



**HARVARD Kennedy School**  
JOHN F. KENNEDY SCHOOL OF GOVERNMENT

**John F. Kennedy School of Government**

**Guidelines  
For Doctoral Students,  
Fellows, And  
Other Visiting Personnel**

**2018-2019**

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# **WHO WE ARE**

## **WELCOME TO THE KENNEDY SCHOOL**

The essence of the Kennedy School has always been an abiding commitment to advancing the public interest by training skilled, enlightened leaders and solving public problems through world-class scholarship and active engagement with practitioners and decision-makers.

We have wonderful faculty members, teaching, and research programs. Our students are terrific, bright, engaged and committed. Our graduates are changing the world and our research is shaping public policies.

At the Kennedy School, we strive to create an environment of opportunity, learning, and collaboration among our students and other parts of the University. This partnership begins when students apply to the Kennedy School, continues throughout their time with us, and goes forward with each graduate.

The Kennedy School offers the depth, reflection, insight, and excellence of ideas and teaching that can really make a difference and make an impact on people and their daily lives.

## Who's Who at HKS

Dean	-	Douglas Elmendorf
Executive Dean	-	Janney Wilson
Academic Dean	-	Iris Bohnet
Academic Dean for Teaching & Curriculum	-	Suzanne Cooper
Sr. Policy Advisor & Chief of Staff	-	Sarah Wald
Sr. Associate Dean, Alumni Relations & Resource Development	-	Christy Jackowitz
Sr. Associate Dean for Degree Programs & Student Affairs	-	Debra Isaacson
Faculty Chair, MPP Program	-	John Donahue
Director, MPP Program	-	Eleni Cortis
Faculty Chair, MPA Programs	-	David King
Director, MPA Programs	-	Emma Heffern
Faculty Chair, MPA/ID Program	-	Lant Pritchett
Director, MPA/ID Program	-	Carol Finney
Director, Doctoral Programs	-	Nicole Tateosian
Director of SLATE (Strengthen Learning and Teaching Excellence)	-	Karen Carroll Bennett
Sr. Associate Dean for Research Policy & Administration	-	Matthew Alper
Associate Dean, Chief Financial Officer	-	Jeita Deng
Associate Dean for Human Resources	-	Beth Banks
Director of Human Resources	-	Pam Cozza
Associate Dean for Diversity, Inclusion and Belonging	-	Robbin Chapman
Associate Dean for Communications & Public Affairs	-	Thoko Moyo

## Research Centers and Programs

### Ash Center for Democratic Governance and Innovation

- Anthony Saich, Director
- Maureen Griffin, Executive Director, Operations
- Tim Glynn Burke, Executive Director, Programs

### Belfer Center for Science and International Affairs

- Ash Carter, Director
- Eric Rosenbach, Co-Director

### Carr Center for Human Rights Policy

- Mathias Risse, Director
- Sushma Raman, Executive Director

### Center for International Development

- Ricardo Hausmann, Director
- Andrea Carranza, Acting Executive Director

### Center for Public Leadership

- David Gergen, Director
- Dana Born, Co-Director
- Barbara Best, Executive Director

### Institute of Politics

- Mark Gearan, Director
- Amy Howell, Executive Director

### Malcolm Wiener Center for Social Policy

- David Ellwood, Director
- Barbara Whalen, Executive Director

### Mossavar-Rahmani Center for Business and Government

- Larry Summers, Director
- John Haigh, Co-Director
- Scott Leland, Executive Director

### Shorenstein Center on Media, Politics and Public Policy

- Nicco Mele, Director
- Setti Warren, Executive Director

### Taubman Center for State and Local Government

- Jeffrey Liebman, Director
- Rafael Carbonell, Executive Director

### Women and Public Policy Program

- Iris Bohnet, Director
- Hannah Riley Bowles, Co-Director
- Victoria Budson, Executive Director

## Useful Names and Numbers

\* All phone numbers begin with 1-617-xxx-xxxx

Harvard University Police Department: 495-1212

Building Services: 495-1306

Urgent Information Line: 495-1033

Human Resources Contact – Ian Dalley: 495-8872

Office of Financial Services Contact – Edna Pierre: 496-8252

Information Technology Assistance - IT Help Desk: 496-3375

## Useful Links

HKS Ombuds Program: [HKS Ombuds Program](#)

Outings and Innings Website: [Outings & Innings](#)  
(For discounts on entertainment, travel, and events)

Commuter Choice Program and Information: [Commuter Choice Program](#)

Harvard Shuttle Bus Information: [Harvard Shuttle Bus Information](#)

MBTA Information (the “T”): [MBTA](#)

Resources on all aspects of relocating to Harvard: [New Employees - Special Resources](#)  
(Schools, Childcare, Housing, Medical, Meeting People)

Harvard University Health Services: [Harvard University Health Services](#)

Athletic Events and Facilities: [GoCrimson](#)

Hotels, Restaurants, Events in and around Harvard Square: [Hotels, Restaurants, Events - Harvard Square](#)

**RIGHTS  
AND  
RESPONSIBILITIES**

## Harvard Kennedy School



# Statement of Rights and Responsibilities

STUDENTS ◻ STAFF ◻ FACULTY

Created December 2000, Updated September 2009

The central functions of an academic community are learning, teaching, research and scholarship. By accepting membership in the university, an individual joins a community ideally characterized by free expression, free inquiry, intellectual honesty, respect for the dignity of others, and openness to constructive change. The rights and responsibilities exercised within the community must be compatible with these qualities. *(From a statement adopted by the President and Fellows of Harvard College, May 2, 1977)*

Students, staff and faculty at the Kennedy School share certain values that inform our work and strengthen our community. We also share, together with the School's administration, the responsibility for ensuring that our institutional culture and individual behaviors reflect these values and responsibilities:

- All members of the community are entitled to respect. All individuals are expected to demonstrate respect, in all their dealings with every other individual at the School, for each person's worth, dignity, and capacity to contribute.
- All members of the Kennedy School community are entitled to work in an environment that is free from threat, harassment, abuse, or discrimination.
- Staff and faculty are entitled to a clean, safe, and adequate workspace.
- All members of the community are entitled to a timely, fair, and meaningful evaluation of their contributions. Students and faculty will be evaluated by standard systems in place. Annual performance evaluations for staff are required and are viewed as a vital tool in the ongoing dialogue between supervisors and staff. The School's administration will regularly review all systems of evaluation.
- All members of the community are entitled to know what is expected of them and to know that other members of the community are equally well informed. Proper training and orientation will be available to all members of the community. Ongoing professional training will be available to further the individual staff member's development and enhance the overall success of the School.
- The School is a professional environment and work should be carried out in a professional manner. Each individual is obliged to minimize the impact of non-professional activities, such as personal phone calls or visitors. It is demeaning to assign fellow members of the community duties unrelated to their jobs. Specifically, staff or students should not be asked to run errands, prepare or deliver food, take on child care duties, or perform other personal services for supervisors or supervisors' family members.



- No student or staff member should be asked by a supervisor to assist in partisan political activity.
- Civil, ongoing communication at all levels contributes to the spirit of a strong community and an effective workplace. In a rapidly changing work environment, consideration should be given to the impact of growth or change on all of the people directly involved, as well as the community at large. The implications of these changes should be discussed openly, with input respectfully solicited from all concerned, within a time frame that allows all comments to be taken seriously and addressed.
- Accountability is essential. The School will maintain and publicize a clear structure to address complaints involving the behavior of staff, students, or faculty. Allegations of improper behavior will be treated seriously and resolved promptly.

# Statement of Rights and Responsibilities Implementation

## PROCESSES FOR HANDLING CONCERNS AND POTENTIAL VIOLATIONS

### Concerns about violations by faculty

- If brought by a member of the staff, such complaints shall first be reported to the Associate Dean for Human Resources, who shall promptly report the complaint to both the Academic Dean and the Dean.
- If brought by a student, such complaints shall first be reported to the Senior Associate Dean for Degree Programs and Student Affairs, who shall promptly report the complaint to both the Academic Dean and the Dean.
- If brought by another member of the faculty, such complaints shall be reported directly to the Academic Dean, who shall promptly report the complaint to the Dean.

*In all complaints about violations on the part of the faculty, the Dean, the Academic Dean, and the Associate Dean for Human Resources shall investigate the complaint and take appropriate action according to the procedures of the School and of Harvard University and in accordance with relevant laws. The action taken shall be promptly reported to the person who first received the complaint, who shall promptly inform the complainant of the action taken.*

### Concerns about violations by staff

- If brought by a member of the faculty or staff, such complaints shall first be reported to the Associate Dean for Human Resources, who shall promptly report the complaint to both the Executive Dean and the Dean.
- If brought by a student, such complaints shall first be reported to the Senior Associate Dean for Degree Programs and Student Affairs, who in all such cases shall promptly report the complaint to both the Executive Dean and the Dean.

*In all complaints about violations on the part of staff, the Dean, the Executive Dean, and the Associate Dean for Human Resources shall investigate the complaint and take appropriate action according to the procedures of the School and of Harvard University and in accordance with relevant laws. The action taken will be promptly reported to the person who first received the complaint, who shall promptly inform the complainant of the action taken.*

### Concerns about violations by students

- Concerns shall first be reported to the Senior Associate Dean for Degree Programs and Student Affairs, who shall, if appropriate, also consult with the Associate Dean for Human Resources. Complaints will be dealt with according to the existing procedures for dealing with student misconduct.

*In all complaints about violations on the part of students, the action taken will be promptly reported to the person who first received the complaint, who shall promptly inform the complainant of the action taken.*

## **Harvard University Statement of Values**

Harvard University aspires to provide education and scholarship of the highest quality—to advance the frontiers of knowledge and to prepare individuals for life, work, and leadership. Achieving these aims depends on the efforts of thousands of faculty, students, and staff across the University. Some of us make our contribution by engaging directly in teaching, learning, and research, others of us, by supporting and enabling those core activities in essential ways. Whatever our individual roles, and wherever we work within Harvard, we owe it to one another to uphold certain basic values of the community. These include:

- Respect for the rights, differences, and dignity of others
- Honesty and integrity in all dealings
- Conscientious pursuit of excellence in one's work
- Accountability for actions and conduct in the workplace

The more we embrace these values in our daily lives, the more we create and sustain an environment of trust, cooperation, lively inquiry, and mutual understanding—and advance a commitment to education and scholarship, which all of us share.

## Harvard Kennedy School Diversity Statement

*The Diversity Statement was accepted in 2005.*

The Harvard Kennedy School is committed to advancing the public interest by training enlightened leaders and solving public problems through world class scholarship and active engagement with practitioners and decision makers. This commitment, we believe, includes training our students to lead effectively across lines of difference.

That mission requires that our faculty, students, and staff be exposed to and understand a broad array of ideas, insights, and cultures. One crucial element involves attracting superlative people from diverse backgrounds and traditions who vary by their race and ethnicity, gender, gender identity, sexual orientation, nationality, religion, physical and mental abilities, political philosophy, and intellectual focus. A second essential ingredient is the creation and maintenance of an atmosphere that welcomes new ideas — even unpopular and controversial ones — and encourages an effective and active exchange of views in an environment of mutual respect.

The Harvard Kennedy School will work affirmatively to recruit a highly diverse group of students, faculty, and staff. It is committed to increasing the numbers of underrepresented minorities, particularly women and people of color. It will work to ensure that our appointments and selection procedures consciously identify and evaluate a people from underrepresented groups. We will also strive to remove sources of unconscious bias.

