier described above in IV.C.2.i-xi.

- b) The chair of the review committee will 0.0008 (na.e6-1.147 Td ( )Tj 0.0005basis5(0.0 h8p nwdemiith(0.00thrmitluation c)--8(mablisndidate )JTJ 0.001 Tc 0.16.607

- d) The evaluation forwarded to the candidate and the Dean for Academic Affairs will be signed by all tenured members concurring in it. Any dissent will be indicated and a dissenting opinion may also be submitted, signed by any tenured member.

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1. Promotion to the rank and title of associate professor or professor normally confers tenure. Any appointment or promotion that confers tenure must be approved by the Board of Trustees. Provisional appointments of persons outside the Bowdoin faculty to the position of associate professor or professor may be made without tenure for a period not to exceed three years. See also Section IV.H below.
2. According to the By-Laws of the College, tenure exists as a safeguard to academic freedom and may be terminated only for reasons of gross neglect of duty, serious misconduct, or physical or mental incapacity. The tenure decision is usually an extension of the review procedures for reappointment discussed above. Tenure decisions are based upon an evaluation of teaching, scholarly or artistic engagement and contributions to the College community. While all three criteria are considered significant, two are of paramount importance: candidates for tenure will be expected to have excelled in teaching and to have achieved a level of professional distinction recognized by members of their guild outside the College. This means that, while non-tenured faculty members will be judged in part on their contributions to the College community, those contributions, however great, will not override teaching and scholarly/artistic records that fall short of the required excellence and distinction.
  - a) As in the case of reappointment, at least two tenured members of the faculty will evaluate a candidate for promotion to the rank of associate professor, with tenure. In departments or programs which have fewer than two tenured members, the committee which served as the reappointment evaluation committee will serve as the review committee for promotion with a substitute or substitutes named, if needed, by the Dean for Academic Affairs in consultation with the Chair of the Committee on Appointments, Promotion and Tenure.
 

In the case of joint appointments, the review committee that served at the reappointment stage will evaluate a candidate for promotion to the rank of associate professor, with tenure. A substitute or substitutes will be named, if needed, by the Dean for Academic Affairs in consultation with the Chair of the Committee on Appointments, Promotion and Tenure. The current director of the program will be added to the committee if he/she is not already a member.
  - b) Promotions to tenured rank are made on the basis of merit considered in relation to the overall educational needs of the College. Although there is no official maximum tenure ratio, either in the College as a whole or within a given department or program, the recommendation for tenure by the Committee on Appointments, Promotion and Tenure will be influenced by such particular circumstances as curricular and other institutional needs.
3. Recommendations for promotion to tenured rank are normally made during the fall of a faculty member's sixth year of service to the College. The assembly of

materials for review leading to the necessary recommendations

- (ii) The Dean for Academic Affairs invites the candidate to submit a packet of materials for the confidential use of the department or ad hoc review committee, the Committee on Appointments, Promotion and

forms from semesters prior to their tenure-track appointment are included; failure to do so will not jeopardize the evaluation.

- x Departments and programs may consider their observations of departmental colloquia or other presentations made by the candidate.

For tenure and promotion reviews, the department or review committee will have access to the letters solicited by the chair of the Committee of Appointments, Promotion and Tenure from a sample of the candidate's students as described below (IV.E.3.b.vi). The department or committee will not solicit student letters on their own. The Dean for Academic Affairs is available for advice and meets with the candidate during the spring of the fifth year to discuss the procedures and the preparation of the review materials.

- (iii) By September 15 of the tenure review year, the candidate and the department or committee will each submit to the Dean for Academic Affairs the names of three present or former Bowdoin faculty members outside the candidate's department, or in the case of a joint



- (i) The department's or committee's letter or letters.
  - (ii) The dossier submitted by the department or committee, including the packet of materials submitted by the candidate.
  - (iii) Evaluative statements on file from the time of reappointment.
  - (iv) Letters from the reviewers of the candidate's scholarly or artistic work.
  - (v) Letters from members of the Bowdoin faculty who wish to comment on the candidate's fitness for tenure as well as those letters that have been individually solicited by the chair of the Committee on Appointments, Promotion and Tenure.
  - (vi) Letters from a single sample of students enrolled in the candidate's courses and independent studies over the previous five years. These letters will be solicited by the chair of the Committee on Appointments, Promotion and Tenure according to a method prescribed by the Committee and copies will be shared with the department or review committee.
  - (vii) A departmental roster showing the terms of appointment for all members of the department, or in the case of a joint appointment, departmental and program rosters.
- c) The procedure followed by the Committee on Appointments, Promotion and Tenure will be as follows:
- (i) The Committee on Appointments, Promotion and Tenure according to (h.639 -1.147 Td

4. The Dean for Academic Affairs will inform each candidate for promotion of the recommendation of the Committee on Appointments, Promotion and Tenure, and the reasons therefore, together with the Dean's own recommendation before conveying these recommendations to the President. The President has discretionary authority to recommend or not recommend promotion.
  - a) Promotion to tenured rank may occur only by vote of the Trustees. Such votes are normally taken at the midwinter meeting. If the tenure review process is for any reason delayed beyond December 20, the President's recommendation may not be acted upon until the spring meeting. Promotion will take effect, if voted, at the beginning of the seventh year of service.
  - b) If the promotion is to be recommended, the candidate will be informed as early as possible, and in any event before the recommendation goes to the Trustees' Academic Affairs Committee for review and subsequent recommendation to the Executive Committee and the Trustees' general meeting.
  - c) If the promotion is not to be recommended to the Trustees and their committees, or if the Trustees fail to vote promotion, the candidate will be notified as early as possible and (if the review process has been delayed) no later than June 1 of the sixth year that the appointment will terminate at the end of the seventh year.
5. At any stage in the tenure process, until a final recommendation by the President, the candidate may request review of the procedures used at the previous stage. In the case of a procedural violation, a new review will take place at the stage in which the violation was committed.

In the case of alleged discrimination or infringement of academic freedom, the candidate can submit a description of alleged offense along with any pertinent documents, including a personal statement, to the committee or individual involved in the next stage of the review process. The candidate's statements will remain a part of the candidate's file throughout the tenure review.

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The College expects that associate professors will serve in rank for a period of six (6) years to be eligible for promotion to the rank of professor. Promotion to the rank of associate professor with tenure does not necessarily imply further promotion. Promotion to the rank of professor will be based on evaluation of teaching, scholarly and artistic engagement, and contributions to the College community since the time of the tenure review. Although tenured faculty have a particular obligation to assume their fair share of the responsibility for the governance and intellectual and artistic life of the College, such contributions do not substitute for the primary criteria for promotion – continuing excellence in teaching and in scholarly or artistic work.

Associate professors may be considered for promotion to the rank of professor sooner than the normal period of time in recognition of unusual scholarly and teaching distinction.

In departments which have fewer than five faculty members in the rank of professor, the Dean for Academic Affairs will appoint one or two professors, as needed, from those in that rank at the College to serve as evaluators. Professors will be appointed in consultation with the Chair of the Committee on Appointments, Promotion and Tenure.

The procedures to be followed and materials collected for review for promotion to the rank of professor are similar to those for promotion to the rank of associate professor. Reviewing subcommittees consist, however, of professors in both the department and the Committee on Appointments, Promotion and Tenure.

Recommendations for promotion to the rank of professor are usually made in the spring of the faculty member's sixth year as associate professor. The assembling of materials for review leading to the necessary recommendations usually begin during the fall of the faculty member's sixth year of service as associate professor. Eligible candidates must inform the Dean Academic Affairs office of their intent to undergo review by September 15 of that year.

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3. Evaluative statements on file from the time of tenure, including the tenure recommendation letters from: the department; the Committee on Appointments, Promotion and Tenure; and the Dean.
4. Letters from the reviewers of the candidate's scholarly or artistic work.
5. Letters from members of the Bowdoin faculty who wish to comment on the candidate's fitness for promotion as well as those letters that have been individually solicited by the chair of the Committee on Appointments, Promotion and Tenure.
6. Letters from a single sample of students enrolled in the candidate's courses and independent studies over the previous five years. These letters will be solicited by the chair of the Committee on Appointments, Promotion and Tenure according to a method prescribed by the Committee and copies will be shared with the department or review committee.<sup>15</sup>
7. A departmental roster showing the term of appointment for all members of the department, or in the case of a joint appointment, departmental and program rosters.

No later than April 15, the Dean for Academic Affairs will inform each candidate for promotion of the recommendation of the subcommittee on promotions, and the reasons therefore, together with the Dean's own recommendation before conveying these recommendations to the President. The President has discretionary authority to authorize or not authorize promotion.

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1. The Faculty Appeals and Grievances Committee

#### Composition of the Faculty Appeals and Grievances Committee

The Faculty Appeals and Grievances Committee (hereafter, the Faculty Appeals committee) shall consist of six members of the teaching faculty elected by ballot of the Faculty. There shall be three tenured full professors and three tenured associate professors, with at least one at the associate rank holding tenure for no more than five years, and no more than one member from any one department. No one shall serve concurrently on the Faculty Appeals Committee and on the Committee on Appointments, Promotion and Tenure. The term of service shall be three years. The chair shall be chosen at the beginning of each academic year by and from among the elected members of the Committee.

In the event of an appeal, a three-member Investigative Committee shall be chosen by the chair from the members of the committee; ideally, this committee will be composed of faculty from each of the ranks.

<sup>15</sup> See (01-4-3), approved by the faculty 7 May 2001.

A member of the Committee who is the appellant, who is a member of the appellant's department, who participated directly in the decision under appeal shall be disqualified from appointment to the Investigative Committee.

#### Time Limitations for Filing an Appeal

Any appeal by a faculty member who was denied reappointment, tenure or promotion must be made in writing to the chair of the Faculty Appeals Committee within 60 days after written notification of the final decision.

## 2. Grounds for an Appeal

A candidate for reappointment, tenure or promotion, may lodge an appeal and request an investigation on the basis of alleged discrimination or violation of academic freedom, or inadequate consideration, as defined below. A written appeal documenting the alleged irregularities must be filed with the Faculty Appeals Committee within 60 days of notification of the negative decision of the Dean for Academic Affairs, in cases of reappointment, or of the President, in cases of tenure or promotion. In continuing investigations the committee will be guided by the Faculty Handbook (Sections II.A and B) and by the following definitions adapted from the American Association of University Professors' 1940 Statement of Principles on Academic Freedom and Tenure and its 1971 Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments.

### a) Non-Discrimination

Faculty are entitled to protection against discrimination on the basis of race, color, ethnicity, national origin, religion, sex, sexual orientation, gender identity and/or expression, age, marital status, place of birth, veteran status or against qualified individuals with disabilities on the basis of disability.

