

**The Trustees of the
Stevens Institute of Technology**

Faculty Handbook

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0. PROLOGUE

Founded in 1870, The Trustees of the Stevens Institute of Technology (known as Stevens Institute of Technology) is a polytechnic university devoted to the creation, transmission, and application of knowledge. The research, teaching, and practical innovations undertaken by the Stevens Faculty place the Faculty at the heart of the university's identity and mission. The Faculty has responsibility for essential activities of the university as further described below. All members of the Stevens community, including the members of the Faculty, are afforded the protections guaranteed by academic freedom, which includes the free expression of ideas, opinions, and the results of their research and other academic pursuits, whether by verbal, written or other means of dissemination.

This Faculty Handbook is one of the university's core governance documents. The Faculty Handbook sets forth the rights, privileges, responsibilities, and related procedures that affect the Faculty in their critical role within the university. Many of the policies within the Faculty Handbook also apply to other members of the Stevens community.

The policies contained in the Handbook describe the relationship between members of the Faculty and the university. Although individual schools and college(s) may have additional policies governing their faculty, such policies must be consistent with this Faculty Handbook. Additional policies that apply to members of the Faculty and other employees of the university are located in the Policy Library and on websites maintained by the Office of the Provost, the Office of Human Resources, the Office of Sponsored Programs, and other departments as appropriate. Members of the Faculty, as all other employees of the university, are expected to follow all university policies and procedures.

The Faculty Handbook will be reviewed periodically. Proposed changes to the Faculty Handbook shall be made as described in Section 2.5, and the Faculty Handbook shall be promulgated following the approvals described in such Section.

1. THE TRUSTEES OF THE STEVENS INSTITUTE OF TECHNOLOGY

1.1 History and Mission of the University

The official history of the Trustees of the Stevens Institute of Technology, commonly known as the Stevens Institute of Technology and referred to in this Faculty Handbook as “the university” or “Stevens”, began on April 15, 1867, when Edwin Augustus Stevens bequeathed a block of land adjoining the family estate at Castle Point in Hoboken, New Jersey, \$150,000 for the erection of a building and \$500,000 as an endowment for an “institution of learning.” He died in 1868 and, in his will, provided for the founding of an institution within three years of his death. Although not explicitly stated in his last will and testament, it was known that Stevens had planned for this institution to be devoted to the advancement of the “mechanic arts.” The executors decided that the new institution should be a school of technology, and an act incorporating the Trustees of the Stevens Institute of Technology was approved by the state legislature on February 15, 1870, which is the formal name of the university to this day.

During the summer of 1870, Professor Henry Morton, the Chairman of the Department of Chemistry at the University of Pennsylvania and the secretary and editor of the “Journal of the Franklin Institute,” was appointed the first President of the university. The first class, consisting of 21 students, entered Stevens shortly thereafter. The original course of study was a single, rigorous curriculum based upon the European model of science, with the university’s first catalog stating that the university would provide “general and not merely industrial training.” Coursework was offered in mathematics, physics, mechanical engineering, mechanical drawing, chemistry and metallurgy, French, German, and *Belles-Lettres*.

Over the subsequent decades, the university has grown significantly, evolving from a relatively small four-year undergraduate college of engineering into a multifaceted institution of significant cross- disciplinary research activities, and a variety of graduate and undergraduate programs stressing not only engineering but also science, business, and the arts and humanities. Today, the university flourishes at the intersection of industry, academics and research. Students and faculty collaborate in an academic culture of innovation, research and entrepreneurship to develop, implement and leverage technology to confront global challenges.

Although the breadth of academic programs has expanded since 1870, the rigorous technical preparation and a focus on addressing critical, contemporary challenges, remain the hallmarks of a Stevens education. These standards are reflected in the university’s mission: To inspire, nurture and educate leaders in tomorrow’s technology-centric environment while contributing to the solution of the most challenging problems of our time.

1.2 Statement of Non-Discrimination

Stevens Institute of Technology stands committed to the principle of equality of opportunity in employment and in education. It is the policy of Stevens Institute of Technology not to discriminate on the basis of any legally impermissible factor(s) including, but not necessarily limited to, race, color, religion, creed, sex, national origin, nationality, citizenship status, age, ancestry, marital or domestic partnership or civil union status, familial status, affectional or sexual orientation, gender identity or expression, atypical cellular or blood trait, genetic information, pregnancy or pregnancy-related medical conditions, disability, or any protected

military or veteran status. The full Statement of Non- Discrimination is available in the Stevens Catalog, published annually at the beginning of each Academic Year at <http://www.stevens.edu/catalog/>.

2. ORGANIZATION OF THE INSTITUTE

2.1 The Board of Trustees

As provided in the February 15, 1870 Act of the New Jersey State Legislature incorporating The Trustees of the Stevens Institute of Technology, "the entire management of the affairs and concerns of the said corporation, and all the corporate powers shall be vested in the trustees to manage and control," and, moreover, "the trustees shall have power to enact by-laws for the regulation and management of the said corporation or institution of learning, to fill up vacancies in the board, and to prescribe the number and description, the duties and powers of the officers, the manner of their appointment, and the term of their office." The Trustees are charged with the responsibility to select and appoint a President of the university whose duties shall include the administration of the university and the direction of its Faculty.

To achieve the mission and key objectives of the university, final authority and responsibility are vested in the Board of Trustees of the university. The President is appointed by the Board of Trustees, and the Officers of the university are appointed by the President, in each case to conduct the management of the university and execute the policies and plans approved by the Trustees.

Regular meetings of the Board are held several times each year. The first meeting held during each academic year is the annual meeting of the Board. More information regarding the Stevens Institute of Technology Board of Trustees may be found at <http://www.stevens.edu/sit/trustees>.

2.2 President

The President of Stevens Institute of Technology, as the university's Chief Executive Officer, is responsible to the Board of Trustees. It is the President's responsibility to provide the overall administrative and educational leadership for the university. More information regarding the Office of the President may be found at <http://www.stevens.edu/president>.

2.3 Provost and Chief Academic Officer

The Provost is the Chief Academic Officer of the university. The Office of the Provost is responsible for all academic units and research centers and ensures that the university maintains the culture and deploys the human and physical infrastructure necessary to achieve its mission. This charge allows the university to develop new knowledge while educating and inspiring students to acquire the competencies needed to lead in scientific discovery and the creation, application and management of technology to solve complex problems and to build new enterprises. More information regarding the Office of the Provost is available at <http://www.stevens.edu/provost>.

2.4 Faculty Organization

2.4.1 The Academic Units of the University

The Stevens Institute of Technology Faculty is currently organized into the Charles V. Schaefer Jr. School of Engineering and Science (SES), the School of Business (SB), the School of Systems and Enterprises (SSE), and the College of Arts and Letters (CAL).

2.4.2 The Faculty Senate

In its role as a key partner in the shared governance of the university, the Faculty is responsible for being engaged in the most crucial matters affecting Stevens. The Faculty Senate represents the Faculty and works closely with the Provost, the President, and other constituencies towards achieving excellence in all endeavors of the university. Section 4.3.1 of this Faculty Handbook details the charges, membership, and election of Faculty to the Faculty Senate and its associated Executive Committee.

2.4.3 The Faculty

The Stevens Faculty exists as a distinct body within Stevens. It convenes as a body and takes actions as a body following established rules and procedures. The Stevens Faculty has certain powers of self- governance and the authority to organize itself as a body, to elect members to its committees, and to charge committees and/or individuals to carry out its business. The Faculty, collectively and through committees of the various academic units, develops and oversees curricula and the methods of curricular delivery for the academic programs offered at Stevens. The Stevens Faculty works to establish the criteria by which students are admitted and credits transferred from other institutions, and the Faculty passes on candidates for degrees. Together with the Board of Trustees and other academic and administrative officers at Stevens, the Faculty participates as a separate and distinct partner in the shared governance of the university. It assembles as a body in university exercises, such as Commencement and Convocation, where it wears distinct dress, marches in an established order, and is led by a faculty marshal carrying a mace.

The Stevens Faculty is privileged to play a role in the shared governance of the university, a role and responsibility it assumes with great seriousness. In this capacity individually and collectively the Stevens Faculty works first and foremost with the Provost, who is chief academic officer of the university, and with the Deans of the various academic units. The present Faculty Handbook details the areas of shared governance that specifically concern Faculty and their functioning. Areas of shared governance include developing and participating in the processes by which Faculty are reviewed, reappointed, promoted, and granted tenure. The Handbook establishes policies and procedures concerning Faculty membership on the Board of Trustees and participation with Board of Trustees' committees. The Faculty as a body was a partner in establishing the grievance policy at Stevens, and it participates in the implementation of that policy. The Faculty is represented on university-wide committees, such as the Professional Practices Committee. In their day-to-day activities of teaching, research, and service, Faculty work collaboratively and in the spirit of shared governance with everyone in the Stevens community to advance the mission and success of the university.

Individual Faculty members assume a range of responsibilities as Faculty:

- The principal obligation of Faculty members is to identify their own professional welfare with the welfare of the Faculty and of Stevens.
- Stevens Faculty are expected to respect and defend academic freedom.
- Tenure Stream Faculty are expected to conduct innovative research and make original contributions to basic and/or applied research and/or the arts. These activities include

writing and publishing in refereed venues scholarly works such as articles, papers, textbooks and monographs, as well as securing patents, seeking financial support for academic activities from outside sources and keeping current with professional developments.

- Faculty are expected to be effective teachers and advisors, shaping and developing students through engagement in academic experiences. This role includes advising thesis and dissertation students, maintenance of high professional standards of pedagogical quality, participation in the university's course evaluation program, counseling students on curricular and professional matters, and seeking outside support for the development of educational programs. Faculty write examinations, give grades, and determine the standards by which students are evaluated. Faculty play a role in the student honor system at Stevens.
- Senior Faculty are expected to be mentors to junior Faculty.
- Faculty are expected to be active in their respective academic units and the life of the university as a whole. They have the responsibility to play a part in shared governance. They are obligated to participate in university and departmental committee work and in regular university official functions such as Faculty meetings, convocation, and commencement.
- Faculty are required to acknowledge and disclose any potential conflict of interest that they may have.
- Faculty are expected to participate in outside professional activities appropriate to the above responsibilities in dealing with other academic institutions, professional societies, and/or industrial and government agencies.
- Stevens's Faculty members are expected to act collegially towards one another and every member of the Stevens community. Faculty should display the ideals of professionalism, high ethical character, and openness to and respect for the ideas of others, as is befitting a member of the university's community of scholars.

2.5 Promulgation of the Faculty Handbook

The Faculty Handbook will be promulgated for all purposes following the completion of the institutional review and approval process set forth in this Section. This process may be conducted for the Faculty Handbook in its entirety or for individual sections. This process will be undertaken from time to time to ensure that the Faculty Handbook remains a current and vital document for the benefit of the entire Stevens community. The Faculty Handbook will be promulgated in electronic form available on the Stevens Website and in a limited number of printed copies.

At the first meeting of the Faculty held each academic year, the Faculty Senate will affirm the Faculty Handbook.

Proposals to amend or supplement the terms of the Faculty Handbook will arise from a process led by the Provost from time to time using a committee consisting of a diverse group of Faculty (Tenure Stream and Non-Tenure Stream) and administrative staff; proposals may also arise (a) from the Faculty Senate, or (b) directly from the Faculty via a petition signed by 5% of the then-current members of the Faculty, or (c) from the Provost or President.

Any such proposals will be distributed to the Faculty Senate for review. After the conclusion of

any review process determined to be necessary by the Faculty Senate, the Faculty Senate will present such amendments or supplements to the Faculty as described below.

The form of any amendment or supplement to the Faculty Handbook must be presented to the Faculty- at-large during a regular meeting of the Faculty. Discussion of the proposed changes must be continued at one or more meetings of the Faculty prior to a vote on the proposed changes at, or after, the next regular meeting of the Faculty. Unless otherwise specified in a given section of the Faculty Handbook: (a) the quorum for a meeting at which an amendment or supplement to the Faculty Handbook is considered and voted upon shall be a simple majority of the eligible voting Faculty, (b) voting on amendments or supplements to the Faculty Handbook shall require approval by a simple majority of the eligible voting Faculty in attendance at a meeting which has satisfied the quorum requirement, and (c) the Faculty who are eligible to vote on any such amendment or supplement shall be the Tenure Stream and Non-tenure Stream Faculty, provided that the Non-Tenure Stream Faculty shall not be eligible to vote on matters which are solely relevant to the Tenure-Stream Faculty as a group. Notwithstanding anything to the contrary in this Faculty Handbook or otherwise, there shall be no motion made at, nor procedural rules applicable to, a meeting of the Faculty at which an amendment or supplement to the Faculty Handbook shall be considered and voted upon other than those explicitly set forth in this Faculty Handbook.

Amendments or supplements to the Faculty Handbook which have been approved by the Faculty (as described above) will be submitted for approval to the Provost. The Provost will either approve such amendment or supplement and forward them to the President or disapprove such amendment or supplement and return them to the Faculty Senate with reasons for such decision. In the event that the President does not approve such amendment or supplement, the President will provide the reasons for such decision to the Faculty Senate. Once approved by the President, such amendments or supplements will be submitted for final approval to the Board of Trustees. Absent an overriding legal or governance concern, the Board of Trustees will ordinarily approve amendments or supplements to those portions of the Faculty Handbook dealing with the self-governance of the Faculty as a body. In the event that the Board of Trustees does not approve any amendment or supplement, the Board will provide the reasons for such decision to the President and to the Faculty Senate.

Amendments and supplements to the Faculty Handbook will be effective following approval by the Board of Trustees and will be promulgated in such form.

2.6. Effectiveness of Email and Other Electronic Communications.

Any action contemplated by this Faculty Handbook to be effected in written form may, with equal force and effect, be effected by email or another form of electronic communication which is supported by the university and broadly used by the university community.

3. FACULTY

3.1 Faculty Organization and Responsibilities

This section defines the Faculty and their roles and responsibilities at Stevens. Having accepted appointments and consistent with the principles of academic freedom, Faculty members have an obligation to identify their professional welfare with the welfare of Stevens.

Stevens recognizes how diversity in the broadest sense enriches the university community and is fundamental to our success and mission. Stevens is committed to fostering a welcoming, supportive and collaborative academic workplace where faculty of all backgrounds can thrive. Stevens highly values a culture of inclusivity and mutual respect.

3.1.1 Organization

The Faculty at Stevens Institute of Technology are employed by the university and have the responsibility for instruction of Stevens' students and/or research and have titles as described below (the "Faculty"). The Faculty is comprised of the Tenure-Stream Faculty and Non-Tenure-Stream Faculty. Only members of these two groups may have the formal title of "Professor."

The Tenure-Stream Faculty include tenure-track and tenured Faculty: the named chair Professors (i.e., University Chairs and Endowed Chairs), and the tenured and tenure-stream Faculty (i.e., Professors, Associate Professors and Assistant Professors). The Tenured Faculty are those who have been granted tenure.

The Non-Tenure-Stream (NTS) Faculty includes the Research Faculty (i.e., Research Professors, Research Associate Professors and Research Assistant Professors); for the School of Business and College of Arts and Letters, Industry Professors (i.e., Industry Professor, Associate Industry Professor and Assistant Industry Professor); for the School of Engineering and Science and the School of Systems and Enterprises, Professors of Practice (i.e., Professor of Practice, Associate Professor of Practice and Assistant Professor of Practice); and the Teaching Faculty (i.e., Teaching Professors, Teaching Associate Professors and Teaching Assistant Professors).

Industry Professors and Professors of Practice are Non-Tenure Stream faculty members who possess expertise and achievements in industry, government or a similar professional setting which enables sharing of professional experiences with students in a manner that brings distinction to the appointing School/College and the university. They are distinguished by their experience and their ability to share their experience in instructional (lecture and laboratory) and research contexts. Faculty holding Assistant/Associate/Full Industry Professor or Professor of Practice designations are expected to provide effective teaching and advisement to undergraduate and graduate students on curricular, extra-curricular, research, entrepreneurial and other professional matters, and to be involved in the development of educational and research programs at the university with outside support, such as grant funding and educational sponsor funding. Expectations are similar to those of teaching faculty although Industry Professors and Professors of Practice may maintain an active research

profile.

Other titles such as Emeritus Professors, Lecturers, Adjuncts, Visiting Faculty or Post-Doctoral affiliates are not included within the definition of “Faculty”; the responsibilities, duties, and privileges of individuals holding these positions are addressed in Section 8.

Note: When used throughout this section, the words “department chair or equivalent” shall mean the department chair or other academic administrator with authority to determine the workload of Faculty within the relevant department or area.

3.1.2 Responsibilities

Tenure-Stream and Teaching Faculty are expected to provide effective teaching and advisement, including adequate and timely preparation for classes, maintenance of high professional standards, participation in the university's course evaluation program, advising students on curricular, extra- curricular and professional matters, and being involved with the development of educational programs at the university including with outside support.

Tenure-Stream and Research Faculty are expected to conduct basic and/or applied research and make advancements within their chosen field(s). As part of these activities, they will generally advise thesis and dissertation students. They are encouraged to seek external funding sources to support their work and must keep abreast of professional developments in their fields. Tenure- Stream and Research Faculty are also expected to write, publish and present professional papers, books, textbooks and other scholarly works in refereed venues and develop intellectual property, as well as participate in entrepreneurial activities as appropriate.

All faculty members are expected to participate in outside professional activities appropriate to the above responsibilities whether working collaboratively with other academic institutions, professional societies, or private or government agencies, and in each case consistent with the Policy on Faculty Commitment and Professional Activities.

Faculty members are expected to participate in Stevens' institutional, College or School, and departmental or program committee work, and in regular university official functions and activities such as Faculty meetings, individual and program advising, student events, admissions events and processes, Convocation, and Commencement.

No priority of importance is intended to be implied by the above listing of responsibilities. Various activities and responsibilities are not necessarily expected to the same extent from each Faculty member. While all Faculty members' workload should include teaching, research and service, for example, Research Faculty should focus on research and related activities, and Teaching Faculty should focus on teaching and related activities.

3.1.3 Policy on Faculty Commitment and Professional Activities

All full-time Faculty are expected to devote their full-time primary activities and energies to teaching, research (if applicable) and service to the university. These regular activities include professional activities such as academic publishing, participation in lectures, symposia, conferences, visits to other institutions and collaborative endeavors, among other activities. Some amount of outside professional activity involving work for third parties in

the form of consulting is appropriate and encouraged by the university to bring faculty in contact with industry and other professionals and facilitate the sharing of knowledge which underlies the university's mission. This Policy sets forth expectations and requirements for maintaining an appropriate balance between the primary duties of Faculty to the university and other forms of permitted activity.

This Policy applies to all Faculty regardless of whether such person is engaged on a nine- or twelve-month appointment or has additional administrative responsibilities, except as expressly provided in the Policy. This Policy is supplemented by the conflict-of-interest policies and procedures of the university and its Office of Sponsored Programs including, without limitation, those contained in Section 10.2.

A. Teaching, Research and Service

Full-time faculty are expected to devote such time and effort as may be necessary to satisfy their primary obligations to the university to teach classes, conduct research and be available for related service and other activities such as advising students, participating in committee work and other aspects of university life, and performing work for their department and school/college, as further described in Section 3.2.

Faculty must be present to meet all assigned classes at the place and hour scheduled. The length of academic sessions and the number of class meetings per session are determined to comply with various academic and accreditation requirements for different programs offered by the university and may not be varied by individual teachers. In case of illness or other absence from class, Faculty should communicate with the department chair or, if not available, with the relevant Dean.

B. Teaching and Other Employment Outside of the University

The primary professional obligation of each full-time member of the Faculty is to the university; therefore, Faculty need to be sensitive to a variety of possible conflicts between their outside professional interests and their obligations as members of the faculty.

Teaching service at another institution during the academic year must be approved in advance by the Dean and the Provost. No member of the Faculty may simultaneously hold tenure at another institution.

Faculty with nine-month appointments may accept teaching, research or other employment during the three summer months, either at the university, another academic institution, or another employer, provided such additional undertakings do not unduly interfere with the Faculty member's service to the department.

C. Consulting and Other Professional Activities

For Tenure Stream Faculty and full-time Non-Tenure Stream Faculty, extramural activities (including consulting) must be consistent with the principles outlined above and in Stevens' Conflict of Interest Policy and may not require on the average more than two days per month in any academic semester or in any summer month in which the Faculty is receiving compensation for full-time employment at the university. Requests for exceptions to this Policy should be directed in writing to the relevant Dean and the

Provost; requests for exceptions for Faculty with administrative responsibilities who report to the Provost shall be directed to the Provost.

All consulting arrangements must (i) recognize that the university's Patent Policy governs all intellectual property created by Faculty and agreements which are inconsistent with the Patent Policy are deemed to be null and void and (ii) permit adequate publication of results, where appropriate, without jeopardizing the proprietary interests of the sponsor. Under no circumstances may university facilities or university letterhead (or any other resources) be used in the course of any consulting activities, for promotion of any personal or business interests or for any purposes other than university business. Faculty are encouraged to submit proposed consulting agreements to the Office of General Counsel or the Office of Innovation and Entrepreneurship for confirmation that no conflict with this or other Policies of the university exists.

All Faculty members shall on a yearly basis report to their Deans and within the Faculty Activity Report administered by the Provost on matters required to be disclosed pursuant to the university's Conflict of Interest Policy and this Section including, without limitation, any (i) teaching outside the university, (ii) consulting, business activities, employment relationships (other than the university) and compensated activities outside the university and (iii) certain financial, equity and managerial interests in entities. For the purposes of reporting, outside professional activities are professional activities, whether compensated or not, that are not directly associated with the fulfillment of a Faculty member's teaching, research and administrative commitments to the university.

The university interprets the two-day-per-month rule as permitting two working days per calendar month to be devoted to outside professional activities. This is intended to be an average figure; there is no objection to working four half-days in a month, or to working more than two days in a given month as long as the average is observed. The two-days-per-month rule applies throughout the academic year including reading and examination periods and intersession periods. If a Faculty member receives summer salary, the two-days-per-month rule applies for the period of the summer for which compensation through the university is accepted. University holidays such as Thanksgiving and Christmas may also be used for outside professional activities. It is not permissible to "bank" unused outside professional activity days.

Activities that normally would *not* be counted under the two-days-per-month rule include the presentation of research seminars to professional audiences; attending conferences or panels related to a Faculty member's research or teaching interests; peer review activities; and research conducted off-campus (when appropriate on-campus facilities are not available). Activities that normally *would* be counted under the two-days-per-month rule include: consulting for the government or private corporations; participation in an outside business or organization; teaching at any institution other than the university, including, for example, executive education programs; and advising a private or public group on policy. Lectures or media presentations intended for the general public, especially if compensated, would also usually be treated as an outside

activity under the two-days-per-month rule; however, the inclusion of public lectures is not intended to restrict occasional activities which the Faculty member may undertake in his or her capacity as a citizen, such as speaking for no or nominal compensation in a school or to a service organization. Activities that are less clearly classifiable than those cited above and which may involve use of university facilities or resources requiring approvals, such as work for professional academic organizations and editorship of academic journals, should be taken up with the relevant Dean.