The School will also develop a curriculum that deals with issues of diversity and encourages students and faculty to talk openly and effectively about difficult and highly charged issues. The School will provide professional support to faculty on how to teach these issues effectively. It will emphasize the powerful benefit of exchange of ideas. The School will seek to enlist students in efforts to make classrooms and classmates more welcoming of the unique ideas and insights that students from different backgrounds and perspectives bring. And it will seek to correct situations where full and open exchange of ideas has been limited.

One of the Kennedy School's greatest assets is its wealth and breadth of talent in the community. The School is committed to doing everything it can to increase that diversity even further and to take full advantage of the opportunities for training enlightened leaders and solving critical public problems.

*Upon entering HKS, each faculty member and visiting fellow receives a copy of the Diversity Statement which is found in the Faculty Handbook. Students also receive a copy located in the "Policies, Procedures, and Survival Tips" Student Handbook. Staff Members receive a copy of the Diversity Statement included with the Statement of Rights and Responsibilities.*

# The Use of Harvard Names and Insignias

(Full policies found at The Office of the Provost, Harvard:

<http://trademark.harvard.edu/policy-on-use-of-harvard-names-and-insignias>

FAQs regarding policies: [http://provost.harvard.edu/policies\\_guidelines/useofname\\_faq.php](http://provost.harvard.edu/policies_guidelines/useofname_faq.php))

Harvard by any other name would perhaps thrive as well, but some uses of Harvard's name by others may not always promote the purposes of the University. All members of the University and the institution as a whole benefit when its name is well used, and suffer when it is ill-used.

The University takes a legitimate interest in the use of its name and insignia for at least three reasons:

**The University and its members have a responsibility to ensure that any implied association with the University is accurate.**

Attaching a Harvard name to an event, project or publication implies a close connection with the University, usually sponsorship or endorsement. For example, such forms as the "Harvard Project on..." or the "Harvard University Guide to..." should be used only when they refer to activities for which the University itself or one of its delegated authorities is accountable. Involvement by individual Harvard faculty, students or staff members is not, by itself, a sufficient basis to title an activity as "Harvard" sponsored. Rather the activity must be one for which the University takes institutional responsibility.

**The University and its members have a responsibility to ensure that the activities with which it is accurately associated maintain standards consistent with its educational purposes.**

In academic endeavors under the supervision and control of University departments, centers, or programs, adherence to these standards is assured through the normal processes of review. In other activities, relevant standards of quality and appropriateness should be established and maintained. Even some projects that satisfy the standards of quality may not appropriately use the University name (for example, partisan political activities or outside ventures carried on by individual faculty, students, or staff members).

**The University and its members have a responsibility to protect its assets by seeking a fair share of the economic value that the use of the Harvard name produces.**

"Harvard University" is one of the most widely known and respected trademarks of any kind. The commercial fruits of this fortunate reputation are largely attributable to the contributions of many generations of faculty, students and staff, and therefore should be allocated for the benefit of the University as a whole. Any use of the Harvard name that may depreciate its long-term value should be avoided.

In accord with these responsibilities, the following standards regulate the use of the Harvard name by schools, units, and individuals within the University, and their use by individuals and institutions outside the University, as authorized.

The use regulated by this policy refers to the identification, statement, or display of Harvard's name in any way that may reasonably be interpreted as implying endorsement, approval or sponsorship by the University or one of its units. Nothing in this policy is intended to discourage fair use of Harvard's name to comment on activities of the University or any of its units.

## I. Standards for Schools and Other University Units

This Part contains the standards for the use of the Harvard name by the University and its Schools and units. Part II contains the standards for the use of the Harvard name by individual members of the University community.

1. A name that refers to the University as a whole may be used to identify an activity only with the approval of officials representing the University as a whole. Specifically,

- a. Schools and units may themselves use, or authorize outside individuals or entities to use, the name of the University as a whole -- e.g., "Harvard," "Harvard University," "President and Fellows of Harvard College," the Veritas shield, or their equivalent -- only with the prior written approval of the Provost, except as described in subparagraph 1(b).<sup>3</sup>
  - b. Approval under subparagraph 1(a) is not required for the following activities:
    - i. Stationery, business cards, and other materials used by the Schools or other units in the ordinary course of business;
    - ii. Official publications of the University (e.g., catalogues and related materials of the University and its various Schools and units, "home pages" on the World Wide Web, and similar electronic publications issued by Schools and other units, and the Harvard Alumni Directory);
    - iii. Journals in printed or digital form published by the University or any of its Schools or units where the University, School or unit involved retains sole editorial control (e.g., the Harvard Business Review and the Harvard Educational Review); and
    - iv. Materials prepared specifically for use in connection with courses conducted by the University (e.g., Harvard Business School Cases).
2. A name that refers to individual Schools or units may be used to identify an activity only with the approval of the responsible authority of the individual School or unit and, in certain cases, the Provost. Specifically,
- a. A School or unit may use, and may authorize outside individuals or entities to use, its own name (e.g., "Harvard Law School") only with the approval of the responsible officer (the Dean in the case of Schools or the Provost in the case of other units), except as described in subparagraph 2(b). All activities in which outside individuals and entities are authorized to use the name of a School or unit should be reported to the Harvard Trademark Program.
  - b. In addition to the approval required under subparagraph 2(a), prior written approval by the Provost is required for the use of the name of any School or unit by any outside individual or entity where the activity involves:
    - i. the sale or distribution, for financial consideration, of a product or service;
    - ii. a financial payment to the University or to any of its Schools or other units; or
    - iii. a fundraising, advertising or promotional effort for any entity other than Harvard University or one or more of its Schools or other units.
  - c. A School or unit should take due care to ensure that its activities do not use names that adversely affect other Schools or units. For example, a project conducted by a School or unit should not bear a name that is confusingly similar to a project carried on by another School or unit.
3. University officials should consider the general criteria of accuracy, appropriateness, and fair value when authorizing the use of the Harvard names under any of the foregoing rules. Specifically, officials should consider the following factors:
- a. whether the association between the University and the activity, product, or publication is accurately represented;
  - b. whether the activity, product, or publication, and the manner in which it is associated with Harvard's name, are appropriate to the University's educational mission; and
  - c. whether satisfactory arrangements have been made concerning the interest (if any) to be held by the University in intellectual property and income resulting from the proposed activity.

## **II. Standards for Faculty, Staff, and Students**

This Part contains the standards for the use of the Harvard name by members of the University community acting in their individual capacities. The standards for use of the Harvard name by the University and its Schools and units are contained in Part I.

1. Faculty members, staff, and students may use or authorize the use of the Harvard name (alone or in conjunction with the name of a specific School or unit) to identify any activity, individual, entity, or publication only with the approval of their Dean or the Provost, except as described below.
2. Faculty members and staff may use the Harvard name to identify themselves (e.g., "Jane Doe, Professor of Economics, Harvard University"). In using or authorizing use of the Harvard name to identify themselves in connection with activities conducted with outside individuals and entities (e.g., authoring a book), faculty and staff members should assure that the Harvard name is used in a manner that does not imply University endorsement or responsibility for the particular activity, product, or publication involved.
3. Students are permitted to use the name of a School or unit only with the approval of the responsible official of each School or unit or, in the case of the use of the name on merchandise, the Harvard Trademark Program.

## **III. Additional Provisions**

1. Supplemental Rules. Schools and units may adopt supplemental rules, consistent with this policy, to govern their own activities. Any such rules should be reported promptly to the Provost.
2. Blanket Permissions. In appropriate cases, permission for ongoing activities requiring approval under this policy may be given by category.
3. Copyright Notices. No approval is necessary to include the terms "President and Fellows of Harvard College" or "Harvard University," in a copyright notice on a work for which copyright is owned by the University. Copyright notices may include either of these terms, but should not include the names of individual Schools or units, since the University as a whole is the legal proprietor of copyright in University-owned works.
4. Trademark Registration. No one may register or authorize the registration of any trade or service mark of Harvard University in the United States or any foreign country without the prior written permission of the Harvard Trademark Program. This requirement applies to both marks of the University as a whole (e.g., "Harvard" and the Veritas shield) and marks of individual Schools and units (e.g., "Harvard Law School" and the Harvard Law School shield), whether or not the mark includes the word "Harvard" (e.g., "Veritas" and "Evening With Champions").
5. Licensing for Merchandise. Any individual, School, or unit that wishes to grant or receive a license for the Harvard name for use on merchandise (such as T-shirts, mugs, calendars, and jewelry) must obtain the prior approval of the Harvard Trademark Program.
6. Use of Harvard Name in Television and Films. Requests from outside entities to include references to Harvard in films, television programs, and similar programs should be referred to the Harvard News Office.

7. Policy on Unauthorized Use by Third Parties. The Harvard Trademark Program and the Office of the General Counsel represent the University's interests in connection with unauthorized uses of Harvard's name by third parties, and will be guided in their actions by the standards embodied in this policy and principles of trademark law.
8. Questions of Interpretation. Questions concerning the interpretation of this policy should be referred to the Harvard Trademark Program via email at [trademark\\_program@harvard.edu](mailto:trademark_program@harvard.edu) or via phone at (617) 495-9513.

### ***Footnotes***

1. This policy uses the term "name" to encompass insignias as well as names, and to refer (unless otherwise indicated) to names and insignias of both the University as a whole (e.g., "Harvard University") and its constituent parts (e.g., "Dumbarton Oaks" and "Harvard School of Public Health").
2. This policy applies to Harvard University, its affiliates and subsidiaries, and to the faculty members, staff members, and students of these entities. As used in this policy, the term "unit" means any department or organization that is part of the University (or one of its affiliates or subsidiaries) but is not part of any School. Examples of "units" include the Harvard University Health Services, the Harvard Institute for International Development, and the Arnold Arboretum.
3. This provision may not apply when "Harvard" is used to describe parts of Harvard College or student organizations of Harvard College or the Graduate School of Arts and Sciences whose names were approved before 1998 (e.g., "The Harvard Foundation" or "Harvard Women's Ice Hockey").
4. In general, students are permitted to identify themselves in publications or other public activities with an accurate, specific affiliation (e.g. "John Doe, LL.M. candidate, Harvard Law School" or "student, Harvard College") so long as this is done in a manner that makes clear they are students and does not imply University endorsement or responsibility for any particular activity, product, or publication involved. (Interpretative note added by Office of the Provost, 5/02).



## Guidelines on Working with the Press

Harvard Kennedy School's Office of Communications and Public Affairs (OCPA) manages the school's publications; coordinates web strategy and manages the HKS home page and associated news pages; and orchestrates media strategies. Our press office works with administrators, faculty, fellows and researchers on several fronts: publicizing important research papers and projects via a variety of print, broadcast and online media; providing faculty support for editing and placement of op-ed pieces; facilitating network television interviews for faculty, fellows and researchers via the School's Television Studio; and leveraging appropriate opportunities to instill Kennedy School voices into the public dialogue. The central Communications office also works collaboratively with communications staff members employed in research centers and programs throughout the school.

To ensure that we continue to project a high-caliber academic image, we ask that you adhere to these guidelines when engaging in public commentary:

- 1) When speaking with journalists about your research, providing commentary on a topic relating to public policy, or authoring a public policy-related op-ed, please note your affiliation with **Harvard Kennedy School**.
- 2) Be selective in fielding press calls that come directly to you or that are referred to you by the Communications and Public Affairs staff. If you do not have a clear expertise on the issue the journalist is inquiring about, we would advise that you not comment. Feel free to refer reporters to the HKS Media Affairs Office (617 495-1115) if they are interested in seeking other sources at the Kennedy School. If calls are erroneously referred to you by the Communications office, please phone or email Thoko Moyo (617-495-1115), [thoko\\_moyo@hks.harvard.edu](mailto:thoko_moyo@hks.harvard.edu) for clarification on your expertise so the unit can more properly refer calls and improve efficiency.
- 3) If you receive a call from a reporter regarding Harvard Kennedy School-wide policy issues such as personnel, budget or other such topics, we ask that you NOT comment but please refer the reporter to our office. We advise that you NOT engage in off-the-record conversations. Even if you trust the reporter, such off-the-record conversations can generate misperceptions that can be problematic. Our office will ensure that any such issues are vetted through the Dean, the Executive Dean, and the Academic Dean before comment is issued.