### b) Academic Freedom

- (i) Teachers are entitled to full freedom in discussing their subjects in the classroom, 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 on an understanding with the authorities of the institution.
- (ii) College and university teachers are 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 shall make every effort to indicate that they do not speak for the institution.

### c) Adequate Consideration

The term "adequate consideration" refers to procedural rather than substantive issues. A lack of adequate consideration occurs when a decision is arrived at as a result of any of the following: a failure to seek out and

consider all available evidence bearing on the relevant performance of the candidate; inadequate deliberation over the import of the evidence in the light of the relevant standards; reliance on irrelevant and improper standards; or a failure to exercise professional academic judgment. In determining whether there was inadequate consideration, the Investigative Committee will not substitute its own judgment on the merits of the case for that of the members of the department, the Committee on Appointments, Promotion and Tenure, or the administration.

### 3. Procedures

#### a) Petition for Review Alleging Discrimination or a Violation of Academic Freedom

Insofar as the petition for review alleges discrimination or a violation of academic freedom, the functions of the Investigative Committee shall be the following:

- (i) To determine whether discrimination or a violation of academic freedom was a determining factor in the decision.
- (ii) Ordinarily, when there is a finding of discrimination or violation of academic freedom, the Investigative Committee will recommend that the review of the matter be returned for reconsideration to the next stage in the decision process beyond the stage where the decision.

be returned for reconsideration to the stage in the decision process where the inadequate consideration first took place. Reconsideration shall take account of the Investigative Committee's report.

- (iii) To communicate its finding, and, if appropriate, its recommendation in writing to the President, and the Dean for Academic Affairs in cases of reappointment, and the appellant. The authority to act on any such finding or recommendation resides with the President or the Dean. In the event that the President or Dean for Academic Affairs (in cases of reappointment) decides to reject the recommendation of the Committee, he or she shall provide in writing the reason for his or her action to the Investigative Committee and the appellant, and the

If an initial appointment is made without tenure (for a period not to exceed three years), a recommendation to the Trustees regarding reappointment will be made prior to September 1 of the final year of the appointment. The procedure to be followed will be the same as that for all candidates for tenure.

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#### 1. Appointments

Appointments to give courses for credit are made only to those people who have been approved by the Administration and the relevant department or program. The teaching of any person so appointed will be reviewed periodically if he or



- (iii) Postdoctoral Teaching Fellows. Postdoctoral fellows form an important part of our faculty, allowing Bowdoin to offer new classes in emerging fields or new sub-disciplines. The Office of the Dean for Academic Affairs works closely with academic departments and programs to provide support for postdoctoral fellows by fostering research, mentoring teaching, and helping them prepare for academic employment following their time at Bowdoin.

Postdoctoral fellows have a reduced teaching load, depending on the nature and funding source of the position, as outlined in the letter of appointment.

- (iv) Specific appointments. Full or part-time. Persons offering courses on an ongoing basis whose specialties merit College merit specific titles (e.g., Director of the Bowdoin Chorus, Writer-In-Residence).

All Special Appointments may be renewed, provided that a review of the candidate's work (by the department and the Dean for Academic Affairs) and the needs of the college indicate the appropriateness of such renewal.

2. The Review Process: Review procedures appropriate to the type of appointment will be established by the Dean's office in consultation with the department or program and discussed with the Committee on Appointments, Promotion and Tenure. If reappointment is anticipated at the time of initial appointment, these procedures will be explained to the appointee at that time.

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1. Shared appointment within a specific department or program at the time of hiring
  - a) A single tenure-line position may be shared by two people. Because both people in such shared appointments must individually meet the criteria of an advertised position, and because departments must be willing to work with the administrative complexities that a shared appointment may bring, it is anticipated that such appointments will be relatively rare. The process outlined below applies to tenure-track faculty at the time of hire.
  - b) Applicants for a tenure-track position who wish to be considered for a shared appointment should inform the College before any on-campus interviews have occurred. Applicants may choose to indicate a desire for their applications to be considered both individually or jointly at the time of submission, or may request consideration of a shared position upon being invited for interview.

- c) Upon due consideration of the applicant pool, if the academic department or program determines that each individual who has applied to share a position meets the college's criteria for hiring independently, the department or program may propose a shared appointment to the Dean's Office.
- d) The shared appointment will normally consist of 1.5 FTE, with each partner carrying .75 load and salary. It is expected that each would normally teach in both semesters of the academic year and participate in the administrative and service loads of the department and the College. In recognition of the .75 FTE status of the position, faculty members holding shared appointments may request exemption from committee service for one year in every four. Expectations for mentoring of honors students and independent studies should likewise be prorated. If one partner becomes chair or program director, he/she will move to full-time status and accrue the compensation associated with such service; the remaining partner will normally move to .5 FTE during this period.
- e) Each faculty member in a shared tenure-track appointment is eligible for the rights and privileges of a full-time citizen of the College and is to be treated as a regular faculty member by the College. Each will have a full vote in faculty and departmental meetings, professional benefits, and normal sabbatical benefits. Although the College and the hiring department will endeavor to provide individual office and research space for both individuals, sharing of such space may be necessary.
- f) Should another tenure-track appointment become available within the relevant departments, those holding shared appointments will have no particular claim on the positions.
- g) Reappointment and tenure reviews of each member will be done independently and decisions will be reached for each individual separately. No special restrictions or benefits are associated with shared positions; the tenure procedure and timing for each individual in a shared appointment follows the procedures applicable to all members of the Faculty outlined in Section IV. If an individual holding a shared appointment is denied reappointment or tenure, he or she will be given the normal terminal year and a single, full-time contract will be offered to the remaining individual. Similarly, if an individual holding a shared appointment leaves the College for any reason, the other individual sharing the appointment will have the option of accepting a single full-time contract. In the case of one member of a shared appointment leaving, the line reverts from 1.5 FTE to 1.0 FTE.
- h) While the additional .5 FTE associated with a shared appointment may be seen as partial leave proofing for a department where appropriate, the additional FTE resides in the department only for the tenure of the shared appointment, and will not be replaced if either faculty member leaves the College for any reason. However, during the tenure of the shared appointment departmental requests for authorization of positions will not

be negatively impacted by the additional FTE created by the shared appointment.

2. Shared Appointment ~~across~~ Departments or Programs

- a) At the time of appointment, a candidate may ask to explore a possible shared position that crosses departments or programs. On receipt of the partner/spouse's dossier, the ~~Director~~ ~~office~~ will share the materials with the appropriate department(s) or program(s). ~~The~~ departments or programs will review the partner's materials and ~~will~~ decide if they are interested in pursuing a shared appointment. Candidates and Departments should recognize that the sharing of appointments across departments or programs requires particular care and will only be possible in exceptional circumstances in which both departments ~~think~~ believe such an appointment will clearly advance the curricular priorities of the College and in which each individual independently meets the hiring standards of the College.
- b) The relevant department(s) or pr

or program(s) involved and with the approval of the Dean for Academic Affairs and the President. While such a conversion is possible regardless of rank, it is normally expected that both participants are not yet tenured and will be subject to the normal tenure process. In the case of one or both holding tenured rank, the recommendation will also involve evaluation by CAPT.

- b) When a member of the Faculty desires to explore a possible shared position, he/she should make a formal request to the Dean for Academic Affairs. Such requests should be made no later than September 15 of the academic year in which the request is to be considered. The Dean's office will request the dossier of the partner/spouse, which should be provided no later than October 15. The dossier should include curriculum vitae, scholarly or creative work, and evidence of teaching experience. No fewer than three confidential letters of recommendation should be sent directly to the Dean. These materials will be shared with the appropriate department(s) or program(s). The departments or programs will review the partner's materials and will decide if they are interested in pursuing a shared appointment. As

For tenured faculty the system contributes when taken over a period of years--to judgments concerning the nature of goals, the degree of success in meeting such goals, and, in general, the contributions of the faculty member to the College and to his or her profession. It is the policy of the Dean to review such matters in detail with each tenured member of the Faculty at least once every seven years. Such reviews are normally initiated in conjunction with sabbatical eligibility. Information concerning the quality of teaching, as well as research, is brought as an integral part of this review process. The main purpose of the review is to provide an opportunity for both the faculty member and the Dean to consider several years' work in the light of longer term objectives, and to seek ways in which both faculty and institutional interests can be furthered. Salary adjustments reflect the results of such periodic review, subject in the case of negative findings, to review by the appropriate subcommittee of the Committee on Appointments, Promotion and Tenure.

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A faculty member whose termination for cause is under consideration is entitled to a hearing before the Committee on Appointments, Promotion and Tenure. Cause, as defined in the By-Laws of the College, is limited to gross neglect of duty, serious misconduct, or physical or mental incapacity. At that hearing the faculty member will be permitted to be represented by counsel. A full stenographic record of the hearing will be kept. The Committee on Appointments, Promotion and Tenure after considering the case will report its opinion, with a statement of its reasons, to the President. In the case of an untenured faculty member, the President will take the final action. In the case of a tenured faculty member, the President will refer the matter, together with his/her own recommendation, to the Trustees for final action. The provisions of this section do not pertain to terminations resulting from reappointment, tenure or promotion decisions.

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The procedures set forth in this document are intended to ensure fair and equitable treatment of officers of instruction. An individual who feels that he/she has grounds for a grievance should first attempt to resolve the matter through informal discussions with those involved. Assistance and advice can be sought from the Dean for Academic Affairs, the department chair, or other members of the Faculty with the understanding that the matter is to be kept confidential. If no satisfactory resolution of the matter can be reached, the individual may file a grievance. Grievances which charge unfair treatment, including any form of discrimination or harassment including sexual harassment, shall be filed with the Faculty Appeals and Grievances Committee. The provisions of this section do not apply to appeals of reappointment, promotion and tenure decisions, which are governed by the provisions of Section IV.G. Cases of harassment between faculty shall be filed with the Faculty Appeals and Grievances Committee or with Human Resources. Cases of harassment between faculty and staff

or students must be handled through Human Resources. See the Freedom from Harassment and Discrimination Policy in the Employee Handbook.

### Procedures

The Grievant can choose to file either an informal or formal grievance. The differences between these two procedures are discussed below.

These procedures shall be followed by all participants in the Grievance Procedure and the basic elements may not be changed except by vote of the Faculty. The chair of the Faculty Appeals Committee shall have the power to decide issues not specifically covered by these procedures provided that the Faculty Appeals Committee is notified of such decisions.

### The Nature of Academic Proceedings

A grievance filed by a member of the Bowdoin College faculty against other faculty member(s) or member(s) of the administration will set in motion a process that will occur in an academic, rather than a judicial, setting.

While a grievant and those against whom a grievance has been lodged may wish to consult an attorney and/or may wish to have an attorney assist them in preparation for the process, the Faculty Appeals Committee shall deal directly only with members of the Bowdoin faculty and other individuals if the Faculty Appeals Committee chooses to consult. Attorneys may be present at a grievance hearing but only as observers.