3.2 Workload

3.2.1 General

During the academic year, all faculty members are expected to devote five days per week to discharge the above-described responsibilities. The Faculty play a critical role in creating an intellectually vibrant atmosphere on campus through their interaction with students, other faculty and researchers, staff, and alumni, among others. In addition to performing their teaching duties, which include being present and available both during class times and office hours, faculty members are also expected to make themselves fully available and accessible outside their classes to serve as mentors to our students through both formal and informal interactions, including but not limited to participation in student or institutional events and service as a faculty adviser to clubs and organizations. It is expected that the bulk of these activities will occur while faculty are located on Stevens' campus. These faculty responsibilities (other than teaching and research) constitute service to the Stevens community, and are responsibilities shared among faculty.

Faculty members' workload shall be assigned by their department chair (or equivalent) or Dean as described below.

3.2.2 Teaching Loads

The maximum teaching load averaged over the academic year shall be twelve credit hours per week. Faculty may obtain reduction in teaching load for various reasons including advising students and conducting substantive research, other scholarly activities, department, school, college or university service, or administrative activities. It is expected that Faculty will engage in significant research and other scholarly activities, evaluated within the relevant discipline; Faculty who do so can expect not to be assigned the full teaching load. Any reduction in the teaching load of a member of the Faculty must be approved by the department chair (or equivalent) and the relevant Dean.

3.3 Use of Facilities by Faculty

Various university facilities, services and support staff are made available to the Faculty in order to carry out their teaching, research, service and other university responsibilities. As a general matter, these facilities and resources will be administered by the university offices charged with responsibility for such facilities and resources and coordinated through the Office of the Dean of each School or College. University facilities and resources may be available for use for other purposes (e.g., to host meetings of outside professional associations or symposia) pursuant to

the policies and procedures of the university in existence from time to time. University resources such as parking and athletic facilities will be made available to Faculty and staff on terms and conditions determined by the university from time to time.

3.4 Leaves of Absence

3.4.1 Sabbatical Leaves

Sabbatical is a leave granted by the university for the purpose of encouraging faculty members to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the university. Sabbatical leaves of absence may be provided by the university for a period of up to one academic year.

To be eligible for a sabbatical leave, a Faculty member must have served the university for at least six years in its professorial ranks and must not have had a sabbatical leave within the past six years. Compensation from the university while on sabbatical leave will be at full pay for a one-semester leave and at half pay for a full-year leave. In consideration for the university providing compensation during the sabbatical leave, the university expects that a Faculty member will return to Stevens for further service following a sabbatical leave of absence unless other arrangements are mutually agreed upon.

Sabbatical leaves of absence are granted at the discretion of the university. The standard procedure for applying for a sabbatical leave of absence is as follows.

Eligible Faculty seeking a sabbatical leave must apply in writing to the relevant department chair (or equivalent) or, in the absence of a department chair (or equivalent) to the Dean by September 1 prior to the academic year of the sabbatical leave of absence. The application shall contain a proposal of how the leave of absence will enhance the individual's capability to advance the university's educational or research objectives, together with other information in support of the application. Each approval of a department chair (or equivalent) shall then be submitted to the Dean of the relevant School or College for further review and approval.

Following approval of a sabbatical proposal within the relevant School or College, the Dean will submit the recommendation with an evaluation of the proposal and recommendations to the Provost by October 15. Each applicant shall be notified by October 15 of the decision regarding his/her application.

The Provost will transmit approved proposals to the Institute Promotions and Tenure Committee by November 1. The Institute Promotions and Tenure Committee shall review the proposals and rank them in order of merit. Their recommendation shall be submitted to the Provost by December 8.

The Provost shall decide and notify each applicant and the relevant Dean by January 10 whether the relevant sabbatical leave request has been approved or denied.

A Faculty member may waive a sabbatical leave of absence after it has been awarded, but he/she must apply *de novo* if he/she wishes to take a sabbatical leave at a later date.

Upon return from a sabbatical leave, the Faculty member shall submit a report on his/her activities to the Dean, with a copy to the Provost, not later than the end of the semester following his/her return to the campus.

On rare occasions and under unusual circumstances, the university may, at its discretion, grant a sabbatical leave of absence to a Faculty member outside of this process.

Summary of Key Dates/Deadlines

Time Frame (On or About)

Process

September 1

Faculty members submit proposals for sabbatical to the department chair (or equivalent), if any

September 15

Proposals approved by the department chair (or equivalent) are forwarded to the relevant Dean

October
15

Proposals approved by the Dean are forwarded to the Office of the Provost.

November
1

Office of the Provost transmits the proposals for review to the University Promotions & Tenure Committee.

December
8

University Promotions & Tenure Committee submits its recommendations to the Provost.

January
10

Provost notifies each applicant and the relevant Dean whether the applicant's sabbatical leave request has been approved or denied.

3.4.2 Other Leaves of Absence

Other leaves of absence are governed by the general university policies regarding employee leave, including the university's Paid Absence Policy, Unpaid Absence Policy, and policies regarding family and medical leaves of absence. The university is committed to compliance with all federal and state laws regarding employee leave. Policies are available for review on the webpage of the Division of Human Resources (www.stevens.edu).

3.5 Appointment, Reappointment, Promotions and Tenure for Tenure-Stream Faculty

General

The Faculty of Stevens Institute of Technology reaffirms its commitment to the highest standards of scholarship which will ensure that Stevens' unique approach to education and research advances the university to the highest ranks of schools of engineering, science, systems engineering, business and arts and letters in the nation.

The Faculty, in concert with department chairs (or equivalents), Deans and the Provost, is responsible for maintaining a vigorous intellectual environment that improves Stevens' broad undergraduate and graduate curricula and its multi-disciplinary research programs. Their shared commitment to the highest professional standards will enable Stevens to obtain its goals and objectives.

The Faculty Promotions and Tenure Policy reflects the firm determination of the entire Stevens academic community to uphold the standards that make Stevens a nationally recognized institute of higher learning and research.

3.5.1 Appointment of Tenure-Stream Faculty

When a vacancy occurs for a Tenure-Stream Faculty position, the relevant department chair (or Dean, in the absence of a department chair) will inform the department (or relevant faculty) and form a Search Committee. The Search Committee will be composed of the department chair from the relevant department, if any, and at least two tenure-stream faculty members from the department or program. The department chair (or Dean) will appoint a Chair of the Search Committee. The function of the Search Committee is to identify and evaluate candidates, in collaboration with the Office of Human Resources. The Search Committee will arrange interviews of selected candidates by School/Faculty members. In addition, any candidate recommended for appointment by the Search Committee must make a presentation to a suitable forum of department/School/College faculty members.

The Search Committee will make its recommendations to the relevant Dean. Upon consideration, the Dean will make a recommendation to the Provost who will make the final appointment decision. The Chair of the Search Committee will notify the candidates of the outcome of their application. In the case of a positive decision, the Department Chair (or Dean) will administer the remaining steps in the hiring process.

Tenure-Stream appointments are only made at the ranks of Assistant Professor, Associate Professor and Professor.

3.5.2 Periods of Appointment and Promotion for Tenure and Tenure-Stream Faculty

3.5.2.1 Tenure Clock

No one may hold the Faculty ranks of Assistant Professor, Associate Professor, or full Professor for a combined total of more than seven [7] years without having been found qualified for tenure by the Faculty Committee on Promotions and Tenure and tenure awarded, subject to the Tenure Clock Extension provisions described below.

3.5.2.2 Assistant Professors

Appointments to the rank of Assistant Professor are made for a period of not more than three (3) years. Such appointments are subject to renewal for additional terms of not more than three (3) years each. Appointments for less than three years may be made; however, the total length of service as Assistant Professor shall be no more than seven (7) years. Promotions may be made at the end of any year prior to the end of the seventh year of appointment. If an Assistant Professor is not promoted by the end of the seventh year, the appointment is automatically terminated at the end of the seventh year.

3.5.2.3 Associate Professors

Promotion of Assistant Professors at Stevens to the rank of Associate Professor may be with or without tenure. If without tenure, such appointments are for not more than three (3) years. If promotion to Associate Professor is with tenure, the Faculty member shall have been found qualified for promotion and tenure by the Promotions and Tenure Committee and completed the tenure award process.

Appointments to the rank of Associate Professor of persons not previously holding an academic position at Stevens at the time of appointment may be with or without tenure. If without tenure, such appointments are for a period of not more than three (3) years. If such appointments are made with tenure, the prospective Faculty member shall have been found qualified by the Promotions and Tenure Committee for the award of tenure and completed the tenure award process prior to the effective date of the appointment.

Appointments of Associate Professors are subject to renewal for additional terms, with each term being not more than three (3) years. However, the total length of service as Associate Professor shall not exceed seven (7) years unless the Faculty member has been found qualified for the award of tenure by the Committee and tenure awarded. If an Associate Professor without tenure is not promoted by the end of the seventh year, the appointment is automatically terminated at the end of the seventh year.

3.5.2.4 Professors

Promotions to the rank of Professor shall be made only with tenure. The Faculty member

shall have been found qualified for promotion and tenure by the Promotions and Tenure Committee and awarded tenure.

Appointments to the rank of Professor of persons not previously holding an academic position at Stevens at the time of appointment are for a period of not more than five (5) years and may be with or without tenure. If such appointments are made with tenure, except for appointment as President of Stevens with Faculty rank of tenured professor, the prospective professor shall have been found qualified by the Promotions and Tenure Committee for the award of tenure and completed the tenure award process prior to the effective date of the appointment.

Appointments as non-tenured Professor are subject to renewal for additional terms, each term not to exceed five (5) years. However, the total length of service as Professor shall not exceed seven (7) years unless the Faculty member has been found qualified for the award of tenure by the Promotions and Tenure Committee and tenure awarded.

3.5.2.5 Promotion and Tenure Clock Extension Provisions

- (a) New-Parent Extension Policy: A Faculty member holding a Tenure-Stream appointment who (i) becomes a parent by birth or adoption and (ii) has primary childcare responsibilities, may elect to have the date on which promotion or tenure would normally be considered due to length of service extended by up to one year per birth or adoption event; provided that Faculty may only have a maximum of two such New-Parent extensions regardless of the number of births or adoptions. The option of postponing the date by which promotion or tenure would normally be conferred is separate and apart from whether the Faculty member requests a reduced teaching load or whether they took a family or medical leave or other leave in connection with the birth or adoption of the child and is not tied to the number of weeks of any such leave. Notification of such election must be presented to the relevant Dean and the Office of Human Resources together with verification that the Faculty member has primary childcare responsibilities.
- (b) Family/Medical Leave Extension Policy: The promotion and tenure clocks automatically stop for Faculty members who take a family or medical leave of absence, for the period of the absence. This stopping of the promotion and tenure clocks for family or medical leaves of absence is in addition to any New-Parent tenure-clock extension. Notification of such leave must be presented to the relevant Dean and the Office of Human Resources together with verification that the Faculty member has met the requirements for applicable family or medical leave.
- (c) Extension Policy Regarding Other Personal Circumstances: In the event of other personal circumstances that significantly disrupt teaching and scholarly activities, Tenure-Stream Faculty may request a promotion or tenure-clock extension of up to two years. Such an extension (and its duration) must be approved by the relevant Dean, the Academic Council, and the Division of Human Resources.
- (d) Extension Policy Regarding Professional Circumstances: Any deferment or

extension of the promotion or tenure clock due to administrative or other professional assignments (including an unpaid leave for professional purposes) must be approved by the Academic Council prior to the commencement of these duties. In general, junior Tenure-Stream Faculty should not take on administrative or other duties that could significantly disrupt scholarly progress toward earning tenure.

- (e) Treatment of Sabbatical and Off-Campus Assignments: Time spent on sabbaticals and on university off-campus assignments is included in the calculation of the relevant time period for promotion or tenure.
- (f) A tenure-clock extension does not automatically extend an individual's appointment. Extensions of appointments must be done through the normal reappointment process.

3.5.3 Reappointment Process for Tenure-Stream Faculty

Set forth below is the basic framework for the re-appointment process for all Tenure-Stream Faculty which presumes a sequence of two two-year appointments followed by a three-year appointment prior to consideration for Tenure. A School or College may alter this basic framework for all Tenure-Stream Faculty within the School or College by adopting a policy providing for a sequence of two three-year appointments followed by a one-year appointment for a School or College. This determination by a School or College shall occur pursuant to such School or College's internal procedural rules and on notice to the Provost. Any such determination shall follow the same procedural rules as set forth below with the only variation being the sequence and length of appointments.

3.5.3.1 Faculty in their first two-year appointment

At the end of the first year of the two-year appointment, the candidate for reappointment will submit a report to his/her department chair (or equivalent). The report must contain a curriculum vitae, a summary of activities at the university, a plan of activities for the next three years and any other information deemed pertinent for a reappointment decision. The deadline for submission is September 30.

The department chair or equivalent, delivers the report, together with recommendations of the department chair (or equivalent), to the Department Nominating Committee or School/College Promotions and Tenure Committee. The Committee will evaluate the portfolio of the candidate and provide a written report to the relevant Dean containing its recommendations by mid-October.

The Dean of the School or College will communicate his/her decision to the Department Chair (or equivalent) and to the candidate by February 15. There will be no appeal process.

3.5.3.2 Faculty in their second two-year appointment

At the end of the first year of the current two-year appointment, the candidate for

reappointment will submit a report to his/her department chair (or equivalent). The report must contain a curriculum vitae, a summary of activities at the university, a plan of activities for the next three years and any other information deemed pertinent for a reappointment decision. The deadline for submission is September 30.

The department chair (or equivalent) working with the Department or School Promotions and Tenure Committee will evaluate the portfolio of the candidate and provide a written report to the Dean of the School or College containing its recommendations by mid-October.

The Dean of the School or College, in consultation with the department chairs (and equivalents) of the School or College, will communicate his/her decision to the candidate by February 15. There will be no appeal process.

3.5.3.3 Faculty in their first three-year appointment

At the end of the second year of the three-year appointment (following the passage of two, two-year appointments), the candidate will submit a dossier to their department chair (or equivalent). The dossier must contain a curriculum vitae, a summary of activities at the university, a plan of activities for the next year and any other information deemed pertinent for a reappointment decision. The deadline for submission is September 30.

The department chair (or equivalent) working with the Department or School Promotions and Tenure Committee will evaluate the dossier of the candidate and provide a written report to the Dean of the School containing its recommendation[s] by mid-October. The Dean of the School or College, in consultation with the department chair (or equivalent), will communicate his/her decision to the candidate by February 15. There will be no appeal process.

3.5.3.4 Notification of Non-Renewal

- (a) In all cases where the appointment of a non-tenured Tenure-Stream Faculty member is not to be renewed, the Faculty member shall be notified in writing: by February 15th of the academic year in which the current appointment ends, for appointments ending August 31st.
- (b) by May 15th preceding the academic year in which current appointment ends, for appointments ending January 15th.

If a Faculty member is not notified by the appropriate date specified above, the Faculty member shall automatically receive a relocation appointment for the succeeding one-half (1/2) year. This appointment may be renewed for up to one-half (1/2) year by mutual consent.

3.5.3.5 Relocation Appointments

If a Faculty member has been notified that his or her appointment will not be renewed, the Faculty member may request a “relocation reappointment” meaning that the Faculty member will have an additional period of time at Stevens during which to transition to such member’s next position. Such appointment, if granted, shall not exceed one (1) year. The appointment will terminate at the end of the relocation appointment, if any, and no additional termination notification is required. Requests for relocation appointments must be submitted by the Faculty member to the department chair (or relevant Dean in the absence of a department chair). If such request is approved at the Department or School/College level, the department chair or Dean shall send the request to the Provost who shall grant final approval.

3.6 Awarding of Promotions and Tenure

3.6.1 Criteria for Promotion and Tenure Awards

The term tenure is used to denote that the holder is assured, except in case of the individual's retirement, financial exigency of Stevens, or discontinuance of an academic program or department, that the individual's services shall be terminated only for cause.

Promotions and tenure are awarded at the discretion of the university. Candidates for promotion and tenure are evaluated according to (1) their research and scholarly activities, (2) their instructional skills and performance, and (3) their contribution to the academic and professional community. There are differences among the different disciplines with regard to how a Faculty member should be evaluated, especially with regard to research. General guidelines to be considered are:

A. Scholarly Activities

A tenure-stream Faculty member is expected to be engaged in scholarly activities in an academic field of study. This activity can be measured in a variety of ways depending on the particular academic discipline. These include books, journal articles and other publications (especially in refereed venues); research (especially sponsored research); presentations at professional meetings; supervision of Ph.D. and Master's theses, where appropriate; development of intellectual property; professional consulting activities and involvement with entrepreneurial activities emanating from Stevens research; and evidence of sustained efforts to remain engaged in new advances in his/her field.

B. Instructional Skills

A primary function of a tenure-stream Faculty member is to educate, motivate, advise and inspire students. This is reflected or evidenced in course design, classroom skills, student- teacher interaction, educational development and outreach activity especially in connection with sponsored programs, and the constant search for new and better ways of enhancing the educational experience at the university.

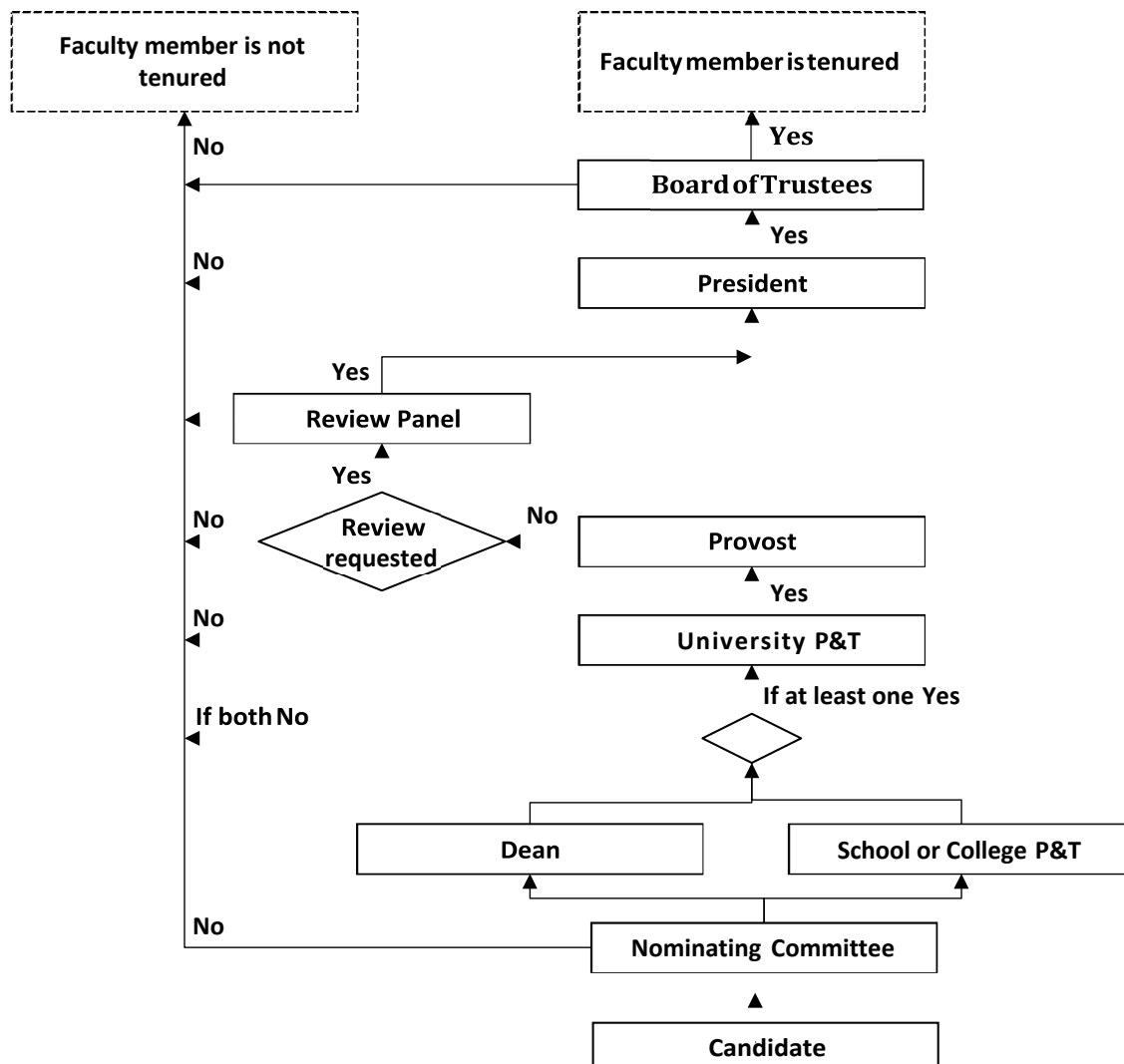
C. Academic and Professional Contributions

Tenure-stream Faculty members are expected to be actively involved in the affairs of the university. This involvement includes continuing participation in Department, School/College and university committees, student advising , and participation at School/College and general Faculty meetings, admissions and recruitment events and other activities supporting the university. Faculty are encouraged and supported to become members of national societies such as the National Academy of Engineering and the National Academy of Sciences. In addition, service to academic, professional and accreditation organization such as ABET are encouraged. Consulting to government or industry may be considered depending upon its significance to the university.

3.6.2 Procedures for Promotions and Awards of Tenure

Promotions or awards of tenure may only be made in accordance with the procedures set forth in this policy. Neither de facto tenure or promotions nor tenure or promotions by default are recognized at Stevens.

The promotion and tenure process of the university is illustrated in Figure 1 and described in the following subsections:



3.6.2.1 Nominating Committee Review

Nominations for promotion or tenure will begin with the “Nominating Committee.” The function of the Nominating Committee is to provide an initial assessment of the merits of a candidate’s application for promotion or tenure and prepare the application for subsequent evaluation. The Nominating Committee will consist of all members of the candidate's Department who are tenured and do not hold any presidential, provostial or decanal title. In the case of a School or College that does not have departments, the Nominating Committee will consist of all eligible members of the candidate's School or College. In the case of a tenure application, the eligible members are all department or academic-unit members with tenure. In the case of an application for promotion to full Professor, the eligible members are all department or academic- unit members who are tenured full Professors. If there are not at least three Faculty members who are eligible to serve on the Nominating Committee, the Faculty Senate will appoint faculty members to the Nominating Committee from a list of qualified Stevens Faculty members submitted to it by the existing members of the Nominating Committee. If there are no Faculty members eligible to serve on the Nominating Committee, the Faculty Senate will appoint a Nominating Committee.

The Nominating Committee will be chaired by the Department chair (or equivalent). If the Department Chair is not eligible to serve on the Nominating Committee or there is no department chair (or equivalent), the Chair will be selected based on a majority vote of the Nominating Committee.

On or about May 1 (September 1 for January hires), the Nominating Committee, by a simple majority vote, will determine whether the faculty member’s case will proceed forward to the collection of letters of recommendation and other supporting materials and inform the candidate accordingly. In the event of a tie vote, the relevant Dean will cast the deciding vote.

On or about September 1 (January 1 for January hires), the Nominating Committee will review all supporting materials and by a simple majority vote will decide whether the Faculty member’s nomination should proceed to the School or College and Dean Promotion and Tenure Review Process and communicate its decision to the candidate. If the decision is reached to proceed with the nomination, the members of the Nominating Committee approving the decision will prepare and sign the letter of Nomination for Promotion and/or Tenure. Nominations recommended by the Nominating Committee for promotion or tenure will explicitly list the vote yea or nay of each member of the Nominating Committee, as well as the tie-breaking vote by the Dean, if applicable.