# On the Record: Working with the Press

*Updated September 2009*

## **Frequently Asked Questions on interacting with journalists**

*Q. Must I agree to an interview on the spot?*

A. No. Simply notify the reporter that this is not the best time for you, but you will have some free time on your schedule later. This will give you more time to prepare for the interview, and will allow you to schedule it at your convenience. Do not hesitate to ask for the questions in advance so that you may prepare adequately. If a reporter hesitates to provide specific questions, you should ask him/her to provide you with an indication of which general areas he/she will explore in the interview.

*Q: How should I identify myself?*

A. Please make sure that you inform the reporter of your Harvard Kennedy School title or affiliation. You may have additional affiliations that are important to that particular story, but it is essential to include your HKS affiliation.

*Q. How much background will the reporter have on the subject of the interview?*

A. It depends on the specific reporter and the publication. Specialty writers, such as science or medical reporters, typically have a strong knowledge base. But a majority of reporters are general assignment reporters who may not have much knowledge of the subject matter. Keep that in mind during the interview, and be prepared to provide critical background information so that the reporter gets the story accurate.

*Q. My work is so complex. How will a reporter be able to understand it in the course of a short interview?*

A. Reporters are trained to find the news in the most trying of circumstances. However, reporters confronted with new and complicated information are often aided by a press release and/or additional background materials. A well-written press release, written in layman's language, provides a reporter sufficient information to conduct an interview more knowledgeably. It is meant as a supplement, not a substitute, for an interview. Whether or not a press release is used, it is a good idea to know how to convey ideas and points of view in words and phrases that the general public will comprehend. Also, feel free to provide the reporter with background materials on the issue at hand. Print reporters especially can utilize the material when preparing their stories. (Be prepared to see the information in print, however.)

*Q. What does "off-the-record" mean, and should I use it?*

A. We generally advise faculty to avoid off-the-record interviews with reporters. If you agree to go "off-the-record," it is journalistic practice that the information you provide will not be attributed to you. However, your words may wind up in print, attributed to an anonymous source. Whether to go off-the-record or not is a judgment call. Use a great deal of caution in making that decision. You are judging the trustworthiness of the reporter when he assures that your name will not surface in the story. Equally important, anonymity in a story does not guarantee that your colleagues will not know who provided a key quote. The nature of the information or the way it is expressed can make it clear to your colleagues and other readers that you were the anonymous source. If that could create problems for you, do not go off the record.

*Q. How can I avoid being misquoted?*

A. Think before you speak, be succinct and to the point in your statement. Repeat the key points that you deliver in order to ensure that those points are articulated in the story. Don't allow yourself to be sidetracked by a reporter's line of questioning if it takes you off point. Return to the key points you are trying to make.

*Q. Can I review the reporter's story before it is published?*

A. Almost always, no. Most reporters observe a professional rule against reading or showing an entire article before it is printed. It sometimes is possible, however, to negotiate with a reporter in advance to allow you to confirm the accuracy of your direct quotes or statements prior to publication.

*Q. What are the most effective strategies for generating press interest for an event?*

A. Please be in touch with the Communications and Public Affairs staff if your goal is to attract media to your event. Some academic conferences will be of interest to the press while others will not. The press office can advise you whether your event is likely to attract media attention, and if so, may be able to provide assistance in publicity efforts. Conferences or other events that are likely to attract national or international press should be coordinated through the press office, in order to help maximize the scope of media coverage.

These are important reminders that will help facilitate the planning and execution of events that may interest journalists:

- Notify the press office early in the planning process so that we can work with you to create a realistic press strategy and provide reporters sufficient lead-time.
- Notify participants that the event is on the record and open for journalists.
- If it is not possible to keep your entire event open to the press, set aside one or two sessions that the press can attend and report.
- Make available key speakers and program directors for interviews and comment.
- Create media packets that will provide reporters with background materials on the event, conference sessions, speakers, issue-oriented white papers, etc.
- If your event does elicit attention from videographers, please work with OCPA and Media Services to ensure they are properly accommodated.

For further information, contact the Office of Communications and Public Affairs:

Thoko Moyo, Associate Dean for Communications & Public Affairs: [thoko\\_moyo@hks.harvard.edu](mailto:thoko_moyo@hks.harvard.edu)

Gail Chalef, Director of Strategic Communications & External Affairs: [gail\\_chalef@hks.harvard.edu](mailto:gail_chalef@hks.harvard.edu)

## **Conflict of Interest Policy**

### **Harvard University Policy on Individual Financial Conflicts of Interest for Persons Holding Faculty and Teaching Appointments**

*As approved by the President and Fellows of Harvard College on May 26, 2010 and incorporating amendments as approved by the Presidents and Fellows on May 23, 2012.*

### **HKS Implementation Plan of the University Policy “Transparent Engagement”**

### **Harvard Kennedy School Policy on Reporting Outside Professional Activities and Financial Interests and HKS Implementation Plan for Harvard University Individual Financial Conflict of Interest**

## **Policy on Politics and Political Activity**

Membership in the Kennedy School community in no way diminishes our rights as citizens to participate in the political process. We do have a special obligation to distinguish between our roles and identities as citizens on the one hand and our roles and identities as individuals associated with this academic institution on the other. It is important that the Kennedy School community is, and is perceived to be, objective and well above the political fray.

As a matter of policy, the School endorses no candidate and favors no party. Making this our practice as well – actual or perceived – requires constant vigilance from us all. The School must not make available for political purposes any of its resources, including facilities, materials, and the paid time of its personnel. Accordingly, all political activities in which any of us choose to be engaged must be entirely voluntary and conducted on our own time. Moreover, full reimbursement must be made for any costs incurred by the School (e.g., for photocopying and long-distance calls).

As a professional community, we are our own first line of defense. The School's reputation rests upon the judgments each of us exercises. To help you decide whether some particular politically-related activity is permissible, you might ask yourself questions such as these:

- Are all of the people participating in this politically-related activity at the School doing so of their own free choice, without any concern that their reticence or refusal to do so could in some sense be “counted against” them?
- How would you feel if others in the School were performing the same or similar functions on behalf of an opposing candidate or party?
- How could a newspaper story revealing (and perhaps embellishing) the activity reflect upon the School, the candidate, and you?
- If you are engaged in politically-related activities, might it be appropriate for you to discuss those activities with your colleagues or students and assure them that you respect and are prepared to defend their rights to opposing political viewpoints and corresponding activities?

If, after careful deliberation, you are uncertain as to the propriety of the activity under consideration, seek a second opinion from one of your colleagues (including the Executive Dean, Academic Dean, Academic Dean for Teaching and Curriculum, or the Dean). And if the doubt persists, err on the side of not engaging in the activity.

## **Collaborations with Other Institutions**

With some frequency the School, its faculty, or its various units have the opportunity to enter into a partnership or other form of collaboration with an institution outside of the School. Sometimes this may be another university, sometimes it may be a foundation or other non-profit organization, sometimes it may be a corporation, sometimes it may be a unit of government, and sometimes it may be an individual. Although such collaborative enterprises are in general encouraged, and are often an effective way of furthering the School's mission, they do create a potential for problems or misunderstandings. As a result, all proposed partnerships other than routine co-authoring of books, articles, and reports, must be approved by the Academic Dean in advance. In determining whether to approve a proposed partnership, the following factors are likely to be important.

1. Use of the Harvard name, especially if not used in immediate proximity with the Kennedy School name, requires University approval.
2. The partnership or collaboration cannot be such that the proposed partner, or a board of directors external to the School, has ultimate control over the nature and substance of the project. The overriding concern is that individuals or institutions external to the School and to Harvard not be in a position to speak for the School or University, or to create the impression that they are doing so.
3. Use of the Kennedy School or Harvard names for the advocacy of particular causes, especially when it is perceived as partisan advocacy, can be especially problematic.
4. Any partnership or collaboration must have a Cambridge-based faculty member or administrator as the Principal Investigator or equivalent, and that person must be an active and major participant in the project.
5. All arrangements must be consistent with Harvard policies and procedures regarding staffing, payroll, and other administrative matters.
6. All financial understandings and contingencies must be detailed in advance.
7. Appropriate arrangements must be made regarding space for the project's activities.

# **Principles Governing Commercial Activities**

## **Principles Governing Commercial Activities of Harvard University, with application to Partnerships between the University and Outside Organizations**

*As Approved by the Corporation on September 17, 2001*

### **Summary**

The statement of principles was developed in light of increasing opportunities for the University to enter into a wide range of joint projects with outside entities. This final version also clarifies that the same principles should be kept in mind when parts of the University undertake commercial activities even without an outside partner. Highlights include:

- Educational and research activities of Harvard should be motivated, and be perceived to be motivated, by the pursuit of knowledge, and not financial reward.
- Any agreement with an outside entity or other commercial activity should be structured to protect basic values of the University, such as freedom and openness of inquiry.
- Educational activities of the university, including student services, should be free from intrusive commercial aspects (e.g. advertisements on "Harvard.edu" are prohibited).
- Exclusive agreements and agreements which involve holding equity in an outside entity will raise special concerns.
- Proposed partnerships with an outside entity and other similar arrangements involving a substantial commercial element must be approved in advance by the Provost or President, and in some cases, the Corporation. The Provost's Office is available for early consultation and assistance.

The entire policy may be found on the Office of the Provost website:  
<http://provost.harvard.edu/principles-governing-commercial-activities>

### **Harvard Privacy, Access, Confidentiality, and System Security**

Access to and use of Harvard's computer systems, telecommunications and network connectivity are provided to members of the Harvard community to assist in fulfilling the education, research and service missions of the University. Harvard's technology resources include e-mail, telephone, voice mail, computer hardware and software, Internet access and the campus computer network. All University-purchased technology resources and their components or peripheral parts are the property of Harvard University. Access to such resources is limited to authorized users and is for approved purposes only. Users may not install peripherals or software they purchase with their own money on University owned computers or use their own computers on Harvard networks without the specific permission of their supervisor. All users have the responsibility to use those resources in an efficient, ethical, and legal manner. This policy is not intended to limit use of technology for scholarship, research, instruction or other academic pursuit, consistent with the rules and regulations of the respective Faculties and applicable laws.

### **Harvard University Electronic Communication and Responsible Use**

Harvard neither sanctions nor censors individual expression of opinion on its systems. The same standards of behavior, however, are expected in the use of electronic mail as in the use of telephones and written and oral communication. Therefore electronic mail, like telephone messages, must be neither obscene nor harassing. Similarly, messages must not misrepresent the identity of the sender and should not be sent as chain letters or broadcast indiscriminately to large numbers of individuals. This prohibition includes unauthorized mass electronic mailings. For example, E-Mail on a given topic that is sent to large numbers of recipients should in general be directed only to those who have indicated a willingness to receive such E-Mail.

