Table of Contents

PART ONE: CONSTITUTION AND BYLAWS OF THE WPI FACULTY*............ 1-4
SECTION ONE: DEFINITION OF THE FACULTY.................................................. 1-5
SECTION TWO: DUTIES, RESPONSIBILITIES, AUTHORITY, AND ACADEMIC FREEDOM OF THE FACULTY ................................................................. 1-5
SECTION THREE: GENERAL RULES AND PROCEDURES FOR ACADEMIC GOVERNANCE....... 1-6

BYLAW ONE: MEMBERSHIP, DUTIES, AND RESPONSIBILITIES OF STANDING COMMITTEES OF THE FACULTY ................................................................. 1-9
BYLAW TWO: APPOINTMENT OF REPRESENTATIVES OF THE PROVOST’S OFFICE TO SERVE ON THE FIVE STANDING COMMITTEES: CAP, CAO, CASL, CGSR, AND UOAC .................................................................................................................................................. 1-14
BYLAW THREE: ELECTION OF COMMITTEES OF THE FACULTY ................................................................................................................................. 1-14
BYLAW FOUR: UNEXPIRED TERMS -- APPOINTMENT AND ELECTION OF REPLACEMENTS. ............................................................................................................. 1-14
BYLAW FIVE: SECRETARY OF THE FACULTY .................................................................................. 1-15
BYLAW SIX: MEMBERSHIP OF FACULTY ON COMMITTEES OF THE WPI BOARD OF TRUSTEES AND FACULTY PARTICIPATION AT BOARD OF TRUSTEES MEETINGS ............................................................................................................................................ 1-16

BYLAW SEVEN: STANDING AND SPECIAL RULES OF ORDER .................................................................................................................... 1-16
I. Standing Rule One ............................................................................................................................... 1-16
II. Special Rule of Order One .................................................................................................................... 1-16
III. Special Rule of Order Two ..................................................................................................................... 1-17

APPENDIX A: REPORT OF THE AD HOC TENURE COMMITTEE ............................................................................................................................................. 1-18
A. General Procedural Matters ........................................................................................................... 1-18
B. Procedure for Granting Tenure ........................................................................................................ 1-19
C. Policy on Faculty Conduct ............................................................................................................. 1-21
D. Procedural Amendments ................................................................................................................... 1-27

APPENDIX B: OPERATIONAL GUIDELINES FOR THE FACULTY REVIEW COMMITTEE ................................................................. 1-28

APPENDIX C: DESCRIPTION OF THE INSTANT RUN-OFF VOTING METHOD ................................................................................................................. 1-30

APPENDIX D: THE ROLES PLAYED BY TENURED, TENURE-TRACK, AND NON-TENURE TRACK FACULTY IN CARRYING OUT WPI’S MISSION ........ 1-32

PART TWO: POLICIES AND OPERATING PROCEDURES................................. 2-1
1. POLICIES REGARDING THE STATUS OF FACULTY ................................................................................................................................. 2-1
A. Academic Freedom and Tenure* ........................................................................................................ 2-1
B. Appointments and Reappointments of Tenure Track Faculty* ........................................................................................................................................... 2-4
C. Department Heads* ............................................................................................................................ 2-5
D. Promotion* ........................................................................................................................................ 2-7
E. Policy on Faculty Conduct* ............................................................................................................. 2-10
F. Review Of Tenured Faculty .......................................................................................................... 2-16
G. Definitions of Joint Appointments of Tenured and Tenure-Track Faculty ................................................................................................................................. 2-16
H. Guidelines for Searches to Fill Academic Administrative Positions* ....................................................................................................................... 2-17

2. POLICIES REGARDING ACADEMICS AND ACADEMIC PROGRAMS ................................................................................................................................. 2-19
A. Statement of Values for Undergraduate Education* ........................................................................... 2-19
B. WPI Undergraduate Learning Outcomes* .......................................................................................... 2-20
C. Policies Regarding The Awarding Of Grades ...................................................................................... 2-21
    1. Faculty Guidelines for Project Grading* ............................................................................................ 2-21
    2. Policy on Graduate Grade Appeals and Grade Changes* ..................................................................... 2-23
    3. Policy on Undergraduate Grade Appeals and Grade Changes* ......................................................... 2-25
D. Policy on Initiating and Terminating Departments or Programs* ........................................................................................................................................... 2-28
3. CERTAIN POLICIES ON FACULTY BENEFITS AND OPPORTUNITIES........................................... 2-29
   A. Consulting Policy.............................................................................................................................. 2-29
   B. Retirement Plan ............................................................................................................................ 2-29
   C. Policy on Sabbatical Leaves* ........................................................................................................ 2-29
   D. Summer Supplemental Salary ...................................................................................................... 2-30
   E. Unpaid Leaves ............................................................................................................................. 2-30
   F. The Fringe Benefits Committee* .................................................................................................. 2-31

4. CERTAIN LEGAL RESPONSIBILITIES AND RELATIONSHIPS WITH WPI ..................................... 2-34
   A. Conflict of Interest Policy* ............................................................................................................ 2-34
   B. WPI Policy of Indemnification for Faculty, Professional Staff and
      All Other "Exempt" Employees ....................................................................................................... 2-36
   C. Intellectual Property Policy ......................................................................................................... 2-36
   D. Anti-Hazing Policy ....................................................................................................................... 2-36
   E. Statement on Affirmative Action ................................................................................................... 2-36
   F. Sexual Harassment Policy* ........................................................................................................... 2-36
   G. Policy on Research Conduct* ....................................................................................................... 2-37

5. DEVELOPMENT COUNCILS FOR EDUCATION AND RESEARCH .................................................. 2-38
   A. Educational Development Council ............................................................................................... 2-38
   B. Research Development Council* ................................................................................................ 2-38

6. AWARDS AND AWARD COMMITTEES ............................................................... 2-64
   A. Board of Trustees' Award for Outstanding Teaching ................................................................. 2-64
   B. Board of Trustees' Award for Outstanding Research and Creative Scholarship .................... 2-66
   C. Board of Trustees' Award for Outstanding Academic Advising .............................................. 2-67
   D. Romeo L. Moruzzi Young Faculty Award for Innovation in Undergraduate Education ......... 2-67
   E. Denise Nicoletti Trustees' Award for Service to Community .................................................... 2-68

7. CATEGORIES OF FACULTY MEMBERS AT WPI*....................................................................... 2-72
   A. The Role of the Tenured and Tenure-Track Faculty ................................................................. 2-72
   B. Categories of Non-Tenure Track Faculty and their Roles ....................................................... 2-72
   C. Others with Teaching Responsibilities at WPI ........................................................................ 2-72
   D. Titles ........................................................................................................................................ 2-72
   E. Appointments, Evaluation, and Promotion Procedures for Continuing Non-Tenure
      Track Faculty ................................................................................................................................. 2-73
   F. Criteria for promotion to the indicated non-tenure track ranks ............................................. 2-75
   G. Criteria for reappointment as Professor of Practice ................................................................. 2-76

[* Indicates that the section was approved by a vote of the Faculty]

Other policies, which apply to all WPI employees are available from Human Resources on WPI University Policy
webpages at http://www.wpi.edu/offices/hr
Other relevant University policies are found at http://www.wpi.edu/Pubs/Policies/
Policies regarding obligations under various Federal copyright laws are found at https://
https://www.wpi.edu/offices/policies/copyright.html
PART ONE:

CONSTITUTION AND BYLAWS OF THE WPI FACULTY*

Voted:
March, 1970

Revised:
May 31, 1972

Amended:
April 26, 1973

Approved by the Board of Trustees:
June 2, 1973

Amended:
March 21, 1974
January 30, 1975
May 22, 1975
September 16, 1976
May 19, 1977
October 19, 1978
December 14, 1978
Spring, 1979
May 14, 1981
March 6, 1984
February 13, 1986
December 18, 1986
November 12, 1987
May 12, 1988
April 11, 1991

Approved by the Board of Trustees:
May 17, 1991

Amended:
February 13, 1992
January 16, 1997
January 15, 1998
December 16, 1999
February 24, 2000
January 25, 2001
March 25, 2010
May 13, 2010
October 7, 2010
April 14, 2011
May 12, 2011
March 22, 2012
March 14, 2013
April 17, 2014
December 18, 2015
April 14, 2016
May 10, 2016

* Indicates approval by a vote of the Faculty.
SECTION ONE: DEFINITION OF THE FACULTY
(Changes Approved by the Board of Trustees, May 13, 2011. Amended by the Faculty, April 17, 2014)

The Faculty of Worcester Polytechnic Institute consists of the President, the Provost, and those individuals holding full-time appointments with the following exact titles: Professor, Associate Professor, or Assistant Professor. The Faculty, as a collective body, governs itself under the provisions of this Constitution and under the Bylaws adopted pursuant thereto.¹

SECTION TWO: DUTIES, RESPONSIBILITIES, AUTHORITY, AND ACADEMIC FREEDOM OF THE FACULTY

I. General
The Faculty accepts duties and responsibilities and derives its authority in accordance with the Bylaws of WPI under the direction of the Board of Trustees. The Board of Trustees, in turn, delegates the areas of responsibility and authority to the Faculty through the President of WPI. In accordance with accepted practices at institutions of higher learning in the United States, areas of duty, responsibility, authority, and academic freedom are understood as follows.

II. Duties
The duties of the Faculty shall include, but not be limited to, the establishment of admission requirements, academic standards, curricula, courses of study, and the regulations pertaining thereto, as well as the certification of candidates for degrees and recommendation to the Board of Trustees for award of degrees.

III. Responsibilities
The Faculty has a responsibility for initiating, considering, and making recommendations on questions of educational policy and problems arising therefrom. A question is one of educational policy to the extent that it bears upon conditions facilitating instruction, study, research, publication, and other scholarly or cultural activities of faculty members and students.

IV. Authority
The Faculty, subject to approval of the Board of Trustees, defines the recognized titles of academic rank at WPI, and the criteria of eligibility thereto, and has such authority over the academic policies and programs as may be delegated to it by the President and the Board of Trustees.

V. Academic Freedom
A. Faculty Members are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other academic duties; but research for pecuniary return should be in accordance with established WPI policy.

B. Faculty Members are entitled to freedom in the classroom in discussing their subjects and evaluating their students, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subjects.

C. College and university faculty members are citizens, members of learned professions, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and as educational officers, they should remember that the public may judge their profession and institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.

¹ Former tenured members of the Faculty who are in phased retirement (with fifty percent appointments or greater) retain their privileges to vote on all Faculty governance matters and to serve on all governance committees.
D. During their probationary period, untenured Members of the Faculty have the same academic freedom enjoyed by tenured faculty members.

SECTION THREE: GENERAL RULES AND PROCEDURES FOR ACADEMIC GOVERNANCE

I. Amending the Constitution and Adopting Bylaws
An amendment to this Constitution may be proposed by any voting Member of the Faculty by submitting the proposed amendment in writing to the Secretary of the Faculty fourteen days prior to a regularly scheduled Faculty Meeting. Following discussion at this Meeting, the amendment may be voted on at the next regularly scheduled Faculty Meeting. An affirmative vote of two-thirds of those voting is required for adoption.

An amendment will become effective upon endorsement by the Board of Trustees by whatever procedure or agency it chooses to employ.

A Bylaw may be proposed by any voting member of the Faculty by submitting the proposed Bylaw in writing to the Secretary of the Faculty fourteen days prior to a regularly scheduled Faculty Meeting. The Secretary will include the proposed Bylaw on the agenda of the meeting. Following discussion at this meeting, the proposed Bylaw may be voted on at the next regularly scheduled Faculty Meeting. An affirmative vote of two-thirds of those voting is required for adoption. Bylaws may be amended, deleted, or superseded by the adoption of subsequent Bylaws.

II. Faculty Meetings
The Faculty holds stated monthly meetings and special meetings as the occasion may arise. Special meetings of the Faculty are called by the Secretary of the Faculty or upon petition of ten or more members of the Faculty. Twenty-five percent of the Faculty membership constitutes a quorum. The officers of the Faculty are the Secretary of the Faculty and the Chair of the Committee on Governance. The Secretary of the Faculty normally presides at Faculty Meetings; in the Secretary’s absence, the Chair of the Committee on Governance serves in that capacity.

The rules of order for all Faculty Meetings are Robert's Rules of Order (latest edition), except as amended by the Faculty. The agenda for each stated Faculty Meeting will include an opportunity for reports from standing committees as a regular item of business and will be distributed to the Faculty in advance of the meeting. In addition to the oral and written reports of committees to the Faculty, standing committees submit written annual reports of their academic-year activities to the Secretary of the Faculty within one week after the last day of Term D.