On or about September 15 (January 15), the Nominating Committee will forward recommended applications for promotion or tenure to the Dean and the School/College’s Promotion and Tenure Committee (3.6.5.3.2).

3.6.2.2 Dean and School/College Promotion and Tenure Committee Review Process

Applications recommended by the Nominating Committee will be independently

evaluated by the School or College Promotion and Tenure Committee and the Dean of the School or College.

Each School/College must have a School/College Promotion and Tenure Committee. The committee shall consist of at least three tenured members of the candidate's School/College chosen by the tenured Faculty of the School/College using a process determined by that Faculty. For cases involving promotion to Professor, the committee members must be tenured Faculty holding the rank of Professor. Non-tenured Faculty members and Faculty members, who hold any presidential, provostial or decanal title are ineligible to serve on a School/College Promotion and Tenure Committee. Faculty members on sabbatical or leaves of absence are eligible to serve on the School/College committee.

If there are not at least three Faculty members eligible to serve on the School/College Promotion and Tenure Committee, the Faculty Senate shall appoint individual(s) from other Schools/College of the university to serve. These additional members will be chosen from a list of qualified names submitted by all tenured Faculty members of the candidate's School/College.

The Nominating Committee and the School/College Promotion and Tenure Committee may consist of the same members.

On or about October 15 (February 15), the School/College Promotion and Tenure Committee will by simple majority vote decide whether each candidate shall be recommended for promotion or tenure and will communicate the results of its deliberations to the Dean of the School/College.

The Dean of each School/College will perform a separate review and provide a positive or negative recommendation on the candidate's application for promotion or tenure. The Dean's review of applications will be concurrent with the review of the School/College Promotion and Tenure Committee.

If neither the School/College Promotion and Tenure Committee nor the Dean of the School/College recommends the application, the application will not be considered further and the candidate will be so informed.

If either or both decisions are positive, the candidate's application for promotion or tenure, along with all supporting materials, will be forwarded to the Provost for distribution to the University Committee on Promotion and Tenure.

3.6.2.3 University Promotion and Tenure Committee Review

The University Committee on Promotions and Tenure (the "Committee") shall evaluate the qualifications of faculty members for tenure or promotion. The Committee shall consist of six tenured faculty members of the rank of Professor, with faculty holding any presidential, provostial or decanal title ineligible for membership, serving two-year

staggered terms. This Committee will include three members elected by the Stevens Faculty by vote and three appointed by the Provost in consultation with the Faculty Senate. At least two of the university's four Schools and College must be represented on the Committee; in addition, in the interest of respecting the diversity of academic disciplines within the university, every effort will be made to exceed this requirement. No Committee member may serve two consecutive, full two-year terms in the Committee. The Committee shall select its own chair. Members of the Committee may serve as members of the Nominating Committee of their academic unit but are ineligible to serve on their School or College's Promotion and Tenure Committee.

On or about November 1 (March 1), the Committee shall be convened by the Provost at or about which time the Committee shall receive from the Provost applications from all candidates recommended for promotion or tenure by the faculty members of their respective School/College, and/or Deans. The Committee shall seek relevant information regarding the nominee from appropriate sources, including but not limited to members of the Nominating Committee and the relevant Dean. Additional sources may include professional colleagues, both inside and outside of Stevens, and other members of the Stevens community. In seeking information, the Committee shall act as a body, and shall not engage as individuals in dialogue pertaining to the Committee deliberations with anyone outside the Committee. However, the Committee, as a body, may authorize subcommittees made up of one or more of its members to gather information pertaining to promotion or tenure.

After considering the qualifications of the nominees, the Committee shall assess each nominee according to the criteria described in Section 3.6.1. Candidates for promotion or tenure must be approved by at least four out of the six members. This rule provides both a two-thirds vote of approval and a simple majority.

On or about December 8 (April 1), the Committee shall submit to the Provost in writing an alphabetical list of candidates indicating the Committee's decision on each. No ranking should be stated or implied.

On or about December 8 (April 1), the Committee shall, in writing, notify all individuals found qualified for tenure or promotion and all individuals not found qualified for tenure or promotion. In addition, the Department Chair and the relevant Dean will be so notified.

3.6.2.4 Provost Review

The Provost shall determine which Faculty members whose names appear on the list of recommended candidates submitted by the University Committee on Promotion and Tenure the Provost is prepared to recommend to the President for promotion or tenure.

On or about January 10 (April 15), the Provost shall provide the chair of the University Committee on Promotion and Tenure with the final list of those faculty members whom the Provost will recommend to the President for promotion or tenure.

On or about January 10 (April 15), in the case of a name submitted by the Committee to

the Provost as qualified for promotion or tenure but one that the Provost will not recommend for award to the President, the Provost shall so notify the Committee, the individual, and the Department Chair or the Dean of the School/College in the case where the School/College does not have departments, in each case giving in writing the reasons an individual's name has not been included on the list of recommended candidates.

Within ten (10) days of receiving notification, a candidate not recommended to the President by the Provost for award of tenure or promotion may request from the University Committee on Promotion and Tenure an evaluation of his/her application by the Review Panel.

The Review Panel shall consist of five members. The University Promotion and Tenure Committee will select one of its members to serve on the Review Panel. The Provost or his/her representative will also serve on the Review Panel. The Provost or his/her representative and the University Promotion and Tenure Committee representative will each appoint a member. The two appointed members will then select the fifth member of the Review Panel. The Faculty serving on the Review Panel shall be tenured and hold the rank of Professor. Faculty holding presidential, provostial and decanal titles and members of the University or School/College Promotion and Tenure Committees shall be ineligible to serve on the Review Panel.

The Committee will convene the Review Panel to consider the qualifications of each faculty member whose name has been submitted for review. In its consideration of each such Faculty member, the Review Panel shall confer with the Department Chairs and with the Deans of all Schools/Colleges to which the Faculty member belongs. By a simple majority vote, the Review Panel will decide whether to forward the candidate (s) to the President for consideration of promotion and/or tenure.

On or about January 30 (May 5), the decision of the Review Panel shall be submitted to the President with a detailed statement of the reasons for that decision. On or about January 30 (May 5), the Review Panel shall also notify each individual in writing of its decision.

3.6.2.5 President and Board of Trustees Review

The President shall determine which Faculty members recommended for promotion or tenure by the Provost or the Review Panel he/she is prepared to submit to the Board of Trustees for final approval.

On or about February 7 (May 15), the President will submit the names of all successful candidates to the Board of Trustees at its next regularly scheduled meeting. After action by the Board of Trustees, the President or his/her designee shall provide the Provost with a final list of approved awards. The Provost then shall notify each Faculty member and the chairs of the University Committee on Promotions and Tenure and the Nominating Committee, in writing, of the Board's action.

On or about February 15 (June 1), the President shall provide in writing, to the University Committee on Promotion and Tenure, the Provost and the individual, the reasons any

individual has not been recommended to the Board of Trustees.

3.6.2.6 Additional Procedural Matters

The Office of the Provost shall retain one copy of each document pertaining to the promotion and tenure process: individual dossiers as submitted to the University Committee on Promotion and Tenure, official letters of transmission to and from the Provost, and official letters to individuals conveying the findings of the University Committee on Promotion and Tenure and the President.

All promotion and tenure deliberations shall be kept strictly confidential at each stage of the review and approval process.

There is no substantive appeal process, however, a procedural grievance may be filed by the candidate by following the grievance process outlined in Section 7 of the Faculty Handbook.

3.6.2.7 Summary of Key Dates/Deadlines

Time Frame	Process
May 1 or September 1	Nominating Committee initially assesses faculty applications for promotion or tenure and determines whether to proceed with the assembly of each complete application.
September 1 or January 2	Nominating Committee will review all supporting materials to decide whether the faculty member's case will proceed to the School/College and Dean Promotion and Tenure Review Process (3.6.2.2) and communicate its decision to the candidate.
September 15 or January 15	Nominating Committee will forward approved applications for promotion or tenure to the Dean and the School/College's Promotion and Tenure Committee (3.6.2.2)
October 15 or February 15	School/College Promotion and Tenure Committee will communicate its decision to the Dean of the School/College

November 1 or March 1	The University P&T Committee shall be convened by the Provost at or about which time the Committee shall receive from the Provost applications from all candidates recommended for promotion or tenure by the faculty members of their respective School/College, and/or Deans (3.6.2.3).
December 8 or April 1	University P&T Committee submits its Recommendations to the Provost (3.6.2.3). University P&T Committee shall, in writing, notify all individuals found qualified for tenure or promotion and all individuals not found qualified for tenure or promotion (3.6.2.3).
January 10 or April 15	Provost shall provide the chair of the University Committee on Promotion and Tenure with the final list of those faculty members whom the Provost will recommend to the President for promotion or tenure. The Provost also notifies the faculty who were found by the University P&T Committee to be qualified for promotion or tenure but that the Provost will not recommend for award to the President (3.6.2.4).
January 30 or May 5	The Review Panel decision for faculty not recommended by the Provost shall be submitted to the President with a detailed statement of the reasons for that decision. The Review Panel shall also notify each individual in writing of its decision (3.6.2.4).
February 7 or May 15	President will submit the names of all successful candidates to the next regularly- scheduled meeting of the Board of Trustees. President shall provide in writing to the chair of the University Committee on Promotion and Tenure, the Provost, the individual

and individual's nominator[s] the reasons any individual has not been recommended to the Board of Trustees.

Promptly following relevant meeting of the Board of Trustees

After action by the Board of Trustees, the President or his/her designee shall provide the chair of the University Committee on Promotion and Tenure and the Provost with a final list of approved (and disapproved) awards and shall notify each Faculty member, in writing, of the Board's action.

3.7 Appointment, Reappointment and Promotions for Non Tenure-Stream Faculty

3.7.1 Appointment of Non Tenure-Stream Faculty

Appointments of Non Tenure-Stream faculty are granted based on the needs of the university. Appointments are in the discretion of the university and in recognition of an individual's fitness, merit, and demonstrated commitment to Stevens and its students and contribution to the university's objectives. Factors considered in evaluating candidates for appointment include instructional skills and performance, scholarly activities, and contribution to the academic and professional community.

When a vacancy occurs for a Non Tenure-Stream Faculty position, the relevant Dean or Department Chair will inform the department (or relevant faculty) and form a Search Committee. The Search Committee will be composed of the Department Chair from the relevant department (or equivalent) and at least two faculty members from that department/program (one tenure-stream and one non tenure-stream). The Dean will appoint a Chair of the Search Committee. The function of the Search Committee is to identify and evaluate candidates, in collaboration with the Division of Human Resources. The Search Committee will arrange interviews of selected candidates by School/College Faculty members. In addition, any candidate recommended for appointment by the Search Committee must have made a presentation to a suitable forum of Department/School/College Faculty members.

The Search Committee will make its recommendations to the relevant Dean. Upon consideration, the Department Chair (or equivalent) and Dean will make a recommendation to the Provost who will make the final appointment decision. The Chair of the Search Committee will notify the candidates of the outcome of their application. In the case of a positive decision, the Department Chair (or equivalent) will administer the remaining steps in the hiring process.

Non Tenure-Stream Faculty shall be granted an appointment for a specified term of years, not to exceed five (5) years.

Non-Tenure Stream Faculty are subject to the terms of their appointment letters and may be terminated prior to the expiration of their appointment for reasons stated in such appointment letter, failure to adequately perform their duties and responsibilities, violation of university policies, financial exigency of Stevens or discontinuance of an academic program or department.

3.7.2 Reappointment of Non Tenure-Stream Faculty

Decisions to renew (reappoint) or not renew Non Tenure-Stream Faculty are made in the discretion of the university based on the needs of the university. Factors considered in evaluating candidates for reappointment include instructional skills and performance, scholarly activities, and contribution to the academic and professional community, as well as institutional needs and priorities.

As a general matter and subject to the discretion of the university as described above (a) for those Non Tenure Stream faculty whose performance meets or exceeds expectations, reappointments shall usually be made for two years at the assistant professor level, three years at the associate professor level and five years at the professor level, (b) the university will strive to notify Non Tenure-Stream Faculty of decisions on reappointment by February 15th and (c) Non-Tenure Stream Faculty whose appointments are not renewed may request an extension or temporary appointment.

3.7.3 Expanded School/College Promotion and Tenure Committees

The School/College Promotion and Tenure Committees will be expanded to perform assessments of Non Tenure-Stream faculty. The Committees will be expanded to include at least two Non Tenure- Stream Faculty members at the rank of Non Tenure Stream Associate or Full Professor who will be appointed by vote of the full-time Faculty of the School/College. For cases involving promotion to Non Tenure Stream Professor, the committee members must be Non Tenure Stream faculty holding the rank of Professor. If there are not at least two Non Tenure-Stream Faculty members eligible to serve on the Expanded School/College Promotion and Tenure Committee, the Faculty Senate shall appoint individual(s) from other Schools/College of the university to serve. These additional members will be chosen from a list of qualified names submitted by the Faculty members of the candidate's School/College.

A review of the performance of each Non Tenure-Stream Faculty member will be conducted by the Expanded Promotion and Tenure Committee within the final year of the appointment prior to consideration for reappointment of such Non Tenure-Stream Faculty member. Performance reviews will be provided to the Dean (and Department Chair or equivalent) and to the Division of Human Resources for use in making determinations as to renewal of appointments, promotion and other matters.

3.7.4 Awarding of Promotions to Non Tenure-Stream Faculty

Applications for promotion of Non Tenure-Stream Faculty will be evaluated by the Expanded Promotion and Tenure Committee of the School or College. In seeking the information required to make its decision, the Committee shall act as a body and shall not engage as individuals in dialogue pertaining to the Committee deliberations with anyone outside the Committee. However, the Committee, as a body, may authorize sub-committees made up of one or more of its members to gather information pertaining to promotion.

On or about December 15, the School/College Expanded Promotion and Tenure Committee will, by simple majority vote, decide whether each candidate shall be recommended for promotion and will communicate its decision to the Dean of the School/College. The Committee will forward all documentation gathered during its deliberations to the Dean.

The Dean may seek additional information to help in his/her decision-making process. Within 30 days of receipt of the Committee recommendation, the Dean will communicate his/her decision to the Chair of the Committee and to the relevant department Chair or equivalent.

If the Dean's decision is positive, the Non Tenure-Stream candidate's application for promotion, along with all supporting materials, will be forwarded by the Dean to the Provost for approval.

The Provost will examine all of the materials submitted by the Committee and may also seek additional information to help in his/her decision-making process.

On or about January 31, the Provost shall provide the Dean and the Chair of the Committee with the final list of those Non Tenure-Stream Faculty members whom the Provost approves for promotion. The Provost's decision cannot be appealed.

All Non-Tenure Stream promotion deliberations shall be kept strictly confidential at each stage of the review process.

3.8 Annual Faculty Evaluations

Each year, all Faculty members shall be evaluated based on performance. The performance evaluation is used for decision-making in areas such as salary adjustment, reappointment, promotion, and tenure.

3.8.1 Faculty Evaluation Process

Faculty shall be evaluated based upon criteria encompassing all areas in which a faculty member is expected to function, with particular emphasis on current performance and most recent achievements. The Faculty member's planned goals and objectives are a key part of the evaluation process. Consistent with the principles of academic freedom, the goals and objectives of Faculty members should be driven by the Strategic Plan of the university, as implemented in each of the individual Schools/College.

On or about July 1 -- The Provost sends a memorandum to the Faculty informing them that a Faculty Activity Report is to be submitted through an online system to their Dean or Department Chair (or equivalent) by September 15. The Faculty Activity Report should detail the individual's activities in the areas of teaching, research, and service for the period July 1 of the previous academic year through June 30 of the previous academic year.

On or about September 15 -- The last day for submitting a Faculty Activity Report to the appropriate Dean or Department Chair (or equivalent).

October 1 through October 31 -- The Dean or Department Chair (or equivalent) meets with each eligible Faculty member in his/her department to review and evaluate the individual's performance during the previous academic year and immediately preceding years. The Dean or Department Chair (or equivalent) may also comment on current performance and recent achievements that extend past June 30. The Dean or Department Chair's (or equivalent) evaluation will be in writing and attached to the Faculty Activity Report. The Faculty member may draft a written rebuttal. Where the evaluation was completed by a Department Chair (or equivalent), a copy of the Faculty Activity Report and evaluation will be forwarded to the Dean.

November 1 through November 15 -- The Deans meet with their Department Chairs (or equivalents) to review their evaluations of their Faculty. The Deans may then add their comments to the Faculty Activity Reports.

3.8.2 Salary Adjustment Procedure

Faculty members may be eligible for participation in merit and/or incentive compensation plans that Stevens may institute from time to time. For each, the decision whether to award and the amount to be awarded is determined at the discretion of the Dean, the Provost, and the Board of Trustees, and will depend on a number of factors, including Stevens' overall finances. The Provost and the Deans will have the assessment information collected through the Faculty evaluation process described above and will consider such information in making recommendations for salary adjustments and incentive compensation for the Faculty. Individual members of the Faculty shall be notified of decisions on salary adjustments and incentive compensation on or about January 1 of each year with respect to the assessment process conducted during the prior year.

3.9 Dismissal, Suspension, or Other Sanctions

Dismissal or suspension without pay of Tenure Stream Faculty is an extreme measure, undertaken only for the protection of the university and its members. Charges against Tenure-Stream Faculty members which could lead to dismissal or suspension without pay shall be based upon the following stated criteria and processed in accordance with the procedures outlined below.

3.9.1 Criteria

Dismissal or suspension with or without pay for a stated period shall be restricted to cases of: (a) substantial and manifest neglect of duty; or, (b) demonstrated incompetence or dishonesty in teaching or research; or, (c) personal misconduct which substantially impairs the individual's fulfillment of his/her responsibilities to Stevens.

3.9.2 Process

3.9.2.1

Nothing in the procedures detailed below shall be interpreted as barring attempts to settle a case through informal discussions. If a settlement is reached with the mutual consent of the faculty member involved, the Provost, and the Professional Practices Committee, the formal proceedings shall terminate immediately.

3.9.2.2

The university maintains certain institutional policies which have been adopted in order to comply with applicable law ("Policies"), and such Policies may expressly require separate procedures or supersede the procedures described in this Section. The university's Policy on Gender-Based and Sexual Misconduct is an example of such a Policy. The procedures of any such Policy shall apply and shall override the procedures described in this Section to the extent required by such Policy.

3.9.2.3

Charges against a Faculty member shall be in writing and shall be directed to the Provost for transmittal to the Professional Practices Committee, with copies to the individual charged and to the President.

3.9.2.4

Upon receipt of a charge against a member of the Faculty, the Professional Practices Committee shall convene within twenty working days. It shall conduct a thorough hearing on the merits of the charge. The Committee shall conduct the hearing pursuant to rules it establishes, grant adjournments, and make other rulings as required. In conducting the hearing, the Professional Practices Committee shall act as a body. The Professional Practices Committee shall send written notice of the time and place of the hearing to the faculty member involved, to the individual bringing the charge, and to the Provost and the President. The Professional Practices Committee shall appoint one of its members to take minutes of each meeting of the Committee including all testimony heard by the Committee. Hearings shall not be public, nor shall public announcements of the proceedings or their results be made.

3.9.2.5

At a hearing conducted by the Professional Practices Committee:

The Faculty member against whom the charge has been brought shall have a right to testify in his/her own behalf.

He/she may be accompanied by a personal representative of his/her own choosing from within the Stevens community. The personal representative shall have the right to testify at the request of the Faculty member involved. The university may also be represented by any representative of its own choosing from within the Stevens Community.

The individual bringing the charge shall testify at the hearing if he/she asks to testify or is requested to testify by the Professional Practices Committee.

The Faculty member against whom the charge has been brought shall have the right to be present at the testimony of, and cross-examination of, the individual bringing the charge and any other witness.

The members of the Professional Practices Committee shall have the right to question any individual testifying before the Committee.

The Professional Practices Committee will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

The Professional Practices Committee will make findings and recommendations on whether the charges brought and the proposed sanction are justified within the terms of Section 3.9.1. The Professional Practices Committee will make every effort to conduct its hearing expeditiously and complete its deliberations within a period of eight weeks. If there are extenuating circumstances, the Professional Practices Committee shall inform the Provost of the reasons for the delay and seek an extension.

After the hearing, and based only on evidence presented at the hearing, the Professional Practices Committee shall decide whether to recommend sustaining the charge, or any of the charges if there are more than one, or dismissing the charge.

The Professional Practices Committee's recommendations, with the reasons therefor, shall be transmitted to the Provost in writing.

Taking full cognizance of the recommendations of the Professional Practices Committee, the Provost will: notify the individual and the President in writing that the charges are dismissed and no further action will be taken; or, notify the individual and the President in writing that the original charges are sustained and his/her recommendation regarding dismissal, suspension, or other sanctions. The President must then review the Provost's recommendation and notify the individual of his decision to accept the recommendation

or to impose a different penalty.

The individual shall have the right to appeal the President's decision to an Appeals Board. The Appeals Board shall consist of five tenured faculty members; two tenured faculty members or administrators who hold academic rank with tenure appointed by the Provost; two tenured faculty members appointed by the Faculty Senate; and a fifth member chosen by the four. In the event that the four members are unable to agree, by majority vote, on the fifth member, the Provost in consultation with the Faculty Senate shall designate the fifth member. Members of the Appeals Board shall not be parties to the case heretofore. Appeals must be made to the Appeals Board within ten working days following notification by the President.

If, in the light of the recommendations of the Professional Practices Committee, the Provost's recommendation, and the Appeals Board decision, the President finds that dismissal, suspension or other sanctions are warranted, he/she shall present those recommendations and decisions to the Board of Trustees. The Board of Trustees shall then determine the disposition of the case. The Faculty member involved, the group or the individual bringing the charges, the Provost, the Appeals Board, and the Professional Practices Committee shall all be notified in writing of the decision of the Board of Trustees which shall be final and binding on all parties.

3.10 Faculty Personnel Files

Individual personnel files shall be maintained for each Faculty member by the Division of Human Resources and the office of the Dean of the Faculty member's School/College. Information relating to payroll and fringe benefits shall be maintained in the Payroll Office and the Division of Human Resources.

3.10.1 Contents

The university and School/College personnel files may contain the following items:

- (a) Transcripts supporting claims of academic degrees.
- (b) Documents supporting claims to professional training.
- (c) Letters or records describing work experience.
- (d) Copies of all letters of employment and other documents issued by Stevens relating to employment at Stevens.
- (e) Documents relating to professional growth or performance.
- (f) Documents pertaining to resignation or discharge.
- (g) Documents indicating special competencies, achievements, scholarly research, academic, professional or other contributions.
- (h) Faculty Activity Reports.
- (i) Annual reviews.
- (j) Any statement that the Faculty member wishes to have entered in response to or in elaboration of any other item in his/her file.

3.10.2 Access

The individual Faculty member, on giving reasonable written notice, may request reasonable access to his/her own personnel files during normal business hours under conditions which protect the integrity of the files, and may request copies of material in his/her files. The university shall not unreasonably withhold such approval.

Written recommendations and comments pertaining to a faculty member's professional performance obtained on a confidential basis from sources outside the university and other materials relating to the internal administration of the university may be kept confidential.