## **HKS IT Services Responsible Use**

(IT Services homepage: <https://knet.hks.harvard.edu/Administration/Information-Technology/Pages/default.aspx>)

In addition to the standards of behavior addressed above, HKS IT Services enforces the following:

- Only work related documents should be stored on HKS servers (personal files may be stored on local hard drives).
- All confidential, financial, and HR data should be stored on a special secure server with limited access.
- Access to secure data must be approved by supervisors or owner of data.
- Large unauthorized mass electronic mailings are prohibited. These mass mailings are considered spam.

### **Software**

- Only properly licensed software may be installed on HKS computers.
- Care should be taken in downloading and installing free software on HKS computers as it may compromise your system and the network.
- Illegal software will be deleted by network administration at their discretion. The network must not be used for downloading copyrighted data such as MP3 files and application executables.
- ITS Staff must be consulted with before designing a database or buying software to insure compatibility and conformity with network standards. Contact Mark Bourne for more information.

### **Hardware**

- ITS staff should be consulted with before purchasing school computers and printers to insure compatibility and conformity with network standards. Dell is the preferred vendor for HKS computers and small servers, and HP is the preferred vendor for HKS printers.
- It is prohibited to connect any physical network components such as servers, hubs, routers etc. to the HKS network without authorization from the IT Department.
- When staff members leave HKS, all HKS hardware, software and manuals must remain at HKS as they are the property of HKS.

### **Security**

- All requests for exceptions to standard security practices must go to the Director of IT Services.
- IT reserves the right to disconnect any server from the network if the server is, or threatening to, compromise the HKS network.
- IT reserves the right to disconnect any connection from the network if the connection is, or threatening to, compromise the HKS network for reasons of hacking, interfering scripts, or any other unauthorized security or performance compromise.



**RESEARCH  
POLICIES  
AND  
GUIDELINES**

## **Introduction**

Being affiliated with Harvard University and HKS carries with it the responsibility to comply with a number of university policies. In many cases, these policies may differ from common practice in the for-profit sector, or even from practice in other academic institutions. We have reprinted several of the most commonly implicated policies below. In very broad terms, it is important that you are aware that university policies and specific guidelines may come into play any time you.

- (a) use “Harvard” or “Harvard Kennedy School” to identify your work
- (b) want to develop collaborations with outside organizations, particularly for-profit organizations
- (c) are involved in work with an outside organization that relates to your HKS work
- (d) use any HKS resources of any sort ( staff; materials; access; etc.) to carry out non-HKS activities
- (e) engage in fundraising

We are happy to help explore the implications of any of these for you, and urge you to seek guidance from the appropriate HKS administrative office as early as possible to ensure that your projects progress smoothly.

## **Research Standards**

Internal and external peers and colleagues working in relevant topic areas are the primary sources of oversight by which standards of quality are brought to bear on the articles, manuscripts, and other specific scholarly projects of Kennedy School faculty and affiliated scholars. Faculty and other researchers are encouraged to publish and distribute their work to other interested scholars, and to participate in the conferences, symposia, and seminars that typically constitute the communities of interested peers and colleagues. Research productivity – particularly as reflected in the originality of insights, relevance to the broadly-defined field of public policy, and intellectual contributions to appropriate communities of fellow intellectuals – is an important consideration in promotion and related school decisions. The Area Chairs and Academic Dean in conjunction with other members of the senior faculty, provide consultation regarding expectations of research productivity.

## **Research Support and Administration**

A substantial proportion of the School’s scholarship is supported by external sources. Research that is so funded– whatever the source and whatever the objective – is of necessity subject to certain Harvard University regulations and guidelines. These are required to enable the University to meet the legal and fiduciary responsibilities that come with accepting external funding. In addition, the University and the various schools have legitimate interests in overseeing non-financial aspects of research in such areas as intellectual property rights, the protection of human subjects, the avoidance of conflicts of interest, and the protection of academic freedom.

To these ends, the University and the School have implemented procedures for the review and approval of both proposals and awards for external sponsored research.

### **Proposals for External Support: Review, Approval and Submission Process**

The Kennedy School is not a legally incorporated entity and only Harvard University’s Office of Sponsored Programs (OSP) can commit the HKS to the terms and conditions of a grant or contract. Faculty may not accept grants or contracts on behalf of the Kennedy School or Harvard University without prior written approval of the Academic Dean and the Sr. Associate Dean for Research Policy and Administration.

The Sr. Associate Dean for Research Policy and Administration and the HKS Research Administration Office manage the review and approval process for all externally funded grant and contract proposals. They:

- review proposals and accompanying budgets for compliance with all HKS and Harvard University policies and procedures;
- obtain required approvals from the Academic Dean;

- guide the proposals through the Kennedy School's Faculty Committee on Projects and Proposals (FCOPP) for assessment of risk management concerns (for more details, see below); and,
- work with faculty, staff and Harvard's Office for Sponsored Programs (OSP) to resolve any issues before a proposal is submitted to a sponsor.

OSP submits the formal proposal, as it is the only office authorized to submit research proposals to external sponsors on behalf of the University and its faculty members.

### **Principal Investigators**

Every external proposal must have a principal investigator. This person (or persons) must signify their willingness to undertake direct, active responsibility for seeing that the proposed work is carried out according to the terms, conditions, and policies of both the sponsor and the University. The principal investigator must be centrally engaged in a project in ways that are reflected in the proposal budget as well as proposed activities. Only individuals with full-time Harvard faculty appointments or others explicitly designated by the Dean may serve as principal investigators.

### **Kennedy School Research Administration Office**

In addition to reviewing proposals for external support, the HKS Research Administration Office maintains a KNet (intranet) website that provides comprehensive information on research policies and procedures at the Kennedy School and Harvard University. The website contains links to required forms, a flowchart guide for processing research proposals at HKS, funding opportunity information, and a Frequently Asked Questions document covering a wide range of related issues. Information is also provided regarding review by the *Gifts Proposal Advisory Committee* (GPAC) of selected gift opportunities that are intended to support research activities across the School. *See the following URL (HKS login required):*

<https://knet.hks.harvard.edu/Administration/Research-Administration/Pages/default.aspx>

## **PRINCIPLES GOVERNING RESEARCH AT HARVARD**

The HKS Research Administration Office review of proposals is intended to ensure that proposals follow standard Harvard policies, which are summarized below:

Any research agreement between the University and an external sponsor must have obtained some form of sanction in advance. The purpose of this sanction is to insure that the research conforms to the administrative and fiscal policies of the University, and to the present principles, and that it does not conflict with the rights of other scholars in the University, nor with other University commitments.

Ordinarily, research proposals between the University and an external sponsor are reviewed by relevant department chairs, the Dean of the Faculty, and the Office for Sponsored Programs. The final research agreement must be accepted by the President and Fellows of Harvard College. The scholarly judgment of the principal investigator is not reviewed and political criteria are not considered. Factors pertinent to department and decanal review include:

1. Availability and equitable allocation of space and facilities among faculty members and students in the department;
2. Commitments, explicit or implied, on the unrestricted funds available to the department or to the Faculty as a whole;
3. Commitments to personnel that are inconsistent with the general practices of the University, commitments of longer duration than the term of appointment of the principal investigator, etc.;
4. Inclusion in the budget of all costs legitimately chargeable to the project, such as fringe benefits, indirect costs, computer time, etc.;

5. Aspects that may require additional expert review, such as experiments with human subjects (including survey and other social science research); and
6. Ethical issues at variance with law or generally accepted academic practice, potential conflicts of interest, etc.

Review by the Office for Sponsored Programs is intended to insure that the legal and fiscal interests of the University are protected and that detailed contract provisions involving patents and copyrights, restrictions on publication, external control over hiring practices, etc., conform with those previously considered acceptable by the University.

1. The source of sponsorship and the purpose of the research must be of such a nature that they can be publicly disclosed. Ordinarily, every sponsor who is supporting or has supported a research project shall be identified in every publication reporting on that research.
2. The University will not undertake to grant any special or exclusive information to a research sponsor, nor will it accept research that carries security classification, requires security clearance of University personnel, or otherwise precludes general publication of results. Participants in research projects shall be selected by principal investigators in accordance with University policy based on scholarly and professional criteria. Research agreements may neither bar nor give sponsors the option to bar specific individuals or groups.
3. All research projects must be undertaken with the clear understanding that the investigators concerned have the full right to publish any results obtained by them, subject only to established safeguards for the protection of privacy or confidentiality of personal data.
4. Any results obtained and any papers published or lectures given by investigators on research projects are the sole responsibility of the investigator concerned, and Harvard provides no institutional endorsement of the work or of the sponsor.
5. All research on human subjects should follow the safeguards established by the University for such work.

# Procedures for Responding to Allegations of Misconduct in Research

*Note: that this policy is adapted from FAS policy. The wording has been modified to reflect the Kennedy School's administrative structure.*

In order to protect the integrity of the research enterprises of the faculty, allegations of misconduct in research will be treated with the utmost seriousness. The procedures outlined below are intended to respond to allegations brought against faculty members holding teaching or research appointments.

Because of variations in such factors as the type and seriousness of alleged misconduct, the course of action that will enable the Dean to fulfill his obligations most thoroughly and equitably may vary somewhat from case to case. Accordingly, the procedures described below are designed to provide a framework for careful and thorough investigation of allegations in a variety of circumstances. Issues that do not relate to the integrity of research methods or practices or the reporting of research are outside the scope of this policy. In instances in which allegations are made against individuals holding appointments in more than one Harvard faculty, the Deans of the respective faculties shall together determine which faculty shall investigate the allegations.

## Procedures

The Dean has principal responsibility for determining a proper response to allegations of misconduct in research. All allegations of misconduct in research, should be brought to the attention of the Dean unless they are frivolous or otherwise lacking in substance.

Upon receiving an allegation of misconduct in research, the Dean will take such action as he or she deems appropriate. An Investigating Committee may be formed. The Investigating Committee may be chaired by the Academic Dean or by another individual designated by the Dean in consultation with the Academic Dean. The Investigating Committee will ordinarily include members of the tenured faculty. The Investigating Committee may also include other members chosen by the Dean.

In the investigation of the facts, the Investigating Committee will develop its own rules for the process of investigation, providing for the orderly and careful consideration of the facts bearing on the case. In devising procedures appropriate to the circumstances, the Investigating Committee will ensure the right of the parties involved to appear before the Investigating Committee.

After such proceedings and deliberations as it deems appropriate, the Investigating Committee shall prepare a report for the Dean. Before submission to the Dean, the report shall be offered to the accused party or parties for review, and any corrections or responses supplied by the accused shall be included in or appended to the report.

If the Dean wishes more information, he or she may request further assistance from the Investigating Committee or from others within and outside the faculty. The Dean shall decide the matter and take whatever action he or she believes justified. The final action by the Dean completes the procedure.

The Office of the Dean shall maintain records of any proceedings brought hereunder.

The Dean and those who assist him or her in the procedure outlined above shall bear in mind these several considerations:

1. The importance of thoroughness, fairness and objectivity.
2. The importance of protecting the reputations of individuals and to that end maintaining confidentiality to the extent appropriate and to the extent consistent with other obligations of the faculty.
3. The need to protect the rights of the person alleged to have engaged in misconduct, including the right to be informed with specificity at the appropriate time of the allegations and the evidence in support of the allegations, and the right to be informed of the procedures to be followed.

4. The importance of using the staff resources of the faculty and the University to aid in any inquiry and of broadening the scope of any inquiry, when indicated, to make certain that the full obligations of the faculty are met.
5. The importance of informing and consulting with officers of affiliated institutions and of other private and public institutions and agencies sponsoring the research in question so as to meet in good faith the obligations of the faculty to others.
6. The need to inform the President of the University when allegations may constitute grave misconduct under the Third Statute of the University<sup>1</sup> and to ensure that resolution of the matter proceeds with that possibility in mind.