Participation in meetings of the Faculty is limited to Members of the Faculty, student members of Faculty committees, and members of the Administration. Attendance is open, except when the Faculty votes to go into executive session. Voting privileges are restricted to members of the Faculty and to such other members of the WPI community as may be designated by a two-thirds majority vote of the entire Faculty. The rules governing Faculty Meetings may be set aside in special circumstances by a two-thirds vote of the Faculty present at any legally constituted Faculty Meeting.

III. Committees of the Faculty
Committees of the Faculty are created by Bylaws of the Faculty and are responsible to the Faculty. Standing Committees are charged with broad issues of continuing faculty concern, and, once created, maintain their existence until expressly abolished by the Faculty. Ad hoc Committees may be created by the Faculty to serve specific purposes and to exist for a designated period of time. Upon completion of its charge or upon the termination of its specified term of existence, an ad hoc

---

2 See footnote in “Section One – Definition of the Faculty.”
Committee is required to report to the Faculty, whereupon it ceases to exist unless its term of
estake (time and purpose) by action of the Faculty. Committees of the
Faculty, whether standing or ad hoc, may consist of Members of the Faculty, Members of the
Administration, and WPI students. Faculty Members of Committees are elected by the Faculty or
appointed by the President or Provost or a Committee of the Faculty charged with this responsibility.
In any case, the majority of Faculty Members on any Committee must be elected by the Faculty. If
the membership of a Committee includes Members of the Administration, such members may be ex
officio or appointed by the President or Provost, as appropriate. Student members of Faculty
committees are selected annually by the students, with the students determining the procedures.

IV. Rules Governing Committees
The following rules govern the organization and operation of all standing and ad hoc Committees of
the Faculty, with the exceptions noted in later sections of this document. The rules of order for all
committee formation and procedures may be set aside in special circumstances by a two-thirds vote of
the Faculty present at any legally constituted Faculty Meeting.

A. At their discretion, Committees may invite the participation of non-members whose interest and
special knowledge may contribute to their activities.

B. Committees report regularly to the Faculty, informing, advising, or recommending actions
according to their several charges.

C. Committee terms begin on July 1. Each Committee is responsible for its own organization, and
annually elects a chair and a secretary from among the elected Faculty Members for the year
beginning July 1. This election will normally take place before the end of Term D. Newly elected
members participate in electing the new officers. Outgoing members do not participate in electing
the new officers. Committee chairs may succeed themselves except where expressly forbidden in
the Bylaws.

D. Committees are responsible for their own agendas, except that they will be responsive to such
duties as may be delegated to them by the Faculty or requested by Members of the Administration.

E. A Faculty Member may be elected to no more than two standing Committees concurrently.
Elected and appointed members of standing Committees cannot succeed themselves unless they
have served no more than one year on the Committee. (Service on ad hoc or administrative
committees is not included in this restriction.)

F. The Secretary of the Faculty and Faculty Committees should receive sufficient administrative and
clerical support to permit them to carry out their functions in a satisfactory manner.

G. The introduction of new WPI policy or changes in existing policy which are the concern of the
Faculty are studied by appropriate Committees for the formulation of recommendations for
Faculty consideration and action.

H. Items deserving of Faculty consideration may be brought to the attention of any Committee by any
member of the WPI community.

I. In those areas where the role of the Faculty is dominant, the Faculty by majority vote may
recommend action to administrative officials. Such recommendations may include the solicitation
of action by the President or the Board of Trustees.

J. In those areas where the role of the Faculty is advisory, the appropriate Committee may consult
with and advise the appropriate members of the WPI community on matters related to the
Committee's charge without prior notification to the Faculty. The Committee will, however, keep
the Faculty advised of the general nature of such communications.
K. *Ex officio*, appointed, and student members have voting privileges on all Faculty Committees, although they do not serve as committee chairs.

L. Committee members are expected to vote on committee business in accordance with their concepts of the best interests of WPI.
BYLAW ONE: MEMBERSHIP, DUTIES, AND RESPONSIBILITIES OF STANDING COMMITTEES OF THE FACULTY

WPI Faculty Members who accept election or appointment to a committee are expected and obligated to participate in the work of that committee. It is the responsibility of each committee chair to give advance notice of committee meetings and to attempt to resolve scheduling conflicts. It is the responsibility of each committee secretary to note attendance in preparing the minutes of a committee meeting and to forward them to the office of the Faculty Governance Coordinator on a regular basis. If a problem arises, the Committee on Governance will consult with the committee chair on how the matter will be resolved within the committee.

The standing Committees of the Faculty are the following listed committees. The President and the Provost are invited to attend and participate in all meetings of standing and ad hoc Committees, excluding deliberations of the Committee on Tenure and Academic Freedom, Joint Tenure Committee, and Committee on Appointments and Promotions, or the Faculty Review Committee on specific individuals regarding tenure, promotion, or matters of academic freedom prior to a Committee recommendation. They will receive published minutes of all committee meetings.

I. The Committee on Governance (COG) consists of five elected Faculty Members, one Member of the Faculty appointed by the President, and, ex officio, the Provost and the Secretary of the Faculty. Vacancies that occur during the academic year are filled for the unexpired term by special election from a ballot of candidates nominated at a Faculty Meeting. A Member may not be elected Committee chair in successive years.

The election of COG members is conducted by the Secretary of the Faculty. Membership on this Committee is limited to no more than two elected Faculty Members from any one academic discipline. The election procedure is as follows. The Secretary prepares a nominating ballot listing eligible Faculty Members by discipline and distributes it to all Members of the Faculty, with instructions to select up to five names from the list. The ten Faculty Members receiving the largest number of nominations, who are also eligible and willing to serve, are then placed on an electing ballot which will contain no more than two names from any one academic discipline. This ballot is distributed with voting instructions to all Members of the Faculty.

COG is responsible for offering nominations and for conducting the election of the Secretary of the Faculty (when that office is vacant) and of Faculty Members to standing and ad hoc Committees, except for the election of its own membership and that of the Committee on Tenure and Academic Freedom. Starting in early spring, COG will provide a ballot for the vacancies on each of the other standing Committees, after ascertaining the willingness of each nominee to serve. The ballot will also include names of those nominated by petition signed by five Faculty Members. Ballots will be distributed to each Member of the Faculty and returned to the Committee. The election procedure should normally be completed by the end of Term C. This Committee has the jurisdiction to fill vacancies which may occur during the year in committees which come under its electoral jurisdiction. Such appointments will be only until the next annual election.

COG also receives from members of the WPI community requests for consideration of matters which do not appear to lie within the jurisdiction of existing Faculty Governance and the responsibilities of the Student Government, the Campus Judicial System, or the Administration. The Committee acts by attempting to resolve the issues itself, by referral to an appropriate person or group, or by creation of an ad hoc Committee.

COG is also responsible for the formulation of recommendations to the Faculty on changes and additions to the Faculty Rules and Bylaws, and the Faculty Committee structure, as well as for the resolution of questions of jurisdiction of the Faculty Committees relative to each other. The Chair of COG serves as one of the Faculty representatives to the Board of Trustees.
I.a The Committee on Information Technology Policy (CITP) is a permanent subcommittee of COG that shall have purview over all Information Technology policies, procedures, and practices that affect WPI’s academic and research missions. The committee works with representatives from the Information Technology Services (ITS) division and other departments, as needed, on all matters related to computing at WPI.

The five-person CITP includes three faculty members: one selected by COG; one selected by CAP; and one selected by CTAF. In addition, the sub-committee will include a member appointed by the Provost from the Division of Academic Affairs, and, *ex officio*, the Chief Information Officer. The sub-committee elects its Chair from among the three faculty members selected by COG, CAP, and CTAF. The members selected by COG, CAP, and CTAF serve staggered three-year terms, and also serve as the three faculty members appointed to IT’s Academic Computing Policy Committee and Working Group. The elected Chair of CITP also serves on the IT Governance Committee. The Provost’s appointment to CITP is made each year, with consideration given to the advantages of having members serve longer than one year. Because CITP is not a standing Committee of the Faculty, Section Three, paragraph IV.E of the Bylaws prohibiting committee members from succeeding do not apply.

Although the faculty members appointed to CITP need not be members of the standing committees that select them, each individual should have a sound appreciation for the issues with which those committees and other standing committees deal on a regular basis. In addition, each should have the technical background required to provide constructive input when dealing with the issues that the CITP will likely confront.

It will be the responsibility of the faculty members of the CITP to update the appropriate Faculty committees, including COG, CAP, and CTAF, on any new or modified policies proposed in their work. The Committee may propose new technology-related policies for consideration by COG. With COG’s approval, any such proposal will be forwarded to the Faculty for its consideration. (Approved by the Faculty, December 18, 2015.)

II. The Committee on Academic Policy (CAP) consists of six elected Faculty Members, two undergraduate students, and a representative of the Provost’s Office.

CAP is responsible for making policy recommendations regarding the direction and goals of undergraduate education at WPI. To do this, the Committee reviews the admission and financial aid policies, reviews the degree requirements, and judges the quality of the academic program as related to WPI goals.

III. The Committee on Academic Operations (CAO) consists of six elected Faculty Members, two undergraduate students, a representative of the Provost’s Office, and, *ex officio*, the Registrar.

CAO is responsible for monitoring procedures for administering existing undergraduate academic, admission, and financial aid policies. Recommendations in regard to courses, projects, and programs are made to the Faculty by this Committee. Petitions for exceptions to the established academic rules are received and acted upon. The Committee brings to the Faculty for action the names of students approved as eligible for baccalaureate degrees.

IV. The Committee on Graduate Studies and Research (CGSR) consists of six elected Faculty Members, one graduate student, and two *ex officio* members: Vice Provost for Research and Dean of Graduate Studies. (Amended by the Faculty, May 10, 2016.)

CGSR is concerned with all post-baccalaureate programs of the College, and reviews and recommends changes in WPI policies on goals, student recruitment, admissions, academic standards, teaching and research assistantships, scholarships, and fellowships. It also makes recommendations to the Faculty and Administration on new graduate programs and changes in programs and courses. The Committee acts on admission of graduate students to degree candidacy, dismissal for failure to meet academic standards, and student petitions on academic matters. It brings to the Faculty for action the names of students who it has determined are eligible for post-baccalaureate degrees. The
Committee reviews and recommends changes in policy on the funding, promotion, and conduct of research at WPI.

V. The Committee on Tenure and Academic Freedom (CTAF) is in charge of the process by which tenure recommendations are reached for each probationary Member of the tenure-track Faculty. In the case of Associate Professors and Professors, the recommendation is for or against tenure. In the case of Assistant Professors who have also been nominated for promotion to the rank of Associate Professor, the recommendation is for or against tenure with promotion. Joint Tenure Committees, comprised of CTAF members and Department Tenure Committees as specified below, recommend to the Administration which members of the Faculty should be granted tenure or tenure with promotion, as appropriate, according to the policy and procedures on the granting of tenure and promotion. CTAF is also concerned with questions relating to academic freedom.

CTAF consists of six Faculty Members having tenure. Department Heads, the Provost, and Deans are not eligible for membership on this Committee, and there will not be more than one Member from any one Department. The term of office for this Committee is four years. No member may serve successive terms.

Nominations and elections for CTAF are conducted by the Secretary of the Faculty. Membership on this Committee is limited to no more than one elected Faculty Member from any one academic discipline. The election procedure is as follows. The Secretary prepares a nominating ballot listing eligible Faculty Members by discipline and distributes it to all Members of the Faculty, with instructions to nominate up to one person from each discipline. The member of each academic discipline who receives the largest number of nominations and is willing to serve if elected is then placed on an electing ballot to be distributed with voting instructions to all Members of the Faculty. In the normal pattern, the number to be elected will be alternately two and one in successive years. Vacancies to unexpired terms will be filled by the same nominating and election procedure as for full terms.

For the purpose of considering each tenure case, a Joint Tenure Committee is formed, consisting of five members from CTAF and the three-member Department Tenure Committee. If the candidate and one of the CTAF members are from the same department, then that CTAF member is recused from the Joint Tenure Committee automatically. The Joint Committee shall also consider whether any of its members should be recused due to direct conflict of interest. In the event of no departmental overlap or conflict of interest, the selection of the five CTAF members to sit on the Joint Tenure Committee will be governed by CTAF procedures developed to lead to an overall pattern of recusals distributed over the CTAF membership so as to ensure appropriate participation for each CTAF member. If recusal of two CTAF members is necessary, the most recent qualified past chair of CTAF will serve for that particular case. The Joint Tenure Committee is chaired by the senior elected member of the five CTAF participants. Normally, each Department Tenure Committee consists of two elected department members with tenure plus the Department Head; in the cases of interdepartmental or interdisciplinary candidates the structure of the Department Tenure Committee shall be modified as explained in Appendix A, Section B2. In the event that recusal of one of the Department Tenure Committee members is necessary due to conflict of interest, the most recent qualified past Department Tenure Committee member will serve on the Joint Tenure Committee for that particular case.