4. FACULTY SENATE AND FACULTY COMMITTEES

4.1 Faculty Senate

4.1.1 Faculty Senate

Prologue:

In its role as a key partner in the governance of the university, the Faculty-at-large is responsible for being engaged in the most crucial matters affecting Stevens. The partnership among Faculty, the Administration, and the Board of Trustees, facilitates the university's success in meeting its goals. The Faculty Senate represents the Faculty-at-large in upholding its responsibilities in this partnership. The Senate keeps the Faculty-at-large informed of key issues in governance and seeks to engage Faculty in these issues through committee service and individual effort. The Faculty Senate collaborates closely with the Provost, the President and other constituencies towards achieving excellence in all endeavors of the university. This Section of the Faculty Handbook sets forth the charges, membership, and process for election of Faculty to the Faculty Senate and its associated Executive Committee.

4.1.2. Charge

The Faculty Senate is charged as follows:

- The Faculty Senate represents the interests of the Faculty-at-large in all matters that may affect them.
- The Faculty Senate is the guardian of the principles of academic freedom and advocates mechanisms which foster and sustain academic freedom.
- The Faculty Senate is recognized as an advisory and consultative body to the Provost, President, and the Board of Trustees on matters pertaining to the university's educational and research objectives.
- The Faculty Senate facilitates coordination and the flow of information among the Faculty, Faculty Committees, the President, the Provost and other officers, and the Board of Trustees.
- The Faculty Senate may inquire into matters having implications for the academic function and welfare of the university and make recommendations concerning such matters to the appropriate persons or bodies within the university
- The Faculty Senate shall strive to enhance accountability for academic integrity, excellence, and the overall quality of the university.
- The Faculty Senate may recommend policies and procedures that enhance the quality of Stevens' faculty, academic programs and curricula.
- The Faculty Senate represents, informs, and engages all Tenure Stream, Non-Tenure Stream, and Adjunct Faculty of Stevens and facilitates their participation in academic life on campus.
- The Faculty Senate prepares the groundwork for Faculty deliberations and conducts regular and special Faculty meetings. Regular Faculty meetings are held five times per year and the Provost and Faculty Senate Chair preside on an alternating basis.
- The Faculty Senate actively participates in strategic planning activities of the university.

- The Faculty Senate supervises revisions to the Faculty Handbook on behalf of the Faculty.
- The Faculty Senate uses appropriate means to maintain strong communication with its constituents and others.
- The Faculty Senate coordinates with each of the Faculty Standing Committees periodically throughout the academic year in order to advise them on pressing issues facing the Faculty and the university, particularly those that fall within the purview of their committee.
- The Faculty Senate performs other functions as may be requested or delegated to the Faculty Senate by the Faculty or by other constituencies within the university.

4.1.3 Membership

The Stevens Faculty Senate consists of Senators elected directly by Faculty in the Schools and College/s of Stevens, *ex officio* Senators, and Senators who are elected from identified peer groups as described below. The Senators directly elected from the Schools and College/s constitute the Executive Committee of the Faculty Senate.

The Executive Committee of the Faculty Senate shall consist of the seven Senators directly elected by the Tenure Stream Faculty of each School or College to represent them. The Executive Committee is comprised as follows: four Senators from the Schaefer School of Engineering and Science, one from the School of Business, one from the School of Systems and Enterprises, and one from the College of Arts and Letters. This distribution reflects the Faculty census undertaken in the 2021 academic year. The total number and the distribution of directly- elected Senators shall be reviewed periodically by the Faculty Senate and appropriate adjustments made as necessary.

In addition, there are three peer groups which will, at all times, be represented on the Faculty Senate. These groups are (1) teaching Faculty who are Non-Tenure Stream and have titles of assistant, associate or full professor (which may include professors of practice and industry professors, “teaching faculty”), (2) research Faculty who are non-tenure stream and have titles of assistant, associate or full research professor (“research faculty”), and (3) assistant professors (“assistant professors”). The representative Senators for these peer groups will be directly elected via a vote by all Faculty (Tenure Stream and Non-tenure Stream).

Ex officio Senators serve by virtue of their positions and for the period they hold such positions. Ex officio senators are comprised of the two Faculty members elected to the Board of Trustees; and the elected chairs of the Academic Planning and Resources Committee, the Committee on Committees, and the University Promotion and Tenure Committee.

The Faculty Senate may meet as mutually-agreed with the President, Provost, Chief Financial Officer, undergraduate students, graduate students and others as appropriate.

4.1.4 Faculty Senate Meetings

The Faculty Senate will meet regularly during the academic year on a schedule to be determined by the Faculty Senate and distributed to the Faculty, the President and the

Provost. The Senate will adopt best practices in the administration of its functions. The Chair of the Executive Committee will be the Chair of the Faculty Senate.

4.1.5 Executive Committee of the Faculty Senate

The Executive Committee is the working arm of the Faculty Senate. It consists of the seven Senators who are elected directly by Faculty in the Schools and Colleges of Stevens. Each Senator shall serve staggered two-year terms. The duties of the Executive Committee include calling meetings and distributing agendas of the Faculty Senate, and overseeing and expediting the work of all Faculty committees; maintaining records of actions, reports of committees, and other records as necessary; and the review and certification of the voting faculty lists. The Executive Committee shall obtain the approval of the entire Faculty Senate in order for its decisions to be effective and bind the Faculty except that, where the Executive Committee of the Faculty Senate has an explicit role in administration of a policy (for example, the grievance policy), the action of the Executive Committee shall be binding without further action. The Executive Committee shall have access to secretarial and web administration assistance.

The Executive Committee of the Faculty Senate will select its Chair and Vice-Chair from among its members; provided that the Chair shall be selected from among the members at the rank of Professor if possible based upon the then-current membership. The Executive Committee may elect any other officers from among its membership whom it deems appropriate.

4.1.6 Eligibility of Directly-Elected and *Ex Officio* Senators and the Nomination Process

Tenured Faculty members are eligible to become Faculty Senators elected directly by faculty in the schools and colleges of Stevens. Candidates must have been a member of the Stevens faculty for at least four full years. Persons holding presidential, provostial or decanal titles are not eligible to serve as directly-elected Senators or Senators elected from the peer groups.

Nominations for the Executive Committee must be made in writing and may be either self-nominations or nominations endorsed by two members of the Faculty. Such nominations must be delivered to the Committee on Committees at least one week prior to the date of the election.

Faculty members who are *ex officio* Senators may be tenure stream or non-tenure stream Faculty, and shall not run for election as a directly-elected school or college representative during the same period in which such person serves as an *ex officio* Senator.

Candidates from the three peer groups of non-tenure stream teaching Faculty, Non-tenure Stream research Faculty and Tenure Stream assistant professors must have been members of the Stevens Faculty for at least four full years.

Only teaching and research Faculty who spend the majority of their time at the Hoboken campus of Stevens are eligible to be elected as Senators. Faculty who are appointed or elected to these positions shall not hold any presidential, provostial, or decanal titles.

The Committee on Committees will have the final decision on all questions of eligibility and provide the Faculty Senate with a written report on their decisions involving any dispute.

4.1.7 Terms of Office

Ex officio Senators serve as per their terms of office.

Directly-elected Senators representing the Schools and Colleges of the university are elected for a three- year term of office. Directly-elected Senators may run for re-election for another three-year term immediately following the one for which the candidate is elected. After six years, the Senator may not run again for two years.

Faculty who are elected from peer groups shall serve for three years at a time but not more than six years in a row. After six years, such Faculty may not serve again on the Senate for two years.

In all cases, a Faculty member may not serve for more than six years in an eight-year timeframe. Unexpired terms shall be filled by special election or during the next regularly-held election. The elected representatives shall hold office until the first meeting of the Senate after their successors are announced.

4.2 **Committees of the Faculty**

4.2.1 Committee Membership

Rules governing membership on each Faculty committee are set forth below. With respect to Schools with departments, no more than one member from any department may serve on a particular Faculty committee (recognizing that the Faculty Senate is not a Faculty committee). In the event of special circumstances, this limitation may be waived by the Faculty Senate upon request of the Committee on Committees.

4.2.2 Committee Reports and Planning

Each Faculty committee will submit to the Committee on Committees an annual report, including a written plan of action for the next year for distribution to the Faculty prior to the last Faculty meeting of the academic year. Each committee will also present a verbal summary report to the Faculty at the last Faculty meeting of the academic year. Other written or verbal reports may be submitted by the committee or presented to the Faculty as each committee sees fit. In addition, each committee chair or a designee will present the committee's plans for the academic year at a meeting called by the Faculty Senate early in the fall semester.

4.3 Standing Committees of the Faculty

4.3.1 Standing Committees

Standing Committees shall exist at all times, meet regularly and be staffed as provided below. Non- Standing Committees shall be committees of the Faculty which shall exist at all times, meet only as necessary and be staffed as provided in Section 4.4 below.

4.3.1.1 Academic Planning and Resources (APAR) Committee

Charge: This committee provides advice to the university and represents the Faculty on all issues related to the financial, human and physical resources of the university. APAR may form subcommittees as required to accomplish its tasks.

Financial and Human Resources: APAR will play a key consultative and participatory role in the planning and budgetary processes of the university, and monitor and report on planning and financial matters to the Faculty. The Committee will be consulted at an early stage in these processes so that it can provide Faculty input before final decisions are made.

Physical Resources: APAR will monitor and report on the condition and allocation of physical space such as classrooms and laboratories. The Committee will also oversee the activities of its Library Sub-Committee.

Library: APAR shall work with library staff, Faculty and students to ensure that the library is capable of meeting the present and future educational and scholarly requirements of students and Faculty.

Membership: The committee will consist of Tenured Faculty members, and Non-tenure Stream Faculty. Non-tenure Stream members must be at the rank of Professor. Four Tenured Faculty and one Non-tenure Stream Faculty will be elected. The Faculty Senate will appoint two additional members, one of whom must be tenured. There will be at least one Faculty member from each college and school, but no more than three from any given college or school. Committee members shall serve three year staggered terms. Faculty elected to the Finance, Investment, and Facilities Committees of the Board of Trustees will be invited to attend committee meetings without voting rights. The committee will elect its own chair.

4.3.1.2 Research and Entrepreneurship Committee

Charge: The Research and Entrepreneurship Committee is an advisory body to the administration and faculty on all matters pertaining to research and entrepreneurial activities of the university. The Research and Entrepreneurship Committee will monitor policies that impact Faculty research such as grant support, research overhead distribution, laboratory infrastructure, and information technology support. Members of the committee will participate in decisions related to the selection of competing Stevens grant proposals when the number of such proposals is limited by the funding agency. In

addition, the Research and Entrepreneurship Committee will select members of the Stevens faculty to serve on the University Intellectual Property Committee upon request of the Provost (as provided in the Patent Policy or otherwise).

Membership: The voting membership will consist of Tenured and Non-tenure Stream faculty. The Vice Provost for Research and Innovation (or equivalent positions) will serve as an ex-officio member without voting rights. Others may be invited by the committee to attend without voting rights. Four members of the Tenure Stream Faculty and one Non-tenure Stream Faculty member at a rank equivalent to Assistant Professor or above with at least three years of service at Stevens will be elected for staggered two-year terms. Faculty elected to the Research Enterprise Technology Commercialization Committee of the Board of Trustees will be invited to attend committee meetings without voting rights. The Committee will elect its own chair from the five elected members.

4.3.1.3 Academic Appeals Committee

Charge: This Committee will hear appeals by students on any action taken by the office of Graduate Education, the Dean of Undergraduate Education, the Honor Board, or any other undergraduate or graduate juridical group relating to academic matters with the exception of the Academic Appeals Committee. It will not deal with non-academic matters.

It may affirm or reverse an academic action, modify a decision, or return the matter to the body having original jurisdiction with an explanation of its reasons for doing so. The Committee shall be responsible for its own standards and procedures which must be consistent with this Faculty Handbook and other governing documents of the university. The Committee will file detailed reports of its actions with the Provost.

The Provost has the authority to affirm, reverse or modify an action of the Committee and shall inform the Committee of all actions resulting from appeals of its actions.

Membership: The voting membership will consist of Tenure-stream and Non-tenure Stream Faculty. Four Tenure-stream Faculty members and one Non-tenure Stream Faculty member at a rank equivalent to Assistant Professor or above, in each case with at least three years of service at Stevens, will be elected by the Faculty. Two Tenure Stream Faculty will be appointed by the Provost. Terms will be for two years and will be staggered. The committee will elect its own chair.

4.3.1.4 Committee on Committees

Charge: This Committee will solicit and propose nominees from the Faculty for the standing committees of the Faculty and for Faculty participants on the Board of Trustees and on those Board committees which have Faculty participation. The Committee shall from time to time review election procedures.

At the request of the Faculty Senate, the Committee on Committees will identify and recruit members of the Faculty to serve on various Faculty and institutional committees.

By the last Faculty meeting of each academic year, the Committee shall compile a list of members, including the chair of each Faculty committee and distribute the list to the Faculty. The Committee will also collect, compile, and distribute annual reports from each Faculty committee.

Membership: The voting membership will consist of Tenure Stream and Non-tenure Stream Faculty. Four Tenure Stream Faculty members and one Non-tenure Stream Faculty member at a rank equivalent to Assistant Professor or above, in each case with at least three years of service at Stevens, will be elected by the Faculty for staggered two-year terms. The committee will elect its own chair.

4.3.1.5 University Committee on Promotion and Tenure

Charge: This Committee will evaluate the qualifications and recommend Faculty for promotion beyond the rank of Assistant Professor and for the award of tenure. This Committee is bound by the Promotion and Tenure Policy of the university set forth in Section 3.6.

Membership: The Committee shall consist of six tenured Faculty members of the rank of Professor serving two-year staggered terms in accordance with Section 3.6.2.3. This Committee will include three members elected by the Stevens Faculty with a vote and three appointed by the Provost in consultation with the Faculty Senate. At least two of the university's four schools and college must be represented on the Committee. In addition, in the interest of respecting the diversity of academic disciplines within Stevens, every effort will be made to exceed this requirement. No Committee member may serve two consecutive, full two-year terms in the Committee. The Committee shall select its own chair. Members of the Committee may serve as members of the Nominating Committee of their academic unit and participate in other activities regarding appointments within their School or College but are ineligible to serve on their School or College's Promotion and Tenure Committee.

4.3.1.6 University Curriculum Committee

Charge: The University Curriculum Committee will serve as the Faculty liaison with the Administration on any issues that affect the delivery, or assessment of the Curriculum, including efforts to enhance the pedagogy of teaching at Stevens. In particular, the Provost will bring to the University Curriculum Committee for discussion and advice all significant matters coming to his/her attention that apply across the different Schools and College and impact the university's overall Curricula. The Committee may be called upon by the Administration or the Faculty Senate to participate in proactive strategic-level planning with regards to the Stevens Curriculum. The Committee may, when appropriate, also work with the Administration to oversee extra-curricular elements that directly impact student learning, such as experiential learning and career development. The Committee will work with the Administration to address issues affecting the different Schools and College and both undergraduate and graduate studies. In addition, the University Curriculum Committee will oversee the efforts of the Undergraduate

Studies and Graduate Curriculum Committees, as described below.

Membership: The voting membership will consist of seven Faculty members. Three Tenured Faculty members will be elected by the Faculty for staggered two year terms. The remaining four Faculty members (who may be Tenure Stream or Non-tenure Stream) will be appointed for two year terms by the Faculty Senate from the membership of the Undergraduate Studies Committee and the Graduate Curriculum Committee, respectively, in a manner which balances representation with respect to undergraduate and graduate focus and ensures that there will be at least one Faculty member from each school. Faculty who are appointed to this Committee shall not hold any presidential, provostial, or decanal title. The Provost (or his/her designee) will be invited to attend without voting rights. Others may be invited by the Committee to attend without voting rights. The Committee will elect its own chair from among those members who are Tenure Stream Faculty.

4.3.1.7 Undergraduate Studies Committee

Charge: In recognition of the fact that , at the undergraduate level, many curricular decisions are the responsibility of the individual School/College curriculum committees, the primary function of this Committee is to systematically foster communication and cooperation among the different academic units of the university. All significant curricular changes originating at the School/College curriculum committee level must be brought before the Undergraduate Studies Committee before implementation. The Undergraduate Studies Committee will then review these changes and provide written feedback to the School/College curriculum committee, the University Curriculum Committee, and the Provost. The School/College Curriculum committee will reply to this feedback in writing prior to implementation. The goal of this process is to encourage refinement of academic proposals prior to their implementation while facilitating communication of such changes to the entire Faculty. Members of the Undergraduate Studies Committee will brief their respective School/College curriculum committees on its proceedings.

Membership: The Dean of each School/College will appoint two (2) members of their respective School/College (Undergraduate) curriculum committees to the Undergraduate Curriculum Committee, at least one of whom must be a Tenure-stream Faculty. A ninth member will be appointed by the Faculty Senate from the Tenure-stream faculty. Faculty who are appointed to this Committee shall not hold any presidential, provostial, or decanal title. These nine members comprise the voting membership of the Committee. The non-voting membership will consist of the Provost (or his/her designee) and two undergraduate students appointed or elected in a manner determined by the students. Others may be invited by the Committee to attend without voting rights. The Committee will elect its own chair from the Tenure- stream Faculty on the Committee.

4.3.1.8 Graduate Curriculum Committee

Charge: This Committee will be concerned with maintaining the strength of graduate education at Stevens. The Committee will review academic standards, the graduate

curriculum, and the academic status of graduate students. The Committee will approve specific courses and programs and will work with the Administration to formulate relevant policies.

Membership: One Faculty member will be appointed by the Dean of each School and College to serve for a period of time determined by the Dean. These appointees comprise the voting membership of the Committee and may consist of Tenure-stream and Non-tenure Stream Faculty. Faculty who are appointed to this Committee shall not hold any presidential, provostial, or decanal title. The non-voting membership will consist of the Dean of Graduate Education (or equivalent), the Registrar, and two graduate students appointed or elected in a manner determined by the Graduate Student Council. Others may be invited by the Committee to attend without voting rights. The Committee will elect its own chair from those members who are Tenure- stream Faculty.

4.3.1.9 Academic Operations and Affairs Committee

Charge: This Committee will work with the Administration on policies concerning student academic affairs and implementation of these policies. Such policies shall include, but are not limited to, those relating to student satisfaction, student success, retention, and academic advising at both the undergraduate and graduate level. The Committee will consult with the Administration and the Faculty regarding standards of scholarship, education, grading, tests, examinations, attendance, admissions, and the awarding of advanced standing and transfer credit. The Committee shall also participate in the Honor System insofar as it affects academic standards. Lastly, the Committee shall serve as a liaison between the Faculty and students through the appropriate undergraduate and graduate student organizations, and make recommendations for the improvement of student community life at Stevens to any appropriate body.

Membership: The voting membership will consist of Tenure-stream and Non-tenure stream Faculty. Four Tenure-stream Faculty, and one Non-tenure Stream Faculty member at a rank equivalent to Assistant Professor or above with at least three years of service at Stevens will be elected by the Faculty. In addition, the Provost and the Faculty Senate will each appoint one additional member from the Tenure Stream, or Non-tenure Stream with at least three years of service at Stevens. Terms will be for two years. Faculty who are appointed to this Committee shall not hold any presidential, provostial, or decanal title. Additional members of the Committee will include the Vice Provost for Academic Innovation and Faculty Affairs or designee, the Dean of Student Life, and the Dean of Graduate Student Affairs (or their equivalent positions). Two undergraduate and two graduate students will also be members of the Committee but will vote only on matters related to student affairs. The students will be appointed or elected in a manner determined by the Student Government Association. Others may be invited by the Committee to attend without voting. Faculty elected to the Academic Affairs and Alumni and Development Committees of the Board of Trustees may be invited to attend without voting. The Committee will elect its own chair from those members who are Tenure-stream Faculty.

4.3.2 Election Procedures

The election procedures below shall apply to elections for the Faculty Senate and Standing Committees of the Faculty, as referenced below.

4.3.2.1 Eligibility

Unless stated otherwise, to be eligible for election as a representative on one of the standing committees listed in Section 4.3.1:

- (a) a nominee must be a Faculty member who has stated a willingness to serve,
- (b) the candidate must have been a member of the Stevens Faculty for at least one full year,
- (c) candidates may be nominated without restriction based upon prior service,
- (d) the candidate must be nominated and elected according to the procedures described in this Section 4.3.2.

The Committee on Committees shall have the final decision on all questions of eligibility of members.

4.3.2.2 Nominating Procedure

The Committee on Committees will make an announcement at a regular meeting of the Faculty, and by mail (which may be email), on or before March 31 of each year, requesting volunteers or nominations for candidates to the various committee posts which must be filled.

The nominees will be announced by the Committee on Committees by mail (which may be email) on or before April 15.

Nominations shall remain open for at least one week following the announcement of the slate by the Committee on Committees prior to elections.

4.3.2.3 Election Procedure

The Faculty Senate will approve the lists of Faculty who are eligible to vote and send the list to the Committee on Committees prior to each election.

The Committee on Committees will conduct an election for members of all Standing Faculty Committees using an electronic voting program or email ballot. The ballot will contain the candidates' names in alphabetical order.

All eligible voting Faculty (Tenure and Non-tenure stream) are eligible to vote within each category, with the exception of the University Promotion and Tenure Committee, for which only Tenure-stream Faculty shall be eligible to vote.

The person receiving the highest number of votes in each category will be declared elected. In case of a tie, the decision will be made by lot.

The results of the election will be announced by email no later than May 10 of each year.

The Committee on Committees will conduct special elections as required to fill vacant elected positions on Faculty committees. The Committee on Committees will make nominations and conduct the elections following the procedures in Sections 4.3.2.2 and 4.3.2.3 without regard to the dates in such sections. The winner of a special election will be elected to serve for the remainder of the unexpired term.

4.3.2.4 Term of Office

Unless stated otherwise, Committee members will be elected for a two-year term of office to provide continuity in faculty representation.

An elected representative will enter office immediately upon the announcement of the election results.

Unless specifically indicated in a Committee's charge, each Standing Committee will elect its own Chair. It shall be the responsibility of the previous Chair to convene the first meeting of the Committee following the election or appointment of new members. The Committee shall then elect its own Chair for the following year. These results will be conveyed immediately to the Committee on Committees who will notify the Faculty in writing of all Committee membership by May 15. In cases where the previous Chair is not available, the Committee on Committees will be responsible for convening the first meeting.

4.4 Non-Standing Committees

This section contains descriptions of committees that are not Standing Committees of the Faculty. These Committees shall exist and shall meet from time to time as necessary.

4.4.1 Intellectual Property Advisory Committee

Charge: The Office of Innovation and Entrepreneurship (OIE) administers the Intellectual Property Advisory Committee (IPC) which may be convened from time to time to review invention disclosures arising from Faculty, students and staff and recommend appropriate action and/or to advise the Provost in the resolution of disputes or questions of interpretation under Stevens' Intellectual Property policies.

Membership: The IPC will be coordinated by the Vice Provost for Research and Innovation who serves as committee chair. Depending upon the purpose for convening the Committee, the IPC will contain one or more Faculty members as determined by the Provost in consultation with the Faculty Senate (as provided in the Patent Policy).

4.4.2 Professional Practices Committee

Charge: The Professional Practices Committee shall carry out the duties assigned to it in Section 3.9.

Membership: The Professional Practices Committee is composed of three tenured faculty members appointed by the Provost from a slate of six names prepared by the Faculty Senate. . The Committee will select its own chair. Members of the Committee who are parties to any case before the Committee shall recuse themselves from serving on the Committee during the progress of any case or decision-making process which involves such person(s). The Provost, with the approval of the Faculty Senate, will appoint any replacement, if required.