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<sup>1</sup> Officers of the University are presently subject to disciplinary procedures if they violate the Third Statute of the University, which forbids "gross misconduct or neglect of duty."

## Research participant (“human subjects”) protection issues at Harvard Kennedy School and Harvard University

Under relevant federal regulations, “**Research**” means a systematic investigation, including hypothesis development, testing and evaluation, designed to develop or contribute to generalizable knowledge. “**Human subject**” means a living individual *about whom* an investigator (whether professional or student) conducting research obtains Data through intervention or interaction with the individual, or obtains Identifiable private information.

Harvard University’s *Committee on the Use of Human Subjects in Research (CUHS)*, the University’s *Institutional Review Board*, or “IRB,” has jurisdiction to review any/all HKS research projects involving Human Subjects. All faculty, research fellow, visiting scholar, post-doctoral and doctoral student-led research projects involving human subjects, *that are determined not to be exempt from review*, must apply for approval to the Harvard IRB.

Selected types of research that may be considered **exempt** from formal IRB review and approval (illustrative examples only):

- General survey and interview research **may** be considered exempt from review if research participants are competent adults, no identifiers are recorded with or linked to data, and the survey doesn't deal with "sensitive" topics (see below).
- Written and oral surveys/questionnaires or interviews conducted with corporate, government, social, or religious officials, or other "public" figures **may** be exempt from further review if the surveys or interviews involve elected or appointed public officials or candidates for public office; or if the surveys or interviews involve professionals or other officials and the research does not deal with "sensitive" topics related to the subjects' own behavior.
- Observation research **may** be exempt from further review, where the investigator does not interact with subjects or manipulate their behavior, where the observation takes place in a public location, and subjects' identities are not recorded or otherwise linked to data.
- Reviews of existing records **may** be exempt from further review when the data are already collected by another investigator or agency for research or other purposes, which are to be studied again or reanalyzed, where all individual identifiers have been removed or where the data are publicly available (e.g., certain census data).

Under federal and University regulations, the research investigator is not permitted to determine independently whether his/her new research activity is exempt from human subjects review. Following appropriate consultation, if a research project is determined to be exempt from further review, it is the investigator’s responsibility to consult with the faculty sponsor, the HKS Research Administration Office (RAO), or the IRB should any procedures or other circumstances change once the project has begun, that might implicate the protection of human subjects.

*Note regarding non-Harvard PhD students whose primary activity while at HKS is to work towards completion of a dissertation and doctorate degree to be granted by a university other than Harvard:* In most circumstances, review and approval by the Harvard IRB will **not** be necessary, provided that a) the degree granting university’s IRB has reviewed and approved the relevant research protocol (as applicable), and b) all research activities and related data analysis involving human subjects conducted while at HKS are consistent with the research design and human subject protocol approved at the student’s home institution. Please consult with the HKS Research Administration Office with any questions.

Certain investigators may be required to complete an online human subjects tutorial that the University offers in partnership with the *Collaborative Institutional Training Initiative (CITI)* – see *Other Resources* below. In consultation with the faculty sponsor, and/or the IRB staff, an investigator would then proceed

with the project as planned, or get advice on adjustments to the research plan that would remove any remaining potential human subjects concerns.

***Elements to consider in research design and planning:***

The types of potential harm to subjects that can arise from clinical or biomedical research are obvious (e.g., in new pharmaceutical or device investigations, blood or tissue sampling, etc.). In the social sciences, with surveys, interviews, focus groups or other field work, one might be concerned about putting research participants at incremental social, psychological, reputational, financial, employment, or legal risk, as a result of their participation in a research project, if confidential research data were to leak outside of the research context.

If data are to be collected that should be kept confidential, usually because they are *individually identifiable and potentially sensitive*, the investigator will need a careful plan to protect confidentiality, including when and how the data will be used and when identifiable data will be destroyed. This will also apply if tape recorders or other devices are used in interviews.

As part of an *Informed Consent* process, all research subjects should be provided with a clear statement of the purpose of the research, what they will be asked to do, any potential risks or benefits to their participation, how the data will be used, and how confidentiality will be protected, as applicable. In many cases, informed consent must be documented with signatures in writing; in other cases, a written informed consent requirement can be waived.

Federal regulations allow for waiving or altering informed consent procedures if (1) The research involves no more than minimal risk to the subjects; (2) The waiver or alteration will not adversely affect the rights and welfare of the subjects; (3) The research could not practicably be carried out without the waiver or alteration; and (4) Whenever appropriate, the subjects will be provided with additional pertinent information after participation (debriefing).

It is important to stress to all subjects that participation in any research project is completely voluntary, and that they are free to decline to participate or quit at any time, *with no penalty* – for instance, no change in access or benefits from a particular organization or program to which they would otherwise be entitled (for example, from a school, clinic, or social service agency).

For certain projects, it might be important to consider issues of political sensitivity, the degree of potential government scrutiny or interest, freedom of the press, personal health and safety concerns (for both the researcher and the subjects), and the potential need for translation services.

If a research project involves interviewing or otherwise engaging populations that are not free or able to give fully informed consent – children, inmates, institutionalized patients, for instance – the investigator would need to get formal IRB approval.

***Summary Points to Consider***

- Each research project must have a faculty sponsor who has reviewed the research plan and is prepared to sign an IRB application for review and approval, if required.
- Consider the potential “risks” broadly in the research design.
- If potentially sensitive, individually identifiable data are to be collected, carefully map out plans for protecting and eventually destroying those data. This may be particularly important in certain international settings.
- Draft a comprehensive informed consent document (may be written, or in some cases, a verbal project description ‘script’ can be used). Samples are available on the CUHS website.
- Leave plenty of time. Seek advice, *in advance*, on whether the research project will need formal IRB review and approval, or may be considered exempt from further review. Evidence of completion of an online training program may be required before IRB approval can be finalized.



### ***Other Resources***

For general questions or guidance:

- Your HKS faculty research sponsor or supervisor
- HKS Sr. Associate Dean for Research Policy and Administration, Matthew Alper ([matthew\\_alper@hks.harvard.edu](mailto:matthew_alper@hks.harvard.edu))

HKS Research Administration Office <https://knet.hks.harvard.edu/Administration/Research-Administration/Pages/default.aspx>

For formal consultation, protocol review and approval, required forms, online training, and other resources:

- Harvard University's *Committee on the Use of Human Subjects in Research (CUHS)*: [cuhs@fas.harvard.edu](mailto:cuhs@fas.harvard.edu) and on the web at [http://www.fas.harvard.edu/~research/hum\\_sub/index.html](http://www.fas.harvard.edu/~research/hum_sub/index.html)
- *Collaborative Institutional Training Initiative (CITI)* – online human subjects training <https://www.citiprogram.org/default.asp>

## **Harvard Research Data Security Policy (HRDSP) The use and categorization of research information at Harvard**

The office of the University Technology Security Officer (UTSO), working with the Vice Provost for Research, the IRBs, Risk Management and Audit Services, and the Office of the General Counsel, has established information security categories (see levels below) and accompanying measures to protect research information at the University. Implementation of this policy will be carried out by the IRBs and the information security officers of the researchers' Schools [HKS].

In addition to the standard requirements for IRB review and approval (or exemption determination) for data involving human subjects, research information (datasets) originating from non-Harvard sources is often accompanied by a data use agreement that defines limitations and/or protection requirements for the information (e.g., from the Department of Education, the US Census Bureau, or the Department of Justice). Harvard personnel working with such data must, at a minimum, comply with the use limits and protection requirements in such agreements. If confidential information is subject to security requirements specified in a data use agreement, grant, or contract, those requirements must be met (e.g., data may be stored only on a standalone computer *not* connected to a network, and the original source media - CD, thumb drive, etc. – must be kept in a locked file cabinet in a secure office).

Note that individual researchers (faculty, staff, or fellows) do not have the authority to sign a data use agreement on behalf of the University. Only specifically authorized officers may sign such agreements, even when the agreements do not include any transfer of funds. For HKS, the authorized office is the University's Office for Sponsored Programs (OSP). Contact [Charlene\\_Arzigian@hks.harvard.edu](mailto:Charlene_Arzigian@hks.harvard.edu) with questions.

Harvard researchers may also work with sensitive information that does not necessarily relate to human subjects. Such data might include proprietary information subject to confidentiality requirements, or information with national security implications. Researchers should consult with their research center or program, the HKS IT department ([sduncan@hks.harvard.edu](mailto:sduncan@hks.harvard.edu)), and the HKS Research Administration Office ([matthew\\_alper@hks.harvard.edu](mailto:matthew_alper@hks.harvard.edu)) for assistance in determining the proper categorization and associated data handling procedures in each case, or for any other questions related to this policy.

*Level 5 - Extremely sensitive information about individually identifiable people*

*Level 4 - Very sensitive information about individually identifiable people*

*Level 3 - Sensitive information about individually identifiable people*

*Level 2 - Benign information about individually identifiable people*

## **Export Control [EC] Regulations**

The US Departments of Commerce, State, and Treasury administer the primary controls on exports of goods, commodities, *and information*. The Department of Commerce regulates the export of items and information that have civil applications, the Department of State regulates the export of items that have military applications or that relate to space, and the Department of the Treasury enforces country-specific embargoes and financial sanctions on individuals, organizations and countries. In certain circumstances, these agencies may require the University to secure a license before any items or information is exported to another country or shared with a foreign national.

For more detailed information, see the relevant webpage from the Harvard University *Office of the Vice Provost for Research*, at: <http://provost.harvard.edu/pages/policies>

It is **not** a necessary precondition that one conducts research in areas of national or international security, or engages in work involving sensitive technology or technical assistance, in order to become unknowingly ensnared in a potential export control related conflict. Traveling to certain countries and talking with international colleagues at a scientific conference (particularly involving unpublished research data), carrying a laptop computer or GPS device, or incurring expenses while on such trips for anything other than transportation, food, or lodging, could each become an issue in certain country contexts.

In most cases at HKS, EC-related questions concern *foreign travel*. A suggested approach would be to ask the following questions.

- Where is the traveler going (i.e., embargoed country, Y/N)?
- Who might they meet with, directly or indirectly (so-called 'blocked' persons or organizations, Y/N)?
- What will they discuss (research in the public domain - published or pending publication, or related to 'controlled' technology or technical assistance)?

In each case, if the HKS program staff can confirm that the traveler is not visiting an embargoed country, that the substance of the work is in the public domain (usually indicated by an intention to publish with no restrictions) or does not otherwise engage controlled technology or technical assistance, and that none of the traveler's contacts will be w/ blocked persons ("specially designated nationals") or organizations, then in all likelihood no export control license will be required.

The consequences of non-compliance with EC regulations are serious, both for the institution and for the individual involved. Advance consultation is very important. For questions, consult your Center/Program director, or email [carrie\\_kachoria@hks.harvard.edu](mailto:carrie_kachoria@hks.harvard.edu).

## PeopleSoft Self Service Features

This document contains information about how to use self-service features in PeopleSoft.

To log into PeopleSoft you must first log into the University intranet, HARVie, by going to [www.hr.harvard.edu](http://www.hr.harvard.edu) and entering your HarvardKey. Once in HARVie, log into PeopleSoft using the 'PeopleSoft Access' link on the top right-hand side of the screen. Log into PeopleSoft using your HarvardKey.

In addition to the instructions here, you may view interactive simulations for these functions via the [Harvard Training Portal](#).