### Informal Grievances

Members of the Faculty are entitled to raise an informal grievance by filing a statement of the specific grievance with the committee and sending a copy of the grievance to the person(s) against whom the grievance is lodged. The chair of the Faculty Appeals Committee will set a date for a meeting.

At the meeting both the grievant and those against whom the grievance has been lodged will discuss the grievance with the Faculty Appeals Committee. At the conclusion of the meeting, the Faculty Appeals Committee will write a letter to those concerned in which the committee states its view of the merit of the grievance and makes whatever recommendation it feels is appropriate. The committee will send a copy of the letter to the Dean for Academic Affairs and the President for their information.

Since this will be an informal grievance, no attorneys will be involved. Informal grievances can be filed at any time during the academic year.

The grievant, having elected to file an informal grievance, will be precluded from later filing a formal grievance (as described below) on the same grounds since the committee will already have become involved and will have stated its view of the merits of the grievance.

If a member of the Faculty is uncertain about whether to file an informal or formal grievance, a consultation with the chair of the Faculty Appeals Committee is advised.

### The Formal Grievance Petition

1. A person filing a formal grievance will begin the process by filing a Grievance Petition with the chair of the Faculty Appeals Committee. The grievant will send a copy of the Petition to every member of the committee and to every person against whom the grievance is being lodged.
2. The Grievance Petition must list specific charges and the name(s) of the individual(s) against whom each charge is lodged.
3. The Grievance Petition shall include relevant information and documents available to the grievant which support the charges: e.g., copies of letters, witness statements and other relevant material.
4. Should the Grievance Petition charge any member of the Faculty Appeals Committee, such individual(s) shall be excused from all further meetings of the committee relating to the grievance.
5. In order to assure adequate time for the grievance to be followed, given the nature of academic calendars, and to ensure that the membership of the Faculty Appeals Committee remains the same throughout the process, the committee will normally receive Grievance petitions from September 1 to March 1.
6. Only in very unusual circumstances will the Faculty Appeals Committee agree to receive Grievance Petitions outside September 1 - March 1 dates and only then if there are compelling reasons to decide the case more quickly than is provided by these procedures. The decision to whether or not to accept such a Petition will rest solely with the Faculty Appeals Committee.

If such an "emergency" Grievance Petition is accepted by the Faculty Appeals Committee, the chair of the Faculty Appeals Committee may establish a shortened timetable.

### Request for Clarification of the Charges

The Faculty Appeals Committee shall examine the Petition and within 10 working days of the filing, the Faculty Appeals Committee may ask the grievant to clarify or make more specific charges. The grievant shall respond to such a request within 10 working days of the request. The Faculty Appeals Committee may also request the grievant to provide additional information or documents. The grievant shall provide such information or documents within 10 working days of the request. The Faculty Appeals Committee may also request the grievant to appear at a hearing to clarify the charges. The grievant shall appear at such a hearing within 10 working days of the request. The Faculty Appeals Committee may also request the grievant to provide a written statement of the grievant's position. The grievant shall provide such a statement within 10 working days of the request. The Faculty Appeals Committee may also request the grievant to provide a written statement of the grievant's position. The grievant shall provide such a statement within 10 working days of the request.

1. The written Response will be filed with the Chair of the Faculty Appeals Committee and a copy will be sent to each member of the committee. At the same time a copy of the Response shall be sent to the grievant.
2. The Response should answer all the charges in the Petition for Grievance.
3. The Response should include relevant information and documents available to those against whom the grievance has been lodged which supports the defense against the charges. Like the Petition for Grievance, the Response should include copies of letters, witness statements, etc. which support the position of those against whom the grievance has been lodged.

#### The Grievant's Reply

Within 5 days of receiving the Response, the grievant will file a Reply. The Reply will acknowledge receipt of the Response and will note that the grievant intends to proceed with the Petition as filed OR will note that one or more of the original charges will be dropped. No new charges may be added.

Copies of the Reply must be given to every member of the Faculty Appeals Committee and to each of those against whom the grievance has been lodged.

#### The Hearing

Within 10 days of receiving the Response to the Grievance Petition, the Chair of the Faculty Appeals Committee shall set a date for the Hearing. All parties will be consulted as to a convenient Hearing date, the decision as to the date will rest ultimately with the Chair of the Faculty Appeals Committee. The date selected must occur within 30 days after receipt of the Response to the Petition for Grievance unless the Faculty Appeals Committee, by a 2/3 vote, agrees to a later date.

Prior to the Hearing members of the Faculty Appeals Committee may examine other college documents and interview whatever people they deem necessary to prepare for the Hearing. In such cases, the grievant and those against whom the grievance has been lodged will be notified as to what documents and which individuals the Committee may be examining.

The Chair of the Faculty Appeals Committee shall serve as the Chair for the Hearing and all rulings of the Chair shall be binding. Those who may be present throughout the Hearing and who may participate shall be members of the Faculty Appeals Committee, the grievant and those against whom a grievance has been lodged. Non-participating observers may include attorneys for the grievant, attorneys for those against whom the grievance has been lodged and college counsel. No other individuals may attend the Hearing.

If, however, anyone intends to have an attorney present as an observer, the committee and all other parties to the grievance must be notified at least 7 days prior to the date of the Hearing in order that others may also elect to have legal counsel present.



The grievant and those against whom the grievance has been lodged will be allowed to make opening and closing statements if they desire. All questions will be asked solely by members of the Faculty Appeals Committee. The party shall be put under oath. No verbatim transcript shall be kept.

The purpose of the Hearing shall be for members of the Faculty Appeals Committee to ask whatever questions may be necessary to clarify the arguments contained in the Petition for Grievance, the Clarification of the Charges, the Response to the petition for grievance, and the Grievant's Reply.

### Final Arguments

The grievant and those against whom a grievance has been lodged may file written Final Arguments with the Faculty Appeals Committee within 7 days from the end of the Hearing. Copies of the Final Arguments will be sent to each member of the committee and to all the parties to the grievance.

The Faculty Appeals Committee may consult additional documents or individuals if they deem it necessary and will so notify the grievant and those against whom the grievance has been lodged.

### The Report

The Faculty Appeals Committee shall issue a written Report to the President with its findings on each charge and make such recommendations as it deems appropriate. A copy of this Report will be sent to the grievant and those against whom the grievance has been lodged.

In addition, a copy of all documents submitted to the Faculty Appeals Committee will be appended to the Report to the President, including the Grievance Petition, the Request for Clarification of the Charges (if such a request has been made), the Response to the Grievance Petition, the Grievant's Reply, and the Final Arguments (if they have been submitted).

The Faculty Appeals Committee shall reach a decision in a timely manner, usually within 3 weeks of the end of the Hearing.

### Appeal

Within 30 days of the issuance of the Report, parties to the grievance may appeal the Faculty Appeals Committee decision to the President.



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1. All classes begin on the scheduled hour half-hour and should be ended five minutes before the hour or half-hour to permit students to get to their next classes.
2. Classes must be held at the hours ~~set~~ by the Office of the Registrar.

## & \$ G Y L V L Q J

Continuing faculty serve as both pre-major and major advisors. Beginning in their second year at Bowdoin, faculty members with ongoing appointments will be trained in the advising process and assigned pre-major advisees. Major advisees are assigned and managed within the department or program. Extensive resources and support are offered to faculty advisors. The primary goals of a successful advising partnership should be to: 1) promote engagement with liberal education; 2) provide opportunities for structured discussions about students' academic goals and curricular choices as well as encourage students to reflect upon their goals and choices; and 3) foster connections beyond this partnership that include other students, faculty, and staff.

Advising duties begin during new student orientation. All advisors are expected to attend these events and be available to their advisees throughout the academic year. See further information at: <http://www.bowdoin.edu/registrar/advisorinfo.shtml>.

## ' ([ D P L Q D W L R Q V

1. Hourly Examinations
  - a) No student is required to take more than two hour examinations in one day. By the same token, a maximum of two examinations is not considered unreasonable, and a student may not be excused from an examination on the grounds that he or she has two on one day. If a student has more than two examinations on one day the Dean of Student Affairs will make the necessary arrangements.
  - b) A faculty member has the option to ~~give~~ require an excuse from the Dean's Office before giving a make-up of an hour examination.
2. Religious Holidays

No student is required to take an examination or fulfill other scheduled course requirements on recognized religious holidays. Instructors are encouraged to avoid scheduling examinations on major religious holidays. Students are

<sup>20</sup> Sections IIA3 and IIA4 of (83-2-4) as amended by the faculty 9 March 1987.



5. Grades in regular courses are recorded as A, A-, B+, B, B-, C+, C, C-, D, Credit, or Fail.<sup>23</sup>

10. In Independent Study and Honors courses that will continue beyond one semester, instructors have the option of submitting at the end of each semester, except the last, a grade of S (for Satisfactory) in place of a regular grade. Regular grades shall be submitted at the end of the final semester and shall become the grades for the previous semester of independent study.<sup>29</sup>

All grades and failure cards are due shortly after the examination period at a date specified by the Office of the Registrar. Spring semester grades for seniors are due in advance of those for remaining students.

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All homework, laboratory work, and exams are conducted under the Bowdoin Academic Honor Code. Instructors, especially those in introductory courses, are urged to make every effort to make clear to the students just what constitutes dishonesty in their course work. A web resource for students is available at:

<http://www.bowdoin.edu/studentaffairs/academic-honesty/index.shtml><sup>31</sup> Violations of the Honor Code are to be reported to the Dean of Student Affairs.

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The Faculty requires that all courses offered for degree credit should be approved by the Faculty after review and recommendation by the Curriculum and Educational Policy Committee (CEP).

New course proposals are considered by the Curriculum Implementation Committee (CIC),<sup>32</sup> which is chaired by the Associate Dean for Academic Affairs and typically meets with the Registrar and Associate Registrar. After a review of new course proposals, the CIC presents its recommendations to the Curriculum and Educational Policy Committee, which may either recommend or not recommend course approval to the full faculty. In some cases, the committee may return course proposals to departments with questions or requests for revision. In some cases, the committee may recommend approval of a course on a "one time only" basis. All course proposals require the endorsement of the chair of the offering department(s) or program(s).

Instructors are encouraged to submit proposals as early as possible in the immediately preceding semester, and in any case no later than the end of September (for Spring courses) and early February (for Fall courses). The only exception to this practice occurs for Fall courses taught by new faculty.

1. All new courses, including first-year seminars.
2. Substantial revisions of existing courses. Substantial revisions include (but are not limited to) changes in:
  - a) The principal subject-matter (e.g., the historical field or the geographical region covered by the course).
  - b) The type of course (e.g., from a broad survey course to a more specialized course).
  - c) The level of the course (e.g., from a 1000-level course to a 3000-level course).
  - d) The methodology of the course.
3. A repeat offering of a course previously approved as “one time only.”
4. All changes in prerequisites for courses and changes to enrollment restrictions and preferences (e.g., majors only).
5. Requests for non-standard class-size limits.