4.4.3 Promotion and Tenure Review Panel

Charge: The Review Panel shall carry out those functions set forth in the Promotion and Tenure Policy of the Institute, Section 3.6.2.4.

Membership: The members of the Review Panel shall be determined as set forth in Section 3.6.2.4.

4.5 Faculty Service with the University's Board of Trustees

4.5.1 Criteria and Procedure for Election of Faculty Members as Trustees on the Board of Trustees and as Participants on Board Committees.

The purpose of this Section is to provide the criteria and election procedure for Faculty members to be considered for participation as Trustees of the Board of Trustees and as Faculty Participants on certain committees of the Board. It is the Board's intention to have two Faculty members serve as Trustees on the Board of Trustees and two Faculty members serve as Faculty Participants on each of the Board committees listed below, in each case on a staggered basis. One Faculty member will be selected each year to a two-year term as a Trustee of the Board and one Faculty member will be selected for a two-year term as a Faculty Participant on each of the Board committees listed below.

Faculty members may serve, either as a Trustee or Faculty Participant, for one additional consecutive two year term upon re-nomination by the Nominating and Corporate Governance Committee of the Board. After completion of their final term, Faculty may be renominated to serve as a Trustee or Faculty Participant on a particular committee after a two-year absence. No Faculty member shall serve as a Trustee or Faculty Participant on a particular committee for more than four two-year terms in the aggregate.

Faculty members who serve as members of the Board of Trustees will be subject to the same membership criteria and requirements as other members of the Board as defined in the university's By- Laws.

The selection process will be conducted each spring by the Committee on Committees culminating in a presentation no later than May 1st of each year of Faculty nominations to the Nominating and Corporate Governance Committee for further nomination to the Board at its final meeting of the academic year.

4.5.2 Procedure and Qualifications for Nomination of Faculty to the Board and Board Committees

The Committee on Committees will accept volunteers and nominations for Faculty to serve as Trustees and as Faculty Participants on Board Committees. Nominations can originate from anyone within the faculty. The Committee will conduct the nomination process to arrive at names to submit to the Nominating and Corporate Governance Committee of the Board for consideration, nomination and further action by the Board no later than May 1st of each year. The Committee on Committees will certify that each Faculty candidate has a minimum of four years of academic experience at Stevens as a full-time Faculty member, a record of service with two or more university or School committees, and does not hold any presidential, provostial or decanal titles.

Any individual can stand for a Faculty Participant role with only one committee each year.

Volunteers and nominations should be accompanied by a concise statement regarding teaching and scholarly achievement (e.g., research papers, texts, monographs) and/or technological initiatives (e.g., patents) and previous contributions at the Department, School, or university level. Nominees should also highlight their qualifications to serve on a particular committee and any special expertise the nominee might bring to committee or Board service.

The Committee on Committees will review the nominations and will organize a slate of Faculty candidates for each Trustee and Faculty Participant position. There will be at least two nominations for each vacant Faculty Participant position and three nominations for each Trustee position.

The Committee on Committees will conduct the elections during the spring semester.

The Committee on Committees will convey a list of the three nominees who received the most votes to the Dean of Academic Administration. Those names will be presented by the Dean of Academic Administration to the Nominating and Corporate Governance Committee.

The Nominating and Corporate Governance Committee will, from among the names submitted to it, nominate Faculty as Trustee and Faculty Participants to participate with the Board and its committees.

The Board will elect faculty to fill each open Trustee and Faculty Participant position.

4.5.3 Board Committees Designated for Faculty Participation

- Alumni and Development

- Academic and Student Affairs
- Facilities
- Finance
- Investment
- Nominating and Corporate Governance
- Research Enterprise and Technology Commercialization
- Other Committees which may be created by the Board at a later time.

4.5.4 Reporting

The Faculty Trustees and Faculty Participants are required to provide an annual report (at the April or May Faculty meeting) of their activities, one for each committee. It is recognized that service on the Board and its committees involves confidential matters.

4.6 School Committees

The individual Schools and College/s of the university have the right and responsibility to create committees of Faculty which support the campus-wide functions of the above committees, as well as for handling issues that pertain solely to the individual School or College. School and College committees provide representation for the programs of the individual School/College in the campus-wide context, and provide further opportunity for Faculty to be engaged in the important matters of the university. The methods of election and operation of School/College committees (excluding the School Promotion and Tenure Committees) should be defined by each School/College individually through processes that represent the will of the Faculty within the School or College. The practices of selection and operation of the School/College committees shall be contained in documents maintained and updated by each individual School/College and available for reference by the entire Stevens Faculty.

5 COMPENSATION AND BENEFITS

5.1 Pay Policy and Procedures

5.1.1 Base Annual Salary

Each member of the Faculty shall receive a base annual salary for carrying out his/her professional responsibilities, as more fully described in Section 3.1 of this Handbook, throughout the academic year commencing on or about September 1 and ending May 31 of the following year.

5.1.2 Payment Schedule

Faculty members are paid once a month on the last working day of the month except as adjusted to deal with holidays or unexpected banking disruptions.

5.1.3 Nine-month or Twelve-month Pay Option

Faculty members may elect either a nine or twelve-month pay option. Faculty members choosing to receive their salaries over a nine-month period will have their fringe benefits for the summer months deducted from the May paycheck. Faculty members wishing to change from one option to the other may do so by notifying the Division of Human Resources on or before July 1 of the proceeding academic year in which the change is to take place.

5.1.4 Merit Increases

Upon the recommendation of the Department Chair and with the approval of the Dean and Provost and Vice President for Academic Affairs, salary increases will be granted effective January 1 for those Faculty members found meritorious for such increases.

5.1.5 Other Compensation Programs

The university may, at its discretion, implement, modify or eliminate additional compensation programs applicable to Faculty from time to time which may include incentive compensation, other types of one-time awards and salary adjustments.

5.2 Other Benefits

For full up-to-date information on other benefits available for employees including Faculty, please refer to the website and other materials made available from time to time by the Division of Human Resources.

6. FACULTY-STUDENT ACTIVITIES

6.1 General

6.1.1 Registration and Advising of Students

Faculty members will be asked to serve as academic advisors typically at both the undergraduate and graduate student levels. Thus, it is absolutely essential that all Faculty members who serve as academic advisors be familiar with current university requirements and policies. Basic current information can be found in the university's website, catalog and student handbook. Additional information should be sought as needed from the Office of the Registrar, Student Affairs, Undergraduate Academics, Graduate Student Life and other offices.

Each academic department shall designate a number of Faculty members to serve as advisors. Every effort will be made to match students with appropriate Faculty advisors.

6.1.2 Scheduling of Classes

The Schedule of Classes is prepared and distributed each term prior to the start of classes. This master schedule is prepared by the Registrar and includes data furnished by the Department Chairs (or equivalent) and includes the time, room or other assignment and instructor for each course. Deviations from the published schedule (e.g., additions, deletions, time changes, etc.) must be approved by the Department Chair (or equivalent) and the Registrar before they may take place. Changing regularly scheduled examination periods must be approved by the Registrar before any changes are made.

6.1.3 Faculty Class Attendance

Faculty members are expected to conduct each of their classes for the full amount of time that is scheduled. In the event of sickness or a necessary absence from the scheduled class or laboratory, the Department Chair (or equivalent) must be notified. Classroom work missed because of a Faculty member's absence should be made up as soon as possible and in the manner deemed most appropriate by the Chair (or equivalent) in the case of multiple sections of a course.

6.1.4 Class Records

Faculty members are required to maintain records of the grades awarded to students in their classes. Records must be maintained in compliance with the university's Record Retention Policy

6.2 Undergraduate and Graduate Studies and Continuing Professional Education

6.2.1 General

The Office of Graduate Education provides many services and performs many functions of importance to the Faculty. It is the primary source of information on academic matters pertaining to the operation of graduate programs at Stevens. It is also an important contact point for information on non-academic matters affecting graduate students.

6.2.2 Graduate Student Admissions

This component of the Graduate Education Office processes applications to the various graduate programs from initial inquiry to formal acceptance or rejection of admission applications. The admissions process includes coordination and interaction with departmental personnel and other pertinent offices. The admissions process also involves the approval of the Department Chairs.

6.2.3 Academic Programs

This component monitors the progress of enrolled students through the academic program. Most of the documents that are required at various times during a graduate student's academic career are processed by this component. This component also monitors a number of graduate scholarship, fellowship and other financial aid sources. All questions regarding regulations and procedures should be directed to the Office of Graduate Education.

6.2.4 Manual for Graduate Students

This manual is written for graduate students, their advisors, and Department Chairs. All Faculty responsible for graduate courses and/or graduate students are urged to get a copy of the Graduate Student Manual and become familiar with the policies and procedures contained therein.

6.3 Undergraduate Studies

6.3.1 Advisors

Every undergraduate student at Stevens has a Faculty Advisor throughout his/her career at Stevens. The Faculty Advisor is available to counsel students with problems or questions, and to review and sign various administrative and academic forms.

6.3.1.1 Freshman Advising

Every entering student is assigned a Freshman Faculty Advisor upon his/her arrival at Stevens. The student's Freshman Faculty Advisor will be his/her faculty advisor until the student formally enters a concentration field of study. This occurs when the student completes a Study Plan after conferring with a Concentration Advisor. This takes place during Term 3 for Engineering students (Term 5 for students in the Engineering Five-Year Plan), and during Term 2 for all students in Science, Computer Science, and Liberal Arts. Study plans may be submitted earlier if the student wishes.

Students who are transferring into Stevens into the Engineering curriculum and are undecided about their Engineering concentration are also assigned a Freshman Faculty Advisor upon their arrival at Stevens. These students must complete a Study Plan with their Concentration Advisor during the semester prior to taking their first concentration elective. All other transfer students are assigned their Concentration Advisors upon arrival at Stevens, and must complete a Study Plan during their first semester.

6.3.1.2 Concentration Advising

During the semester when a student is required to submit a completed Study Plan, the student selects a Concentration Advisor from the list of Concentration Advisors and meets with the advisor to complete his/her Study Plan. This Faculty member will be the student's Concentration Advisor for the remainder of the student's undergraduate career at Stevens. Students enrolled in more than one degree program must submit a Study Plan for each degree. The list of Concentration Advisors is available from the Registrar's Office or from the Office of Undergraduate Academics.

6.3.1.3 Changing Advisors

If a student wishes to change his/her Freshman or Concentration Advisor, he/she should contact the Dean of Undergraduate Education or the Assistant Dean of Undergraduate Academics either in person, by phone, or by e-mail, so that he/she can make the change in the Workday Student .

6.3.2 Study Plans

In preparing an individual study plan, the advisor first attempts to determine the student's educational and professional objectives. Certain electives then become essential to meet those objectives.

The study plan should indicate all the non-core courses a student expects to take throughout his or her four years at Stevens, including extra courses for undergraduate credit and courses which may later be used for graduate credit. Early in the eighth term, each student must file an application for degree candidacy, showing exactly how each course is to be regarded.

6.3.2.1 Study Plan Timetable

Study Plans are due at the Registrar's Office two weeks before the end of the semester indicated in the table below, and may be submitted earlier if the student wishes. The Study Plan must be approved by a Concentration Advisor. The student selects a Concentration Advisor from the list published each semester by the Registrar's Office; copies of this list are also available from the Office of Undergraduate Academics.

CURRICULUM	SEMESTER DUE
Engineering [Four-Year]	3
Engineering [Five-Year]	5
Engineering[Coop]	3rd term of study
Computer Science	2
Science	2

6.3.2.2 Graduate Courses for Undergraduate Credit

Graduate courses selected either as electives or as extra courses and taken for undergraduate credit bear the same number of credits that they normally carry. Such courses will be handled on a course-for-course substitution basis. The authority to use one or more graduate courses to satisfy an undergraduate requirement rests with the student's Concentration Advisor.

6.3.2.3 Extra Courses

With the advisor's approval, any student (except for students on the Five- Year Plan) with an average of 2.5 or better for the previous semester, may enroll in an extra course at no charge, provided he or she is already enrolled in a full program. Upperclassmen with a GPA of 3.0, or better, in the preceding semester may, with his/her Advisor's permission, take a second extra course at no charge. Juniors and seniors with a GPA of 3.5 or better in the preceding semester may, with his/her Advisor's permission, take a third extra course at no charge.

6.3.3 Earning Course Credits

In addition to the standard way students earn credits for courses successfully completed (by attending classes regularly throughout the semester and awarded a passing grade), there are a number of other alternatives. The student may take a course by application, may take a course pass/fail, or may obtain course credit by examination.

6.3.3.1 Course by Application

If a particular course is not offered through the regular schedule, the course may be taken by application with the approval of the instructor, the Department Chair (or equivalent), and either the Dean or the Assistant Dean of Undergraduate Education on a Permission for Course by Application form. Regular enrollment is required, and arrangements are made for the student to study the material and be tested during the semester. A letter grade is issued at the end of the semester.

6.3.3.2 Course by Examination

This option is open to students with a GPA of 2.5 or better either in the previous semester or overall, and is limited to one per semester. Permission to take a course by examination must be obtained on an Application for Course by Examination form from the student's advisor and from the department offering the course.

If the examination is successfully completed, the instructor who administered the examination issues a letter grade in the course. The examination must be taken prior to the start of a semester, and if the examination is not passed, the unsuccessful attempt is

recorded as part of the student's permanent record, and the student must enroll in that course in the following semester.

6.3.3.3 Pass-Fail

A junior or senior with either a 3.0 GPA for the previous semester or a cumulative GPA of 3.0 may elect one course a semester to be taken under a pass/fail grading system, subject to the advisor's approval and the following conditions. The course must be an undergraduate course that is either a technical elective outside the student's area of concentration or a course that is clearly designated on the Study Plan or the Application for Candidacy as an "extra" course not to be used to satisfy the requirements for the degree. No graduate course may be taken under a pass/fail grading system.

Pass/Fail Permission Forms are available from the Registrar's Office, and must be approved and submitted to the Registrar's Office before the midterm date.

6.3.3.4 Personalized Self-paced Instruction

Several departments offer courses under PSI, an alternative to the conventional lecture/recitation method of instruction. Under PSI, a student attends no classes. Instead, the student works at his or her own pace with the self-study materials, and the help of a tutor to answer questions and explain points that are unclear.

The material is divided into short units, each with instructions and a study guide. As each unit is completed, a test is given and rated on a "pass" or "no pass" basis. If the test is passed, the student moves on to the next unit; if not, the unit is restudied and the test repeated. The number of times a test is taken has no bearing on the final grade. Rather, the student is evaluated on the basis of the number of units passed, the quality of any laboratory work completed and performance on the final exam.

6.3.3.5 Transfer Credit

A student wishing to receive credit for a Stevens course by taking the course at another school must get an Application for Transfer Credit form from the Registrar's Office and bring it, together with a course description for the course at the other school, to the appropriate academic department for approval by the designated transfer credit Faculty member. The form then needs the signature of either the Dean or the Assistant Dean of Undergraduate Education, and is returned to the Registrar's Office. When the student completes the course at the other school, he/she must have an official transcript sent to Stevens. Usually, a grade of C or better is required for the course to be acceptable for transfer.

In general, grades for courses taken at other schools are not recorded or used in computing a student's GPA. The only exception to this occurs when a student receives transfer credit for a course for which they have previously received a grade at Stevens. In that case, a grade of C is used for that course in the student's GPA computation regardless of the actual grade received either at Stevens or at the other school.

6.3.4 AcademicStandings

6.3.4.1 *Examinations*

Written examinations are required at the end of each semester for all major required core courses.

Examinations in all elective courses, including technical electives, engineering electives, junior and senior electives, humanities electives, and management electives, are at the discretion of the individual department.

Each regular term examination may not exceed four hours. All term examinations and written tests are conducted under the rules of the recognized student Honor System. Students are expected to familiarize themselves with all facets of the honor system.

Additional Items:

- 1] Instructors shall provide students the opportunity to see their graded examinations and reports.
- 2] Instructors should provide what they feel to be an appropriate explanation of how the problems should be solved and of how the grades were arrived at.
- 3] To this end, all examinations or reports not returned to students should be kept for at least one semester after course grades are published.

6.3.4.2 *Incomplete*

The grade of Incomplete, or "Inc." may be given only when a student has failed to complete any or all of the required course work, such as term papers, laboratory reports and hourly exams, but not including the final examination. In order to receive an "Inc." grade, a student must file a written request indicating an acceptable reason, such as prolonged illness, for his or her delinquency, and must present a plan for completion of the work. Any such request must be approved by the instructor and the Department Chair (or equivalent) at least one week prior to the day on which the grades are due in the Registrar's office.

6.3.4.3 *Absences*

The grade of Absent, or "Abs." will only be issued if a student misses the final examination; it is not appropriate in any other case. Permission to take a final examination at a later date may be given only if the reason stated for missing the original is deemed acceptable by the instructor; in some cases documentation may be requested. However, if the explanation is judged unacceptable, a final grade based on a zero for the final examination will be given.

6.3.4.4 *Improving Grades*

Work to upgrade the "Inc." or "Abs." notation must be completed prior to the fifth day of the following semester. Failure to do so will result in a final mark based on a grade of zero for

either the final examination or the uncompleted work. However, extension of the deadline may be granted on an individual basis with the approval of both the Department and the Dean for Undergraduate Education.

A grade of "D" or "F" may be improved by repeating the course and doing additional acceptable work. This may be done either at Stevens or by taking a similar course at another college, provided advance approval is obtained in compliance with the rules for transfer of credit. For a repeated course, the second grade replaces the first grade. ("W" is not considered a grade in this case.)

Other methods of improving grades are available as well. Freshmen earning a grade of 'IC" or better in term II of a continuation course may take a special exam for the preceding term's work to improve a "D" or "F" grade. However, the grade can be raised only to a maximum of "C" and the exam must be taken before summer session begins.

Seniors, with the permission of their instructor, may take make-up exams for any two senior examination courses in which they received a "D" or "F." Seniors attempting to upgrade a mark for a fall semester course must complete the make-up exam within two weeks of the beginning of the spring semester; and for the final term, by two days before Commencement. Sophomores and juniors do not have an opportunity to take make-up exams for grades of "D" or "F."

If an "F" grade is received in a technical elective course, the course may or may not need to be repeated. An "F" in a technical elective may not need to be removed, as long as the minimum number of electives is maintained at a passing level. The student's advisor will advise on specific circumstances.

6.3.4.5 Intersession Classes

During intersession, intensive two-week make-up courses are offered for some freshman and sophomore classes given during the first semester. Classes are scheduled from 9 a.m. to 5 p.m., Monday through Saturday, for the last two weeks before the spring semester. Eligibility standards differ from course to course, so it is very important for all interested students to check with their professor before enrolling.

6.3.4.6 Degree with Honors

The undergraduate degree with Honor is conferred if an average of 3.2 for courses applied toward the undergraduate degree requirements is achieved. The degree with High Honor is conferred if a cumulative grade point average of 3.6 is attained.

6.3.4.7 Degree with Thesis

Students may apply for candidacy for the degree with Thesis in either semester of the junior year or in the first semester of the senior year. Any candidate for a degree with Thesis must report the title of the thesis and the name of the advising professor to the Dean for Undergraduate Education no later than December 15 of the senior year, on a form obtained from the Office of Undergraduate Academics.

6.3.5 Academic Actions

6.3.5.1 *Dean's List*

To be eligible for the Dean's List, a student must be in good standing, with no outstanding deficiencies in requirements, and have an overall "B" (3.0) average for the term. The Office of the Dean for Undergraduate Education prepares the Dean's List at the beginning of the following semester.

6.3.5.2 *Promoted*

A student must have a passing grade in all courses required for the degree and a cumulative average of "C" (2.0) or better to be promoted.

6.3.5.3 *Promoted-Insufficient Credits*

Any student satisfactorily following an approved study plan that departs from a standard study plan outline may move on to the next Semester.

Examples of students in this category are transfer students, as well as those on decelerated programs. Such students are considered to be in good academic standing.

6.3.5.4 *Probation*

A student with an unsatisfactory record at the end of the semester will be placed on probation by the Faculty Committee on Undergraduate Promotion, and will be notified by the Dean for Undergraduate Education. If all deficiencies have been made up and a "C" (2.0) average attained, the student will be removed from probation. A student on probation may, if lack of responsibility to academic work continues, be asked to withdraw by the Dean for Undergraduate Education at any time without refund of tuition, room rent or other charges for the current term.

6.3.5.5 *Probation-Reduced Load*

A student with an unsatisfactory record at the end of a semester may be allowed to continue on probation, taking less than the normal number of courses. The Dean for Undergraduate Education must approve this decelerated program.

6.3.5.6 *Referred to Dean*

A student in this category has some irregularity in his other academic program, usually work not completed for the current semester. Barring special circumstances, all such work must be completed by the fifth day of the following semester, and the Dean for Undergraduate Education must be notified of plans to complete the work prior to the start of the new semester.

6.3.5.7 *Not Promoted*

A student who is not promoted, according to an action taken by the Faculty Committee on

Undergraduate Promotions must meet with the Dean of Undergraduate Education before continuing his/her studies at Stevens.

6.3.5.8 Limit on Repeating a Course

Each course that is part of a Bachelor's degree program must be passed in no more than three attempts. A grade of "W" or "F" constitutes not passing.

Students unable to meet this requirement must select a program for which the course in question is not a requirement or they must withdraw from Stevens. Courses taken during intersession are not counted for the purpose of this rule.

6.3.5.9 Required to Withdraw

A student required to withdraw is permanently dismissed from the college due to consistently substandard performance.

6.3.5.10 Appeals

The Faculty Committee on Appeals serves an appellate function on cases arising from academic actions of the Faculty Committee on Undergraduate Promotions, or disciplinary actions of the Dean for Undergraduate Education or of the Honor Board.

The Appeals Committee does not consider requests for grade changes and does not grant appeals based on circumstances over which the student has control, such as voluntary absence from class, failure to complete a required assignment, or concentration on extracurricular activities to the detriment of academic requirements. Extraordinary circumstances are usually prerequisites for the granting of an appeal by the committee. Under special circumstances, the President of the university, after receiving a written petition, may review the decision of the Appeals Committee and either confirm or amend its action. Instructions for the proper procedure on appeals are mailed with the Promotions Committee's actions.

6.3.5.11 Leave of Absence

Undergraduate students who are promoted but wish to withdraw for personal reasons may receive an official Leave of Absence from the Dean for Undergraduate Education which will become effective at the end of the present semester. Leave of Absence status allows for unconditional readmission after one calendar year. After that, if the student doesn't reapply for an additional Leave of Absence, his or her status will be changed to withdrawal.

Students applying for an additional year's Leave of Absence should be aware that restrictions and pre-conditions may be placed upon readmission.

6.3.5.12 Graduation

To be eligible for graduation, a student must have a cumulative average of "C" (2.0) for eight terms of work, and must not have an "F" grade in a core course or main line elective. All senior year courses require a 1.75 grade point average.

Class rank is computed from grades earned in all courses for undergraduate credit. When a student repeats a course to upgrade his or her mark, both grades will be averaged to compute class rank. But the 2.0 average required for graduation will be based only on the last grade received in a course.

6.3.6 Academic misconduct

Examinations at the university at the undergraduate level are conducted on an honor system. This means that the instructors are not expected to be present to proctor quizzes or examinations. The students are required to write a pledge on each quiz or examination or outside assignment accordingly.