CTAF is also charged with the responsibility of reviewing problems involving the academic freedom of both tenured and non-tenured faculty, whether part-time or full-time. At the start of a particular case, CTAF shall consider whether any of its members should be recused due to direct conflict of interest. If a Committee member is recused, the review will proceed with the remaining members. In the event that CTAF is unsuccessful in the resolution of such problems, the subsequent procedures as well as the procedures to be followed in the granting of tenure will be those in the report of the Ad
Hoc Committee on Tenure approved by the Trustees in June, 1968, and procedural amendments proposed in the Tenure Committee Report, 1968-69, and approved by the Faculty on March 17, 1969. (These reports are appended to this document as Appendix A.)

VI. The Committee on Appointments and Promotions (COAP) consists of six elected Faculty Members holding the rank of Professor, with no more than one representative from any one academic department or program.

COAP is concerned with criteria for academic appointments and promotions. It advises the Provost on individual appointments above the rank of Assistant Professor, on academic promotions from Assistant to Associate Professor that occur prior to the scheduled tenure review year, and on academic promotions from Associate Professor to Professor, after consultation with the appropriate Department Heads and others concerned. It makes recommendations to the Provost regarding recipients of sabbatical leaves. It makes recommendations to the Faculty for changes in recognized titles of academic rank and criteria of eligibility thereto. The Committee represents the Faculty to the President and Provost in consultation on appointment and performance evaluation of academic administrative officers.

VII. The Committee on Advising and Student Life (CASL) consists of six elected Faculty Members, two undergraduate students, one graduate student, a representative of the Provost’s Office, and, ex officio, the Director of Academic Advising, and the Dean of Student Life.

CASL is responsible for the continuing development of the student advisory and counseling programs. It reviews the effectiveness of the programs, evaluates current practices in the areas of student environment, residential advising systems, and extracurricular activities as they affect the academic performance of the student body, and recommends changes as appropriate.

VIII. The Committee on Financial and Administrative Policy (FAP) consists of six members in total: three elected Faculty members (serving staggered three-year terms), the Chief Financial Officer, one additional administrative representative member designated by the President, and one additional Faculty member appointed by COG (for a one-year term, renewable for up to three consecutive years, in order to diversify the skills or perspectives needed by the committee, given the prospective composition of the committee that year). FAP informs the Faculty on administrative and financial matters that affect the Institute. FAP ascertains the interests and views of the Faculty concerning such matters, deliberates with appropriate access to institutional data, and works with the Administration to make recommendations that serve the best interests of the Institute. (Amended by the Faculty, April 14, 2016.)

IX. The Faculty Review Committee
(Amended by the Faculty, November 20, 2014)

The Faculty Review Committee (FRC) consists of nine tenured Faculty members: six elected by the Faculty and three appointed by the President. The Chair of the FRC is chosen by the committee from its elected members. Members of CTAF and Faculty members with administrative appointments of 50 percent time or more are ineligible to serve on the FRC.

Each year, the Faculty elects two members to three-year terms, following the procedures prescribed in the WPI Faculty Constitution and Bylaws for the election of members to Standing Committees. Diversity on the FRC is highly valued. Toward that end, there shall be no more than one person from any one Department in the group of six elected members, and following each annual Faculty election, one member of the FRC shall be appointed by the President to a three-year term. These appointments should be made to ensure proper diversity among the FRC members. The term of office of members of the FRC begins on July 1 and ends on June 30. No elected or appointed member may serve consecutive terms. A vacancy in the membership of the FRC shall be filled for
the remainder of the unexpired term by that person receiving the next highest number of votes in the most recent election, if the person leaving the Committee was an elected member, or by appointment by the President if the person was an appointed member.

The FRC reviews three types of cases: faculty grievances, allegations of faculty misconduct, and grade appeals.

For Faculty grievances, a subcommittee of FRC consisting of three elected and two appointed members of FRC has the power to review and to require reconsideration of:

A. The Provost’s actions on non-renewal of probationary, tenure-track appointments;
B. The Provost’s negative decisions on tenure; and
C. The Joint Tenure Committee’s negative recommendations on tenure,

where the action, decision, or recommendation is alleged by an aggrieved Faculty member to result from:

i. a violation of academic freedom;
ii. improper procedure; or
iii. discrimination on any of the grounds listed in the section “faculty grievances,” found in Appendix B.

When a matter regarding a Faculty grievance comes before the FRC, a subcommittee of three elected and two appointed members of the FRC are selected by the Chair of FRC to review the grievance. Committee members who have had a significant prior involvement with the matter in question, or who have a personal relationship with any of the parties directly involved in the matter, shall recuse themselves from participating in the proceedings. Recusals may be requested by FRC members, the grievant, or other parties in the action, such as the Provost or the Chair of CTAF. Additional recusals necessary to create the subcommittee with three elected and two appointed members will be arranged by the Chair of FRC such that recusals are distributed evenly over the FRC membership. The exercise of the functions of the FRC requires the presence and participation of all five members of the subcommittee as constituted for a particular grievance.

For allegations of misconduct, the fact finding committee is selected as described in the appropriate conduct policy (Sexual Misconduct Complaint Procedures: Faculty; Policy on Research Conduct; or Policy on Faculty Conduct). Selection of the fact finding committee is conducted so as to ensure members are unbiased and have the appropriate expertise and diversity as necessary for a particular case.

The Faculty Review Committee also participates in the grade appeal process by forming three-member ad hoc committees to review grade appeals which are presided over by the Chair of the FRC.

When any matters regarding Faculty grievances, allegations of faculty misconduct, or grade appeals are pending before the FRC at the time when the term of office of its members would expire, the subcommittee (or investigating committee) shall continue as then constituted for the sole purpose of disposing of such pending matters in its jurisdiction, notwithstanding the creation of a new FRC in the regular manner at the same time.

The exercise of the functions of the FRC, as well as its internal organization and procedures (including, if appropriate, the selection of a Committee Chair and the appointment of subcommittees) shall be governed, insofar as the matter is not prescribed by this policy or by the Faculty Constitution and Bylaws, by rules adopted by the Faculty Review Committee itself.

X. The Undergraduate Outcomes Assessment Committee (UOAC) consists of the following members: four Faculty Members elected for staggered, three year terms, a member appointed annually by the
Committee on Academic Policy (CAP) from among its elected Faculty Members, one undergraduate student appointed by the Student Government Association, a representative of the Provost’s Office, and ex-officio, the Director of the Center for Educational Development, Technology, and Assessment. One of the four elected Faculty Members shall be elected from the Faculty at-large. The other three shall be elected by the entire Faculty but shall be chosen from among the following departmental groupings: One chosen from the Engineering programs; one chosen from the Natural Sciences, Math or Computer Science; and one chosen from Management, Social Science and Policy Studies, or Humanities and Arts.

The UOAC shall function as a permanent subcommittee of CAP. It shall report to CAP and forward recommendations for Faculty action to CAP for its consideration and possible recommendation to the Faculty.

The UOAC is responsible for:
- proposing policy with regard to WPI’s undergraduate learning outcomes;
- identifying and facilitating procedures for assessing those outcomes;
- coordinating outcomes assessment activities on campus;
- communicating assessment results; and
- formulating academic policy recommendations based on its assessment activities.

The Committee is not responsible for the assessment of departmental majors or programs, but for the identification and assessment of learning outcomes that arise from the undergraduate curriculum broadly defined, including assessment of the first year program.

**BYLAW TWO: APPOINTMENT OF REPRESENTATIVES OF THE PROVOST’S OFFICE TO SERVE ON THE FIVE STANDING COMMITTEES: CAP, CAO, CASL, CGSR, AND UOAC**

On an annual basis, the Provost will appoint, with COG review and concurrence on a case-by-case basis, an appropriate member of Academic Administration to serve as the representative of the Provost’s Office on CAP, on CAO, on CASL, on CGSR, and on UOAC. Each appointment will be consistent with the allocation of responsibilities within the Provost’s Office at the time; there is no limit to the number of re-appointments that one representative may receive to a given committee.

**BYLAW THREE: ELECTION OF COMMITTEES OF THE FACULTY**

The term of office for all committee positions, except as otherwise indicated, is three years, with individual members' terms staggered to provide for continuity. Terms will begin on July 1.

Faculty members of committees will be elected as at-large members.

Academic disciplines are those offering courses for which academic credit is given.

The Instant Run-Off Voting method, as described in Appendix C, will be used in the conduct of all elections to Standing Committees of the Faculty.

**BYLAW FOUR: UNEXPIRED TERMS - APPOINTMENT AND ELECTION OF REPLACEMENTS**

If a faculty member on a standing or Ad hoc Committee will be absent from the campus for more than ten weeks (exclusive of the summer period), a replacement will be appointed to serve until succeeded by a member elected to fill the remainder of the unexpired term. Faculty Members who anticipate being absent from WPI for more than ten weeks should notify the Committee on Governance at the earliest opportunity.
BYLAW FIVE: SECRETARY OF THE FACULTY
(Amended by the Faculty March 22, 2012)

The Secretary of the Faculty is the senior elected member of the Faculty who. He or she, working with
the Faculty Governance Coordinator, maintains the office that:

1. Prepares and distributes the schedule of Faculty Meetings for the academic year;
2. Prepares the agenda for each Faculty Meeting;
3. Notifies the Faculty of Faculty Meeting times and locations;
4. Assembles and distributes supporting documentation for the Faculty Meeting agenda for the
   purpose of promoting informed discussion of the issues to be voted upon;
5. Publishes and distributes minutes of the Faculty Meetings;
6. Prepares Annual Reports showing membership of Faculty Committees, including terms of office
   and Committee Officers;
7. Conducts the annual election of the Committee on Governance and the Committee on Tenure and
   Academic Freedom;
8. Ascertains that a permanent record of Faculty Meeting minutes and pertinent addenda is
   maintained for the archives of Worcester Polytechnic Institute and performs other such duties as
   may be directed by the Faculty;
9. Informs appropriate individuals and groups of Faculty decisions;
10. Monitors progress of the implementation of Faculty decisions; and
11. Solicits periodic reports from administrative officers for Faculty committees.

The Secretary of the Faculty is elected for a term of three years, and may not serve successive terms. The
Secretary coordinates Faculty Committee activities, is an ex officio member of the Committee on
Governance, and may attend all Faculty Committee meetings, excluding CTAF, Joint Tenure Committee,
and COAP deliberations on specific individuals. The Secretary of the Faculty is invited to attend
meetings of the five "open" Board committees as an observer, but not as a voting member of any
committee of the Board unless also appointed as one of the two faculty committee members. In addition,
The Secretary of the Faculty will be seated with the members of the Board at meetings of the Corporation
and may participate fully in discussions and deliberations, with the exception of not having a formal vote.

The election of the Secretary of the Faculty, when held, will precede all other committee elections. The
Committee on Governance will conduct the election by preparing and distributing to all Members of the
Faculty a list of eligible candidates with instruction to nominate up to five from the list. The Committee
on Governance will then tabulate the returns and prepare an electing ballot listing the names of at least
two of the candidates who received the largest number of nominations and are willing to accept the office.
This ballot will be distributed with voting instructions to all members of the Faculty. The same
procedure will be used for an unexpired term vacancy.
BYLAW SIX: MEMBERSHIP OF FACULTY ON COMMITTEES OF THE WPI BOARD OF TRUSTEES AND FACULTY PARTICIPATION AT BOARD OF TRUSTEES’ MEETINGS
(Approved by the Faculty March 22, 2012)

In order to strengthen shared governance and foster good communication among the WPI Faculty, administration, and Board of Trustees, the Trustees will appoint two tenured or tenure-track members of the Faculty to each of five Board committees: Academic Planning, Student Affairs, Budget and Finance, Facilities and Campus Infrastructure, and Marketing. The Board of Trustees’ Committee on Nominations and Governance will make the appointments from slates of nominees prepared by the Faculty Committee on Governance (COG). COG will prepare slates containing at least two names for each open position. In preparing the slates, COG will give preference to members of the Faculty with prior or current experience serving on Faculty Governance Committees.

Terms of service for faculty members of Board committees will be for three years, except that to ensure staggered terms, replacement appointments for unexpired terms, would be for fewer than three years. No member of the Faculty shall serve on more than one Board committee concurrently, but those completing a term on one Board committee can be considered for future service on another. Faculty members of Board committees will have voting privileges, and are considered full, participating members of the committee, not simply observers. It is expected that members of the Faculty serving on Board committees will report regularly to, and seek input from, the corresponding Faculty Governance Committees, including the COG.