Course petition forms may be obtained from the Registrar’s website.

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Course enrollment limits at Bowdoin are not set by individual faculty members but rather are established by faculty policy. Departments have the discretion to continue with or set higher standard limits. If departments desire to set lower than standard limits for any course, they must have CEP approval as noted below.

1. Standard limits Departments may, at their discretion, impose limits on course enrollment equal to or greater than the following standard limits approved by the Committee on Curriculum and Educational Policy.

#### Standard Limit

First-Year Seminars {1000-1049}	10-29	16
Course numbers {1050-1099}	30-99	50
Course numbers {1100-1999}	100-199	50
Course numbers {2000-2999}	200-299	35
Course numbers {3000- }	300-	departmental discretion

2. Alternative limits With the specific, prior approval of the CEP, departments may impose enrollment limits in courses numbered 30-199 {1050-1099} and 200-299 {2000-2999} which are lower than the standard limits.

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<sup>33</sup> See (03-3-2), approved by the faculty 3 February 2003.

Procedure for approval of limits: Department chairs (not individual instructors) must petition the CIC for authorization to impose the lower limits. Departmental requests are expected to show that certain conditions were satisfied, whose intent is to mitigate the impact of the lower limits on student access to courses.

The primary justification for a lower limit should be pedagogical and should relate to the specific limit proposed. Because the College must balance maintaining student access to courses with potential benefits of smaller courses, the CEP will view the case for lower limits as significantly strengthened if one of the following is true:

- a) a department rearranges its course offerings so as to add a section or sections of the course during the same academic year, thereby at least maintaining the total number of places in all sections of the course offered during the year, and without diminishing the number of places available in all courses offered at this level; or
- b) a department can show that there is likely to be enough space available in other courses (or in additional sections of the same course) to meet the educational needs of students who might be excluded as a result of the reduced limit.

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With the exceptions listed below (and others that may be authorized by the dean), courses with a preregistration of fewer than five students should normally be canceled by the department and replaced with a course



1. There is no record kept and no grade if for an audited class. Auditors will not appear on regular class lists and will not be counted in the official enrollment. They will be included on a class email list if they are receiving electronic services (see below).
2. Auditors may elect whether or not to receive electronic services from the College. These services include things such as access to e-reserves and electronic course materials, and inclusion on the class email list. A fee of \$50 per course is normally charged for this service. This fee is waived for Bowdoin employees, students, and alumni; high school students; and students from Bates, Colby, the Maine College of Art, and USM. Friends of Bowdoin pay a reduced fee of \$30. Electronic services will cease on the tenth day of the month following the last day of classes (January 10 or June 10).
3. Procedure for Requesting Electronic Services:
  - a) The auditor picks up a form in the office of the Registrar (on the first floor of Moulton Union) or accesses it online at [www.bowdoin.edu/registrarservices](http://www.bowdoin.edu/registrarservices)

access to electronic course materials for a teaching assistant or tutor should submit this [online form](#). Questions about or problems with this process should be directed to the IT Help Desk at x3030.

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1. ' L V W U L E X W L R Q R I F R X U V H V R Y H U D Y D L O D E O H P H H W L G established a guideline to improve student access to courses by encouraging departments to spread classes evenly across the class day and week. Certain time blocks have been designated as “special,” and departments are expected to schedule a minimum number of classes in each of these special slots, the number depending on the total number of class sections to be offered in that department in a semester. In general, “special slots” are those class meeting times that tend to be underused; these slots will be identified specifically by the Registrar in the class scheduling materials provided to department chairs in preparation for each semester. The guideline is as follows:

Departments offering fewer than 8 sections overall in a semester should schedule at least 1 section in a special slot;

departments offering 8-12 sections overall in a semester should schedule at least 2 sections in special slots;

departments offering more than 12 sections overall in a semester should schedule at least 3 sections in special slots.

2. & R P P R Q N B classes, sections or laboratories should be scheduled during the Common Hour (Friday, 12:30 to 1:30).

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#### Distribution and Collection of Forms

The Dean’s Office will send out the student opinion forms to instructors two weeks before the end of classes. Faculty members will distribute the forms during the last week of classes, allowing at least 15 minutes for completion. A designated student will collect and later take the forms to the office of the Dean for Academic Affairs. The instructor should hand out the forms, then should leave the room while students complete them. Instructors also distributing individual or departmental forms should allow adequate extra time or distribute them at a different time or date.

#### Summary and Dissemination of Data

After receiving the completed forms, the Dean’s will make copies of the forms and return the originals to the individual instructors for their own review and records after

<sup>35</sup> See (02-5-8), approved by the faculty 20 May 2002.

faculty have turned in semester grades. The Dean's Office will maintain the second copy on file for five years for use in evaluation processes.

Upon receipt the Dean's Office will have the numerical data tabulated and prepare standard statistical summaries for each semester which will include summary distribution of ratings and average ratings for each faculty member's courses, but will not include average ratings for departments, divisions of the College, or decile rankings. The Dean will then use the statistical information to help guide selection of which forms to read in detail for individual student comments.

Each instructor will receive the statistical summary of numerical ratings for his or her courses to review in conjunction with his/her copies of the form that include individual student comments.

In order to provide Department chairs and Program directors information that can assist in monitoring the curriculum and be helpful in collegial efforts to improve teaching, the Dean's office will also circulate a confidential copy of the statistical summaries of the forms to the Department chair. Statistical summaries of courses offered in or cross-listed with interdisciplinary programs and of courses that are required for an interdisciplinary major will also be sent to the directors of those programs. Such statistical summaries should prompt chairs and directors to initiate discussions with faculty about his/her teaching and to seek out further information, when needed, to provide pedagogical support to colleagues. Chairs and Directors will be able to review the written comments of students on the forms on file in the Dean's office after the submission of grades.

#### Use of Information

These forms and their statistical summaries provide only one source of information for evaluating the quality of a faculty member's teaching. Other sources of information include, for example, course materials and syllabi, self-assessments of teaching, and retrospective reviews of teaching by past students, or peer visits. Further, the Faculty has made clear that for evaluation purposes, the statistical information from these forms should only be used in combination with the written forms themselves.

The Dean and the Departments (or in the case of joint appointments, review committees) will use the forms in conjunction with the statistical information as part of the review process for making reappointment, tenure, and promotion decisions. They may be used in periodic reviews of tenured professors. The Dean will also use this information in making merit pay decisions.

Ideally, the student responses that these forms summarize will help to prompt discussions of pedagogy. It is the particular responsibility of chairs to initiate such discussions when they perceive, based on the statistical summaries or other information, that there may be problems in a course or courses.

#### Instructor Response

After reviewing the summary data and the file, the instructor may write in a timely manner to the Dean and Department Chair/Program Director indicating any special

circumstances that may have affected student opinions of either the course or the instructor.

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Students are required to complete one first-year seminar; this should normally be completed by the end of the first semester and must be completed by the end of the second semester in college. The First-Year Seminar program is designed to help introduce students to what it means to undertake serious intellectual work at the college level. The seminars provide small class settings where students can engage with a particular topic, a professor, and their peers. They provide an opportunity for in-depth study of a subject of mutual interest, as well as a place to develop college level skills of critical thinking, both reading and writing. The development of such skills is a central feature of first-year seminars. Approaches to this vary, as do the norms of academic writing being taught. First-year seminars, however, involve frequent writing practice, individualized feedback on writing, and an assignment structure that teaches students how to draft and revise. Additionally, the seminars provide both an introduction to library research and an overview of the expectations of academic honesty and citing sources. This opportunity to learn and practice academic writing is both an independent goal of first-year seminars, and an additional means through which faculty can introduce their discipline and help students to engage with a particular subject matter.

Instructors of first-year seminars are expected to participate in a workshop before the semester and one to two meetings during the semester in which they teach the course.

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<sup>36</sup> See 10-2-5) adopted by the faculty 1 March 2010, which replaces (00-5-2) of May 2000.

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1. The President of the College calls the Faculty to meet regularly during the academic year.
  - a. Faculty of the College<sup>39</sup> are expected to participate fully in faculty meetings.
  - b. Non-student observers, including officers of administration of the college and non-voting faculty, may attend faculty meeting. Student members of faculty committees and reporters from student publications may also attend but are required to notify the moderator of their presence. Unless directly invited by the moderator, observers do not speak during faculty meeting.
  - c. Regular faculty meetings are normally scheduled on the first Mondays of months when classes are in session and on the first and third Mondays in May.
  - d. Special faculty meetings may be called when deemed necessary by the President in consultation with the Committee on Governance and Faculty Affairs (GFA). When possible, ten days notice will be given when scheduling special faculty meetings.
2. The Committee on Governance and Faculty Affairs, together with the Dean for Academic Affairs and the President, sets the Agenda for faculty meeting. Members of the college community may propose agenda items to the Committee on Governance and Faculty Affairs. The Committee normally meets to consider agenda items two weeks in advance of the upcoming faculty meeting.
  - a. Faculty committees in the course of their work may develop initiatives that require faculty approval for their implementation. In the early stages, these initiatives can be proposed as agenda items for discussion, and may later take the form of motions for action.
  - b. Individual members of the Faculty of the College may propose motions for faculty action.
  - c. Individuals or committees may propose reports on works-in-progress.
  - d. Individual members of the full college community may propose topics for open discussion with the Faculty on issues of cross-campus concern.

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<sup>37</sup> See (08-2-4) approved by the faculty 4 February 2008.

<sup>38</sup> See (04-12-2), discussed by faculty 6 December 2004.

<sup>39</sup> Defined in Section 6.