### **Self-Service Features**

- A. **Paychecks**
- B. **Compensation History**
- C. **Benefits Information**
- D. **Personal Data**
- E. **Emergency Contact Information**
- F. **Direct Deposit**
- G. **W-4 Tax Information**

#### **A. Paychecks**

##### **View Paychecks**

Go to: Home > Self Service > My Pay

- To print the check, click on the Check Date and select File-Print

#### **B. Compensation History**

##### **View Compensation History**

See your salary history at different points in time...

Go to: Home > Self Service > My Pay > Compensation History

-The 'date of change' column lists the date that the compensation change went into effect. Here you will see any pay changes for annual salary increases, promotions etc. By clicking on the date, you will get more detailed information.

#### **C. Benefits Information**

##### **View Current Benefit Selections**

Go to: Home > Self Service > My Benefits > Benefits Summary

#### **D. Personal Data**

##### **View Personal Information**

Go to: Home > Self Service > My Personal Details

##### **Update Home Address**

Note: You should only update your home address. Do not update your office address.

Go to: Home > Self Service > My Personal Details > Addresses

- Click on the Home Address
- Enter the “Change As of” date
- Enter your new home address
- Save the form
- At the confirmation page where it says ‘The Save Was Successful’ click OK

Note:

### **Student employees**

Harvard student employees may not update their address this way.

If the employee is a registered Harvard student and attempts to change his/her home address, the following message will appear: *You are currently registered as a Harvard Student. Please contact your local Registrar’s Office or the Student Receivables Office (556 Smith Campus Center, 495-2739) to update your personal information.*

Changes made in the Student Information System will automatically update PeopleSoft.

### **Impact on benefits**

If the zip code (postal code) changes employees’ eligibility and makes them ineligible for their existing health plan, their coverage will **terminate** on the effective date of the home address change. Employees will receive an enrollment packet with the newly eligible health plans and will have thirty days from the effective date of the home address change to make new benefit elections. Employees will be able to make changes to their elections online. Generally, this affects employees who are moving in or out of Massachusetts.

### **E. Emergency Contact Information**

You may view, add, update and delete emergency contact information via PeopleSoft. Even if you have given HR a paper copy of this information, you should still go here and enter this data online. Whenever your contact data changes, you should go to this screen and make updates.

Go to: Home > Self Service > My Personal Details > Emergency Contacts

- Click the + icon
- Enter contact name
- Enter contact relationship to employee  
The “Relationship to Employee” dropdown menu will default to “Other.” Please be sure to select a relationship that is not “Other” (for example, “Spouse” or “Neighbor”). It is helpful for the person placing a call to know with whom they are speaking.
- Select “Preferred” if this contact should be the 1<sup>st</sup> person contact in case of emergency
- Add the Address of the Contact  
If you check the box labeled “Check here if this contact has the same address/ phone number as the employee” and the employee moves at a future date, there is no need to update the emergency contact address. It will be updated automatically to reflect the employee’s new address in PeopleSoft.
- Add telephone numbers  
Be sure to enter a telephone number where the emergency contact can easily be reached. To be safe, you might want to enter more than one phone number (click the **Add a Phone Number** button).
- Click “Save”
- At the next screen where it says ‘The Save Was Successful’, click OK

Note: **Preferred contact**- If the employee has only one emergency contact, the contact is automatically set to primary. The record cannot be deleted unless a new emergency contact is entered in PeopleSoft.

### **F. Direct Deposit**

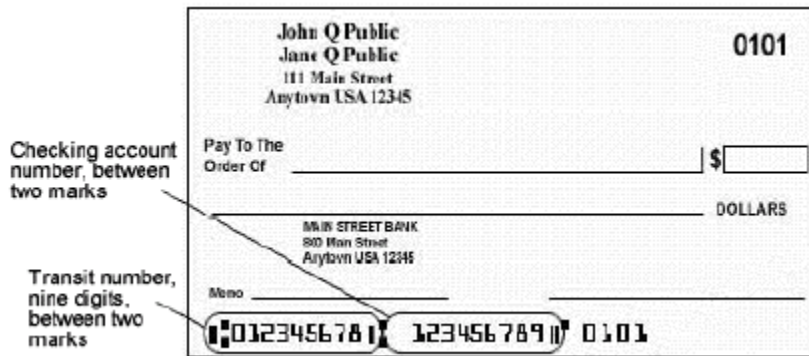
Go to: Home > Self Service > Paychecks > Direct Deposit

-Here you will see your current direct deposit account(s).

To add another account:

- Click on 'Add Account'
- Enter appropriate bank information
  - Select savings or checking account
  - Enter the transit number/bank id

The transit number is the first 9 digits on the bottom left hand side of the check. (Many savings account deposit slips do not contain a 9-digit bank transit number. If you are trying to deposit to a savings account and there is no transit number on your deposit slip, please contact your financial institution to verify their transit number (also referred to as a "routing number" or "ABA number").



- Enter the account number
- Select whether the deposit type is a dollar amount or percentage of your paycheck
- Select the dollar amount or percent that you want deposited into the account
- Assign direct deposits a "deposit order". (The lowest priority number will be taken first.)
- Click "Save"
- At the next screen where it says 'The Save Was Successful', click OK

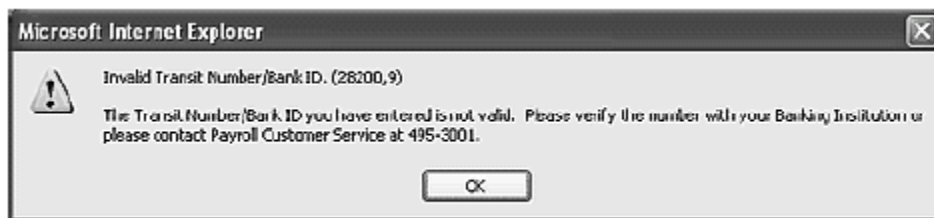
Note:

**Confirm bank name**

After entering the transit number, make sure that your bank's name appears on the screen correctly.

**Invalid transit number**

If you enter an invalid transit number, you will see this error message:



**Pre-note to test a new / updated direct deposit**

If you create a new direct deposit or change the transit or account number of an existing one, a pre-note will be generated. A pre-note is a "test transfer" to the bank account to ensure that everything is working correctly. This may delay your new direct deposit instruction by one or two pay periods. During the pre-note time, you may receive a paper check.

### Pay advice print option

By selecting the box at the bottom of the *Direct Deposit* page and clicking the **Save** button, you can elect to suppress the printing of the paper copy of your pay advice.

### Withdrawing From the Direct Deposit Program

Due to the expense to the University of printing, delivering, and processing paper checks, it is preferred that everyone participate in the direct deposit program. However, if you need to withdraw entirely from the direct deposit program (to start receiving your paper check by mail), please contact Central Payroll at 495-8500, option 4 for assistance. You cannot withdraw from the program through Employee Self Service.

### Balance account

If you use direct deposit, there must be one balance account. This is the account where you want the balance of your pay to be deposited, after any other deposits you elect. Harvard policy will not allow a pay advice and a physical check. Therefore, you must direct deposit your **entire check** into one or more accounts. You can edit or change a balance account, but you cannot delete it.

### G. W-4 Tax Information

To view or update tax information...

Go to: Home > Self Service > Paychecks > W-4 Tax Information

- Enter any changes as necessary
- Submit form using 'Submit' button
- At the next screen where it says 'The Save Was Successful', click OK

Note:

#### Special Federal withholding status

Certain Harvard employees will not be able use Employee Self Service to update their W-4 tax information. For example, employees with non-resident alien status or who have claimed exempt status will see the following message:

*You are ineligible to modify your tax set up via Employee Self Service due to your Non-Resident Alien status or IRS limitations. If your status has changed, or you need further assistance in this matter, please contact Central Payroll or Tax Services at 495-8500.*

#### More than ten allowances

If you want to claim more than ten allowances, you must submit a paper W-4 tax form to Central Payroll. This form can be found on Harvard's ABLE website, or online at [www.irs.gov](http://www.irs.gov)

#### No Massachusetts tax record

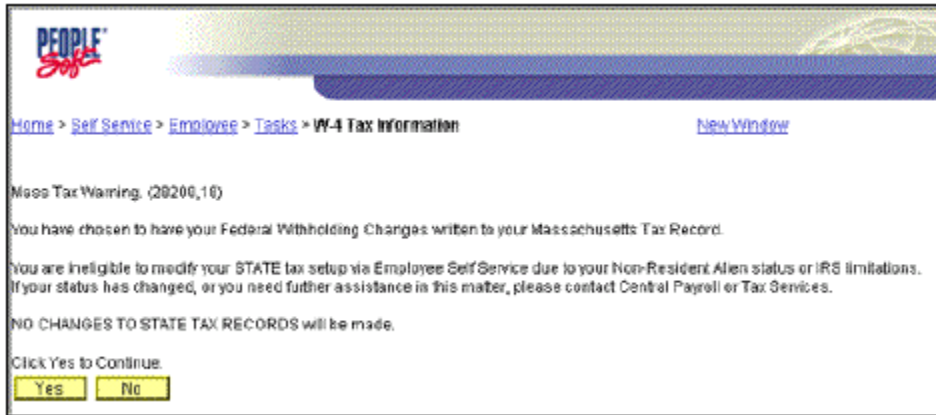
If you choose to have your federal withholding changes written to your Massachusetts tax record, but you don't actually have a Massachusetts tax record, you will see the following message:

Mass Tax Error (28200,7)
You have chosen to have your Federal Withholding Changes written to your Massachusetts Tax Record.
You do not currently have a Massachusetts Tax Record. NO CHANGES TO STATE TAX RECORDS will be made.
Please contact your local HR/Payroll office or Central Payroll for further assistance. Click Yes to Continue.
<input type="button" value="Yes"/> <input type="button" value="No"/>

-if you click "Yes," your federal withholding changes will be saved.

### Special MA State withholding status

If you choose to have your federal withholding changes written to your Massachusetts tax record and you have a special MA state withholding status, you will see the following message:



-if you click “Yes,” your federal withholding changes will be saved.

# GUIDELINES FOR USING SOCIAL MEDIA



## Harvard Human Resources

## Guidelines & Best Practices

*Harvard University recognizes the importance and benefits of communicating through social media. Social media is a powerful vehicle through which Harvard may disseminate relevant news to the Harvard community, listen to voices and perceptions about Harvard, and connect with our audiences online.*

*Navigating the world of social media can be confusing with constant changes in platforms, technologies, and communities. However, existing legal responsibilities and University policies remain in place when Harvard employees use social media, and these guidelines do not supplant or restrict any policy in force.*

### **INDIVIDUALS COVERED BY THESE GUIDELINES**

Individuals authorized to speak on behalf of the University.

Note that although these guidelines cover the appropriate use of social media by individuals authorized to speak for Harvard, the use of social media by other employees remains subject to Harvard policies governing employee conduct.

### **REASONS FOR THESE GUIDELINES**

*To provide members of the Harvard community with contemporary guidance for using social media to communicate about the University.*

*To clarify work-related and personal uses of social media.*

*To clarify the relationship between existing University policies and contemporary uses of social media.*

### **GUIDELINES**

*These Guidelines will provide information for Harvard community members who are authorized to speak on behalf of the University through social media. Social media forums can include blogs, wikis, social networks (e.g., Facebook, Twitter, YouTube, LinkedIn, etc.), personal web sites, and other media yet to be developed in a dynamic communications field. Community members may find that many of these guidelines can be helpful when thinking about personal social media accounts. However, these guidelines are not intended to govern or restrict personal presence on the web, nor are these guidelines intended to restrict employee rights to engage in concerted, protected activity with fellow employees over the terms and conditions of employment. Also, it is important to note that this will be a living document, which will reflect Harvard's current needs and adjust to future changes in social media.*

*With these parameters in mind, here are some principles to guide individuals authorized to use social media to speak on Harvard's behalf:*

**Confidentiality** – *Do not post confidential or proprietary information about Harvard, its faculty, its students, its affiliates, its alumni or its employees.*

University and local policies, applicable federal and state laws and regulations such as the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Family Educational Rights Privacy Act (FERPA) (among others), and your supervisors should be consulted for guidance on restrictions related to the release of confidential information.