Faculty members wishing to be considered for service on a Board committee should submit a brief statement of interest to COG, giving basic information about their appointment at WPI, relevant experience, and reasons for interest in serving on a Board committee.

The Secretary of the Faculty will be seated with the members of the Board at meetings of the Corporation and may participate fully in discussions and deliberations, with the exception of not having a formal vote, as this is a responsibility unique to Trustees and cannot be delegated. In addition, the Secretary of the Faculty is invited to attend meetings of the five "open" Board committees as an observer, but not as a voting member of any committee unless also appointed as one of the two faculty committee members.

BYLAW SEVEN: STANDING AND SPECIAL RULES OF ORDER

These special rules governing the conduct of Faculty Meetings have been adopted by the Faculty on the dates indicated; they may be suspended (for the duration of the meeting) by 2/3 vote of those present.

I. Standing Rule One
  The time at which any regularly scheduled Faculty Meeting shall adjourn is 85 minutes after its scheduled starting time. (Approved by the Faculty January 25, 2001)

II. Special Rule of Order One
  A. Motions that change either the WPI undergraduate or graduate degree requirements must be distributed to the Faculty in final form a minimum of 14 days prior to their introduction for discussion at a Faculty Meeting.
  
  B. Motions that represent major changes in academic policy or academic operations that are, or are intended to be, published in the current version of the Undergraduate Catalog, Graduate Catalog, or Faculty Handbook must be distributed to the Faculty in final form a minimum of 14 days prior to their introduction for discussion at a Faculty Meeting. In cases of dispute on whether an item represents a major change, the Secretary of the Faculty will decide.
  
  C. All motions presented by the Standing Committees of the Faculty must appear in final form in the notice of the meeting distributed by the Secretary of the Faculty. Motions specifically
exempted from this requirement are approval of degree candidates and the waiving of degree
requirements for individual students. (Adopted March 6, 1984.)

III. Special Rule of Order Two*
(Approved by the Faculty, October 7, 2010)

A. At each Faculty meeting, a consent agenda will be presented for consideration by voting
members in attendance and for their approval by general consent. The consent agenda will
consist of the minutes of the previous meeting and any other items that the Secretary of the
Faculty, in consultation with the appropriate Committee Chairs, believes will generate no
substantive discussion at the Faculty meeting. The items identified for inclusion on the consent
agenda will be designated in the materials that are distributed one week before each faculty
meeting.

B. At each Faculty meeting, the consent agenda will be presented for approval before any other
business is transacted. When it is presented, the Presiding Officer will ask if any faculty
member wants to extract an item from the consent agenda. Any faculty member who is present
can extract an item by simply requesting to do so. The request will not need a second and no
vote will be required to grant it. Any faculty member who intends to ask that an item be
extracted from the consent agenda should make every attempt to inform the Secretary of the
Faculty as far in advance as possible, although such advance notice is not strictly required. The
extracted items will be placed on the regular agenda under the proper categories (normally the
appropriate Committee Reports) for bringing such items to the Faculty. The items that remain
on the consent agenda will then be put to a vote by general consent.

C. Items that require two-week’s notice will not be included on the consent agenda. These are
motions that change campus-wide degree requirements or represent major changes in academic
policy or academic operations that will be published in the undergraduate catalog, the graduate
catalog, or the Faculty handbook. To preserve the tradition of formally voting to approve the
graduation lists, these lists will also not be placed on the consent agenda.
APPENDIX A: REPORT OF THE AD HOC TENURE COMMITTEE
(with subsequent Procedural Amendments)

Adopted by the Board of Trustees, June, 1968
Amended by the Faculty, April 11, 1991
Approved by the Board of Trustees, May 17, 1991
Amended by the Faculty, January 25, 2001
Amended by the Faculty, April 12, 2001
Changes approved by the Board of Trustees, May 18, 2001
Amended by the Faculty, April 14, 2011
Changes Approved by the Board of Trustees, May 13, 2011
Amended by the Faculty, May 12, 2011
Changes Approved by the Board of Trustees, May 13, 2011

A. GENERAL PROCEDURAL MATTERS
(Amended by the Faculty, April 14, 2011)

1. Applicability
(Amended by the Faculty, May 12, 2011)

The term "Faculty" as used in this tenure statement shall be interpreted to mean those individuals holding full-time appointments with the following exact titles: Professors, Associate Professors, and Assistant Professors. All full-time Faculty appointments at the rank of Professor, Associate Professor, or Assistant Professor shall be either (a) probationary with respect to tenure, or (b) with tenure.

The precise terms and conditions of every appointment to the Faculty, including the year of the scheduled tenure review for each probationary appointment, must be stated in writing and be in the possession of both WPI and the Faculty Member before the appointment is consummated.

2. Limitations on time in service for probationary appointments

The maximum duration of a probationary appointment is determined by the time accumulated on the tenure clock, summarized as follows. A tenure-track Faculty Member’s tenure clock begins running on the July 1 closest to the starting date of the initial appointment, and normally runs continuously from its starting moment, except as noted in the section of the Faculty Handbook entitled “Academic Freedom and Tenure” under conditions for stopping the tenure clock. The tenure-track Faculty Member’s tenure review must be conducted no later than during the sixth year on the tenure clock, and under no circumstances may a probationary appointment be continued after the seventh year on the tenure clock.

Probationary appointments may be for one year or for other stated periods, subject to renewal, and may include credit for previous full-time service with rank of Assistant Professor or higher at other academic institutions. All Faculty Members with probationary appointments are required to serve a minimum period of two years on the tenure clock at WPI prior to tenure review.

3. Notice and policy for dismissal and resignation
   a. Written notice that a probationary appointment is not to be renewed must be given to the Faculty Member in advance of the expiration of the appointment, according to the following minimum periods of notice:
      i. no later than four months before the expiration of the first year of service;
      ii. no later than six months before the expiration of the second year of service;
      iii. at least twelve months before the expiration of an appointment after two or more years of service. WPI will make every effort to notify Faculty Members of the terms and conditions of their renewals by March 15.
   b. Until retirement of the Faculty Member with tenure, such an appointment is terminable by WPI
only for an adequate cause or on account of extraordinary financial emergencies after not less than
twelve months' notice to the Faculty Member and subject to the procedures outlined below.

c. If a tenure appointment is terminated because of financial emergency, the released Faculty
Member's place will not be filled by a replacement within a period of two years, unless the released
Faculty Member has been offered reappointment and has declined.

d. If a Faculty Member desires to terminate an existing appointment at the end of the academic year,
or to decline a renewal, that Faculty Member shall give notice in writing at the earliest opportunity
but not later than one month after receiving notice of renewal; but that Faculty Member may
properly request a waiver of this requirement in case of hardship.

e. Termination by WPI of an appointment with tenure or the non-renewal of a probationary
appointment with less advance notice than specified herein shall be subject to the procedural rights
as specified in the appropriate policy in the WPI Faculty Handbook and shall only be for the
grounds described therein. Administrative personnel who hold academic rank are subject to the
foregoing regulations in their capacity as Faculty Members.

(Amended by the Faculty, January 23, 2014)

B. PROCEDURE FOR GRANTING TENURE

1. Policy
   Tenure will be granted only in one of the following manners:
   a. With respect to probationary tenure-track Faculty, and candidates for appointment-with-tenure
      who undergo review; after a formal review conducted by the Committee on Tenure and
      Academic Freedom, with the results communicated to the Provost, and after a positive vote by
      the Board of Trustees.
   b. With respect to candidates for appointment-with-tenure who do not undergo review; after a
      positive vote by the Board of Trustees.

   The Joint Tenure Committee of the Faculty, as defined below, shall recommend to the Provost which
   members of the Faculty should be granted tenure. This Committee shall consider for tenure those
   Faculty Members who, within the following fifteen months, will have served the maximum
   probationary period; it shall recommend, in these cases, that tenure be granted or that the appointment
   not be continued.

   The Committee shall also consider for tenure those Faculty Members who have been at WPI twenty-
   one months or more and have been nominated for tenure by any Faculty Member; in these cases the
   Committee shall recommend that tenure be granted or that the nomination be tabled.

2. Joint Tenure
   A Committee on Academic Freedom and Tenure (CTAF) shall be elected by the Faculty to consider
   with individual Department Standing Committees the granting of tenure. The decision reached by this
   Joint Committee shall be forwarded to the Provost for consideration.

   CTAF shall be composed of six Faculty Members having tenure who shall be elected by the Faculty,
   by secret ballot, under the direction of the Secretary of Faculty. Department Heads and Deans are not
   eligible for membership on this Committee, and there shall not be more than one member from any
   one department. No member may serve successive terms.

   Prior to each election the Secretary of the Faculty shall instruct each Member of the Faculty to
   nominate one tenured Member from each eligible academic department. The election ballot will list
   the name of that Member with the greatest number of nominations in each Department.

   At the initial election the Faculty Member receiving the most votes will serve a four-year term, the
Faculty Member receiving the second greatest number of votes will serve a three-year term, etc. Subsequent elections will be conducted during Term C of each year.

Department Committees shall each be composed of two elected Department Members with tenure plus the Department Head. The Members will be nominated and elected by secret ballot by the Department Faculty for a term of two years with one Member being elected each year, after the first year. No member may serve two consecutive terms, unless the limited number of Department Faculty with tenure makes this impossible. No Member of CTAF may serve on a Department Committee.

In the event that a Department has only one tenured Faculty Member and a Department Head, to staff the Joint Tenure Committee, then CTAF will appoint another WPI tenured Faculty Member to serve on the Joint Tenure Committee, thereby bringing the membership of that Committee to eight. In the event that a Department has no tenured Faculty Members, in addition to the Department Head, to staff the Joint Tenure Committee, then the Joint Tenure Committee shall have only six members, the five members of CTAF and the Department Head. If tenure for a Department Head is under consideration, the Provost will sit in place of that Department Head.

In the cases of tenure candidates who have, or have had, interdepartmental affiliations to such an extent that CTAF determines it appropriate to have special composition of the Joint Tenure Committee, CTAF will name, after investigation of the circumstances, an Interdepartmental Tenure Committee in place of the Department Tenure Committee, and will specify the voting rules of this body. These decisions will be made as early as practicable in the academic year, and the composition and roles in that case will be reported to the candidate and to the Faculties of the candidate's departments. Except in those circumstances which preclude it, the total number of votes by the Interdepartmental Tenure Committee will be three. Two of these will be cast by two tenured Faculty Members who would normally be selected from each of the two Department Tenure Committees. The Heads of both departments will participate in the deliberations of the Joint Committee, and will provide the third vote (such as by one or the other being designated the voting member, or by the two department heads sharing the vote.) In the selection of the Committee membership, the candidate's own preference will be solicited and considered, but determination of the membership will be the responsibility of CTAF.

In the case of candidates from the Interdisciplinary and Global Studies Division (IGSD), CTAF shall form a departmental committee for each candidate with membership rotated and probationary reviews conducted in accordance with the rules of departmental tenure committees. In doing so, CTAF shall consider any tenured faculty in the IGSD and other tenured faculty at WPI who have expertise related to the candidate’s area of academic expertise. The Dean of the IGSD will serve in the role of a department head on the candidate’s departmental and Joint Tenure Committees.

If an elected member of the Joint Committee must resign, a replacement shall be elected as prescribed above to fill the unexpired term.
C. POLICY ON FACULTY CONDUCT
(Approved by the Faculty February 27, 2014)

1. Introduction and Applicability

Members of the WPI faculty have traditionally conducted themselves in accordance with high standards of professional performance, ethical behavior and personal conduct. Nonetheless, from time to time it may be necessary to take action with respect to a faculty member who engages in conduct incompatible with the responsibilities of faculty membership or who fails to meet reasonable standards of performance or behavior. In recognition of this need, WPI has developed the following policy to respond to allegations of misconduct and to inform members of the community of the appropriate channels for bringing such matters to the attention of the University. This policy applies to tenured, tenure-track, and continuing non-tenure track members of the WPI faculty.3

2. Definitions
   a. Complainant. The individual, department or entity bringing forth an allegation of misconduct.
   b. Respondent. The individual against whom an allegation of misconduct is made.
   c. Grounds for use of this policy. Standards for faculty conduct are derived from tradition and evolve with contemporary practice. The circumstances that may lead to disciplinary action cannot be anticipated in precise terms and thus grounds for discipline of faculty members are not made the subject of a precise or comprehensive statement. Generally, grounds or cause for discipline include but are not limited to: (a) neglect of duty, (b) personal misconduct4 or neglect of standards expected in the WPI community5; (c) research misconduct6; (d) harassment7; (e) violation of WPI policies or rules8; (f) violation of federal, state or local laws relating to educational institutions; (g) conduct occurring outside the faculty member’s scope of employment which affects or prevents the faculty member’s ability to effectively perform his/her duties or which significantly damages the University’s reputation or mission. In some instances a single instance of unacceptable activity by a faculty member may be severe enough to warrant discipline, including dismissal. In other instances a pattern of activity or the continued pursuit of unacceptable activity may warrant such discipline.