3. The President's Office is responsible for distribution of the agenda.
  - a. The Chair of the Committee on Governance and Faculty Affairs provides a copy of the agenda to the President's Office. Supporting documents (including the minutes from the last faculty meeting and the text of any motions for action included on the agenda) are gathered in the President's Office in preparation for circulation. All documents to be distributed with the agenda should be submitted to the President's Office one week before the date of the faculty meeting to which they pertain.
  - b. The agenda and supporting documents are circulated by the Copy Center at least one business day before the faculty meeting.
4. The business of faculty meeting is supervised by the faculty officers.
  - a. Moderator – The Faculty Moderator is a member of the elected Committee on Governance and Faculty Affairs selected by that committee to preside at faculty meeting.
  - b. Parliamentarian – The Faculty Parliamentarian is appointed by the Committee on Governance and Faculty Affairs to advise the Moderator concerning the conduct of faculty meeting.
  - c. Clerk – A staff member is appointed to take minutes at faculty meetings.
  - d. Senior Wrangler – The Senior Wrangler is the faculty member present at the meeting with the most years of service to the college. The Senior Wrangler's sole job is to adjourn the meeting.
5. Overall conduct of faculty meeting is guided by Roberts' Rules of Order with the following special rules adapted for Bowdoin College.
  - a. The Faculty of the College is a deliberative body: as such, it does not allow absentee ballots, proxy voting or on-line voting on faculty meeting motions.
  - b. Substantive motions are those motions judged by the moderator to set new policy or to significantly modify existing policy. Motions concerned with the conduct of faculty meeting are procedural motions. Examples of procedural motions include motions to postpone or reconsider and the motion to adjourn.
  - c. Substantive motions are not proposed and voted on at the same meeting.
  - d. Substantive motions are not voted on after 5:00 unless the Committee on Governance and Faculty Affairs has notified the faculty at least one week before the meeting that the substantive business

the distributed agenda (if time allows) or by special written communication

In 2007, the faculty approved a revised committee structure and charged the Committee on Governance and Faculty Affairs (GFA) with responsibility for apportioning the committee work of the College across committees and among individual faculty equitably and efficiently, with the aim of engaging as many faculty as possible in shared governance, of making each faculty member's committee service clearly meaningful, and of ensuring that over time all faculty can experience a reasonable balance between teaching, scholarship, and service. It is also GFA's task to ensure that conflicts of interest between departmental and College-wide obligations are minimized.

Committee work is organized under the following rubric (\* indicates elected committees):

) D F X O W \ \* R Y H U Q D Q F H & R P P L W W H H V  
 Committee on Governance and Faculty Affairs (GFA)\*  
 Committee on Appointments, Promotion, and Tenure (CAPT)\*  
 & X U U L F X O D U & R P P L W W H H V  
 Curriculum and Educational Policy Committee (CEP)  
 Curriculum Implementation Committee (CIC)  
 Recording Committee  
 5 H V R X U F H V & R P P L W W H H V  
 External Student Fellowships Committee (ESF)  
 Faculty Development Committee (FDC)  
 Internal Student Fellowships Committee (ISF)  
 Lectures and Concerts Committee (L&C)  
 \$ S S H D O V \* U L H Y D Q F H V D Q G 0 L V F R Q G X F W & R P P L W W H H V  
 Faculty Appeals and Grievances Committee\*  
 Judicial Board and Student Sexual Assault and Misconduct Board  
 Student Appeals and Grievances Committee  
 2 Y H U V L J K W & R O O H J H / L I H & R P P L W W H H V  
 Advisory Committee for a Diverse Community (ACDC)  
 Benefits Advisory Committee  
 Bias Incident Group  
 Bowdoin College Museum of Art Advisory Council  
 Faculty Diversity Committee  
 Library Committee  
 2 Y H U V L J K W 5 H V H D U F K D Q G 6 D I H W \ , V V X H V  
 Chemical Hygiene Committee  
 Institutional Animal Care and Use Committee  
 Institutional Biosafety Committee(IACUC/IBC)  
 Institutional Review Board (IRB)  
 Radiation Safety Committee  
 : R U N L Q J \* U R X S V D V D S S R L Q W H G E \ \* ) \$  
 7 U X V W H H & R P P L W W H H V Z L W K ) D F X O W \ 5 H S U H V H Q W D

To ensure the equitable rotation of faculty members through committees, the following guidelines apply:

1. GFA will keep longitudinal records of individual faculty service as a basis for monitoring the equitable distribution of workload across the faculty.



2. Concurrent service on all the elected committees, CEP, and CIC is prohibited. If a member of CEP or CIC is elected to CAPT or GFA, for example, he or she steps down from the appointed committee.
3. Department Chairs and Program Directors are excluded from CAPT, normally ineligible for election to GFA and normally exempt from CEP and CIC. Members of CAPT, GFA, CEP, and CIC who become Department Chairs or Program Directors may choose to step down before completion of their term.
4. Faculty who have served a full term on CAPT or GFA are normally ineligible for election to CAPT or GFA during the first two years of teaching after the completed term.
5. A full term of service on CAPT or GFA is normally not followed immediately by service on CEP or CIC.
6. Department Chairs and Program Directors are normally not asked to chair the Faculty Development, Student Fellowship, and Recording Committees.
7. No faculty member is normally asked to chair two different committees in successive years.
8. Election slates shall include a note about each candidate's committee service for the previous three years.
9. First year and adjunct faculty are not expected to serve on elected or appointed committees.
10. Every election or appointment is for a full term unless specifically designated otherwise by GFA. If a member of a committee leaves the committee before his/her term of service expires, the vacancy will be filled by an election or appointment for a full term, not the balance of the unexpired term. Occasionally GFA may adjust the length of a full term to avoid holding a special, mid-year election or to ensure that the terms of members of a particular committee are staggered.

The following sections provide descriptions of the committees to which faculty members are elected or appointed and a description of faculty election rules and procedures.

## & ) D F X O W \ \* R Y H U Q D Q F H & R P P L W W H H V

### 1. Committee on Governance and Faculty Affairs (GFA)

**Purpose:** Exercises oversight responsibility for faculty governance. Establishes agenda for faculty meetings. Provides a moderator for faculty meetings from the committee membership. Oversees election and appointment of faculty committees. Ensures equitable distribution of committee workload. Forms working groups when requested and/or necessary, serving as a clearing house for issues brought to the committee's attention from the faculty. Acts in advisory capacity for issues brought to the committee by the Dean or President. Reviews budget and financial priorities and receives reports from the Treasurer. Manages and proposes revisions to the Faculty Handbook. Brings to the faculty for vote issues of policy,

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<sup>41</sup> Modified by faculty vote 3/5/12.

and advises the President and Deans on issues of direct interest to the faculty including but not limited to: compensation, workload, intellectual property, intellectual freedom, sabbaticals, voting eligibility, family leave, partner accommodations, the evaluation of teaching and professional activities, etc. Represents the faculty at meetings of the Board of Trustees, attends Trustee Executive Committee meetings, and meetings of the Trustee Committee on Admissions, and reports back to GFA and the faculty as a whole as appropriate.

Chair: Appointed tenured faculty member

Members: faculty: six, elected: four tenured to include at least two full professors and at least one associate professor, one from each curricular division (Humanities and Fine Arts, Natural Science and Mathematics, Social and Behavioral Sciences); and two untenured, representing two curricular divisions. Term of service: tenured, 3 years; untenured, 2 years. Exclusions: concurrent members of

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and Mathematics, and Social and Behavioral Sciences), of whom at least three are tenured. Term of service: tenured, 3 years; untenured, 2 years. One member should be from a language department to address issues involving language and off-campus study. Exclusions: concurrent members of CAPT, CEP, GFA, and Faculty Appeals; and normally Department Chairs and Program Directors.

students: three, one of whom is an alternate to substitute only in the case of another student's absence.

ex officio Associate Dean for Academic Affairs, Registrar, Director of Off-Campus Study, First-Year Seminar Director

### 3. Recording

Purpose: Interprets, applies, and gives guidance<sup>42</sup> on current academic policies, determines academic standing, reviews petitions re: academic standing, grading ~~opts~~, and transfer credit.

Chair: appointed faculty member

Members: faculty: three, appointed one from each of the three curricular divisions (Humanities and Fine Arts, Natural Science and Mathematics, and Social and Behavioral Sciences), (for three-year terms). Tenured and tenure-track faculty and visiting faculty, lecturers and senior lecturers on multi-year contracts eligible to serve. Term of service: 3 years.

students: three, one of whom is an alternate

ex officio Dean of Student Affairs, Associate Dean for Academic Affairs (as liaison to CEP and CIC), Registrar, Senior Associate Dean of Student Affairs

## ( 5 H V R X U F H V & R P P L W W H H V

### 1. Faculty Development Committee (FDC)

Purpose: Distributes resources for the support of teaching and research. Organizes and oversees programs for faculty development. Establishes procedures and criteria for awards and publishes them annually to faculty. One member from each subcommittee to advise the Chief Information Officer about applications for Educational Technology grants for special projects. The Committee will have two largely separate subcommittees which will meet separately and/or together as necessary but must meet together at least once a year to discuss policy issues regarding faculty support and the

<sup>42</sup> Modified by faculty vote 3/5/12.

development of programs to assist faculty in their teaching and research.

Chair: appointed faculty member

Members: faculty: seven, appointed: at least two from each of the three curricular divisions (Humanities and Fine Arts, Natural Science and Mathematics, and Social and Behavioral Sciences). Tenured and tenure-track faculty and visiting faculty, lecturers and senior lecturers on multi-year contracts eligible to serve. Term of service: 3 years.

students: two plus an alternate, on the Teaching Resources Subcommittee only (students do not participate in the evaluation of course development grant applications)

ex officio Associate Dean for Faculty Development. Representatives from the Center for Learning and Teaching, the Library, IT, Student Affairs to be invited as needed.

a) Teaching Resources Subcommittee

Purpose: Administers course development grants. Oversee the development of teaching: engaging speakers, organizing workshops, supervising the teaching mentorship program, etc.

Members: faculty: three members of FDC

ex officio: Associate Dean for Academic Affairs, Director of Student Fellowships and Research, and a representative of Student Affairs.

### 3. Internal Student Fellowships Committee

**Purpose:** Serves as advisory committee for the Director of Student Fellowships and Research. Evaluate proposals for student research fellowships and distribute resources for internships and fellowships. Select the Sarah and James Bowdoin Day speakers. Support the Director of Student Research and Fellowships reviewing and commenting on proposals, interviewing students and mentoring fellowship candidates.

**Chair:** appointed faculty member

**Members:** faculty: four, representing each of the curricular divisions; two of whom will be from the division of Math and Natural Sciences. Tenured and tenure-track faculty and visiting faculty, lecturers and senior lecturers on multi-year contracts eligible to serve. Term of service: three years

staff: one

students: one, to be consulted for student speakers only

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1. Judicial Board and Student Sexual Assault and Misconduct Board

**Purpose:** The Judicial Board addresses violations of the Academic Honor Code and Social Code. Faculty representatives on the Judicial Board Committee are also available to serve on the Student Sexual Assault and Misconduct Board. The Student Sexual Assault and Misconduct Board serves as the hearing body for student complaints of sexual assault and/or sexual misconduct by students. Judicial Board hearings are chaired by a student Chair or Vice-Chair. The Dean of Student Affairs normally chairs the Student Sexual Assault and Misconduct Board. Full details of the hearing processes are outlined under the Judicial Board and the Student Sexual Assault and Misconduct policies in the Student Handbook. Judicial Board Hearings often take place prior to the start of semester as well as through the end of exam period, and, in the spring, up until Commencement.

**Chair:** Student

**Members:** faculty: four (appointed for three-year terms)  
 staff: none  
 students: normally 10-12 but may vary year to year  
 ex officio Dean of Student Affairs

There is a required annual information meeting in the fall and hearings as needed. The Student Sexual Assault and Misconduct Board also requires an annual review with counsel.