6.3.7 Withdrawal from the University

Undergraduate students who wish to withdraw from the university may do so without prejudice until the last day of each semester, provided that a properly completed withdrawal form is filed with the Office of the Dean for Undergraduate Education.

7. GRIEVANCE PROCEDURES

[Approved by Board of Trustees, 2/8/02, and by SIT Faculty 2/27/02]

Definition:

A grievance is a complaint in writing to the Faculty Council concerning a decision made by a person or group of persons acting in an official university capacity that is perceived to directly and adversely affect the grievant in his/her professional or academic capacity. This policy describes internal university procedures and does not preclude other legal options outside of Stevens.

7.1 Coverage

A grievance may be filed through the grievance appeal process by any member of the regular faculty, affiliate instructor, or other full-time faculty defined in Section 8 of the Faculty Handbook.

7.2 Grounds

Grounds for a grievance shall include, but are not necessarily limited to:

1. a violation or misapplication of written rules, regulations, or established practices governing the university and its units;
2. improper, arbitrary, or capricious actions of the university or one or more of its agents;
or
3. violation of the university's policy on academic freedom
4. discrimination on the basis of the individual's political or social views, race, ethnic origin, gender, religion, age, or sexual preference.

7.3 Conflicts of Interest

Individuals, whether members of the faculty or administration [excepting the President of Stevens], who are part of the grievance process and who have a conflict of interest, must recuse themselves from the Grievance Process as described below, and be replaced by suitable designees chosen by the Faculty Senate (for faculty), or by the Academic Council (for Administration).

7.4 Grievance Process

Grievances must be submitted in writing to the Executive Committee of the Faculty Senate, with copies to the grievant's Department Chair and Dean, within ten business days of the incident or administrative action [or lack of action]. If the grievable issue is not known to the grievant at the time of occurrence, then the grievant has ten business days from the time of discovery to file a grievance.

Within ten business days of the grievance filing, the respondent [object of the grievance] must provide a written response to the grievant, the Faculty Council, and his/her direct report (i.e., a Department Chair, Dean, etc.). If the grievant is dissatisfied with the response, then, within ten business days of receiving the response, the grievant shall appeal in writing to the Executive

Committee of the Faculty Senate with copies to all appropriate parties (e.g., respondent, Department Chair, Dean).

The Executive Committee of the Faculty Senate will review the grievance and the written response. Within ten business days of receiving the appeal, the Executive Committee of the Faculty Senate will respond to all parties indicating its decision either to close the matter, after having found no basis upon which to carry the issue forward, or to convene a review panel within ten business days.

The review panel shall be composed of two members of the Faculty Senate, a Department Chair and a Dean, in each case who are not parties to the grievance, and an independent arbitrator acceptable to the four panel members. The review panel has the authority to call witnesses. Within ten business days of completing its deliberations, the review panel will make recommendations to resolve the grievance. If either the grievant or the respondent (object of grievance) is dissatisfied with the panel's recommendation, or the response of the other to the recommendation, then either party may appeal to the President within ten business days of the panel's response.

The President, after convening a hearing attended by the grievant, the respondent, (object of grievance), and one of the members of the Faculty Senate who sat on the review panel (designated by the Executive Committee of the Faculty Senate), shall, within ten business days of the hearing, respond to both parties to the grievance in writing, with copies to the Executive Committee of the Faculty Senate, and the appropriate dean and department chair detailing his/her decision. The President's action at the conclusion of these procedures is final.

8. Academic Associates & Emeriti

As described in Section 3, Faculty are expected to spend significant portions of their time engaged in teaching, research and service activities. In some cases, Non-Tenure Stream Faculty may have significant involvement with only two of these activities. Other types of positions, called academic associates of the university, will generally only focus on one area, either research or teaching, and are not considered part of the Faculty, and will have no role in Faculty governance. This section addresses academic associates' roles and responsibilities.

8.1 Research Associates

The roles, responsibilities and appointment process for Non-tenure Stream research Faculty are addressed in Section 3. This section addresses other research associates who do not have teaching responsibilities or have extremely limited teaching responsibilities. Generally, research associates will have no or limited service responsibilities to the university

Research associates are hired to support the research goals of the university research centers with which they are associated. They are funded by specific research grants, so the term of their appointment is contingent on the longevity of the research program they are supporting. The search and appointment process of research associates will be defined by the research center that is hiring the individual, but must be consistent with the process used in the appointment of Tenure-stream and Non-tenure Stream Faculty to ensure that the university hires world-class researchers.

Research associate positions include: Research Engineer or Senior Research Engineer, Research Scientist or Senior Research Scientist. Any person occupying the position of research associate may apply for another position at the university and may be considered by the relevant Dean for a promotion between levels of research associate as determined by the Dean based upon institutional needs.

8.2 Lecturers

The roles, responsibilities and appointment process for Non-Tenure Stream teaching Faculty are addressed in Section 3. This section addresses the positions of lecturers who do not have research responsibilities or have extremely limited research responsibilities. Lecturers will usually have limited or no service responsibilities to the university.

Lecturers are hired to support the teaching goals of the academic Department or School with which they are affiliated. Lecturers will generally have demonstrated contributions to their field of expertise and have teaching credentials comparable to other individuals hired by the university as Tenure-stream or Non-tenure Stream Faculty, the major difference being that of the duration, workload and/or exigency of the assignment and the absence of research and service responsibilities.

There are two levels of lecturer positions: lecturer and senior lecturer, either of which may apply for another position at the university or may be considered by the relevant Dean for a promotion between levels of lecturer as determined by the Dean based upon institutional needs.

8.3 Adjuncts

8.3.1 Adjunct Teaching Faculty

Adjunct teaching Faculty are part-time, limited term employees, appointed by the relevant Dean to teach a specific class or classes for a specific semester. Where their association with the university needs to be of longer duration or for a full twelve credit/contact hour per semester teaching load, strong consideration should be given to hiring them as full-time lecturers or Non-tenure Stream teaching Faculty, following standard search and appointment procedures, as defined in Section 3.

Adjunct teaching Faculty will generally have demonstrated contributions to their field of expertise and have teaching credentials comparable to other individuals hired by the university as Tenure-stream or Non-tenure Stream Faculty, the major difference being that of the duration, workload and/or exigency of the assignment.

8.3.2 Adjunct Research Faculty

On occasion, members of the academic community request professional affiliation with an academic unit at the university. When such requests are granted, the status of "adjunct research faculty" may be conferred for an agreed length of time, during which the adjunct research faculty is able to cite her/his professional affiliation in seeking external funding under the aegis of the university. In general, adjunct research faculty have earned graduate degrees and have significant professional experience in their fields of expertise, or are recognized regionally or nationally for outstanding achievement. Typically, adjunct research faculty are engaged in scholarly and creative activities and plan to actively pursue grant support through the university. Adjunct research faculty are expected to be experts in their fields and to make contributions relevant to the mission and goals of programs within an academic unit of the university. Adjunct research faculty are generally unpaid and often are full-time employees of other universities. Adjunct research faculty are bound by all policies of the university in their capacity as adjunct research faculty. A person seeking adjunct research faculty status must be nominated for that position by a tenured/tenure-track faculty member from the academic unit in which status is being sought via a written nomination addressed to the Chair of the relevant Department and the relevant Dean.

8.4 Emeritus Professors

The title "Professor Emeritus" may be conferred on a retired Faculty member whose record of accomplishment in teaching, advising, research, and service to the university is exemplary and whose continued association with the university will be mutually beneficial.

The process for awarding the title "Professor Emeritus" originates with the individual's nominating School, College or Department. The nomination should justify the candidate's performance as demonstrated by one or more of the following (not to exceed 1500 words):

- (a) A substantive record of research and scholarly achievement commensurate with national and international standards within the specific discipline.
- (b) A recognized record of outstanding teaching and educational contributions.
- (c) Clear evidence of service to Stevens beyond normal expectations.

The nomination must also include a plan and a statement by the candidate regarding the candidate's anticipated future association with the university (about 500 words) and should be submitted to the relevant Dean. If the Dean approves, he/she recommends the award to the Provost. If the Provost approves, he/she recommends the action to the President who, if he/she approves, may then recommend to the Board of Trustees that the individual be given the title "Professor Emeritus."

By accepting the title of Professor Emeritus, the individual commits and acknowledges that he/she will abide by all rules, policies and regulations of the university and uphold the standards of Stevens.

1. As available in the Department, depending on the need and at the discretion of the Department Chair (or equivalent) and the relevant Dean, a professor emeritus may be assigned office space (individual or shared) and secretarial and/or clerical help.
2. At the discretion of the Department Chair (or equivalent) and the relevant Dean, a professor emeritus may supervise Stevens undergraduate and/or graduate students who are taking research for credit or working on a thesis or dissertation.
3. A professor emeritus may be invited by the Dean of the School or the Provost to attend certain faculty meetings (without voting rights), department meetings, seminars, workshops, professional conferences held on campus, and guest lectures.
4. A professor emeritus also:
 - May be requested to provide advice and assistance to the to the School or College
 - May be given an opportunity for adjunct teaching
 - Will have access to the Williams Library
 - Will have access to the campus computer network for university activities
 - Will have access to athletic facilities in accordance with any policies then in effect for Faculty and staff
 - May be allowed to conduct or participate in externally funded research and may have access to laboratory space and equipment at the discretion of the Department Chair (or equivalent) and the Dean of the School
 - Will have parking privileges comparable to those of regular Faculty members if the emeritus professor is teaching on campus
 - May be requested by the Department Chair (or equivalent), Dean of the School or Provost to serve on department and/or university committees
 - May be requested to mentor new Faculty

The appointment to emeritus status is normally granted on a permanent basis. However, emeritus status may be granted on a limited basis or removed by the university at any time by action of the Board of Trustees.

8.5 Visiting Appointments

Visiting appointments are limited-term appointments of individuals who are either members of the faculty at other institutions, members of industry or government organizations on

temporary assignment, or others with a special temporary relationship with the university. Visiting appointments may be honorary appointments to provide recognition of valuable contributions to or association with the university, provided that any visitor who will be performing research or other work on the university's campus must have an appointment approved by the Provost and the Division of Human Resources. These individuals are not members of the university's Faculty and have no role in faculty governance. Office space, telecommunications support and other resources may be made available to Visiting appointees and shall be addressed by the unit they are visiting on a case-by-case basis, with the approval of the Dean.

8.6 Post-Doctoral Fellow Appointments

Individuals who have recently received a doctoral degree or equivalent and are engaged in the furtherance of their training through mentorship by a member of the university faculty may be appointed for a limited term as a Post-Doctoral Fellow. To enhance their professional skills, Post-Doctoral Fellows will generally engage in research under the guidance of their faculty mentor. They may additionally teach as adjuncts under a separate appointment, but are not members of the university Faculty and do not participate in Faculty governance.

9. INTELLECTUAL PROPERTY

9.1 Patent Policy

I. Preamble

Stevens is dedicated to teaching, research, and the expansion of knowledge. While Stevens encourages research and related activities for their intrinsic value, it recognizes that inventions and discoveries, and related know-how, may result from various activities conducted wholly or in part at Stevens or under Stevens' auspices. It is Stevens' policy to promote the use of inventions for the public good and, where appropriate, to pursue patents and commercialization opportunities to encourage development and marketing of such inventions. This Patent Policy expresses Stevens' commitment to promoting research and scholarship as well as to facilitating the development, dissemination, and commercialization of inventions and discoveries, and related know-how, for the greatest public benefit.

Under applicable Federal law, an "invention" is, as a general matter, a new and useful discovery, process, machine, manufacture or composition of matter, or any new and useful improvement thereof. If a patent is granted with respect to an invention, the patent owner will have the right to exclude others from the manufacture, use or sale of the invention, and may license those rights to others for a limited period of time provided by law.

This Patent Policy defines ownership rights relating to inventions and discoveries and ensures that the proceeds from any commercialization are distributed to members of Stevens' community who make inventions covered by this Policy, and to their schools, their departments and Stevens, in a manner consistent with the research and other objectives of Stevens.

This Policy also aims to assist members of the Stevens community in complying with Stevens' obligations under the Bayh-Dole Act (relating to federally funded research), as well as in complying with obligations resulting from Stevens' acceptance of research funding from other sponsors. Stevens may have obligations to seek patent protection and to commercialize inventions made in the course of federally sponsored research in accordance with the terms of federal patent policy regarding such inventions.

For all inventions and discoveries which are subject to the Patent Policy, it is within Stevens' sole discretion to determine whether to seek patent protection and to pursue commercialization of such inventions and discoveries. Stevens has created the Office of Research, Innovation and Entrepreneurship within the Office of the Provost, which is responsible for managing all activities relating to the protection and commercial promotion of intellectual property.

II. Scope and Applicability; Duty to Disclose

A. This Policy applies to the following categories of persons:

1. Faculty (full-time and part-time, including faculty who elect to be paid on a nine-month basis);

2. Visiting faculty who conduct research, whether paid or unpaid;
 3. Research scientists and post-doctoral appointees;
 4. Students (including visiting students);
 5. Other employees (full-time and part-time), including professional staff, technical employees and clerical employees; and
 6. Non-employees who participate in research at Stevens or research carried out under the auspices of Stevens, such as scholars who do not have a faculty appointment, fellows, and consultants.
- B. Each person covered by this Policy has a continuing obligation to promptly disclose to Stevens every invention and discovery covered by this Policy including without limitation any know-how related to such inventions and discoveries, and inventions and discoveries arising in the course of consulting activities, and to execute and deliver to Stevens such assignments and other forms of documentation as may be necessary or appropriate to further effectuate the terms of this Policy. All disclosures under this Policy shall be made to the Office of Research, Innovation and Entrepreneurship, as further described in Section VIII.B.
- C. All references in this Policy to inventions shall include know-how associated with such invention, if any.

III. Ownership of Inventions and Discoveries

A. *Full-time Employees, including faculty, research scientists, post-doctoral appointees, and staff*

Stevens will own any inventions conceived or first reduced to practice by full-time employees (i) in the course of University employment or (ii) with Substantial Use of University Resources. Stevens will not claim ownership of an invention that was conceived and first reduced to practice (a) as part of a consulting agreement or employment arrangement with an outside organization, if certain conditions are met (see Section IV.B), or (b) during an unpaid leave.

Generally speaking, for faculty members and other academic appointees, the phrase “course of University employment” refers to their “Field of Appointment”, as defined in Section III.G below (see, however, an exception for consulting in Section IV.B below).

B. *Part-time Employees, including faculty, research scientists, post-doctoral appointees, and staff*

Inventions conceived or first reduced to practice by part-time employees are the property of Stevens if an invention was conceived or first reduced to practice in the course of University employment or with Substantial Use of University Resources.

C. *University Faculty on Leave and/or Visiting Other Institutions*

In general, inventions conceived or first reduced to practice by University faculty during a paid leave (whether at Stevens or elsewhere, including another institution or a company)

are the property of Stevens, but inventions conceived and first reduced to practice by University faculty during an unpaid leave are not the property of Stevens, unless Substantial Use of University Resources was involved.

If conception of an invention occurred during an unpaid leave and reduction to practice occurred by the faculty member after the faculty member's return to Stevens (after the unpaid leave ended), the invention is wholly or partially the property of Stevens, depending on the circumstances under which the invention was conceived and reduced to practice. Similarly, if conception of an invention occurred before the leave began and reduction to practice occurred while the faculty member was on leave, the invention is wholly or partially the property of Stevens, depending on the circumstances under which the invention was conceived and reduced to practice.

In cases in which there are potential conflicts between Stevens' policies and those of an institution at which faculty will be on leave and/or visiting, such conflicts shall be resolved through good faith negotiations between Stevens and such institution before the leave begins.

D. Non-Employees and Visitors

It is not unusual for visitors from other institutions (home institutions) to participate in research or other research-related activities at Stevens or under Stevens' auspices. Such participation by a visitor might result in inventions or discoveries. Each such visitor shall be subject to this Policy and inventions and discoveries made by such a visitor shall be owned by Stevens, unless agreed otherwise in writing by Stevens and the home institution.

E. Undergraduate and Graduate Students

This section applies to students enrolled at Stevens and non-enrolled students who are visiting Stevens, as described below.

1. Class Work

In general, students shall retain ownership of inventions conceived or first reduced to practice as part of class work.

2. Research

When a student conceives or first reduces to practice or contributes to the conception of an invention in the course of (a) internally or externally sponsored research (e.g., under a graduate or research assistantship), including research for the student's thesis or dissertation; (b) any research involving Substantial Use of University Resources (other than in the course of certain Senior Design projects or Stevens Academic Entrepreneurship Programs, as described below); (c) participation as a team member in a University-based research project involving other students, faculty or staff; (d) research that is substantially directed by a faculty member or researcher employed by Stevens including without limitation a thesis or dissertation, or (e) employment at Stevens, Stevens shall own such invention and the student shall share in the proceeds, if any, as an inventor in accordance with Section V.

3. Senior Design

It is recognized that students working individually or as part of a team of students on a Senior Design Project which involves a problem or question initiated and framed by a third party sponsor may make Substantial Use of University Resources. Given the significance of Senior Design to the educational process of students at Stevens and the legitimate interests of sponsors (a) inventions conceived or first reduced to practice by one or more students in the course of a Senior Design Project shall be owned by the individual or group of students and (b) upon written agreement of all students in a Senior Design Project and following disclosure of the invention to Stevens, such students may license or transfer rights owned by such students in and to the invention to the sponsor (whether prior to or following graduation). Alternatively, upon written agreement of all of the students in a Senior Design Project and Stevens, the students may assign their rights in such invention to Stevens under this Policy.

Any inventorship rights of a faculty member in the context of a Senior Design Project shall be determined by the general rules applicable to faculty inventions under this Policy. If the Senior Design student group assigns rights to a sponsor, the expectation in most circumstances will be that Stevens will license the interest of the faculty member to the sponsor.

4. Academic Entrepreneurship

Stevens may, from time to time, maintain specific programs and facilities to foster entrepreneurship and provide guidance and experience to students who are creating technology or content for use in a business activity, whether for-profit or non-profit (a "Stevens Academic Entrepreneurship Program"). These programs and facilities may offer shared use of basic services and facilities, among other activities, and such use may constitute Substantial Use of University Resources. The Stevens Venture Center, founded in 2016, is an existing Stevens Academic Entrepreneurship Program. In the future, the Provost may designate additional programs and facilities as Stevens Academic Entrepreneurship Programs. Given the significance of academic entrepreneurship to the Stevens curriculum (a) inventions conceived or first reduced to practice by one or more students using the basic shared services or facilities of a Stevens Academic Entrepreneurship Program, shall be owned by the individual or group of students, as the case may be, and (b) upon written agreement of all such students and following disclosure of the invention to Stevens pursuant to Section VIII(C), such students may license or transfer rights owned by such students in and to such invention to the relevant business entity (whether prior to or following graduation). Alternatively, upon written agreement of all of the students involved with such project and Stevens, the students may assign their rights in such invention to Stevens under this Policy.

F. Consultants Hired by Stevens

Inventions conceived or first reduced to practice in the course of a consultant's paid consulting work for Stevens shall be the property of Stevens. Consultants should be hired only pursuant to a prior written agreement in a form approved by Stevens. This provision

will, as a general matter (i) apply to consultants who conduct research or create content for Stevens and (ii) not apply to the purchase of goods and services by Stevens.

G. Definitions

1. "Field of Appointment" refers to the broad academic field or area of research activities in which a faculty member is engaged. Primary indicators include, but are not limited to, the academic unit or department in which the faculty member is appointed or closely related departments, or any area in which the faculty member might conduct research as part of his/her academic appointment.
2. "Substantial Use of University Resources" – The precise determination of what usage of Stevens' resources or assistance of non-faculty personnel shall be considered substantial, or when the identity of a project resides with Stevens rather than with particular individuals, involves the exercise of judgment based on the circumstances and on practices within the discipline. As a basic principle, however, use of Stevens' resources or assistance from non-faculty personnel that is incidental and not essential to the development of the invention does not constitute substantial use. Thus, for example, none of the following shall be considered substantial use:
 - a. Use of resources or personnel commonly available to faculty in the same school, institute or department, such as libraries, offices, desktop computers, or secretarial staff;
 - b. Occasional use of a specialized piece of equipment or facility for routine tasks;
 - c. Receipt of salary by faculty for their academic appointments; and
 - d. The use of resources or facilities generally available to all students as part of their educational activities.

Examples of use of Stevens' resources which will be considered substantial include use of a specialized laboratory by a PhD student, use of student employees or researchers by a faculty member, and research conducted by a team under departmental or school auspices.

IV. Outside Consulting Activities of Faculty

- A. All full-time faculty have the ability to engage in some amount of outside consulting activities in accordance with the policies contained in the Stevens Faculty Handbook. Prior to beginning outside consulting activities, Faculty shall inform the party for whom the consulting activities are to be performed of this Patent Policy, and the faculty member's obligations under this Policy.
- B. In order to enable faculty to engage in permissible consulting while at the same time

delineating Stevens' interests in conducting corporate sponsored research, Stevens will make no claim to an invention made by a faculty member in the course of a disclosed consulting engagement if:

1. The invention resulted from work on a specific problem or topic (a) proposed by the company or entity to which the faculty member is consulting and (b) on which problem or topic the faculty member is not engaged in active research at Stevens, and
2. The invention was conceived and first reduced to practice without the use of Stevens resources or personnel. (Note that this is a more restrictive standard than "Substantial Use.")

A faculty member may agree to assign inventions made in the course of consulting to the company or entity only if these conditions are satisfied. If these conditions are not able to be satisfied, faculty are encouraged to consult the Office of Sponsored Programs to determine whether corporate sponsorship is an appropriate alternative. Faculty are required to disclose inventions made in the course of consulting to Stevens to determine if such conditions are met.

V. Commercialization of Patents

- A. When Stevens owns the patent rights to an invention and the inventor has signed Stevens Intellectual Property Agreement (as defined below), the inventor has the right to share in the proceeds derived from commercializing the patent and any related know-how.
- B. Stevens will make an initial allocation from gross proceeds, if any, in the aggregate amount of \$25,000 to fund a research account at Stevens to support academic research activities of the inventor or inventors of a particular invention hereunder.
- C. Following the allocation contemplated by paragraph B above, all distributions shall be based upon net proceeds (as defined below) and shall ordinarily be distributed as follows:
 1. Fifteen percent (15%) to the Office of the Provost for the general support of the Office of Research, Innovation and Entrepreneurship and to cover any other expenses associated with the commercialization of Stevens' inventions; and
 2. The remaining proceeds (85 % of net proceeds) shall be distributed as follows:
 - a. Inventor share: fifty percent (50%) to the inventor or inventors (including in each case inventors at other institutions), for the first \$5,000,000 of proceeds; forty percent (40%) of proceeds in excess of \$5,000,000 and not exceeding \$10,000,000; and thirty percent (30%) of all amounts of proceeds in excess of \$10,000,000.
 - b. The remaining proceeds shall be used by Stevens for research, scholarship and other educational activities in the following manner:

- i. 40% to the Office of the Provost for the school or other Stevens division in which the invention was made;
- ii. 20% to the Office of the Provost; and
- iii. 40% to Stevens.