3. Sanctions

As with the definition of misconduct, it is not feasible or wise to automatically assign a specific sanction to particular misconduct. Generally, sanctions should be commensurate with the seriousness of the misconduct or cause. Seriousness, and thus the sanction, may be affected by the persistence of behavior in the face of prior warnings, counseling or sanction as well as the egregiousness of a particular action. Disciplinary actions fall into two categories:

3 This policy replaces and supersedes the prior policy entitled “Policy and Procedure for Removal of Tenured Faculty Member for Cause” adopted in 1969. The procedures outlined herein apply to conduct predating the implementation date unless a proceeding has already been commenced under the old policy. All faculty members and instructional staff not covered by this policy should consult the Work Behavior/Discipline section of the Human Resources Employee Benefits and Policies Manual.
4 See, for example, not limitation, the AAUP Statement on Professional Ethics.
5 Discipline relating to research misconduct is handled pursuant to the WPI Policy on Research Conduct.
6 Discipline relating to sexual misconduct and sexual harassment is handled pursuant to the WPI Sexual Misconduct and Complaint Procedures: Faculty Policy, which has superseded and replaced the Sexual Harassment Policy in the Faculty Handbook. Discipline relating to harassment and/or discrimination in violation of other WPI policies or laws is handled under this policy.
7 See, for example, not limitation, the Faculty Handbook and listing of University Policies.
Major sanctions include, but are not limited to, dismissal and/or removal of tenure, suspension without pay, reduction in academic rank, and public censure. A major sanction may not be imposed without following the investigatory process outlined below.

Minor sanctions are penalties less serious than a major sanction and include, but are not limited to, verbal or written reprimand, denial of eligibility for merit salary increase, and suspension with pay. Minor sanctions may be imposed administratively.

Should the Respondent disagree with an imposed minor sanction, the Respondent can request in writing a full inquiry within 5 business days of being notified of the minor sanction.

The referral of a faculty member to the Employee Assistance Program, training, counseling, or coaching is not considered a disciplinary sanction under this policy.

4. Initial Inquiry

a. In all situations, complaints or allegations of misconduct should be made in writing to the appropriate Dean.9,10

b. Complaints or allegations of misconduct are not subject to investigation if the alleged misconduct occurred more than six years prior to the date the allegation or complaint was received by the Dean.

c. Within five business days of receiving an allegation of misconduct, the Dean will determine whether the behavior alleged meets the definition of misconduct and is sufficiently credible and specific so that potential evidence of such misconduct may be identified. If the behavior meets the definition of misconduct and is sufficiently credible and specific, the Dean shall forward a copy of the complaint or allegation to the person named therein (“Respondent”) along with a copy of this policy. The Dean shall, at the same time, forward a copy of the allegation to the Respondent’s department head or other immediate supervisor and immediately arrange to take all appropriate actions to obtain and secure all records and evidence needed to conduct the misconduct proceeding. Respondent shall have an opportunity to respond in writing to the Dean to any allegations raised. Responses must be received by the Dean within ten business days following the Respondent’s receipt of the allegation. Upon reasonable request, the Dean may choose to grant additional time. After considering the information provided by the Respondent, the Dean will reassess the credibility of the allegation. If the behavior meets the definition of misconduct and the allegation is sufficiently credible and specific an inquiry will be conducted. Otherwise the Dean will notify the Respondent in writing that the matter is dismissed.

At any time, the Respondent may meet with the Dean and Provost to mutually resolve the issues raised by the complaint or allegation. If the parties cannot agree on a settlement of the issues, the proceedings outlined in this policy shall continue.

d. If the Dean determines that an initial inquiry will be performed, then the Dean, in consultation with the department head and, if the Dean deems appropriate, the Vice President of Human Resources, and/or such other persons as the Dean decides would be helpful to the inquiry process shall form a committee of three tenured faculty members. This “Inquiry Committee” will undertake an initial review of the evidence and may interview Respondent, complainant and other relevant witnesses, all on an individual basis.

---

9 The appropriate Dean would be based on the home department of the faculty member named in the allegation. Complaints may be brought by an individual, a department, or the administration (“Complainant”).

10 If the Complainant is a Dean or the Provost, the Secretary of the Faculty shall perform the role of Dean in the initial inquiry. If the Respondent is a Dean or Provost then the President shall perform the role of the Dean in the initial inquiry.
i. During the inquiry period, the identities of all parties involved will be held in confidence to the maximum extent that an effective inquiry allows.

ii. The entire inquiry process must be completed within sixty calendar days of the formation of the Inquiry Committee, unless the Dean determines, for good cause shown and documented on the record, that circumstances warrant a longer period.

e. Based on the information gathered, the Inquiry Committee shall prepare a written preliminary report. The Dean and Respondent shall be provided a copy of the preliminary report. The Respondent will be provided an opportunity to respond or comment within ten business days.

After evaluating all of the information, the Inquiry Committee shall determine if there is substance to the complaint or allegations of research misconduct and prepare a final report that includes any comments provided by the Respondent. The final report will be delivered to the Respondent, the Vice Provost for Research, and the Provost.

f. If the Inquiry Committee determines that there is not substance to the allegations, then the Provost will notify the Respondent in writing that the matter is dismissed.

g. If the Inquiry Committee determines that there is substance to the allegations of misconduct and the Provost decides that major sanctions are not supported, then minor sanctions may be imposed administratively after first providing the Respondent an opportunity to respond to the Provost. In this case, the Provost will determine the appropriate minor sanction only after reviewing and considering the response received from the Respondent. Should the Respondent disagree with an imposed minor sanction, the Respondent can request in writing a formal investigation within 5 business days of being notified of the minor sanction.

h. If the Inquiry Committee determines that there is substance to the allegations of misconduct and the Provost determines that major sanctions might be appropriate then a formal investigation is warranted.

i. No action shall be taken against the Respondent as a result of misconduct allegations prior to the conclusion of the appropriate investigation, unless it is determined that the presence of that person on campus or in class poses an immediate threat of physical or psychological harm to others. A suspension on this basis shall not result in a reduction of salary while an investigation is pending.

5. Procedures for Formal Investigations

a. If a formal investigation is warranted, it shall begin within twenty-one (21) days of the conclusion of the initial inquiry. Before the investigation begins, the Provost shall notify the Respondent and Dean in writing that a formal investigation is in order.  

b. All parties involved in a formal investigation and any subsequent proceedings shall, to the extent possible, endeavor to maintain confidentiality regarding the allegations, evidence, proceedings, and use care in balancing the need for disclosure and the privacy interests of the persons involved.

c. The Provost will request the Secretary of the Faculty (SOF) and Chair of the Faculty Review Committee (FRC) to appoint a fact-finding committee (“the Committee”) of five elected FRC members who are unbiased in the investigation. (If there are not 5 unbiased elected FRC members, then the SOF and FRC chair will appoint the required number of unbiased tenured faculty from outside the FRC. If the Respondent or Complainant is either the SOF or FRC chair, then the other will appoint the committee.) The Committee shall elect its own chair who shall be

11 If the Complainant or Respondent is the Dean or Provost, the President shall perform the roles of the Provost and Dean in the formal investigation.
responsible for determining the manner in which the witness interviews and other procedures will be conducted by the Committee. The investigation will be completed within 120 days of the Committee’s formation, subject to external factors such as the availability of the parties, Committee members, witnesses and other evidence, and whether proceedings concerning the same allegations are pending in another forum.

d. The Committee will be provided with all necessary information about the complaint or allegation and empowered to review relevant documents and interview witnesses. The Committee shall also interview Respondent, complainant and any other persons who have been identified as having relevant material information regarding the investigation. The Committee may seek assistance from WPI counsel in conducting its investigation and, as referenced earlier, from the Vice President of Human Resources.

e. The Committee will pursue all significant issues and leads developed during the investigation, including evidence of additional instances of misconduct. The Committee will give Respondent written notice of new instances or allegations of misconduct not addressed during the inquiry or in the initial notice of investigation within a reasonable amount of time of deciding to pursue such allegations.

f. The Committee will maintain records of its fact-finding proceedings, including copies of materials submitted by all parties, documentary evidence considered by the Committee, and a written record or summary of its witness interviews.

g. Respondent may exercise the following rights during the investigation of the Committee:

1. Respondent may have an advisor or legal counsel to assist or support them through the Committee investigation process.

2. Respondent may challenge the composition of the Committee, if s/he believes that one or more of its members is biased. 12 The remaining members of the Committee shall determine whether bias exists and otherwise act to ensure its own credibility. The Committee shall request that the Chair of the FRC and the Secretary of the Faculty replace a committee member when appropriate.

3. At the request of the Respondent, the Committee shall use its authority to obtain documents and evidence to interview witnesses who have information relevant to the defense of Respondent.

4. Respondent is entitled to a presumption of innocence and need not prove his or her innocence to the Committee and to the Provost.

5. Respondent shall have the opportunity to present a defense to the Committee, to present witnesses for interview by the Committee, and to respond to all allegations of misconduct.

6. Respondent shall receive a copy of the draft report of the Committee and shall have an opportunity to provide a written response to such report. Respondent shall receive a copy of the final report at the time it is provided to the Provost.

h. Once the investigation is completed, the Committee will prepare a written investigation report (the “Report”) offering a judgment based on the evidence provided as to whether the Respondent has committed misconduct, and if so its level of severity, and summarizing the facts and analysis that support that conclusion addressing the merits of any reasonable explanation or defense provided by Respondent, and including the vote of the Committee. Findings of misconduct shall be made if a majority of the members of the Committee agree that

12 “Biased” in this context means a person(s) who has unresolved personal, professional, or financial conflicts of interest with Respondent.
such findings are supported by a preponderance of evidence.\textsuperscript{13} If the Committee determines Respondent is guilty of misconduct, it shall also recommend disciplinary actions. If the disciplinary action includes termination and/or removal of tenure, it must be by agreement of four or more of the Committee members. The Report should normally be prepared within fifteen (15) days of conclusion of the evidentiary phase of the investigation.

6. Final Findings

a. The Committee will provide Respondent with a draft copy of the Report prior to the time it is presented to the Provost.\textsuperscript{14} Within 15 days of receipt of the Report, the Respondent may file an appeal or objection to the Report. Such appeals or objections must be in writing and state the reasons therefor. The Committee will prepare a Final Report that considers and includes the appeal(s) or objection(s) and any changes in the Committee’s vote, finding, and recommendation.

b. The Committee shall transmit the Final Report to the Provost and to the Respondent. The action of the Committee shall either be sustained by the Provost or the case returned to the Committee with the Provost’s objections specified in writing. If the case is returned, the Committee shall reconsider, taking account of the stated objections and receiving new evidence as necessary. The Committee shall frame its reconsideration and communicate it in the same manner as before, including any change in the Committee’s vote, finding, and recommendation. Only after study of the new report, and after consultation with the relevant Dean and Department Head, should the Provost make a final decision.

c. If at least four members of the committee voted that the respondent did not commit research misconduct, but the Provost decides on a finding of guilt, then at most a minor sanction may be imposed.

d. If the Provost decides that termination and/or removal of tenure is appropriate, but if four members of the Committee do not support the decision, then both the Provost’s written recommendation and the Committee’s report will be submitted to the Board of Trustees for its decision. In this case, the Board will provide both the Respondent and the Complainant with 10 days to submit any additional relevant information. The Board will then review all materials received and any other relevant material submissions or information which the Board, in its discretion, may solicit from the Respondent or Complainant, or the Provost. The Board will relay its decision to the Provost who will inform the Respondent. This shall be the final decision on the part of the University.

e. The Provost shall promptly notify Respondent in writing of the decision on misconduct and, if applicable, disciplinary action. This decision shall be final, subject to a limited right of appeal to the Board of Trustees as described below.

7. Review of Disciplinary Actions by the Board of Trustees\textsuperscript{15}

If both the Committee and Provost recommend termination and removal of tenure, the respondent may appeal the disciplinary action, not the underlying finding of research misconduct, to the Board of Trustees (“the Board”). Such appeal must be in writing, must state the reasons for appeal, and must be presented to the Board within ten (10) days of the date of Respondent’s

\textsuperscript{13} “Preponderance of evidence” as applied to the Committee’s and Respondent’s (defense’s) burdens of proof means proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

\textsuperscript{14} If the Complainant or Respondent is the Dean or Provost, the President shall perform the roles of the Provost and Dean in the formal investigation.