2. Faculty Appeals and Grievances Committee

**Purpose:** Receives and considers appeals regarding decisions of reappointment, tenure, or promotion (see appeals procedure in Faculty Handbook). Receives and considers grievances brought by faculty against other faculty or members of the Administration. (See Grievance section in Faculty Handbook). Receives and considers cases of harassment between faculty (that is, where both grievant and accused are faculty members). Cases of harassment between faculty may also be handled through Human Resources. Cases of harassment between faculty and staff or Administration must be handled through Human Resources. Normally no more than three members of the Appeals and Grievance Committee will hear any single appeal or grievance.

**Chair:** Chosen at the beginning of each academic year by and from the elected members of the committee

**Members:** faculty: six, elected: three tenured full professors and three tenured associate professors, with at least one at the associate rank holding tenure for no more than five

years; no more than one from a single department.  
 Exclusions: concurrent members of CAPT, GFA, CEP  
 and CIC; faculty members undergoing review for  
 promotion to full professor. Term of service: three years

students: none  
 ex officio none

### 3. Student Appeals and Grievances Committee

**Purpose:** Reviews J-Board decisions. Can either uphold J-Board decision, direct the Dean of Student Affairs to take appropriate action, or direct the J-Board to reconsider the case. Addresses student complaints of discrimination on the basis of a federally protected class.

**Chair:** President

**Members:** faculty: four, appointed (for three-year terms)  
 students: four plus one alternate  
 ex officio President, Associate Dean of Student Affairs, and (for Grievance cases) Dean for Academic Affairs

## \* 2 Y H U V L J K W & R O O H J H / L I H & R P P L W W H H V

### 1. Advisory Committee for a Diverse Community<sup>43</sup>

**Purpose:** Advises offices in charge of supporting the diverse identity groups that constitute our campus community, on matters pertaining to the academic and social experience of students, faculty and staff. Advises primarily on issues related to gender, sexuality, race, ethnicity, and social or geographical origin.

**Chair:** faculty member

**Members:** faculty: three  
 students: four  
 staff: three (two administrative, one support)  
 ex officio Special Assistant to the President for Multicultural Affairs, Associate Dean for Multicultural Student Programs, Director of the Women's Resource Center, Director of the Resource Center for Sexuality and Gender Diversity, Associate Dean for Faculty, Director of Human Resources

<sup>43</sup> Established by faculty vote 2/7/11 as a restructuring of the former Oversight Committees on Multicultural Affairs and Gender and Sexuality Issues.



2. Benefits Advisory Committee

Purpose: Considers and makes recommendations to the Administration regarding policies governing employee benefits such as retirement health and life insurance, scholarship contributions and other such



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1. Chemical Hygiene Committee

Purpose: Oversees and make recommendations about policies and procedures governing the storage, use and disposal of chemicals in use at the College to ensure workplace and environmental safety.

Chair: Elected by committee – currently Director of Chemistry Laboratories

Members: faculty/staff: one faculty or staff member from each of the following departments: Arctic Museum; Art; Biology; Chemistry (may be filled by Science Center Manager or Director of Laboratories); Environmental Studies; Geology; Physics  
students: none  
ex officio Manager of Environmental Health and Safety (Chemical Hygiene Officer)

2. Institutional Animal Care and Use Committee (IACUC)

Purpose: Federally mandated for institutions that receive federal funding, the IACUC fulfills the institutional responsibility to ensure the humane use and care of animals used in research. The IACUC will oversee and evaluate the entire animal care and use program, will ensure compliance with the Guide 8<sup>th</sup> Edition and PHS policy, interpret and implement regulations and support high-quality science and humane animal use.

The IACUC is composed primarily of faculty members, appointed to office in equal numbers by the faculty. The IACUC members report to the Dean for Academic Affairs,

students: none  
staff: Animal Care Supervisor (non-voting member); Director

determined by federal mandates [The Common Rule](#) and [DHHS 45](#)

year will be formed at the same time as GFA appoints faculty to the standing committees, but working groups may also be formed at other times in response to immediate concerns or issues. General guidelines for working groups, as well as the charges of current working groups, can be found on the faculty governance webpage.

Members: Various: to include staff and students as appropriate. Students normally appointed through Bowdoin Student Government but can be appointed directly by GFA. Staff normally appointed through BAS and SSAC but can be directly appointed by GFA.

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1. Academic Affairs Committee

Purpose: Concerned with all matters related to the educational program of the College, the faculty (including appointments, promotions, tenure and salary) and the Library, Museum of Art, Peary Macmillan Arctic Museum.

Chair: Trustee

Members: faculty: one, from the faculty Committee on Curriculum and Educational Policy

liaison: Dean for Academic Affairs

students: one and one alternate

trustees: six or more

2. Admissions and Financial Aid Committee

Purpose: Oversees all matters related to the recruitment and admission of students to the College, policies and procedures for financial aid, and financial aid policies in relation to the financial resources of the College.

Chair: Trustee

Members: faculty: one

liaison: Dean of Admissions

students: two, one of whom is an alternate

trustees: six or more

3. Development and College Relations Committee

Purpose: Reviews capital needs of the College and consults with the College administration regarding the appropriate steps for securing the funds required; it also oversees the alumni affairs and communication activities of the College.

Chair: Trustee

Members: faculty: one

liaison: Senior Vice-President for Planning and Administration

and Chief Development Officer  
 students: two, one of whom is an alternate  
 trustees: six or more  
 alumni: one (member of the Alumni Council Executive Committee)

#### 4. Executive Committee

Purpose: Acts with the powers of the Board when the Board is not in session and may take action on behalf of the Board (with certain exclusions) and set agendas for Board meetings.

Chair: Chair of the Board of Trustees

Members: faculty: none, but one member of the faculty is invited to attend (usually the Chair of the faculty Committee on Governance and Faculty Affairs)

liaison: Secretary of the College

students: none, but one is invited to attend

trustees: Chair of the Board, the President, and Chair of each of the Board's Standing Committees

alumni: none, but one member of the Alumni Council is invited to attend

parent: none, but one is invited to attend

#### 5. Facilities and Properties Committee

Purpose: Oversees the maintenance, improvement, security and protection of the College's physical plant and equipment and new capital projects.

Chair: Trustee

Members: faculty: one

liaison: Senior Vice President for Finance and Administration and Treasurer

students: one or two

trustees: six or more

#### 6. Financial Planning Committee

Purpose: Reviews and makes recommendations to the Board about the annual operating and capital budgets and financial needs and resources of the College, oversees policies and the administration of compensation and benefits provided by the College, and considers the long term financial plans and projections of the College.

Chair: Trustee

Members: faculty: one (usually a member of Governance and Faculty Affairs)

liaison: Senior Vice President for Finance and Administration and Treasurer; Vice President for Finance & Controller

students: one

trustees: six or more

7. Honors Committee (Subcommittee of the Committee on Trustees)

Purpose: Recommends candidates for honorary degrees; recommends recipients of the Common Good Award, the Hargraves Preservation of Freedom Prize, and the Bowdoin Prize; recommends names for major new buildings.

Chair: Trustee

Members: faculty: two (appointed for staggered two-year terms)

liaisons: Chief Development Officer; Director of Development Research; Secretary of Development and College Relations

students: none

trustees: a subgroup of the Committee on Trustees or other trustees

8. Information and Technology Advisory Committee

Purpose: Works with the Chief Information Officer to review and plan strategically the administrative and academic role of Information Technology in furthering Bowdoin's core missions of teaching, learning, and research.

Chair: Trustee

Members: faculty: one, appointed

liaison: Chief Information Officer

students: two, one appointed by BSG, one by ITAC

trustees: three

9. Investment Committee

Purpose: Oversees and controls the investment and reinvestment of endowment and other funds of the College.

Chair: Trustee

Members: faculty: one

liaison: Sr. Vice President for Investments

trustees: six or more

students: none

others: two parents, one alumnus/a

10. Multicultural Affairs Committee (Subcommittee of Student Affairs Committee)

Purpose: Considers matters pertaining to the academic and social experience of students, faculty, and staff of color with a particular focus on the recruitment and retention of students from diverse backgrounds.



liaison: Dean of Student Affairs  
 students: at least one  
 trustees: members of the Student Affairs Committee or other  
 members of the Board  
 alumni: at least one

#### 11. Representatives to Meetings of the Board of Trustees

Two members of the faculty are invited to attend meetings of the Board of Trustees. Usually, these faculty representatives are chosen from among the members of the faculty Committee on Governance and Faculty Affairs.

#### 12. Student Affairs Committee

Purpose: Responsible for all matters relating to the nature and quality of student life and policies relating to athletics, residential life, dining, security, student activities, career planning, health and counseling services.

Chair: Trustee  
 Members: faculty: one  
 liaison: Dean of Student Affairs  
 students: one  
 trustees: six or more  
 parent: one

## 9 R W L Q J 3 U R F H G X U H V

6 F K H G I S O A S J. If possible, elections for the three elected committees are scheduled to occur concurrently. The elections employ a procedure of approval voting that makes it possible to hold the elections at the same time with overlapping lists of candidates. The votes for the Committee on Appointments, Promotion and Tenure will be counted first, followed by those for the Committee on Governance and Faculty Affairs. Once a nominee has been elected to the Committee on Appointments, Promotion and Tenure, votes for that candidate will not be counted in the election for the Committee on Governance and Faculty Affairs.

1 R P L Q D F A U L T R O E V. Faculty members are notified of each election and are asked to submit nominations from a list of faculty members eligible to serve on the committee(s) in question. When necessary, the Committee on Governance and Faculty Affairs may add its own nominations in order to balance the slate, taking into account such variables as rank, academic field, and gender.

( O H F T W L R O V. The Committee on Governance and Faculty Affairs sends a ballot to those members of the faculty who are eligible to vote. The approval voting method permits the voter to vote for as many candidates as the voter would like. The Committee on Governance and Faculty Affairs counts the ballots and announces the results.



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Listed below are standard definitions of important terms used in the Academic Honor Code and Social Code:

- A. The "Academic Honor Code" covers student conduct in such activities as classroom and laboratory assignments, examinations, quizzes, papers, and presentations. The "Social Code" governs non-academic student conduct.
- B. Terms such as "Bowdoin" or "the College" refer to Bowdoin College and its premises.
- C. "Student" includes all persons officially pursuing course work at Bowdoin College.
- D. "Faculty" or "faculty member" means any individual employed by Bowdoin College to conduct formal academic activities.
- E. "College official" refers to any person employed by Bowdoin and not a member of the faculty.
- F. The "Bowdoin community" incorporates all faculty, students, student groups, and officials or other persons employed by the College and its proper ties.
- G. College "premises" comprise all land, buildings, facilities, and other property owned, used, or supervised by Bowdoin, including its student organizations.
- H. "Student judicial procedures" refers to written and stated policies involved in determining possible infractions and sanctions of College conduct codes.
- I. The "Student Appeals and Grievances Committee" considers appeals of the Judicial Board decisions. The committee is chaired by the president of the College and includes the Dean of Student Affairs, a member of the dean's staff, four faculty members, and three students.
- J. The terms "shall" and "will" are used in the imperative sense; "may" and "should" are used in the permissive sense.
- K. Bowdoin College designates the Office of the Dean of Student Affairs to supervise the administration of the Academic Honor and Social Codes.
- L. "Misconduct" refers to student actions that violate the College's Academic Honor Code and/or Social Code.
- M. "Preponderance of evidence" is the Judicial Board's decisional standard by which the facts presented must demonstrate, with a reasonable probability, that a violation has occurred.