Gross proceeds are all proceeds from licensing or otherwise granting rights in an invention to third parties, including license fees, royalties on sales or other usage, and milestone payments, but excluding research funding and any reimbursement for patent prosecution expenses. Net proceeds are gross proceeds minus all out-of-pocket expenses incurred by Stevens that are directly associated with the particular invention. Out-of-pocket expenses may include patent expenses, legal expenses associated with negotiating an agreement, travel expenses, payments due to other parties with rights in the invention, or any other reasonable out-of-pocket expenses incurred in pursuing Stevens' patent rights. If Stevens pursues or defends litigation to enforce patent rights, then the proceeds of any judgment or settlement from such litigation shall ordinarily be included in gross proceeds, and the associated litigation expenses shall be deducted as out-of-pocket expenses. If litigation is pursued, the distribution described above may be modified to reflect the greater economic risk being incurred by Stevens in pursuing such litigation.

In the event of any litigation, actual or imminent, or any other activity to enforce or defend patent rights, Stevens may withhold distribution of and retain royalties or other payments received until such matters are resolved. The funds so withheld shall be placed in income producing investments during such period, determined in the discretion of the Division of Finance. After any such matter is finally resolved, Stevens shall undertake a final accounting and, within thirty days thereafter the share of the inventor or inventors in the funds so withheld and in the accrued income shall be distributed to the inventor or inventors, subject to prior recovery of costs and overhead as specified above.

Inventors who are (i) employees of Stevens, (ii) acting within the course of such employment and (iii) not faculty or research staff, will not automatically be covered by this Section; rather, in such cases, the Administrative Council of Stevens, following a recommendation from the supervisor of such an employee or the relevant project leader, shall make a determination as to the appropriateness of such employee sharing in the proceeds of commercialization.

- D. Equity received from a company or other entity in lieu of license fees or royalties shall be allocated by calculating and distributing the appropriate number of shares, using the percentages outlined above, irrespective of their value, provided that (x) any inventor who holds an equity position in the company or other entity shall not share in Stevens' equity and (y) any inventor(s) who does not hold an equity position in the company or entity shall, for purposes of distribution under Section V(C)(2)(a), receive 50% of such equity. In the event there is a single share or a partial share which cannot be distributed to the inventor(s), that share or partial share shall belong to Stevens. Unless otherwise required by contractual arrangements or applicable law, Stevens shall distribute shares of equity at the time they are received by Stevens or will require that the inventor receive such equity directly from the company or other entity. In the event that Stevens is required to hold the shares for any length of time or is otherwise restricted from distributing shares to

inventors, Stevens shall hold such shares or other interests but shall not be responsible for any fluctuation in the value of the shares or any matters relating to the administration of such shares or interests.

- E. Shares of proceeds shall be used by departments, schools and Stevens to further the research, scholarship and educational goals of Stevens.
- F. If more than one inventor is to share in the inventor share, the inventors shall decide among themselves their respective shares and shall provide the Office of Research, Innovation and Entrepreneurship with a written agreement signed by all inventors. Such written agreement among the inventors shall be provided to the Office within three months of a written request from the Office for such an agreement and shall be irrevocable unless it is modified in writing by all inventors. In the absence of such a written agreement, Stevens shall distribute shares equally to all inventors.
- G. Whenever Stevens licenses or otherwise transfers rights to an invention, it will reserve the right for Stevens to use the invention for internal research and educational purposes and will generally seek to reserve such rights for other non-profit research institutions.-

VI. Transfer of Intellectual Property Owned by Stevens to the Inventor

- A. If Stevens determines that it will not pursue patenting and/or commercialization of an invention subject to Stevens' ownership under this Patent Policy, Stevens will consider a written request by the inventor to transfer ownership in the invention to the inventor, subject to the terms of any applicable agreements with third parties under which the invention was conceived or first reduced to practice. Transfer of ownership to the inventor will be subject to an irrevocable royalty-free license to Stevens to use the invention for education, research and other non-commercial purposes and reservation to Stevens of the right to grant similar licenses to other nonprofit institutions. In those instances in which there are multiple inventors, all inventors must be in agreement and be party to such a request. If Stevens (1) has not filed a patent application 120 days after a completed Invention Disclosure has been submitted to the Office of Research, Innovation and Entrepreneurship on the invention or (2) has notified the inventor(s) that it will abandon the invention or its patent application(s) and/or patent(s), an inventor may make such a request. In the event that the 120 day waiting period would result in a loss of patent rights, an inventor may make such request at any time. An explanation for the timing of the request must be included in the request.

If the inventor wishes to file patent applications in foreign countries in which Stevens does not wish to file, he or she may request permission to do so at his or her own expense. Stevens, in its sole discretion, will decide if permission will be granted. Because the existence of patent rights which are not owned by Stevens in particular countries could block a licensee of the patents which Stevens has pursued from commercializing the invention in such countries, and could therefore impede Stevens' ability to license the patents which it has pursued, Stevens shall retain ownership of all patent applications filed and all patents issued (U.S. and non U.S.) for the invention. If Stevens receives revenues that are or can be attributed specifically to such foreign patent applications and patents for which the inventor has paid expenses, the inventor's share of net proceeds from such

revenue shall be increased to compensate such inventor(s) for two times the out-of-pocket expenses incurred in connection with such international filing(s), and the school and University shares shall be reduced correspondingly. In the event an inventor takes such action, the inventor shall provide Stevens with copies of all documents relating to such foreign filings, including, but not limited to, all documents sent from and submitted to any foreign patent office and documents showing the costs of obtaining such protection.

- B. If, after the transfer of ownership to the inventor pursuant to a request made under Section VI(A), the inventor receives proceeds from commercializing the patent, the inventor shall (i) reimburse Stevens for any out-of-pocket expenses incurred by Stevens in connection with the invention, including legal and marketing expenses and (ii) negotiate with Stevens a royalty to reflect Stevens' investment in the invention, if any, and embody such agreement in a written agreement containing such other terms and conditions as the parties may agree to. Each inventor shall be responsible for ensuring that any company or other transferee of rights in and to the patent shall be obligated to comply with the terms of this section following an assignment of rights to the inventor.
- C. If, after transfer of ownership to the inventor pursuant to Section VI(A), the inventor's research at Stevens results in new inventions for which a continuation-in-part or related new patent application could be made, he/she must fully disclose each such new invention to Stevens, which may claim ownership of such new inventions.

VII. Making Stevens-Owned Inventions Freely Available to the Public

If the inventor of an invention owned by Stevens wishes to make such invention freely available to the public, through royalty-free licensing or other means, Stevens, subject to the terms of any applicable agreements with third parties under which the invention was conceived or first reduced to practice, will consider a request to do so, in order to determine whether the benefits to the public of making such inventions freely available outweigh any advantages that might be derived from commercialization. In the case of multiple inventors, all inventors must agree and be party to the request. The Provost, or his or her designee, may seek advice from the Vice Provost for Research, Innovation and Entrepreneurship, and from the Faculty Senate, and shall make a determination on such requests.

VIII. Administration of Policy

- A. *Stevens Administration.* This Patent Policy will be administered by the Provost, with guidance from the Intellectual Property Advisory Committee and in consultation with the Deans of each School and College of Stevens. The Provost may delegate his/her duties under this Policy to such other officers or employees of Stevens as he/she may find appropriate. The Intellectual Property Advisory Committee may be convened from time to time by the Provost to advise and make recommendations to the Provost regarding (i) disputes relating to intellectual property rights under this Policy, (ii) Stevens' ownership or other interests in particular works of intellectual property covered by this Policy, and (iii) the need for amendments to this Policy or guidelines or procedures to implement this Policy. The Committee shall include faculty representation, as determined in consultation with the Faculty Senate.

- B. *Waiver.* Provisions of this Policy may, in specific instances and upon written request, be waived by the President or the President's designee on a case-by-case basis, giving consideration among other things to (i) Stevens' obligations to sponsors, (ii) whether the waiver would be in the best interest of technology transfer, (iii) whether the waiver would be in the best interest of Stevens, (iv) whether the waiver would result in a conflict of interest and (v) whether additional approvals within Stevens' governance structure would be required. Any such request shall be made in the first instance to the Provost who shall consider such request and, if the Provost approves, submit such request to the President for further consideration.
- C. *Disclosure of Patentable Materials.*
- (i) In order to ensure that Stevens is fully informed of inventions and discoveries and related know-how, able to make a proper determination of inventorship and ownership and able to fulfill reporting obligations to governmental and other research sponsors, all persons subject to this Policy shall promptly notify and fully disclose to Stevens all inventions and discoveries and related know-how resulting from their activities. Each person covered by this Policy shall use their best judgment in determining whether to make a disclosure under this Policy. In the event of uncertainty, each person covered by this Policy is advised to consult with the Office of Research, Innovation and Entrepreneurship. Because patent rights may be lost if information describing an invention has been published prior to filing of a patent application, notice and disclosure of an invention or discovery should be made to the Office of Research, Innovation and Entrepreneurship prior to any public disclosure (including but not limited to publication or presentation, such as at academic conferences). Inventors must complete an Invention Disclosure Form which is available on the Web site of the Office of Research, Innovation and Entrepreneurship.
 - (ii) If the inventor is uncertain whether Stevens has ownership rights in an invention, the invention shall be disclosed to Stevens.
 - (iii) Upon disclosure of an invention, Stevens shall determine whether ownership vests in Stevens.
 - (iv) If Stevens asserts ownership rights to the invention, Stevens has the right, either directly or through an outside agent, to evaluate and seek patent or other protection of the invention, and to undertake efforts to introduce the invention into public use. Inventors shall cooperate in every necessary way (but at no out of pocket expense to them) with Stevens and/or the outside agent, including signing all necessary documents and assigning to Stevens any ownership rights the inventor may have in order to permit Stevens or the outside agent to evaluate the invention, to seek, maintain and defend a patent, and/or otherwise to introduce the invention into public use.
 - (v) Written materials and/or handbooks that provide information about Stevens' Patent Policy and procedures are available through the Office of Research, Innovation and Entrepreneurship or the Office of Sponsored Programs. Any

questions regarding this Patent Policy should be directed to the Office of Research, Innovation and Entrepreneurship or to the Office of the General Counsel.

- D. *Agreement to Policy.* This Policy constitutes an understanding that it is binding on all individuals who accept Stevens' employment, who use Stevens resources or facilities, or who participate in University research. All individuals employed by or affiliated with Stevens shall be advised of this Policy through publication in the Faculty Handbook on Stevens' website. Stevens may require formal patent agreements to implement this Policy as appropriate, but the absence of such executed agreements shall not invalidate the applicability of the Policy. Nothing in this Policy shall constitute a waiver by Stevens of any rights that Stevens may have under any other University policy, including without limitation the Copyright Policy, or any applicable law.

All individuals must have a signed Intellectual Property Agreement (see Appendix A) on the occasion of first submitting a grant application or first engaging in sponsored research. All directors or Principal Investigators of sponsored projects must secure signatures to the Intellectual Property Agreement from all research personnel, including students working on the project, at the time of their appointment and file the agreement(s) with the Office of Sponsored Programs.

- E. *Disputes.* Disputes involving intellectual property rights or this Policy shall be reviewed and resolved by the Provost or such other officers or employees as he/she designates. Decisions made by delegees may be appealed to the Provost, who will review the matter and reach a decision in consultation with the Intellectual Property Advisory Committee, the relevant Dean or Director, and others, all as determined by the Provost. In the event that disputes are reviewed and resolved by the Provost, such decisions may be appealed to the President, who will review the matter and make the final decision.

APPENDIX A
THE TRUSTEES OF THE STEVENS INSTITUTE OF TECHNOLOGY
INVENTION AND ASSIGNMENT AGREEMENT

I have read and understand Stevens' ("Stevens") Patent and Copyright Policies. As a condition and in consideration of the following, as applicable:

- (1) my participation in sponsored research at Stevens;
- (2) my receipt as a student of support from or through Stevens;
- (3) opportunities made or to be made available to me to make substantial use of administered funds or Stevens resources and facilities;
- (4) my employment; and/or
- (5) my being a visiting researcher at Stevens,

I agree to be bound by all the provisions of the Patent Policy and the Copyright Policy of Stevens, as each such policy may be amended from time to time, and I:

- A. do hereby assign to Stevens all of my right, title and interest in any invention or discovery or copyrightable material, developed in the course of my employment by Stevens or in connection with my participation in research or related activities at Stevens, and any related know-how, in each case which I am obligated to assign to Stevens under the terms of the Patent Policy and the Copyright Policy, respectively;
- B. agree to execute such documents and take such further action including, without limitation executing additional assignment documentation, as may be requested by Stevens to further implement the Patent Policy, the Copyright Policy or this Agreement;
- C. agree to disclose to Stevens' Office of Research, Innovation and Entrepreneurship (or such other office organized for this purpose), promptly after discovery, any invention developed in the course of my employment by Stevens, or in connection with my participation in research or related activities at Stevens and any related know-how, and any copyrightable material, in each case owned by Stevens under the Copyright Policy;
- D. if I am a director or principal investigator of a sponsored project, I agree to secure or assist in securing signatures to an Intellectual Property Agreement from all research personnel, including students working on the project, at the time of their appointment and file the signatures with the Office of Research, Innovation and Entrepreneurship;
- E. acknowledge and agree that I do not have any employment, consulting or other agreement with a third party which grants rights that are in conflict with this Agreement, and I agree that I will not enter into any such agreement; and
- F. acknowledge and agree that the terms of this Agreement will continue to apply in the event that I am no longer associated with Stevens to inventions developed in the course of my employment by Stevens and copyrightable material covered under this Agreement.

NAME: _____

SIGNED: _____

DATE: _____

WITNESS: _____

9.2 Copyright Policy

I. Preamble

Stevens is dedicated to teaching, research, and the expansion of knowledge. In the course of their activities at Stevens Institute of Technology ("Stevens"), faculty, administrators, staff and students are continually creating copyrightable works. As a matter of law, copyright will adhere upon creation of any original work of authorship that is reduced to tangible form, including literary works,¹ computer software, data sets, formulae, musical works, dramatic works, artistic works (pictorial, graphic, and sculptural), audiovisual works including motion pictures, sound recordings, and architectural works. Ownership of copyright to material gives the owner the exclusive rights to reproduce the material, make derivative works based on it, distribute copies to the public, and perform or display the material publicly. Copyright law is primarily a matter of federal law, codified in Title 17 of the United States Code, 17 U.S.C. §§ 101 et. seq. (2006).

Under applicable copyright law, copyrightable works created by employees in the course of employment will be owned by their employers. However, traditionally, universities (including Stevens) have declined to assert ownership on behalf of the university in works of scholarship created by faculty in the course of traditional academic activities. Exceptions to this practice have always existed in order to locate within universities ownership of certain copyrightable materials in which the University and/or its sponsors, public or private, also have a demonstrated interest.

This Copyright Policy addresses, primarily, the distribution of rights in and to copyrightable materials between Stevens and its various constituents. It does not address the use by Stevens or such constituents of copyrightable materials owned by third parties. In the course of educational and research activities at Stevens, faculty, administrators, staff and students are likely to make use of materials owned by third parties. To a large extent, those uses may constitute "fair use" under the law, which provides that "use . . . for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright", 17 U.S.C. § 107. Uses that are not "fair uses" may require permission to be granted by the copyright owner. Stevens is committed to the support of fair use principles.

In certain cases, copyrightable materials may be created in conjunction with inventions subject to Stevens' Patent Policy. Unless otherwise determined by the Provost, in such situations, the Patent Policy shall apply to the whole of such intellectual property including copyrighted material.

II. Scope and Applicability

A. This Copyright Policy applies to the following categories of persons:

¹ "Literary works" are works, other than audiovisual works, expressed in words, numbers, or other verbal or numerical symbols or indicia, regardless of the nature of the material objects, such as books, periodicals, manuscripts, phonorecords, film, tapes, disks, or cards, in which they are embodied. 17 U.S.C. 101.

- i. Faculty (full-time and part-time, including faculty who elect to be paid on a nine-month basis);
 - ii. Visiting faculty who conduct research, whether paid or unpaid;
 - iii. Research scientists and post-doctoral appointees;
 - iv. Students (including visiting students);
 - v. Other employees (full-time and part-time), including professional staff, technical employees and clerical employees;
 - vi. Non-employees who participate in research at Stevens or research carried out under the auspices of Stevens, such as scholars who do not have a faculty appointment, fellows, and consultants; and
 - vii. Consultants who perform paid consulting work on Stevens research projects.
- B. This Copyright Policy will apply to faculty and others who are on a paid leave from Stevens and create copyrightable materials during such leave, but shall not ordinarily apply to persons on an unpaid leave of absence or copyrightable materials created during such leave. The provisions of Section III(D)(2) relating to the creation of copyrightable materials in the course of consulting activities shall apply to activities conducted by faculty while on an unpaid leave.
- C. It is not unusual for visitors from other institutions (home institutions) to participate in research and other activities at Stevens or under Stevens auspices. Such participation might involve joint creation of copyrightable materials. Such visitors are often subject to intellectual property policies of their home institutions. Consideration should be given to the intellectual property policies of the visitor's home institution in order to avoid potential conflicts between this Policy and the policies of the home institution. Obligations of each visitor under this Policy will be assessed and potential conflicts will be resolved through good faith negotiations between Stevens and the home institution, preferably prior to the start of the visitor's participation in such research or other activities. It is particularly important that such conflicts be resolved prior to the start of a visit when the research at Stevens is sponsored by a third party.

III. Copyright Ownership Principles

A. **General Principle:** Stevens will not claim copyright ownership of Traditional Works of Scholarship (as defined below) except as otherwise provided in this Article III, and persons covered by this Policy may claim copyright to such works under their name.

“Traditional Works of Scholarship” shall be defined to include: syllabi and other original materials created for use in a Stevens' course, books (including textbooks), other forms of textual material including, without limitation scholarly journal articles (whether in printed form or electronic media), software, works of art and other creative works including music, lyrics, photographs, poetry, choreography, architectural works, sculpture, pictorial and graphic works, motion pictures, and sound recordings, which in each case are created as part

of the regular academic and scholarly activities of a person covered by this Policy.

Under applicable law, multiple creators who intend to create a joint work will be viewed as joint holders of copyright. Under this Policy, works created by more than one person involved in a common project shall be considered to be created by all such persons unless otherwise agreed in writing by each person.

B. Standing Exceptions: Stevens will retain ownership of copyrightable materials, or reserve a license to such materials, in the situations listed below. In each case, the situations listed below will apply whether such materials are in print or electronic form or other media, now in existence or hereafter arising. In each situation where Stevens retains ownership (i) the creator(s) of such materials shall retain a non-exclusive, world-wide, royalty-free, non-assignable license to use such materials for their personal non-profit educational and research purposes and (ii) in addition to exercising other rights of a copyright owner, Stevens may determine to make such materials available on an open-source or open-access basis or otherwise take action to make such materials widely-available as contemplated by Section VII.

1. Stevens retains a non-exclusive, world-wide, royalty-free license to any course material and course title, regardless of type or creator, including without limitation syllabi, lecture notes, course outlines, reading lists, hand-outs, exercises and examination questions and answers, in each case for all educational and research purposes.
2. Stevens retains a non-exclusive, world-wide, royalty-free license to any material created for a Stevens' publication, to the extent such material is not otherwise owned by Stevens under this Section III.
3. Stevens retains ownership of any material which was created making Substantial Use of University Resources, as defined below in Section E.
4. Stevens retains ownership of any material created by a non-faculty employee in the course of employment (including research), but Stevens will not own Traditional Works of Scholarship reporting on the work which led to the creation of such materials unless required under Section III(B)(7).
5. Stevens retains ownership of any material created in the course of research or other collaborative projects conducted under Stevens institutional auspices (including school or department auspices) where the identity of the project resides with Stevens (e.g. resulting in a publication of a school or department, curricular efforts within a department).
6. Stevens retains ownership of any material created in the course of a research or other collaborative project where development has been by a team such that the identity of the project resides with Stevens rather than with particular individuals, except Traditional Works of Scholarship reporting on the results of such a project (unless required by Section III(B)(7)).
7. Stevens retains ownership of any material created as the result of a research project, except Traditional Works of Scholarship reporting on such results, sponsored by a governmental, corporate, non-profit or other sponsor where the contract or agreement with such sponsor imposes obligations on Stevens with respect to such copyrightable materials. With respect

to Traditional Works of Scholarship reporting on the results of such a research project, Stevens shall retain only those rights, if any, which are necessary for Stevens to meet its express obligations under the contract or agreement with the relevant sponsor.

8. Stevens retains ownership of material created at the specific direction of Stevens outside of the ordinary course of curricular development, or commissioned by Stevens.
9. Stevens retains ownership of the entire compilation of any online course whether subject to a separate agreement between the creator and Stevens or otherwise, recognizing that individual items of content within an online course may be Traditional Works of Scholarship and remain subject to ownership by an individual(s).
10. Stevens retains ownership of any material which is closely associated with a patent owned by Stevens under Stevens' Patent Policy. This exception will typically apply to any copyrightable material created to effectuate an invention (e.g., software) or supplement an invention (e.g., documentation), but will not apply to Traditional Works of Scholarship reporting on the research which led to the creation of such materials unless required under Section III(B)(7).
11. Stevens retains ownership of any material, in any form or media (including without limitation video or audio) which is a reproduction of a Stevens' course or program (including, without limitation, an online course or program). Stevens may claim ownership of the intellectual content within such reproduction, depending on whether the intellectual content is a "Traditional Work of Scholarship" or otherwise covered by the exceptions set forth in Section III(B). Any commercialization by Stevens of any such material shall be in accordance with Sections III(C)(2).

- C. **Instructional Media:** This Section highlights the applicability of this Policy to instructional media. Instructional media are produced in a variety of forms including electronic and print publications. Instructional media includes teaching activities or interactive components that involve creators with the users of the instructional media. The presence of teaching and similar activities distinguishes this form of media from certain traditional works such as printed textbooks.

Restrictions on certain outside uses of instructional media are intended to involve the Provost in determining appropriate uses of instructional media and to further effectuate Stevens' policies regarding conflict of interest, conflict of commitment and appropriate use of Stevens name.

Instructional media, within this Policy, are intended to encompass (i) the content of courses and programs delivered using any form of media including print, in-person delivery, Web-based or other forms of electronic media, videotaping, audiotaping, television broadcast, or radio broadcast, as well as forms of media which may arise in the future, and (ii) if applicable, the technology used to structure and deliver such course and program content. Instructional media, within this Policy, would not extend to cover a traditional textbook, whether in printed or electronic form, without the presence of further instructional involvement of the creator.

1. Instructional Media Owned by the Creator

Instructional media created by faculty as part of activities which do not otherwise fall within any exception contained in Section III(B) or (C), will be owned by the faculty creator, subject, in certain cases to a retained interest of Stevens. Faculty may use or license instructional media owned by them under this Section 1 for all purposes including commercial purposes. Any use must be approved under Stevens' conflict of interest, conflict of commitment and consulting policies and shall not make use of Stevens name other than for purposes of identification of the faculty member.

The license to instructional media reserved by Stevens under Section III(B)(1) may be used by Stevens, without restriction, for educational and research purposes including licensing third parties for such purposes.

2. Instructional Media Owned by Stevens

Certain instructional media will, pursuant to Section III(B) and (C) be owned by Stevens. As a general matter, instructional media owned by Stevens and created with faculty involvement may be used by Stevens outside of Stevens for educational and research purposes and for commercial purposes. In all uses outside of Stevens, Stevens will consult with the primary faculty creators as to the planned use of such materials prior to granting rights to third parties.