\textsuperscript{15} This Review is extended only to cases involving a tenured faculty member.
receipt of notice of such disciplinary action. Thereafter, the Provost shall promptly transmit the final investigation report and his/her written recommendation to the Board of Trustees. The Board shall review the reasons for appeal, the final investigation report, the Provost’s written recommendation, and any submission made by the Respondent relevant to the appeal, and may seek additional submissions or information from Respondent or the Provost. The Board shall notify both Respondent and the Provost of its decision, which shall be the final decision on the part of the University.

8. Special Measures

Should the procedure followed under this policy lead to a finding of no misconduct by the Respondent, the party or parties who conducted the initial inquiry or formal investigation shall, as appropriate, undertake a good faith effort to restore the reputation of the Respondent. Reasonable efforts will also be taken to protect the standing of the individual(s) who raised the issue of possible misconduct, unless the inquiry or investigation reveals that such individual(s) acted in bad faith, in which case appropriate disciplinary actions may be taken.
D. PROCEDURAL AMENDMENTS
(Approved by the Faculty March 1969)

The Chair of CTAF shall be the member whose term of office expires in June of the current academic
year. The Chair shall rule on all matters of procedure and shall be responsible for interpreting all Faculty
rules regarding tenure. The Chair's rulings are subject to review by the Faculty only. The Secretary shall
be the member whose term of office expires in June of the following academic year.

All four members of CTAF must be present to conduct official business.

The Chairman of each Department Tenure Committee shall be the elected member whose term of office
expires in June of the current academic year.

The Provost shall provide annually to CTAF a list of untenured faculty members with the length of
remaining probationary period. This list shall be circulated to the Faculty.

When all the members of the Joint Tenure Committee agree that there has been sufficient discussion, a
vote is taken for or against tenure (no abstentions) by means of a secret ballot, with the majority ruling.

If the vote is favorable, a statement about some of the salient reasons for recommending tenure is
prepared by the Department Head and signed by all eight members of the Joint Tenure Committee. This
is then sent to the Provost.

If it is voted to deny tenure for the candidate, then a statement of the reasons for the denial is prepared,
signed, and sent to the Provost.

In either case, the candidate for tenure is notified by the Provost of the decision on the case at a time
deemed suitable by the Provost.

Nominations for early Tenure must be submitted with a copy to the Secretary of the Faculty. If tenure is
recommended, the Provost is notified by the method previously stated. If the nomination is tabled, the
nominee is notified personally.

The policy of CTAF toward early tenure is that it should be granted only if there has been some special or
significant contribution by the nominee to WPI or to the nominee's Department, or if the academic
freedom of the nominee is in serious jeopardy. In the latter case the Committee shall endeavor to verify
the facts and shall in any case grant tenure only when there is good evidence that the nominee would
eventually be tenured by the normal procedure.

Copies of the minutes of the meetings of the Joint Tenure Committee will be filed with the Secretary of
the Faculty after May 1.
APPENDIX B: OPERATIONAL GUIDELINES FOR THE FACULTY REVIEW COMMITTEE
(Approved by the Faculty, January 16, 1997)

FACULTY GRIEVANCES:
A Faculty Member may bring before the Faculty Review Committee (FRC) in the form of a grievance, an allegation that:

1. the Provost’s actions in not renewing his/her probationary tenure-track appointment, or
2. the Provost’s adverse decision on his/her tenure candidacy, or
3. the Joint Tenure Committee’s negative recommendation on his/her tenure candidacy,
resulted from:

1. a violation of academic freedom, or
2. improper procedure, or
3. discrimination on ground of race, color, national origin, ancestry, sex, religion, creed, religious belief, age, marital status, sexual orientation, veteran status or handicap.

When a grievance on any one or more of these grounds is submitted, the grievant shall present all factual or other data that he or she deems pertinent to the case, as well as all the relevant documentation available to him or her. The FRC shall have access to all the relevant documentation under the control of the University in the same manner and to the same extent as had the administrators and committees or other faculty bodies that participated in the decisions or recommendations to which the grievance refers, and with the same obligation of confidentiality that these administrators, committees or bodies were under with regard to any particular document. The body of documents and files available to the FRC must be identical, without addition, deletion, or embellishment, to that available to those participants.

When a grievance is submitted, the FRC shall first decide whether the allegations and the evidence submitted by the grievant merit detailed consideration of the matter, and shall inform the grievant and the appropriate administrator(s) promptly of this decision.

If the FRC decides that detailed consideration of a grievance is in order, it shall expeditiously investigate the matter in the manner that it deems appropriate. If the Committee finds that there are grounds for formal interviews, it shall conduct such interviews under source confidentiality safeguards identical to those practiced by the faculty Committee on Tenure and Academic Freedom (CTAF). Only WPI personnel may participate in such interviews.

The FRC, in carrying out its investigation, may appoint ad hoc committees of investigation, reporting to it, and consisting of Faculty Members with tenure who may, but need not, be members of the FRC. The FRC shall be free to discuss the grievance with the Provost and the President.

If the grievance arises from non-renewal of a tenure-track appointment prior to tenure review and alleges infringement of academic freedom either prior to the decision or in the process surrounding the decision, the FRC shall first request a finding on that issue from CTAF. The FRC may not issue its report until receiving that finding.

If the grievance arises from denial of tenure and alleges infringement of academic freedom either prior to the decision or recommendation or in the process surrounding the decision or recommendation, the FRC will not consult CTAF, but may employ its powers of investigation and authority to conduct interviews in order to assess the merits of the academic freedom issue and the extent to which that issue bears on its ultimate report and recommendations.
In determining whether a decision or recommendation that is the subject of a grievance was affected by improper procedure, the FRC may examine whether the decision or recommendation by an administrator, committee, or other faculty body was the result of adequate consideration in terms of the relevant standards of the WPI. In no case shall the FRC substitute its judgment for that of the maker(s) of the original decision or recommendation.

If the FRC concludes, after detailed consideration of a grievance, that the allegations in it have been established in full or in part and that the aggrieved matters have affected the decision at issue, then the Committee has the power to require of the maker(s) of the decision or recommendation that is the subject of the grievance that he or she or they reconsider this decision or recommendation to the extent that it is affected by the established allegations. The conclusion of the Committee, its recommendations, the basis for those recommendations, and, if appropriate, requests for reconsideration shall be recorded in a report, and this report shall be provided to the grievant, the maker(s) of the questioned decision or recommendation, and the President. The outcome of a reconsideration required by the FRC shall be promptly reported to the Committee.

In the event that a tenure candidate’s Joint Tenure Committee conducts a reconsideration of a case, it shall use only the body of documents available during the first hearing of the case, without addition, deletion, or embellishment, except for the FRC report on the case and any other information the Joint Tenure Committee wishes to obtain using its normal procedures, provided such additional information pertains directly to issues raised in the FRC report.

If the reconsideration(s) required by the Committee lead to the same negative decision as that which generated the grievance, the grievant may make a final appeal to the President, who may reverse or uphold the decision.

DATES FOR FILING OF A GRIEVANCE

For grievances arising from non-renewal of a probationary appointment, the grievance must be filed within ten business days after the applicable latest non-renewal notification date as stipulated in the Faculty Handbook, in the section entitled “Appointments and Reappointments of Tenure Track Faculty”.

For grievances arising from a negative tenure decision, the grievance must be filed within ten business days after that meeting of the Board of Trustees (usually February) at which the Provost and President present their tenure decisions for Board approval. The FRC is charged with reviewing a grievance in a prompt and timely manner, with the intent that it will issue its report prior to the close of the academic year in which the filing was made. Should a grievance be pending at the close of the academic year, its resolution will continue to be the responsibility of the original receiving committee, notwithstanding the election of a new committee; see Bylaw One, Section IX.

The filing of a grievance or the granting of a reconsideration as an outcome of that filing in no way extends the period of employment beyond that which would apply if no grievance were filed, nor do filing and reconsideration in any way entitle the grievant to automatic tenure through AAUP rules.
APPENDIX C: DESCRIPTION OF THE INSTANT RUN-OFF VOTING METHOD
(Approved by the Faculty, December 16, 1999)

For each office to be filled, the voter is asked to indicate the order in which he/she prefers all the candidates, placing the numeral 1 beside the first preference, the numeral 2 beside the second preference, and so on for every possible choice. In counting the votes for a given office, the ballots are arranged in piles according to the indicated first preferences – one pile for each candidate. The number of ballots in each pile is then recorded for the teller’s report. These piles remain identified with the names of the same candidates throughout the counting procedure until all but one are eliminated as described below. If more than half of the ballots show one candidate indicated as first choice, that choice has a majority in the ordinary sense and the candidate is elected. But if there is no such majority, candidates are eliminated one by one, beginning with the least popular, until one prevails, as follows: The ballots in the thinnest pile – that is, those containing the name designated as first choice by the fewest number of voters – are redistributed into the other piles according to the names marked as second choice on these ballots. The number of ballots in each remaining pile after this distribution is again recorded. If more than half of the ballots are now in one pile, that candidate is elected. If not, the next least popular candidate is similarly eliminated, by taking the thinnest remaining pile and redistributing its ballots according to their second choices into other remaining piles, except that, if the name eliminated in the last distribution is indicated as a second choice on a ballot, that ballot is placed according to its third choice. Again, the number of ballots in each existing pile is recorded, and, if necessary, the process is repeated – by redistributing each time the ballots in the thinnest remaining pile, according to the marked second choice or most-preferred choice among those not yet eliminated – until one pile contains more than half of the ballots containing instructions in that sort, the result being thereby determined. The tellers’ report consists of a table listing all candidates, with the number of ballots that were in each pile after each successive distribution.

If a ballot having one or more names not marked with any numeral comes up for placement at any stage of the counting and all of the marked names have been eliminated, it should not be placed in any pile, but should be set aside. If at any point two or more candidates are tied for the least popular position, the ballots in their piles are redistributed in a single step, all of the tied names being treated as eliminated. In the event of a tie in the winning position – which would imply that the elimination process is continued until the ballots are reduced to two or more equal piles – the election should be resolved in favor of the candidate or position that was the strongest in terms of first choices (by referring to the record of the first distribution).

If more than one person is to be elected to the same type of office – for example, if two, three, or more members of a board are to be chosen – the voters can indicate their order of preference among the names in a single list of candidates, just as if only one were to be elected. The counting procedure begins as described above, and is continued to the point where one pile contains more than half of the ballots, thus determining the winner of the first of the positions to be filled. All of the ballots are then re-assembled, including those which were eliminated in the steps leading to the determination of the first winner. The pile-building process begins anew, with one fewer piles than in the first round, and with the first-round winner now treated as a non-candidate, the votes for whom are passed over in favor of the next preference on a given ballot. This distribution process again proceeds to the point where one pile contains more than half of the ballots containing instructions in that sort, thus determining the winner of the second of the positions. If a third position is to be filled, all of the ballots are then re-assembled and re-distributed as before, into two fewer piles than in the first round, and with the first two winners treated as non-candidates. When one pile contains more than half of the ballots containing instructions in that sort, the winner of the third position is determined. The process continues in this manner until the appropriate number of winning candidates has been determined.

Should a given ballot show fewer than the requested number of preferences, it will be put aside temporarily in a given re-distribution step if it in effect gives the tellers no “instruction” as to how to proceed.
For cases in which membership on a committee is limited to no more than one (or two) person(s) from the same department, and in which at a certain point in the tally process that limitation is reached, then any remaining candidates from that department shall be eliminated and their ballots distributed to the next preference, as above.
APPENDIX D: THE ROLES PLAYED BY TENURED, TENURE-TRACK, AND NON-TENURE TRACK FACULTY IN CARRYING OUT WPI’S MISSION
(Approved by the Faculty, April 14, 2011; Approved by the Board of Trustees, May 13, 2011)

The tenured and tenure track Faculty at WPI play the primary role in fulfilling the University’s academic mission, and are committed to shaping WPI’s educational programs and to delivering a significant majority of the academic credit offered to WPI students. Consistent with this principle, the University is committed to maintaining a tenured and tenure-track Faculty of sufficient size to allow each tenured and tenure-track faculty member the time to carry out his or her responsibilities to both teach and engage in scholarship at the highest level. WPI meets this commitment by ensuring that the numbers of tenured and tenure-track Faculty at WPI increase at a rate that is commensurate with the University’s growth and strategic needs.

WPI also recognizes the importance of the roles played by non-tenure track faculty both as engaging teachers and active scholars. Through their teaching, non-tenure track faculty members enhance new and existing educational programs. Through their research, the non-tenure track faculty complement and expand the range of scholarly expertise otherwise available on campus. Overall, the non-tenure track faculty provide the flexibility to respond to opportunities that help WPI sustain and build upon its reputation for academic excellence.