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- A. The Dean of Student Affairs shall interpret questions and resolve any perceived ambiguities about the Academic Honor Code and Social Code.

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- A. During matriculation, members of the incoming class must acknowledge the pledge that reads: "I have read, understand, and agree to be bound by the Academic Honor Code and the Social Code."
- B. Signing of the pledge implies a student's commitment to uphold the principles and rules

D. Each time students place their name on examinations, papers, laboratory assignments, and other academic work, they acknowledge their responsibility and commitment to the Academic Honor Code.

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The following sections describe activities constituting breaches of the Academic Honor Code and the Social Code.

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1. "Academic Dishonesty" includes but is not limited to (1) the receiving, giving, or using of any unauthorized assistance on quizzes, tests, assignments, examinations or laboratory assignments; (2) references to sources beyond those authorized by the instructor in preparing papers, constructing reports, solving problems or carrying out other academic assignments; (3) inadequate citation of sources; (4) acquisition without permission, of tests, computer files or similar material which would give the student unfair advantage on an assignment or examination; (5) submission of academic work as a student's own original effort; (6) use of the same work for multiple courses without prior knowledge of the receiving instructors; (7) depriving learners of access, including computer access, to library information through intentional monopolization, mutilation, defacement; unauthorized removal of books or other materials from College libraries, or purposeful failure to return library materials on a timely basis; (8) unauthorized altering of academic records (transcripts, grading sheets, Course Registration Cards, etc.); (9) fabrication of research data.

2. A number of Bowdoin College courses employ various kinds of collaborative assignments in several different situations, including homework, laboratory reports, and in-class assignments. When preparing such course work, students should follow the individual instructor's policy on collaboration. When the instructor permits collaboration among students, the use of another student's work or ideas should be credited properly.

3. It is the obligation of a student to be thoroughly familiar with proper citation of sources and to consult with his/her instructor and refer to authoritative style guides for research papers. Ignorance or carelessness is not a valid excuse for plagiarism.

The Bowdoin College Library Web site provides links to style guides at: [www.oleu.edu](http://www.oleu.edu) ; [library@oleu.edu](mailto:library@oleu.edu) ; [www.bowdoin.edu](http://www.bowdoin.edu) ; [library@bowdoin.edu](mailto:library@bowdoin.edu)

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The following activities, occurring on or off College premises, constitute breaches of the Social Code:

1. Conduct which is unbecoming of a Bowdoin student. Examples include, but are not limited to, lewd or indecent behavior (or sponsorship thereof), physical or verbal abuse or assault; threats; intimidation; harassment; coercion; and other conduct that threatens, instills fear, or infringes upon the rights, dignity, and integrity of any person.
2. Attempted or actual theft of, or misappropriation of, property and/or services. Attempted or actual damage to property.
3. Purposely providing false, inaccurate, or misleading information to a College official(s), faculty member(s), or the Judicial Board
4. Failure to comply with the reasonable request of a College official(s) or faculty member(s), including a request to identify oneself or honor the terms of a College no-contact agreement/order
5. Behavior which endangers the health and safety of oneself or others. Examples include, but are not limited to, tampering or interfering with, as well as destroying or misusing, fire safety equipment; the possession of firearms, explosives, or weapons, or dangerous chemicals; unauthorized climbing on College buildings and structures; throwing objects out of windows; and the reckless operation of a motor vehicle.
6. Violation of federal, state, or local statutes.
7. Disruption of the orderly processes of the College, involving obstruction of teaching, research, administration, disciplinary proceedings, or other College activities, including its public-service activities. Actions disruptive to the orderly processes of the College include, but are not limited to:
  - a. Unauthorized entry into, or occupation of a private office, college residence, work area, a teaching, library, or social facility.
  - b. Failure to abide by the operating regulations of academic and non-academic offices, centers, unions, classrooms, libraries, laboratories, and other College buildings.
  - c. Unauthorized possession, duplication, or use of keys or access cards to College premises, or tampering with locks to College buildings.
  - d. Conduct that restricts or prevents College employees from performing their duties.
  - e. Excessive or extreme noise, the display of

9. Failure to comply with any Bowdoin College policy including, but not limited to, the following specific ones:

- Bowdoin College Fraternity Membership Policy
- Bowdoin College Illegal Drugs Policy
- Bowdoin College Alcohol Policy
- Bowdoin College Noise Ordinance
- Bowdoin College Information Technology and Technolol

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College in its business dealings, and to present and strengthen those relationships that will advance the College's mission in the future.

It is not possible to list every possible conflict. Ultimately it is the responsibility of each representative of the College to exercise good judgment and avoid (or appropriately disclose) any situation that could appear to be a conflict of interest or raise the appearance of impropriety.

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Employees of the College may not solicit, obtain, accept or retain any personal benefit from any supplier, vendor, donor, customer, client, official, or any individual or organization doing or seeking to do business with the College. For the purposes of this policy, personal benefit includes, but is not limited to, gifts, gratuities, favors, certain travel, services, compensation, use of vacation residences, discounts, special treatment, or anything of monetary value exceeding \$100.00. Reasonable exceptions may include purchase of a business meal, or consumable gifts offered to an entire workgroup during a holiday season, where rejection would damage the spirit in which the gift was offered.

This policy does not prohibit members of the faculty and other employees from receiving honoraria or reimbursement for travel and other expenses from grant agencies, foundations, or other colleges or universities. This policy does not prohibit employees from receiving compensation or per diem payments for service on outside boards of directors. Reasonable exceptions to this acceptance of gifts may also be granted for activities that further development opportunities and donor relations. Any such exceptions should be reviewed and approved by the Senior Vice President for Finance and Development and Secretary of the College.

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The College will take steps to help ensure that any representative of the College who comes forward in good faith to report suspected violations of law, this Code of Conduct or other college policies will be protected from retaliation in employment practices at Bowdoin College.

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You are encouraged to report violations or concerns about violations of law, this Code of Conduct or college policies that come to your attention. Inappropriate activity can range from clearly illegal activity (such as falsifying data or misusing College funds) to activity that is lawful but unethical (such as purporting to speak on behalf of the College without proper authority).

Any suspected violations of this Code including improper offers or suggestions from a supplier, vendor, or anyone seeking to do business with the College, and any activity that could be perceived as presenting a serious conflict of interest should be reported anonymously by going to [www.ethicspoint.com](http://www.ethicspoint.com). Any suspected violations may also be reported to the Senior Vice President for Finance and Administration & Treasurer in her/his absence, to any other senior officer or the President. Appropriate cases will be referred to the Audit Committee of the Board of Trustees.

Disciplinary actions for proven violations of the Code, or for improper retaliation against anyone who reports possible violations, will be determined on a case-by-case basis and may include termination of employment. Those who violate the Code may also be subject to civil and

Questions concerning this policy may be directed to the Senior Vice President for Finance and Administration & Treasurer, Bowdoin College, 560 College Station, Brunswick, Maine 04011, Telephone: 207-725-3242.

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Adopted by the Board of Trustees February 9, 2007

I. Preface

As part of its basic mission, Bowdoin College encourages the discovery, creation and wide dissemination of knowledge, artistic work, inventions, and educational materials. The most effective way to achieve these ends is to ensure academic freedom among faculty and students. A



creator and the College would have ownership interest in the patent. Another example involves the substantial use of Information Technology (IT) support in the creation of IP that is not a traditional scholarly work. In such cases, the College and the faculty member will each have an ownership interest in a project in which the faculty member provides the content and IT staff create the software (also see III.B.). Faculty will acknowledge appropriately the creative work of staff in both traditional scholarly work and other faculty works.

The terms of any financial or use sharing arrangement between the College and a faculty member will be negotiated under the procedures set out in Section IV. In the case of commercially developed products, the shares will depend, for example, on the development costs and who has undertaken the investment. As a point of reference, many colleges and universities have an arrangement to share income at a proportion of 50-70% to the institution and 50-30% to the faculty member.

## B. Staff

Although non-faculty staff occasionally create scholarly articles and books, most of their work does not fall in this category and is subject to a legal principle known as the “work made for hire” doctrine, which provides that works created by employees within the scope of their employment belong to the employer. Non-faculty staff will own scholarly articles and books they create. The College, however, will own other IP developed by non-faculty staff in the course of their work at the College, and upon request, the creator will execute a written assignment to the College, acknowledging the College’s ownership of such IP. This result is consistent with the College’s functional or identity interest in IP developed by non-faculty staff. For example, the College has a functional interest in the work of IT staff and in work created by administrative staff to manage the institution. Similarly, the College has an identity interest (and perhaps a functional interest, too) in works created by the Communications Office and other departments that communicate with constituencies beyond the College community.

When IP other than scholarly articles and books is created by a non-faculty staff member working directly with a faculty member, the College will have an interest in the IP. For example, when an IT staff member develops software in collaboration with or at the request of a faculty member, the College will own that software to the extent it is written by the staff member. The faculty member will have an interest in the IP to the extent he or she was also involved in writing the software. In all cases, faculty and staff members are expected to acknowledge assistance or co-authorship when appropriate.

This document is the property of the College and is loaned to you. It is not to be distributed outside the College. If you have any questions, please contact the Office of the Provost at 603-881-1000.

or the student will own the student-created IP, depending on the circumstances. Faculty members are expected to acknowledge assistance or contribution when appropriate. Students receiving fellowships for research – for example, Surdna-Coles Fellowships – will not be deemed to be “employed by the College” for the purposes of IP determination.

#### D. Grants, Sponsored Works and Specially Funded Works

In the event a grant from a government agency or private sponsor contains provisions governing intellectual property and/or rights to the product, these provisions take precedence over this Policy. College faculty and staff should understand any such provisions before agreeing to a different allocation of rights than set forth in this Policy. Information about intellectual property policies of major granting agencies is described in the College Grants Manual.

4. The creator intends to seek a patent on or otherwise commercialize the IP, in which case the process of protection or commercialization may involve substantial cost and effort, and the creator may wish the College to consider providing some or all of that support.
5. The creator has any question about ownership or other rights in the IP.