**Privacy** – *Do not post anything that you would not present in any public forum. In particular, do not discuss a situation involving named or pictured individuals on a social media site without their knowledge or permission.*

**Permanence:** Remember that whatever you share (either on the University's behalf or your own personal account) may be public for an indefinite period of time, even if you attempt to modify or delete it.



Audience: Be careful what personal information you share online. Many social networking websites are not secured and information is available to anyone with access to a computer and the internet.

Association: Keep in mind that on many social networking websites, your name and photo/icon appear next to the content that you post and will be associated with you or with the University when you are representing Harvard or its affiliates on the web in an official capacity.

**“Do No Harm”** – *Harvard encourages the use of social media to enhance its education and research through collaboration, communication, and promotion of research and programs. You must ensure that your authorized use of social media does not harm or otherwise injure the University, its faculty, its students, its alumni, or its employees.*

Here are some examples of situations where using social media can create unintended harm to Harvard or a member of the Harvard community, or may violate laws, regulations or Harvard policies:

HIPAA/FERPA violation: You are a staff assistant in University Health Services, and you use your cell phone camera to take a picture of some colleagues in your workspace and post the picture to the Department’s Facebook page. However, the picture contains the image of a student receiving medical services in the background, and some confidential medical documents are legible on your desk area. In this situation, you should have taken steps in advance to prevent the exposure of confidential medical or student information.

Student Groups: You “retweet” a Twitter message posted by a student activist group using your Department’s official Twitter account. However, the tweet contains a link to an outside website that disparages University leadership. In this situation, you should have taken advance steps to ensure that material you posted to authorized social media accounts at the University did not contain material that reflects negatively on the University or members of the University community.

Anonymous Comment Boards: You are a senior administrator in one of Harvard’s graduate schools. You read a story on The Harvard Crimson website about a new University policy and post an assumed “anonymous” comment questioning the policy’s goals. However, you did not realize that you were logged into the Crimson website with your personal screen name when you posted your comment, and subsequent viewers were able to see your name and make assumptions from your position as a senior administrator that your school would not support the new policy. In this situation, you should have taken steps to ensure that you were transparent in stating your authority to speak on behalf of the institution and whether the comments were limited to your personal views on the matter.

**Personal Responsibility and Liability** – *Communications made via social media are not exempt from the expectations and obligations set forth in Harvard’s policies or from the laws and regulations that govern personal liability across general and traditional forms of communication. You are responsible for what you post on your own site and on the sites of others, and should only post on behalf of Harvard or its affiliates in an official capacity where you have been explicitly authorized to do so. Nothing in this policy shall be read to restrict your ability to engage in concerted, protected activity with your fellow employees regarding the terms and conditions of your employment.*

Incidental Use: Harvard understands that employees utilize social media and the web for personal matters in the modern workplace. While Harvard reserves the right to monitor use of its computer systems, employees may engage in incidental personal use of social media in the workplace so long as such use does not consume significant time or resources, interfere with operations and productivity, and does not violate other University policies (see **RELATED POLICIES**, below) or the policies of an employee’s local unit. A disciplinary or other review may be initiated if an employee’s online activity violates law or Harvard policy, or if the employee’s non-official or unauthorized online activity otherwise subjects the University to liability for such acts.

*Here are some practical tips for representing Harvard online and in an official capacity:*

Affiliation: Disclose your affiliation if you talk about work related matters that are within your area of job responsibility.

Be sensitive: Do not post confidential or proprietary information about the University, and be aware of non-disclosure agreement(s) when acting in a personal capacity.

Clearly identify your personal communications: In some cases, individuals maintain several social media outlets, with some for personal use and others for official Harvard business. Individuals must use care to separate the two uses and avoid using Harvard outlets to distribute personal communications. Unless specifically authorized to speak on behalf of Harvard or a University department, school or unit, you must state that the views expressed are your own. You might consider using a disclaimer: "This is a personal Twitter feed. The opinions expressed here represent my own and not those of my employer."

Accuracy: Take a moment to think about what you are posting (both personally and professionally) before you hit the publish/post button. Think about the content: is it relevant and topical? Are you reviewing and maintaining the content you provide through social media on a regular basis? Proofread for spelling and grammar.

Be aware of what you say and of your connections in social media networks. For example, a comment you make on a colleague's Facebook wall is visible to anyone that person is connected to, but you might not be connected to those individuals and therefore unable to control access or anticipate further distribution of your comments. Be thoughtful and discreet.

**Transparency** – *To both protect the Harvard name and build trust with users, social media such as blogs, Facebook pages, Twitter feeds, etc. that are established on behalf of Harvard entities should be explicit regarding the nature of the relationship to Harvard. As a social media representative of the University, you should clearly state your position within the University and the limits of your authority to speak on behalf of the University. Similarly, in keeping with Harvard's non-profit status, social media should not be used to promote or transact any commercial business or financial transactions, including revenue from advertising, nor should any staff with administrative responsibilities realize any personal monetary profit from Harvard-related social media.*

Your social media profile should include descriptions of the mission/work of the Harvard entity, as well as the kinds of information one can expect to receive by "liking" or "following."  
*"Liking" or "following" sites or feeds should reflect the opinions of Harvard. Refrain from "liking" or "following" sites or feeds for personal interest or communication.*

When sharing information from other users via links or "retweeting," making sure that the information is relevant to the audience.

When sharing via links, "retweets" or blog posts, avoid promoting vendors or other commercial operations not related to Harvard entities or activities (view the Office of the Provost [Endorsement Guidelines](#) for further information).

**Use of the Harvard Name** – *In addition to meeting the requirements set forth in the Office of the Provost's policies on the use of Harvard names and insignias, there are unique challenges associated with using the Harvard name in social media, such as the potential need to abbreviate a program or entity name for a Twitter account.*

Use of the Harvard shield is not permissible as a profile photo or on a blog unless express permission is granted by the Provost's office and the School/Unit to which the initiative/office/department reports.

**For Recruiters** – *While Social Media continues to evolve and develop as an effective tool for advertising positions at the University and for recruiting candidates, it does not replace or otherwise eliminate the need to use the University’s existing recruitment systems and processes for posting positions, collecting applications, conducting background checks, making offers of employment and other related activities. In addition, Social Media should be used in keeping with the University’s affirmative action obligations.*

All applicants must apply through the ASPIRE system in order to be considered an applicant for a job. Social Media cannot replace the University’s existing applicant tracking system.

Offers of employment should only be extended through existing and accepted processes, and should not be communicated through social media.

## **RELATED POLICIES**

### **Staff Personnel Manual**

[Conflicts of Interest or Commitment](#) (Staff)

[Information Security and Privacy Policy](#)

[Reaffirmation of the University’s Policy Concerning Affirmative Action and Equal Employment](#)

[Opportunity by the President and Fellows of Harvard College](#)

### **Office of the Provost – Policies and Guidelines**

[Enterprise Information Security Policy](#)

[Endorsement Guidelines](#)

[Policy on the Use of Harvard Names and Insignias](#)

[Use of Harvard’s Name in Internet Addresses, Domain Names, Web Sites and Other Electronic Contexts](#)

[Domain Name Request Form \(for harvard.edu\)](#)

[Email Alias Request Form \(for @harvard.edu\)](#)

[Financial Conflict of Interest Policy](#)

[Harvard Privacy Policy](#) (Information Security & Privacy)

### **Office of the Vice Provost for Research – Policy & Compliance**

[Research Policies Guidance](#)

### **Harvard Public Affairs & Communications (HPAC)**

[Social Media Guidelines](#)

### **Office of the General Counsel (OGC)**

[Copyright and Fair Use](#)

### **Other related local policies**

#### **Harvard Business School**

[HBS Social Media and Blogging Policy](#) (access restricted)

## **ADDITIONAL RESOURCES**

*Have questions? Contact the following offices with questions about these guidelines and best practices.*

### Local Human Resources representatives

#### Office of Labor & Employee Relations

University Place, Suite 480 South (124 Mt. Auburn St., Cambridge)

(617) 495-2786

<http://laborrelations.harvard.edu>

#### Office of the Provost

<http://provost.harvard.edu/>

#### Harvard Public Affairs & Communications

<http://hpac.harvard.edu/>

## Safety and Security

**Crime prevention measures for personal and property safety-** It is important for students, faculty, staff, and fellows to remember that the HU campus is located in an urban setting. Therefore, we share many of the crime and safety issues that exist in any city. You should take precautions to protect your property by never leaving it unattended in public and by locking your room or office when you leave it even for a moment. While traveling throughout campus, you should be aware of your surroundings, walk with others on well-lit streets, and use the shuttle bus, escort van, or HUCEP. Report suspicious activity immediately to the [Harvard University Police](#) (617-495-1212) or HKS Security (617-495-1330).

**Emergency Communications-** Please register your personal mobile telephone number in the University's emergency notification system. MessageMe allows HKS/HU to quickly distribute critical information to you, wherever you are located, during an emergency. To complete the process visit: <https://messageme.harvard.edu/>.

**Emergency Contact-** In an emergency the University may also need to contact someone on your behalf: spouse, significant other, friend, parent, or child. So that we may do so as quickly as possibly it is important that your emergency contact information is current in PeopleSoft. Please take a moment and check your information and make any necessary changes.

- Log into HARVie at: <http://hr.harvard.edu/>
- Click on the PeopleSoft link in the upper right hand corner of page
- Click Self Service>Personal Details>Emergency Contacts

**International Travel Safety-** While traveling on University business please register your trip itinerary in International SOS - <https://www.globalsupport.harvard.edu/travel-tools/register-international-travel>. The program provides 24 hour worldwide emergency medical and evacuation assistance for Harvard's employees and students traveling on University related activities.

**HKS Security webpage:** Please visit <https://knet.hks.harvard.edu/Administration/Security/Pages/default.aspx>. The site contains the HKS Emergency Guide, HUPD's Playing It Safe Guide, important telephone numbers and links to safety and security websites from the University, Cambridge, and US Government.

**SEXUAL  
HARASSMENT  
AND  
UNPROFESSIONAL  
CONDUCT**

# **Sexual Harassment and Unprofessional Conduct**

## **Introduction**

The Kennedy School of Government is committed to swift corrective action against incidents of sexual harassment, including unprofessional conduct in faculty-student and other working relationships. This kind of behavior is a barrier to the educational, scholarly, and research purposes of the university and will not be tolerated.

Any member of the Kennedy School community who believes that she or he has been sexually harassed, who has experienced problems involving unprofessional conduct, or who would like clarification or information on HKS sexual harassment complaint and resolution procedures, is strongly encouraged to speak with a sexual harassment investigative officer. The school encourages reporting of these incidents and, to the extent possible, will protect the privacy of the complainant as well as the alleged harasser.

There are a variety of specific procedures for the resolution of sexual harassment and unprofessional conduct problems. These procedures cover situations involving all individuals with university affiliation, such as faculty, staff, and students. They range from informal counseling and mediation to formal procedures for disciplinary action. A written description of these procedures is available upon request from the Office of Human Resources and from any of the officers listed in the attached "Annual Information for Instructors."