Early each fall, the Provost will provide a report to the Committee on Governance detailing the numbers (and full-time equivalents) in each category of faculty, and the percentages of academic credit delivered by each category of faculty across the institution, and within each department, division, and school (including Corporate and Professional Education). In collaboration with the Provost, the Committee on Governance will disseminate a final report to the Faculty and present the results for open discussion at a Faculty meeting during the same year.
1. POLICIES REGARDING THE STATUS OF FACULTY

A. Academic Freedom and Tenure*

Academic Freedom

Academic freedom is essential to both teaching and research. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental to the protection of the rights of the teacher and of the students.

Teachers are entitled to full freedom in research and in publication of the results, subject to the adequate performance of other academic duties; but research for pecuniary return should be in accordance with established WPI policy.

Teachers are entitled to freedom in the classroom in discussing their subjects and evaluating their students, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subjects.

College or university teachers are citizens, members of learned professions, and officers of an educational institution. When they speak or write as citizens they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and educational officers they should remember that the public may judge their profession and institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokesmen.

During the probationary period teachers have the same academic freedom enjoyed by all other members of the Faculty.

Tenure

(Approved by the Committee on Tenure and Academic Freedom, Spring 1988, with modifications indicated below.)

As a consequence of the primary obligation of members of the academic community to pursue truth, the tenure concept has evolved for the protection of individuals from internal and external community pressures.

The WPI Faculty, through its Constitution, has given to the Committee on Tenure and Academic Freedom the authority and responsibility for tenure recommendations. The Joint Committee consists of the five member At-Large Committee on Tenure and Academic Freedom and the three member Departmental Tenure Committee. (See Part B of Appendix A of Part One of this Handbook for certain procedures and policies governing the Committee.)

Eligibility and Conditions for Tenure

(Approved by the Faculty April 12, 2001.)

Only full time tenure track Faculty Members are eligible for tenure. Except when hired with tenure, a Faculty Member is required to serve a minimum period of two years on the tenure clock at WPI prior to tenure review. Normally the tenure review will occur during the sixth year on the tenure clock but may be scheduled earlier because of credit for previous full time service with rank of Assistant Professor or higher at other academic institutions. The year of the
scheduled tenure review for each probationary appointment must be stated in writing and be in
the possession of both WPI and the Faculty Member before the appointment is consummated.
The policy of the Faculty toward early tenure is that it should be granted only if there has been
some special or significant contribution by the nominee to WPI or to the nominee’s Department,
or if the academic freedom of the nominee is in serious jeopardy. In the latter case the
Committee shall endeavor to verify the facts and shall in any case recommend tenure only when
there is good evidence that the nominee would eventually be tenured by the normal procedure.

The recommendation for or against tenure is a major decision point in an individual's life.
Recognizing this, the Joint Committee utilizes operating procedures that protect the welfare of the
individual under consideration. To that end the operating procedures are based on these criteria:

1. **A Complete Background Study:** The Joint Committee collects as much information as
possible relative to the candidate's nomination from colleagues, students, alumni, and
professional peers.

2. **Confidentiality:** The welfare of the candidate must be protected by the Joint Committee by
observing strict rules of confidentiality during all phases of the tenure deliberation process.

3. **Unitary Recommendation:** The Joint Tenure Committee forwards to the Provost a unitary
recommendation for or against tenure; the recommendation contains no minority opinion, and
does not attempt to weigh all the factors that were considered during the deliberations. The
purpose of this policy is to prevent the development of a class system of tenure.

4. **Shared Authority:** The WPI Faculty Constitution is based on a condition of shared authority
among the Faculty, Administrative Officers, and the Board of Trustees.

**Criteria for Tenure**
(Approved by the Faculty, October 13, 1988)
(Amended by the Faculty, March 24, 2011)

1. High quality teaching (undergraduate and/or graduate) is an essential (but not sufficient)
requirement for obtaining tenure at WPI. The candidate’s activities should demonstrate the
capacity for continued high quality performance. High quality teaching can be evidenced in
many ways, including (but not limited to): course evaluations; faculty peer evaluations;
evaluations by alumni; the quality of the Major Qualifying Projects, Interactive Qualifying
Projects, and the Humanities Inquiry Seminar or Practicum; freshman advising, academic
advising and graduate theses advised by the candidate; teaching innovations; new course
introductions; and redesign of existing courses.

2. High quality scholarship is an essential (but not sufficient) requirement for obtaining tenure at
WPI. The candidate’s activities should demonstrate the capacity for continued high quality
performance. High quality scholarship can be evidenced in many ways, including (but not
limited to): peer-reviewed publications such as journal articles, conference papers, and/or
book chapters; books; exhibitions, and performances; professional awards; citations in the
professional literature; presentations at professional meetings; grant proposals and grants
awarded; offices held in professional societies; journal editorships; reviews of papers and
proposals; and patents.

3. Service is valued and considered in the tenure deliberations at WPI. Service can be
evidenced in many ways, including (but not limited to): service to WPI (faculty governance
and ad-hoc committees, assistance to administrative offices); service to the candidate's
department (curriculum committees, MQP area coordinators, faculty recruitment, seminar
series participation and coordination), service to the local community (board and committee
membership in social service and cultural institutions, local government participation); and
service to the profession (participation in national and international committees and panels, in
local chapters of professional societies, in conference organization).

 Procedures for Tenure  
(Amended by the Faculty, May 13, 2010)

By April 15th each year the Provost shall provide to the At-Large Committee on Tenure and Academic Freedom a list of untenured faculty with the length of, and conditions attached to, the remaining probationary period. This list, without the conditions of the probationary period, shall be circulated to the Faculty. The Committee shall then write to the candidates to be reviewed in the ensuing year asking for information on which to base its review of the candidate's credentials. Among the items asked for are 1) a list of references, 2) a current curriculum vitae, and 3) copies of professional work. This information is due in June, prior to the academic year of tenure review.

After consulting with colleagues on campus, the Joint Committee develops a list of outside references to evaluate the candidate, solicits alumni and student evaluations, and other such evaluations as it deems appropriate to arrive at a fair and equitable evaluation of the nominee.

In Term A and Term B of the tenure review year the Joint Committee meets to consider the candidate. By the end of Term B the Joint Committee forwards its written recommendations to the Provost.

The Provost reviews each case and consults with the appropriate Dean and the President. Subsequently, the Provost may ask to meet with the Joint Committee to discuss its recommendations, and must meet with the Joint Committee in the case of a disagreement. Lastly, the Provost sends to the Board of Trustees the names of those candidates for whom tenure is recommended. Department Heads and Deans that act as Department Heads are restricted to participation on the Joint Committee only.

Stopping the Tenure Clock  
(Approved by the Faculty, April 12, 2001)

1. Unpaid Leaves and Part-Time Employment

Tenure-track Faculty Members are entitled to stop the tenure clock for unpaid full-time leaves or for intervals of part-time employment during which the Faculty Member’s activity is at or below the half-time level. The need for such unpaid leaves or part-time intervals may arise from a variety of situations, including but not limited to child bearing, child rearing, extenuating circumstances related to a personal or family members’ health, personal relations within a family which impose special or arduous burdens, or for other reasons as may be provided for in the “Family and Medical Leave Act of 1993.” The terms and conditions of the leave are arranged by negotiation between the Faculty Member and the Provost. It is also understood that the leave or part-time interval is not to be imposed by the Administration, but that it is available at the election of the Faculty Member. (Exceptions to this policy must be approved by the Committee on Tenure and Academic Freedom.) The following Table gives the time intervals for which the tenure clock is stopped for these two types of leave:

<table>
<thead>
<tr>
<th>Type of Leave</th>
<th>Duration</th>
<th>Period for which Tenure Clock is Stopped</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unpaid Full-time Leave</td>
<td>Less than 6 months</td>
<td>Not stopped</td>
</tr>
<tr>
<td></td>
<td>6 to 18 months</td>
<td>One year</td>
</tr>
<tr>
<td></td>
<td>More than 18 months</td>
<td>Two years</td>
</tr>
<tr>
<td>Half-time Activity Interval</td>
<td>Less than 12 months</td>
<td>Not stopped</td>
</tr>
<tr>
<td></td>
<td>12-24 months</td>
<td>One year</td>
</tr>
<tr>
<td></td>
<td>More than 24 months</td>
<td>Two years</td>
</tr>
</tbody>
</table>
2. Child-Rearing Provision  
(Approved by the Faculty, March 14, 2013)

Whenever a tenure-track Faculty Member has or is expecting a child (biological or adopted) during her/his probationary appointment, she/he has the option to stop the tenure clock for one year, thus postponing the academic year in which the tenure decision will be made.

Procedure

The faculty member must submit a notification to stop the tenure clock in writing to the Provost, with a copy sent to the Dean and the Department Head. The Provost will acknowledge the notification within 2 weeks, confirm that the exclusion will be granted, and provide the date on which his/her tenure review will be re-initiated. The Provost’s communication will be copied to the Dean, the Department Head, and CTAF.

Applicability

All notifications under this policy must be made prior to January 15 of the year before the tenure decision would normally be made. The notification must be made within 6 months of the arrival of the child. Other terms and conditions of the appointment during this interval will be determined by the Provost.

B. Appointments and Reappointments of Tenure Track Faculty*
(Approved by the Committee on Appointments and Promotions, Spring 1988  
Approved by the Committee on Tenure and Academic Freedom, Spring 1988  
Amended by the Faculty, March 21, 1991 and January 16, 1992)

WPI employs faculty of the highest quality in scholarship and teaching. Every effort is made to search for outstanding candidates and to encourage them, once hired, to demonstrate teaching effectiveness and active scholarship in their own fields of interest. To assist probationary faculty in developing their teaching effectiveness and scholarly competence periodic reviews of their work are conducted.

1. Initial Appointment

An initial appointment of a probationary faculty member on the tenure track is reviewed by the department and the Provost. In the case of an appointment at ranks above assistant professor the appointment is also reviewed by the Committee on Appointments and Promotion to see that the candidate's qualifications are commensurate with the criterion used for promotion to the stated ranks (See Promotion, below). Once the Provost has approved the appointment he forwards an official offer letter to the candidate. The terms and conditions of every appointment to the faculty, including the length of the probationary period, are stated in writing in the letter and are in the possession of both the University and the prospective faculty member before the appointment is consummated.

2. Periodic Review

(Amended by the Faculty, April 17, 2008)

Each Departmental Tenure Committee conducts annual reviews of probationary faculty encompassing scholarship, teaching, and service, and is required to notify the At-Large Committee on Tenure and Academic Freedom, in writing by May 1st, that the review has taken place.

3. Reappointment

(Amended by the Faculty, May 13, 2010)

Reappointment letters are for the period commencing July 1. Within the first year of service a reappointment letter with terms and conditions will be forwarded to the probationary professor
by April 15th. If the appointment is not to be renewed written notice must be sent no later April 1st of the first year of service. For individuals whose initial appointment year is two terms or less the next full year (July 1 to June 30) will constitute the first year of service for a) reappointment and non-reappointment dates, and b) time in service for tenure review. In the second year of service a reappointment letter with terms and conditions will be forwarded to the probationary professor by April 15th. If the appointment is not to be renewed written notice must be sent no later than January 1st of the second year of service. In the third, fourth, and fifth year of service a reappointment letter with terms and conditions will be forwarded to the probationary professor by April 15th. If the appointment is not to be renewed, written notice must be sent no later than twelve months prior to the termination date of the final year of service.

Recommendations to the Provost for reappointment or non-reappointment of probationary faculty will originate with the Department Head (or equivalent) after consultation with the other members of the Department Tenure Committee. Subsequently, the Provost consults with the appropriate Dean. For those cases in which non-reappointment is considered, the Provost shall meet with the Department Tenure Committee before taking action on the recommendation.

**C. Department Heads***

(Developed and prepared by the Committee on Appointments and Promotions, September 1985
Approved by the Provost, December 17, 1985
Amended by the Committee on Appointments and Promotions and approved by the Provost, March 1991)

Heads of Departments report to the Provost and are responsible for the operation of the respective academic departments, for the development of the faculty, and for the quality of the programs and facilities of those units. Department Heads are appointed by the President upon the recommendation of the Provost and subject to approval by the Board of Trustees.

1. Appointment of Department Heads

The position of Department Head is an administrative position, and the initial appointment is for a five year period. Only one reappointment will be made, for a total of 10 years of service, unless special circumstances exist. The Provost will form a Department Head Search Committee according to the following procedure, after consulting with the faculty in the department concerned.

When a new department head is to be selected from either inside or outside of WPI, a Search Committee is formed consisting of two faculty members elected by the department, one member of the Committee on Appointments and Promotions, a faculty member appointed by the President, and the Provost or his representative who serves as Chairman of the Search Committee. The Search Committee first establishes its procedures for operation.