D. **Faculty Consulting:**

1. All full-time faculty have the ability to engage in some amount of outside consulting activities in accordance with the policies contained in the Stevens Faculty Handbook. Prior to beginning outside consulting activities, faculty shall inform the party for whom the consulting activities are to be performed of this Copyright Policy, and the faculty member's obligations under this Policy.
2. In order to enable faculty to engage in permissible consulting while at the same time delineating Stevens' interests in its curriculum and in conducting corporate sponsored research, Stevens will make no claim to copyrightable material created by a faculty member in the course of a disclosed consulting engagement if such consulting:
 - (a) shall not include teaching or similar instructional activities by the faculty creator unless permitted by Stevens' policies relating to conflict of interest and conflict of commitment;
 - (b) shall not otherwise violate such conflict of interest and conflict of commitment policies;
 - (c) is performed and such copyrightable materials created without the use of Stevens resources (Note that this is a more restrictive standard than "Substantial Use of University Resources");
 - (d) results in copyrightable materials which are on a specific problem or topic (i) proposed by the company or entity to which the faculty member is consulting and (ii) on which problem or topic the faculty member is not engaged in active research at Stevens; and
 - (e) shall not make any use of Stevens name other than for identification purposes.
3. A faculty member may agree to assign copyrightable materials made in the course of consulting to the company or entity only if these conditions are satisfied. If these conditions are not able to be satisfied, faculty are encouraged to consult the Office of Sponsored

Programs to determine whether corporate sponsorship is an appropriate alternative. Faculty are required to disclose copyrightable materials made in the course of consulting to Stevens to determine if such conditions are met.

E. **“Substantial Use of University Resources”:** The Substantial Use of University Resources in the creation of copyrightable material will give Stevens an interest in such material and support ownership by Stevens as contemplated by Section III(B)(3). The precise determination of what usage of Stevens resources or assistance of non-faculty or student personnel shall be considered substantial, or of when the identity of a project resides with Stevens rather than with particular individuals, involves the exercise of judgment based on the circumstances and on practices within the discipline. As basic principles, use of Stevens resources or assistance from non-faculty or student personnel that is incidental and not essential to the creation of the materials does not constitute Substantial Use of Resources, while use of Stevens name or consultants engaged by Stevens for purposes of creating the materials would constitute Substantial Use of Resources. For example, none of the following shall be considered Substantial Use of Stevens Resources:

1. Use of resources or non-faculty or student personnel commonly available to faculty in the same school, institute or department, such as libraries, offices, desktop computers, or secretarial staff;
2. Occasional use of a specialized piece of equipment or facility for routine tasks;
3. Receipt of salary by faculty for their academic appointments; and
4. The use of resources or facilities generally available to students as part of their educational activities.

F. **Consultants:** Copyrightable material created in the course of a consultant’s paid consulting work for Stevens shall be the property of Stevens. Consultants should be hired only pursuant to a prior written agreement in a form approved by Stevens. This provision will, as a general matter (i) apply to consultants who conduct research or create content for Stevens and (ii) not apply to the purchase of goods and services by Stevens.

Student Works

A. **General Principle.** Subject to the terms of this Section IV, students own the copyright to original works created in the course of their regular academic activities at Stevens, including class work, research materials, works of art or music and theses (“Student Work”). Student Work created jointly by more than one student will be owned jointly by such students.

B. **Standing Exceptions.** Each of the provisions of Section III(B) shall apply to Student Work (as though set forth in full in this Section) to allocate certain rights or copyright ownership of Student Work to Stevens.

C. **Limited License.** In addition to the provisions of Section III(B), Stevens retains a non-exclusive world-wide royalty-free license to Student Work for so long as the student creator is matriculated at Stevens to use such Student Work for Stevens’ educational and research purposes including publicizing Stevens or any program or department of Stevens. This limited license shall terminate when the student graduates from Stevens or ceases to be matriculated.

D. Participation in Faculty Research. Where a student(s) participates in the work or research of a faculty member(s), and such student participation does not constitute Substantial Use of University Resources on the part of the faculty member(s), the student and faculty member may agree prior to the commencement of such work or research to allocate the copyright arising with respect to such work or research between the student and faculty member, as they may agree. No such agreement shall operate to transfer copyright to all or any portion of a student's thesis or dissertation to a faculty member, or otherwise transfer ownership to a faculty member of work produced by a student in the course of the faculty member's teaching or academic advising activities involving such faculty member.

E. Participation by Students in the Creation of Software. In situations where a faculty member has initiated and is leading his or her own personal research project involving the creation of software code, and one or more students are involved in such research project to the limited extent of making discrete contributions to the research (and the involvement of students does not rise to the level of a joint research project between such faculty member and the student), then, absent written agreement between the faculty member and the student or the applicability of any of the Standing Exceptions in Section III(B), the following terms shall apply: (1) there shall be no presumption of joint copyright ownership by faculty and student, (2) each of the faculty member and the student shall own the copyright to the portions of the research which constitute their original work and shall be free to license or otherwise use such work, (3) the faculty member shall hold a world-wide non-exclusive assignable royalty-free license to use the work of the student in such research for all purposes determined by the faculty member, consistent with this Policy and other policies of Stevens, (4) the student shall not hold any license or other right to use any portion of the research other than the original work created by the student and (5) the faculty member shall determine, consistent with academic principles, whether and how to credit student contributions to the research project.

F. Senior Design. It is recognized that students working individually or as part of a team of students on a Senior Design Project which involves a problem or question initiated and framed by a third party sponsor may make Substantial Use of University Resources. Given the significance of Senior Design to the educational process of students at Stevens and the legitimate interests of sponsors (i) copyrightable material created by one or more students in the course of a Senior Design Project, or related to an invention conceived or first reduced to practice by one or more students in the course of a Senior Design Project, shall be owned by the individual or group of students, as the case may be, and (ii) upon written agreement of all students in a Senior Design Project and following disclosure of the copyrightable material to Stevens pursuant to Section VIII(C), such students may license or transfer rights owned by such students in and to the material to the sponsor (whether prior to or following graduation). Alternatively, upon written agreement of all of the students in a Senior Design Project and Stevens, the students may assign their rights in such material to Stevens under this Policy.

Any copyrights of a faculty member created in the context of a Senior Design Project shall be determined by the general rules applicable to faculty copyrights under this Policy. If the Senior Design student group assigns rights to a sponsor, the expectation in most circumstances will be that Stevens will license the interest of the faculty member to the sponsor.

G. **Academic Entrepreneurship.** Stevens may, from time to time, maintain specific programs and facilities to foster entrepreneurship and provide guidance and experience to students who are creating technology or content for use in a business activity, whether for-profit or non-profit (a “Stevens Academic Entrepreneurship Program”). These programs and facilities may offer shared use of basic services and facilities, among other activities, and such use may constitute Substantial Use of University Resources. The Stevens Venture Center, founded in 2016, is an existing Stevens Academic Entrepreneurship Program. In the future, the Provost may designate additional programs and facilities as Stevens Academic Entrepreneurship Programs. Given the significance of academic entrepreneurship to the Stevens curriculum (i) copyrightable material created by one or more students using the basic shared services or facilities of a Stevens Academic Entrepreneurship Program, or related to an invention conceived or first reduced to practice by one or more students using the basic shared services or facilities of a Stevens Academic Entrepreneurship Program, shall be owned by the individual or group of students, as the case may be, and (ii) upon written agreement of all such students and following disclosure of the copyrightable material to Stevens pursuant to Section VIII(C), such students may license or transfer rights owned by such students in and to the material to the relevant business entity (whether prior to or following graduation). Alternatively, upon written agreement of all of the students involved with such project and Stevens, the students may assign their rights in such material to Stevens under this Policy.

V. Commercialization of Copyrights

A. When Stevens asserts copyright ownership in material and the creator has signed Stevens’ Intellectual Property Agreement (as defined below), the creator has the right to share in the net proceeds derived from commercializing that material. Sharing of such proceeds shall be governed by this Policy unless the material is the subject of a separate written agreement between Stevens and such faculty member(s), in which case such agreement shall govern. Notwithstanding the foregoing, material created by faculty for a Stevens online program, whether through WebCampus or another Stevens-affiliated program, will be addressed through separate written agreements and shall not be covered by this Section V.

B. Stevens will make an initial allocation from gross proceeds, if any, in the aggregate amount of \$1,000 to fund a research account at Stevens to support academic research activities of the creator or creators of material hereunder; provided that, in the event revenue is associated primarily with a patentable invention under Stevens’ Patent Policy, no separate allocation shall be made under this Policy.

C. Following the allocation contemplated by paragraph B above, all distributions shall be based upon net proceeds (as defined below) and shall ordinarily be distributed as follows:

1. Fifteen percent (15%) to the Office of the Provost for the general support of the Office of Research, Innovation and Entrepreneurship and to cover any other expenses associated with commercialization; and
2. The remaining proceeds (85% of net proceeds) shall be distributed as follows:

- a. Creator share: fifty percent (50%) to the creator(s) (including creators at other institutions), for the first \$5,000,000 of proceeds; forty percent (40%) of proceeds in excess of \$5,000,000 and not exceeding \$10,000,000; and thirty percent (30%) of proceeds in excess of \$10,000,000.
- b. The remaining proceeds shall be used by Stevens for research, scholarship and other educational activities in the following manner:
 - i. 40% to the Office of the Provost for the school or other Stevens division in which the material was created;
 - ii. 20% to the Office of the Provost; and
 - iii. 40% to Stevens.

Gross proceeds are all proceeds from licensing or otherwise granting rights in copyrightable material to third parties, including licensing fees, royalties on sales and other usage, and milestone payments, but excluding research funding. Net proceeds are gross proceeds minus all out-of-pocket expenses incurred by Stevens that are associated with the particular material. Out-of-pocket expenses may include legal expenses associated with securing the copyright, negotiating an agreement, travel expenses, payments due to other parties with rights in the work, or any reasonable expenses incurred in pursuing the commercialization of the material. If Stevens pursues or defends litigation to enforce copyright ownership, then the proceeds of any judgment or settlement from such litigation shall ordinarily be included in gross proceeds, and the associated litigation expenses shall be deducted as out-of-pocket expenses. If litigation is pursued, the distribution described above may be modified to reflect the greater economic risk being incurred by Stevens in pursuing such litigation.

In the event of any litigation, actual or imminent, or any other activity to enforce or defend copyright rights, Stevens may withhold distribution of and retain royalties or other payments received until such matters are resolved. The funds so withheld shall be placed in income producing investments during such period, determined in the discretion of the Division of Finance. After any such matter is finally resolved, Stevens shall undertake a final accounting and, within thirty days thereafter, the share of the creator or creators in the funds so withheld and in the accrued income shall be distributed to the creator or creators, subject to prior recovery of costs and overhead as specified above.

Creators who are (i) employees of Stevens, (ii) acting within the course of such employment and (iii) not faculty or research staff, will not automatically be covered by this Section; rather, in such cases, the Administrative Council of Stevens, following a recommendation from the supervisor of such an employee or the relevant project leader, shall make a determination as to the appropriateness of such employee sharing in the proceeds of commercialization.

C. Equity received from a company or other entity in lieu of license fees or royalties shall be allocated by calculating and distributing the appropriate number of shares, using the percentages outlined above, irrespective of their value, provided that (x) any creator who holds an equity position in the company or other entity shall not share in Stevens' equity and (y) any creator(s) who does not hold an equity position in the company or entity shall, for purposes of distribution under Section V.C.2.a, receive 50% of such equity. In the event there

is a single share or a partial share which cannot be distributed to the inventor(s), that share or partial share shall belong to Stevens. Unless otherwise required by contractual arrangements or applicable law, Stevens shall distribute shares of equity at the time they are received by Stevens or will require that the creator receive such equity directly from the company or other entity. In the event that Stevens is required to hold the shares for any length of time or is otherwise restricted from distributing shares to creators, Stevens shall hold such shares or other interests but shall not be responsible for any fluctuation in the value of the shares or any matters relating to the administration of such shares or interests.

D. Shares of proceeds shall be used by departments, schools and Stevens to further the research, scholarship and educational goals of Stevens.

E. If more than one creator is to share in the creator share, the creators shall decide among themselves their respective shares and shall provide the Office of Research, Innovation and Entrepreneurship with a written agreement signed by all creators. Such written agreement shall be provided within three months of a written request from the Office of Research, Innovation and Entrepreneurship for such an agreement and shall be irrevocable unless it is modified in writing by all creators. In the absence of such a written agreement, Stevens shall determine the distribution of shares to creators.

F. Whenever Stevens licenses rights to copyrightable material, it will reserve the right for Stevens to use the material for internal research and educational purposes and will generally seek to reserve such rights for other non-profit research institutions.

VI. Transfer of Copyrightable Materials Owned by Stevens to the Creator

- A. If Stevens determines that it will not pursue commercialization of copyrightable material subject to Stevens ownership under this copyright policy, Stevens will consider a written request made to the Office of Research, Innovation and Entrepreneurship by the creator to transfer ownership in the material to the creator, subject to the terms of any applicable agreements with third parties under which the material was created. Transfer of ownership to the creator will be subject to an irrevocable royalty-free license to Stevens to use the material for education, research and other non-commercial purposes and reservation to Stevens of the right to grant similar licenses to other nonprofit institutions. In those instances in which there are multiple creators, all creators must be in agreement and be party to such a request.
- B. If, after the transfer of ownership to the creator pursuant to a request made under Section VI A., the creator receives proceeds from commercializing the materials, the creator shall (i) reimburse Stevens for any out-of-pocket expenses incurred by Stevens in connection with the materials, including legal and marketing expenses and (ii) negotiate with Stevens a royalty to reflect Stevens' investment in the materials, if any, and embody such agreement in a written agreement containing such other terms and conditions as the parties may agree to. Each creator shall be responsible for ensuring that any company or other transferee of rights in and to the materials shall be obligated to comply with the terms of this Section following an assignment of rights to the inventor.
- C. If, after transfer of ownership to the creator pursuant to Section VI A, the creator's research at Stevens results in new copyrightable materials, he/she must fully disclose each

such new invention to Stevens, which may claim ownership of such new inventions.

VII. Open Source Code and Other Open Access Licensing of Copyrightable Materials

- A. In accordance with Stevens' mission of conducting education and research, an owner of copyrightable material may desire to make copyrightable materials widely available to the public via open source licensing of software or publication of materials via open-access licenses. In each case, the decision to make materials widely available should include a number of considerations including, without limitation: who owns the material under this Copyright Policy, whether the same interests would be better served by commercialization of such materials and whether open access should be limited to nonprofit and educational purposes.
- B. Open access licensing may also be covered by separate policies and procedures of Stevens in effect from time to time. Such policies and practices may cover issues such as permitted use of Stevens resources (including computer resources and bandwidth) and require consultation with the Provost and Office of General Counsel to determine the implications of open-access licensing using Stevens resources.
- C. As a general matter, an individual who owns copyrightable material (and Stevens does not retain an interest in such material) under Section III, may freely engage in open access licensing which does not use Stevens resources.
- D. In the event that Stevens either owns copyrightable material under Section III or retains an interest in such material, open access licensing may be conducted only following disclosure to Stevens under Section VIII(B). Following disclosure and a request that such material be made available on an open-access basis, Stevens shall make a determination as to such request weighing the factors outlined in Section (A) and taking into consideration the views of the relevant faculty and Dean.
- E. Any copyrightable material created in the course of a sponsored project accepted by Stevens (as described in Section III(B)(7)) which project requires, by its terms, that such material be made available under an open-source or open-access license shall be required to be disclosed to Stevens and made available as required, but will not be subject to further review or approval hereunder.

VIII. Administration of Policy

- A. *Stevens Administration.* This Copyright Policy will be administered by the Provost, with guidance from the Intellectual Property Advisory Committee and in consultation with the Deans of each School and College of Stevens. The Provost may delegate his/her duties under this Policy to such other officers or employees of Stevens as he/she may find appropriate. The Intellectual Property Advisory Committee may be convened from time to time by the Provost to advise and make recommendations to the Provost regarding (i) disputes relating to intellectual property rights under this Policy, (ii) Stevens' ownership or other interests in particular works of intellectual property covered by this Policy, and (iii) the need for amendments to this Policy or guidelines or procedures to implement this Policy. The Committee shall include faculty representation, as determined in consultation with the Faculty Senate.

B. *Waiver.* Provisions of this Policy may, in specific instances and upon written request, be waived by the President or the President's designee on a case-by-case basis, giving consideration among other things to (i) Stevens' obligations to sponsors, (ii) whether the waiver would be in the best interest of technology transfer, (iii) whether the waiver would be in the best interest of Stevens, (iv) whether the waiver would result in a conflict of interest and (v) whether additional approvals within Stevens' governance structure would be required. Any such request shall be made in the first instance to the Provost who shall consider such request and, if the Provost approves, submit such request to the President for further consideration.

C. *Disclosure of Copyrightable Materials.* In order to ensure that Stevens is fully informed of copyrightable materials, able to make a proper determination of creatorship and ownership and able to fulfill reporting obligations to governmental and other research sponsors, all persons subject to this Policy shall promptly notify and fully disclose to Stevens all copyrightable materials resulting from their activities. Each person covered by this Policy shall use their best judgment in determining whether to make a disclosure under this Policy. In the event of uncertainty, each person covered by this Policy is advised to consult with the Office of Research, Innovation and Entrepreneurship. Upon disclosure of copyrightable material, Stevens shall determine whether ownership vests in Stevens.

D. *Agreement to Policy.* This Policy constitutes an understanding that it is binding on Stevens and on all individuals who accept Stevens employment, who use Stevens resources or facilities, or who participate in Stevens research. All individuals employed by or affiliated with Stevens shall be advised of this Policy through publication in the Faculty Handbook on Stevens' website. Stevens may require formal copyright agreements to implement this Policy as appropriate, but the absence of such executed agreements shall not invalidate the applicability of the Policy. Nothing in this Policy shall constitute a waiver by Stevens of any rights that Stevens may have under any other University policy, including without limitation the Patent Policy, or any applicable law.

All individuals must have a signed Intellectual Property Agreement (see Appendix A to the Patent Policy) on the occasion of first submitting a grant application or first engaging in sponsored research. All directors or principal investigators of sponsored projects must secure signatures to the Intellectual Property Agreement from all research personnel, including students working on the project, at the time of their appointment and file the agreement(s) with the Office of Sponsored Programs.

D. *Disputes.* Disputes involving intellectual property rights or this Policy shall be reviewed and resolved by the Provost or such other officers or employees as he/she designates. Decisions made by delegates may be appealed to the Provost, who will review the matter and reach a decision in consultation with the Intellectual Property Advisory Committee, the relevant Dean or Director, and others determined by the Provost. In the event that disputes are reviewed and resolved by the Provost, such decisions may be appealed to the President, who will review the matter and make the final decision.

10.MISCELLANEOUSPOLICIES

10.1 Policies and Procedures for Preserving Academic Freedom on the Stevens Campus

Experience of the academic world indicates the desirability of reducing to writing the principles and policies relating to on-campus expressions of opinions or demonstrations. The following are set forth in the interest of ensuring due consideration of the privileges and obligations of all members of the Stevens community - undergraduate, graduate, faculty and staff:

10.1.1 Responsibility for the administration of these principles and policies lies with the President or designated representative

10.1.2 The university's central functions of teaching, learning, research, and scholarship depend upon an atmosphere in which freedom of inquiry, thought, expression, publication, and peaceable assembly are given the fullest protection. Expression of the widest range of viewpoints is encouraged, free from institutional orthodoxy and from internal or external coercion. This freedom, however, must be exercised within the restraint that freedom of any one individual must not intrude upon or limit the freedom of others and may not incite violence or conduct which is a violation of another Stevens policy (e.g., the nondiscrimination policy) or of applicable law. Coercion in any form is not acceptable.

10.1.3 Full and open communication of points of view is welcome. For this reason there exist many channels and many forums on campus. All members of Stevens community are expected to use these established channels to promote ideas, air grievances, and effect changes.

10.1.4 Requests by student organizations or individual students for the use of Stevens property and facilities must go through the Student Government Administration and the Division of University Relations for approval. Similar requests from faculty or staff members must be approved in the first instance by the relevant Vice President or Department Chair and Dean, as the case may be, and then sent directly to the Division of University Relations for further evaluation

10.1.5 If an incident arises in violation of the above stated principles and policies, those participating will be asked to cease and desist their actions, or leave the premises or facilities. Upon any failure to comply with any such request, the university may use appropriate disciplinary actions including the full resources of the civil or criminal authorities to effect such compliance. Any member of the Stevens community, student, faculty, or staff involved in a civil or criminal proceeding resulting from participation in a demonstration or incident on campus may be subject to disciplinary action by the university pursuant to applicable university policies including such serious consequences as suspension or dismissal. Established appeal procedures under such university policies will apply.

10.1.6 Non-members of the Stevens community participating in a proscribed demonstration or incident on campus will be considered trespassers and treated accordingly.

10.1.7 Nothing contained in the above policy and procedures is intended or shall be construed to limit or restrict the right of freedom of speech or peaceful assembly by any member of Stevens community.

10.2 Conflicts of Interest and Conflicts of Commitment (Sponsored Research)

A conflict of interest (“COI”) or conflict of commitment (“COC”) may arise in various ways and whether specific circumstances give rise to a COI or COC, and whether or how the conflict can be managed, depends in part on an individual’s role at the University. Please see Stevens’ [Conflict of Interest Policy](#) for a general discussion of COI and COC. This section (10.2) of the Faculty Handbook focuses specifically on the Faculty’s role as a researcher and is intended to be consistent with the Conflict of Interest Policy.

10.2.1 In the context of sponsored research, a COI most frequently occurs when there are overlapping financial interests. A Faculty member is responsible for disclosing significant financial interests (SFI) for themselves and Family and Household Members (as defined in the Conflict of Interest Policy) and reporting management and/or consulting positions that they or a Family or Household Member may have with sponsors or other external entities. Faculty are required to disclose all actual and potential COIs as they arise and, at least annually, through the filing of a COI Disclosure Form with their Dean and the Provost, certifying that they have read the Conflict of Interest Policy and agreeing to be governed by it. In addition, Faculty may be required to disclose financial interests and outside activities to a sponsor.

10.2.2 In addition to and subject to the provisions of Section 3.1.3 of this Faculty Handbook, a COC may arise in situations that place competing demands on a Faculty member’s time and commitment to the university. At any time, a Faculty member might be:

- working on one or more funded projects;
- preparing to submit a request for a new project;
- teaching and advising students;
- attending professional meetings and giving lectures;
- serving as a peer reviewer;
- sitting on advisory boards; or
- working as a paid consultant in a private company.

Each of these activities requires time and makes demands on a Faculty member’s institutional commitments. Faculty members must ensure that these commitments do not inappropriately interfere with one another. Faculty members and other researchers must appropriately estimate and accurately report committed effort and follow the rules for allocation of time as set forth in Stevens’ policy on effort reporting.

10.2.3 In addition to any institutional review process, a review procedure which is specific to the research context is in place to review SFI and potential COI and COC. This review will be

undertaken by a committee convened by the Office of Sponsored Programs including representation from the Research and Entrepreneurship Committee of the Faculty (as provided in Section 4.3.1.2). If appropriate, the committee will devise and recommend to the Vice Provost for Research mechanisms to manage any conflicts. Advice on potential or actual conflicts will be provided by the Office of General Counsel and the Chief Compliance Officer. The requirements of this Section operate in addition to any additional or different requirements which may be required by specific funding agencies.