In the case of a group IP project, all those in the group shall be named in the report, and if the report contains an initial proposal for the disposition of rights and proceeds, all members of the group shall sign. The CIO and other administration officers should also report creative activities and address questions about IP ownership rights to the Dean for Academic Affairs as soon as practical if any question arises, either as a result of required reporting or otherwise.

#### B. Determination process

the College is not outside employment, and ~~the~~ ~~is~~ ~~to~~ ~~be~~ ~~reported~~.) Faculty should be guided in accepting any outside employment by the Faculty Handbook statement regarding Professional Activities and Responsibilities. Staff members ~~shall~~ ~~be~~ ~~guided~~ by the Conflicts of Interest policy in the Employee Handbook.

#### VII. Note on College Trademarks and Other Identifiers:

The terms BOWDOIN and BOWDOIN COLLEGE are ~~registered~~ ~~trademarks~~ of the College. In addition, the College possesses trademark ~~rights~~ ~~in~~ ~~various~~ ~~other~~ ~~words~~ ~~and~~ ~~symbols~~ ~~associated~~ ~~with~~ ~~the~~ ~~College~~, ~~such~~ ~~as~~ ~~the~~ ~~College~~ ~~seal~~ ~~and~~ ~~the~~ ~~sun~~ ~~logo~~ (collectively with the terms BOWDOIN and BOWDOIN COLLEGE, the “College ~~Trademarks~~”). No member of the College community may use, or grant permission to any other person or entity to use, any College Trademark without prior written permission ~~from~~ ~~the~~ ~~College~~. Requests to use any College Trademarks should be directed to the ~~Treasurer~~ ~~Office~~. The College will own trademarks and service marks relating to goods and services developed at the College.

#### VIII. Application of Policy:

This policy binds the College and the faculty ~~first~~ ~~to~~ ~~students~~ ~~and~~ ~~others~~ ~~upon~~ ~~whom~~ ~~it~~ ~~is~~ ~~effective~~ as a condition for participating in the use of ~~Bowdoin~~ ~~buildings~~ ~~or~~ ~~facilities~~. As they relate to work produced while in the College’s employ, the ~~terms~~ ~~of~~ ~~the~~ ~~policy~~ ~~continue~~ ~~to~~ ~~bind~~ ~~individuals~~ whose relationship with ~~the~~ ~~College~~ has ended.

In the transition from the existing policy – where a Patent policy and common law are operative – to this new policy, it will be assumed that ~~this~~ ~~policy~~ ~~will~~ ~~govern~~ ~~any~~ ~~new~~ ~~projects~~ ~~that~~ ~~begin~~ ~~after~~ ~~the~~ ~~date~~ ~~of~~ ~~its~~ ~~approval~~. (The ~~Deans~~ ~~on~~ ~~April~~ ~~2~~ ~~Tc~~ ~~0.30.0tf~~ ~~(ely))~~ ~~2a~~ ~~-8sm~~ ~~9T~~ ~~o~~ ~~by~~ ~~th~~ ~~0~~ ~~0~~ ~~10.9~~ ~~(College~~ ~~Trade~~ ~~marks~~ ~~and~~ ~~Other~~ ~~Identifiers~~ ~~Policy~~ ~~2014-15~~)





All College data is classified into defined access levels. Data may not be accessed without proper authorization.

Out of respect for personal privacy, the College does not routinely examine the contents of data



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All research involving human subjects must be submitted for IRB approval. Visit <http://www.hhs.gov/ohrp/policy/checklists/decisionchart.html#c1> to determine if your project is considered Human Subjects Research. The IRB is that Principal Investigators (PIs) submit their protocols at least two weeks in advance of scheduled IRB meetings to give the committee enough time for proper review. Protocols submitted less time may not be reviewed until the next scheduled meeting. Even for projects not requiring full committee review (including modifications or continuing reviews of existing protocols), investigators should allow two weeks for appropriate review

\*Some class assignments are considered research and to be reviewed by the IRB. Please note: all honors projects involving research human subjects must be reviewed by the IRB.

\*Researchers that are not affiliated with the College (off campus) require permission from the College prior to initiating their research. Please contact Cara Martin-Tetreault director of sponsored research for more information.

The extent of the review of the project will be based on the following criteria:

- f* Exempt Research – Most research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement) survey procedures, interview procedures or observation of public behavior in which the identity of the subject cannot be established. This includes collecting or studying existing data, records or specimens, if these sources are publicly available or if the information is recorded in a way that the subjects cannot be identified. The IRB chair makes the determination of whether a research project is "exempt" from further IRB review. Thus, even if an investigator expects that a project will be exempt from research, he/she must submit it to the IRB for review.
- f* Expedited Review – This includes research in which the probability and magnitude of harm or discomfort anticipated are not greater than those encountered in daily life or during the performance of routine physical or psychological tests. The expedited review procedure may not be used where

identification of the subjects and/or their responses would reasonably place them at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, insurability, reputation, or be stigmatizing. Projects eligible for expedited review will be reviewed by a member of the IRB, and the investigator will be notified of a decision in a timely manner. Expedited review does not need to take place ~~at a~~ convened meeting of the IRB.

- f* Full Committee Review – Procedures that are potentially harmful to the subjects (even if the investigator views the harm as not unreasonable) are subject to full committee review. Research involving prisoners, pregnant women, fetuses, the seriously ill or mentally or cognitively compromised adults as subjects must be reviewed by the full committee. Research ~~published~~ with the identity of the subject, invasive collection of body fluid or tissue samples, manipulative observations including deception, or ~~stressful~~ physiological recordings fall into this category. Full Committee Review must

- f* Recruiting tools (e.g. letters, flyers, advertisements)
- f* Evidence of completion of human subjects training for all investigators and









All research, teaching, and training using live vertebrate animals conducted under the auspices of the College must be submitted to the IACUC for approval. A protocol application form has been created for this use. There are two methods of protocol review:

- f* Full Committee Review – A convened meeting of a quorum of the IACUC can approve, request modifications of, or disapprove the proposed protocol by a simple majority vote.
- f* Designated Member Review – To utilize Designated Member Review, each IACUC member is provided with an abstract of the research proposal and has the opportunity to request Full Committee Review. If no member requests Full Committee Review within three days of receiving the application, the committee chair designates a member of the committee to review the proposal. The designated reviewer may approve or request modifications in the proposal, or may request Full Committee Review. A Designated Member may not disapprove a proposal.

No Committee member may participate in the review process of a project in which he/ she has a

- f Negative Decision – A protocol that has been disapproved by the IACUC may not be initiated. The investigator will receive written details describing the reasons for denial of approval, and will be given an opportunity to respond.

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If a protocol is approved, the investigator will receive an approval letter from the IACUC. This letter will list the assigned IACUC number, as well as the date on which a continuing review progress report is due.

Per federal regulations, animal research protocols may be approved for a maximum of three years. At the end of the three-year approval period, a protocol application must be submitted to the IACUC for review. However, in order to assure compliance with all requirements and to inform the IACUC of the current status of the project, each protocol must also be reviewed annually. A continuing review form should be used for this purpose, and requires less time and effort from the investigator than submission of a protocol application.

Other than the initial application, the annual continuing reviews, and the protocol review after three years, there are also annual progress reports.

three years even if approval was not granted or animals were not used. All IACUC files will be retained by the IACUC administrator.

*f* Animal Subjects Research Policy

*f* Animal Research Forms

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Institutional Biosafety Committee of Bowdoin College Charter  
July 2014

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It is the responsibility of the Bowdoin College Institutional Biosafety Committee (IBC) to provide local review and oversight of research teaching activities utilizing recombinant DNA, synthetic nucleic acid molecules, biohazardous agents, or biotoxins conducted in College facilities or by College personnel, and to ensure that the College safeguards human health and the environment by maintaining an adherence to guidelines set forth by the National Institutes of Health, including but not limited to the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid DNA Molecules (NIH Guidelines)

The purpose of the IBC is to ensure that research at Bowdoin using genetically modified organisms, biohazardous agents, and biotoxins is conducted responsibly. To this end, any work involving the biohazards, biotoxins or the genetic modification of viable organisms go through a full review by the IBC. The committee review will focus on issues related to the safety and well-being of members of the Bowdoin and surrounding communities, as well as the environment in which they live.

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- A. The President delegates to the Dean for Academic Affairs the authority to appoint the chair, IBC members and alternates as needed. The IBC will have a minimum of 5 voting members with expertise in recombinant DNA technology, biological safety, and physical containment. It is assumed that several of these members are actively conducting research in their labs. The members will consist of:
  - a. A chairperson
  - b. At least one member who is an expert in animal containment principles
  - c. At least one member who is an expert on plants, plant pathogens, or plant pest containment principles
  - d. At least two members from the community, otherwise unaffiliated with the College, and who represent the interest of the surrounding community with respect to health and protection of the environment (e.g., officials of state or local public health or environmental protection agencies, members of other local governmental bodies, or persons active in medical, occupational health, or environmental concerns in the community)
  
- B. All voting members will be registered with the NIH Office of Biotechnology Activities (OBA). Information provided in the registration will include:



- j. The IBC will keep one copy of each PI's emergency plans on file.
  
- k. The IBC will file an annual report with the NIH OBA that includes:

modifications. If the committee members feel there is need for additional information or changes to the proposal, it will be handled by the full committee.

- F. A committee member must recuse themselves from evaluating their own proposal or in the case of a potential conflict of interest.
- G. Dissenting votes will be put on record.
- H. Minutes of each meeting shall be kept by a designated member of the committee. Minutes will be prepared as described in the NIH Guidelines and will be made available to the public upon request.
  - a. Minutes will reflect date and place of the meeting, whether minutes of the prior meeting were approved, individual attendance, whether and why the meeting was open or closed, all major motions, major points of order, and whether motions were approved and the time of meeting adjournment. Minutes do not need to be transcripts or kept at a level of detail that attributes each remark to a specific individual.
- I. Public attendance will be accommodated if necessary per the NIH Guidelines
- J. Official business will not be conducted over e-mail as this does not accommodate the public.
- K. Any comments by the public on IBC applications as well as a record of the IBC response shall be forwarded to the NIH Office of Biotechnology Activities (OBA).

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- A. In the case of an accident, accidental spill of regulated materials (i.e. recombinant DNA, biohazardous materials, or biotoxins) personnel contamination, or the accidental release of transgenic organisms, emergency plans from the relevant proposal will be implemented by the PI with the help of designated individuals.
- B. If non-compliance is discovered (either at the committee level or at the level of the research project) the problem will be immediately rectified, and a complete report of the incident along with any recommended actions will be forwarded to OBA and Institutional Official within 30 days.
- C. Significant accidents or illnesses related to research involving recombinant DNA, biohazardous material, or biotoxins will be reported to OBA and Institutional Official within 30 days.