## **HARVARD UNIVERSITY Sexual and Gender-Based Harassment Policy**

### **Policy Statement**

Harvard University is committed to maintaining a safe and healthy educational and work environment in which no member of the University community is, on the basis of sex, sexual orientation, or gender identity, excluded from participation in, denied the benefits of, or subjected to discrimination in any University program or activity. Gender-based and sexual harassment, including sexual violence, are forms of sex discrimination in that they deny or limit an individual's ability to participate in or benefit from University programs or activities.

This Policy is designed to ensure a safe and non-discriminatory educational and work environment and to meet legal requirements, including: Title IX of the Education Amendments of 1972, which prohibits discrimination on the basis of sex in the University's programs or activities; relevant sections of the Violence Against Women Reauthorization Act; Title VII of the Civil Rights Act of 1964, which prohibits discrimination on the basis of sex in employment; and Massachusetts laws that prohibit discrimination on the basis of sex, sexual orientation, and gender identity. It does not preclude application or enforcement of other University or School policies.

It is the policy of the University to provide educational, preventative and training programs regarding sexual or gender-based harassment; to encourage reporting of incidents; to prevent incidents of sexual and gender-based harassment from denying or limiting an individual's ability to participate in or benefit from the University's programs; to make available timely services for those who have been affected by discrimination; and to provide prompt and equitable methods of investigation and resolution to stop discrimination, remedy any harm, and prevent its recurrence. Violations of this Policy may result in the imposition of sanctions up to, and including, termination, dismissal, or expulsion, as determined by the appropriate officials at the School or unit.

Retaliation against an individual for raising an allegation of sexual or gender-based harassment, for cooperating in an investigation of such a complaint, or for opposing discriminatory practices is prohibited. Submitting a complaint that is not in good faith or providing false or misleading information in any investigation of complaints is also prohibited.

Nothing in this Policy shall be construed to abridge academic freedom and inquiry, principles of free speech, or the University's educational mission.

## **Definitions**

### **Sexual Harassment**

Sexual harassment is unwelcome conduct of a sexual nature, including unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, graphic, or physical conduct of a sexual nature, when: (1) submission to or rejection of such conduct is made either explicitly or implicitly a condition of an individual's employment or academic standing or is used as the basis for employment decisions or for academic evaluation, grades, or advancement (quid pro quo); or (2) such conduct is sufficiently severe, persistent, or pervasive that it interferes with or limits a person's ability to participate in or benefit from the University's education or work programs or activities (hostile environment).

Quid pro quo sexual harassment can occur whether a person resists and suffers the threatened harm, or the person submits and avoids the threatened harm. Both situations could constitute discrimination on the basis of sex.

A hostile environment can be created by persistent or pervasive conduct or by a single severe episode. The more severe the conduct, the less need there is to show a repetitive series of incidents to prove a hostile environment. Sexual violence, including rape, sexual assault, and domestic and dating violence, is a form of sexual harassment. In addition, the following conduct may violate this Policy:

- Observing, photographing, videotaping, or making other visual or auditory records of sexual activity or nudity, where there is a reasonable expectation of privacy, without the knowledge and consent of all parties
- Sharing visual or auditory records of sexual activity or nudity without the knowledge and consent of all recorded parties and recipient(s)
- Sexual advances, whether or not they involve physical touching
- Commenting about or inappropriately touching an individual's body
- Requests for sexual favors in exchange for actual or promised job benefits, such as favorable reviews, salary increases, promotions, increased benefits, or continued employment
- Lewd or sexually suggestive comments, jokes, innuendoes, or gestures
- Stalking

Other verbal, nonverbal, graphic, or physical conduct may create a hostile environment if the conduct is sufficiently persistent, pervasive, or severe so as to deny a person equal access to the University's programs or activities. Whether the conduct creates a hostile environment may depend on a variety of factors, including: the degree to which the conduct affected one or more person's education or employment; the type, frequency, and duration of the conduct; the relationship between the parties; the number of people involved; and the context in which the conduct occurred.

### **Unwelcome Conduct**

Conduct is unwelcome if a person (1) did not request or invite it and (2) regarded the unrequested or uninvited conduct as undesirable or offensive. That a person welcomes some sexual contact does not necessarily mean that person welcomes other sexual contact. Similarly, that a person willingly participates in conduct on one occasion does not necessarily mean that the same conduct is welcome on a subsequent occasion.

Whether conduct is unwelcome is determined based on the totality of the circumstances, including various objective and subjective factors. The following types of information may be helpful in making that determination: statements by any witnesses to the alleged incident; information about the relative credibility of the parties and witnesses; the detail and consistency of each person's account; the absence of corroborating information where it should logically exist; information that the Respondent has been found to have harassed others; information that the Complainant has been found to have made false allegations against others; information about the Complainant's reaction or behavior after the alleged incident; and information about any actions the parties took immediately following the incident, including reporting the matter to others.



In addition, when a person is so impaired or incapacitated as to be incapable of requesting or inviting the conduct, conduct of a sexual nature is deemed unwelcome, provided that the Respondent knew or reasonably should have known of the person's impairment or incapacity. The person may be impaired or incapacitated as a result of drugs or alcohol or for some other reason, such as sleep or unconsciousness. A Respondent's impairment at the time of the incident as a result of drugs or alcohol does not, however, diminish the Respondent's responsibility for sexual or gender-based harassment under this Policy.

### **Gender-Based Harassment**

Gender-based harassment is verbal, nonverbal, graphic, or physical aggression, intimidation, or hostile conduct based on sex, sex-stereotyping, sexual orientation or gender identity, but not involving conduct of a sexual nature, when such conduct is sufficiently severe, persistent, or pervasive that it interferes with or limits a person's ability to participate in or benefit from the University's education or work programs or activities. For example, persistent disparagement of a person based on a perceived lack of stereotypical masculinity or femininity or exclusion from an activity based on sexual orientation or gender identity also may violate this Policy.

### **Jurisdiction**

This Policy applies to sexual or gender-based harassment that is committed by students, faculty, staff, Harvard appointees, or third parties, whenever the misconduct occurs:

1. On Harvard property; or
2. Off Harvard property, if:
  - a) The conduct was in connection with a University or University-recognized program or activity; or
  - b) The conduct may have the effect of creating a hostile environment for a member of the University community.

### **Monitoring and Confidentiality**

A variety of resources are available at the University and in the area to assist those who have experienced gender-based or sexual harassment, including sexual violence.

Individuals considering making a disclosure to University resources should make sure they have informed expectations concerning privacy and confidentiality. The University is committed to providing all possible assistance in understanding these issues and helping individuals to make an informed decision.

It is important to understand that, while the University will treat information it has received with appropriate sensitivity, University personnel may nonetheless need to share certain information with those at the University responsible for stopping or preventing sexual or gender-based harassment. For example, University officers, other than those who are prohibited from reporting because of a legal confidentiality obligation or prohibition against reporting, must promptly notify the School or unit Title IX Coordinator about possible sexual or gender-based harassment, regardless of whether a complaint is filed. Such reporting is necessary for various reasons, including to ensure that persons possibly subjected to such conduct receive appropriate services and information; that the University can track incidents and identify patterns; and that, where appropriate, the University can take steps to protect the Harvard community. This reporting by University officers will not necessarily result in a complaint; rather, the School or unit Title IX Coordinator, in consultation with the Title IX Officer, will assess the information and determine what action, if any, will be taken. Information will be disclosed in this manner only to those at the University who, in the judgment of the Title IX Officer or School or unit Title IX Coordinator, have a need to know.

Should individuals desire to discuss an incident or other information only with persons who are subject to a legal confidentiality obligation or prohibition against reporting, they should ask University officers for information about such resources, which are available both at the University and elsewhere. University officers are available to discuss these other resources and to assist individuals in making an informed decision.

### **Violations of other Rules**

The University encourages the reporting of all concerns regarding sexual or gender-based harassment. Sometimes individuals are hesitant to report instances of sexual or gender-based harassment because they fear they may be charged with other policy violations, such as underage alcohol consumption. Because the University has a paramount interest in protecting the well-being of its community and remedying sexual or gender-based harassment, other policy violations will be considered, if necessary, separately from allegations under this Policy.

## **Title Coordinators/Resources**

The following individuals have been trained and are available for consultation on sexual harassment issues. Please feel free to contact any one of them.

### **Title IX Coordinators:**

#### **Faculty**

Suzanne Cooper, Academic Dean for Teaching and Curriculum 495-0390

#### **Staff/Research Fellows**

Jennifer Goodman, Senior HR Consultant 496-2231

#### **Students**

Debra Isaacson, Associate Dean for Degree Programs and Student Affairs 496-8382

### **Program Directors:**

Carol Finney, MPA/ID 495-7799

Eleni Cortis, MPP 496-8593

Emma Heffern, MPA 496-1100

Nicole Tateosian, PhD 495-1190

Suzanne Shende, Mason Fellows 495-7713

### **University Departments:**

Bureau of Study Counsel 495-2581

Harvard Police 495-1212

University Health Services 495-5711

University Mental Health Services 495-2042

Harvard Chaplains 495-5529

Harvard University Police Department 495-1212

Employee Assistance Program 877-327-4278

### **Community Resources:**

Boston Area Rape Crisis 492-8371

Cambridge Police Department 349-3300

HKS Ombuds Program 495-1923

Sexual Assault Unit 349-3381

The Cambridge Hospital 665-1000

Victims of Violence Program 591-6360

Middlesex District Attorney (781) 897-8300

Victim/ Witness Services (781) 897-8490

**State & Federal Agencies:**

Massachusetts Commission  
Against Discrimination  
US Equal Employment  
Opportunity Commission

994-6000

(800) 669-4000

# Kennedy School Ombuds Program

Promoting Fairness  
Providing a Safe Place  
Ensuring Respect for the Individual

## AN OMBUDSPERSON WILL...

- Listen to you
- Answer your questions
- Explain university policies and procedures
- Help you analyze your situation
- Help you develop options for resolving your concern

## ABOUT THE OMBUDS PROGRAM: FREQUENTLY ASKED QUESTIONS

### What Kinds of Conflict Are Brought to an Ombuds person?

An Ombud's office is a confidential place to discuss any problem or conflict. Issues brought to the ombudsperson typically concern:

- Employment problems
- Discrimination
- Sexual harassment
- Faculty/student misunderstanding
- Supervisor/employee tensions
- Interpersonal communication difficulties
- Unfair treatment

### What is an Ombuds person?

An ombuds person is someone who informally and impartially assists students, faculty and staff in achieving resolutions to problems.

HKS ombudspersons are chosen by the school community.

The services of the ombuds person do not replace formal grievance processes at the HKS; rather, they are an additional option.

### What does an Ombuds person do?

- The ombuds person provides an opportunity for informal discussion of problems outside formal channels.
- The ombuds person is a designated neutral and does not advocate for any individual or point of view.
- The ombuds person listens, discusses, answers questions, provides information, researches questions and helps the individual develop options for resolving problems or conflicts.
- No information concerning any visit to an ombuds person will be disclosed to a third party without the individual's permission, unless such nondisclosure would be inconsistent with the Kennedy School's legal obligations, for example, when there is a potential threat to safety and welfare.

**Who Can Use an Ombudsperson?**

You are eligible and welcome if you are affiliated with the Kennedy School as a:

- Student
- Fellow
- Faculty member
- Staff person

**How Do I Contact an Ombudsperson?**

You may schedule an appointment with the ombudsperson of your choice either in person, by telephone or email. Ombuds will not handle third party questions; you must make personal contact with the ombudsperson.

For contact information please view the HKS Ombuds website at <https://knet.hks.harvard.edu/Administration/Ombuds-Program/Pages/default.aspx>