The Search Committee will solicit nominations for the position, evaluate the nominees, and select at least two candidates for the position. The Search Committee makes arrangements for each of the candidates to meet with the departmental faculty. The Search Committee will determine the preferences of the members of the department.

The Provost submits to the President the names of the candidates, his recommendation, the preferences and comments of the departmental faculty, and the preferences and comments of the Search Committee. The Committee on Appointments and Promotions is given copies of all documents submitted to the President concerning the selection. The President generally will appoint one of the candidates as department head. However, if none of the candidates is acceptable to the President, the reasons will be discussed with the Search Committee and the Committee on Appointments and Promotions, and the Search Committee will continue the selection process.
2. Performance Evaluation of Department Heads

A performance evaluation is made of a department head in order to determine if the department is accomplishing its goals in an effective, efficient and harmonious way. The Provost has the responsibility for conducting this evaluation and reporting back to the person being evaluated.

A performance evaluation will be scheduled during the spring of the second and fourth year of each five year appointment. In addition, the Provost, the Committee on Appointments and Promotions, or the department head may request an evaluation at any time. A list of the regular schedule for evaluations is maintained by the Committee on Appointments and Promotions.

In the first phase of the evaluation, the Provost will distribute a questionnaire to the faculty in the department. The Committee on Appointments and Promotions has the responsibility for preparing and updating the questionnaire. The faculty will send the unsigned completed questionnaires to the Provost. The responses will be reviewed only by the Provost and the Committee on Appointments and Promotions.

If either the Provost or the Committee on Appointments and Promotions decides that more information is needed, then the COAP will make arrangements for its members to meet with each faculty member in the department concerned. The purpose of these individual meetings is to gain a better understanding of any problem that may have been brought out in the questionnaire. Complete confidentiality will be maintained by the Committee concerning the views of individuals.

The Committee on Appointments and Promotions will discuss all of the information obtained from the interviews and will prepare a summary describing the perceived strengths and weaknesses of the department head being evaluated. The COAP will send the summary letter to the Provost who, after reviewing the contents, will meet with the COAP to discuss the case. Only the Provost and the President of the Institute will read the COAP letter. The Provost will then meet with the Department Head to discuss the evaluation and also send a letter to the department head which summarizes the performance evaluation. A copy of that letter will be sent to the Chairman of the Committee on Appointments and Promotions.

3. Reappointment of Department Heads

The reappointment of a department head for a second term will involve the following procedure.

A. In the spring of the fourth year of tenure, the Committee on Appointments and Promotions will evaluate the Department Head. The evaluation will involve:
   i. Review of all written materials of the department head obtained in the second and fourth year review plus any additional evaluations deemed necessary by the Committee.
   ii. Interview with all faculty members in the department, including the department head involved.
   iii. Collection and review of any other information the COAP feels will influence the evaluation.

B. The Committee on Appointments and Promotions will write its recommendation to the Provost before the end of Term D of the fourth year of tenure.

C. The Provost will provide the President his recommendations and a copy of the Committee on Appointments and Promotions report. The President decides on the reappointment. The President will discuss his or her decision with the Provost and with the Committee on Appointments and Promotions.
D. Promotion*
(Approved by the Faculty, September 1978)

Criteria for Promotion In Academic Rank

The principal reason for establishing academic ranks is to recognize different levels of contribution and to encourage the continued growth of faculty members. It is recognized that the faculty consists of members with diverse and often unique capabilities which lead to contributions which cannot be measured against rigid and narrow criteria. Nevertheless, the usual expectations can be stated in terms of disciplinary or interdisciplinary accomplishments in teaching, scholarship and/or creativity, and service.

The candidate for promotion to assistant professor should have demonstrated effectiveness in teaching and have made a beginning in scholarship/creativity.

The candidate for promotion to associate professor should have exhibited growth in teaching and have made some significant contributions in the area of scholarship/creativity.

The candidate for promotion to professor should have recent accomplishments of high quality in both teaching and scholarship/creativity and should have demonstrated leadership in one of these areas. This leadership must be recognized by peers within WPI and by knowledgeable people outside WPI.

In addition, all candidates for promotion should have participated to some appropriate degree in activities of service to WPI.

While these criteria serve as general guidelines, outstanding candidates should not be deprived of promotion because of the uniqueness of their contribution.

To clarify the above criteria, the usual interpretations of teaching, scholarship and/or creativity, and service are included below:

Teaching includes the conduct of courses; the direction of projects and independent studies; and academic advising. In evaluating teaching qualifications, the Committee on Appointments and Promotions will consider innovations in teaching and adaptability to the needs of WPI, effectiveness as measured by students, alumni, and colleagues, and the candidate's overall impact and importance in WPI academic programs.

Scholarship and/or creativity can take many forms. It may be demonstrated, for example, by publications in respected research or scholarly journals, by non-routine presentations at meetings of professional or scholarly societies or at seminars at other colleges, or by authorship of well-regarded textbooks or monographs. Creativity may be shown, for example, by applying knowledge as a consultant or inventor, and through artistic publications, exhibitions, or productions. In evaluating this activity, the Committee will consider how it is regarded by knowledgeable peers.

Service may include, for example, active participation in Faculty or departmental governance, involvement in student affairs, officer or committee work in professional societies, and industrial or government liaison leading to support of WPI. Although not entirely separable from teaching or scholarship/creativity, there are many service activities of a semi-administrative nature. Examples of such activities would be organization of conferences or seminars, some aspects of consulting, establishing project centers, and writing proposals.

Nomination Procedures for Faculty Promotion

Section I outlines the procedures to be followed in nominating faculty for promotion in rank. Section II identifies the type of information which should be provided to the Committee on Appointments and Promotions (COAP) by the nominator. Section III identifies information to be
provided by the candidate for promotion.

I. The nominator is usually a department head, but may be any voting member of the faculty. Nominators should review the Criteria for Promotion in Academic Rank endorsed by the faculty, above, and evaluate the nomination by these criteria before submitting a nomination.

If the nominator is a department head the nomination should include a statement of the procedures used by the department in selecting nominees. Departmental procedures should assure equitable treatment of all eligible candidates. However, the procedures also should be selective so that only well-qualified candidates are recommended. Questions of inequities in department selection procedures should normally be resolved at the department level. However, they may be brought to the Committee if necessary.

Normally, a candidate for Associate Professor will have completed at least three years as an Assistant Professor. It usually is difficult to document a sufficient case of achievement prior to the fourth year. To be considered for promotion to Professor, an Associate Professor must have demonstrated considerable professional growth and development of qualities of leadership. This usually requires at least five years as an Associate Professor.

Nomination by department heads must be received by COAP by the last Friday in April, and nomination from members of the faculty other than department heads must be received no later than two weeks from that date.

II. Nominations should delineate the strengths and contributions of the nominee. They should include assessments of the major contributions of the nominee relative to the promotion criteria of "teaching," "creative scholarship," and "service to WPI." If the nominee is being recommended for promotion to Professor, the nominator should indicate the special qualities which set the candidate apart as a recognized leader in at least one professional area.

Some points for consideration and comment relative to these criteria are given below:

Teaching
How has the nominee responded to the needs of WPI by organizing and developing courses, projects, and sufficiencies? What is the nominee's role as an academic advisor? How is the nominee recognized and evaluated by students and colleagues? How has the candidate manifested a commitment to the undergraduate and the graduate program? How effective is the nominee within these programs? How well does the nominee teach?

(Creative Scholarship
What is the quality of the candidate's creative scholarship and what is its impact and significance? How do those research and other scholarly activities contribute to graduate and undergraduate programs at WPI? How do colleagues on and off campus assess the nominee's scholarship (include references or citations, request to referee or review, grants obtained, consulting, patents, etc.) How has that scholarship contributed to the candidate's effectiveness as a member of the faculty at WPI?

Service to WPI
Has the nominee played a significant role in departmental deliberations or been an active participant in faculty governance? Have there been contributions toward improving WPI programs and toward implementing those programs? What has been the candidate's interest in and effectiveness with students in non-academic situations? Has the nominee played an influential role in professional societies? Has the candidate been effective in bringing WPI and its educational programs to the attention of the professional and general community?

Approved by the Committee on Appointments and Promotions, September 1985. Approved by the Provost.)
III. The nominee will receive notice from COAP that he or she has been nominated and will be requested to supply the information to the committee. The Committee should also give any other facts which the candidate believes are pertinent. The following categories of information should be addressed.

**Education and Employment**
Educational background including degrees, dates and institutions; date of initial appointment at WPI (with rank); record of promotion at WPI; previous academic appointments; tenure status (with last year of probationary period if non-tenured); other professional experience. Employment data should include dates and the nature of the positions.

**Teaching Assignments**
Courses and conferences (with student enrollment); IS/P activities (with number of units per term and student enrollment); number of undergraduate academic advisees; graduate student thesis supervision. Information about project or thesis supervision should include titles of reports, completed theses, and any resulting student publications. Brief descriptions of course development, educational innovation, IS/P, and thesis activities are recommended.

**Research, Publications, Presentations, Proposals and Grants**
List publications and off-campus presentations. On-campus presentations which are given as part of a meeting or symposium held at WPI should also be listed. Give date, place, and title of all presentations. For proposals and grants indicate agency, date of submission, amount, and final decision. Include all collaborators for the above activities.

**Non-Instructional Activities at WPI**
List committee and administrative assignments, planning activities, involvement in student activities, and plan implementation activities.

**Other Professional Activities**
Identify courses completed, institutes attended, honors and awards, society membership. Indicate professional society positions held at the local, national, or international level. Identify reviewing or refereeing activities, as well as those of a consultant or inventor. Describe involvement in community and public affairs.

**Letters of Reference**
Letters of reference will be requested by the Committee from referees suggested by the nominee and from knowledgeable people in the nominee's area. Letters should deal with items of substance and give reasons why the writer is taking a given position. Letters which say the candidate is a nice person and a hard worker, but do not go beyond those statements, are not useful.
E. Policy on Faculty Conduct
(Approved by the Faculty, February 27, 2014)

1. Introduction and Applicability

Members of the WPI faculty have traditionally conducted themselves in accordance with high standards of professional performance, ethical behavior and personal conduct. Nonetheless, from time to time it may be necessary to take action with respect to a faculty member who engages in conduct incompatible with the responsibilities of faculty membership or who fails to meet reasonable standards of performance or behavior. In recognition of this need, WPI has developed the following policy to respond to allegations of misconduct and to inform members of the community of the appropriate channels for bringing such matters to the attention of the University. This policy applies to tenured, tenure-track, and continuing non-tenure track members of the WPI faculty.16

2. Definitions

a. Complainant. The individual, department or entity bringing forth an allegation of misconduct.

b. Respondent. The individual against whom an allegation of misconduct is made.

c. Grounds for use of this policy. Standards for faculty conduct are derived from tradition and evolve with contemporary practice. The circumstances that may lead to disciplinary action cannot be anticipated in precise terms and thus grounds for discipline of faculty members are not made the subject of a precise or comprehensive statement. Generally, grounds or cause for discipline include but are not limited to: (a) neglect of duty, (b) personal misconduct17 or neglect of standards expected in the WPI community18; (c) research misconduct19; (d) harassment20; (e) violation of WPI policies or rules21; (f) violation of federal, state or local laws relating to educational institutions; (g) conduct occurring outside the faculty member’s scope of employment which affects or prevents the faculty member’s ability to effectively perform his/her duties or which significantly damages the University’s reputation or mission. In some instances a single instance of unacceptable activity by a faculty member may be severe enough to warrant discipline, including dismissal. In other instances a pattern of activity or the continued pursuit of unacceptable activity may warrant such discipline.

3. Sanctions

As with the definition of misconduct, it is not feasible or wise to automatically assign a specific sanction to particular misconduct. Generally, sanctions should be commensurate with the seriousness of the misconduct or cause. Seriousness, and thus the sanction, may be affected by

---

16 This policy replaces and supersedes the prior policy entitled “Policy and Procedure for Removal of Tenured Faculty Member for Cause” adopted in 1969. The procedures outlined herein apply to conduct predating the implementation date unless a proceeding has already been commenced under the old policy. All faculty members and instructional staff not covered by this policy should consult the Work Behavior/Discipline section of the Human Resources Employee Benefits and Policies Manual.

17 Examples could include workplace violence; falsification of credentials; misuse of University resources or facilities; or refusal to perform reasonable, assigned duties.

18 See, for example, not limitation, the AAUP Statement on Professional Ethics.

19 Discipline relating to research misconduct is handled pursuant to the WPI Policy on Research Conduct.

20 Discipline relating to sexual misconduct and sexual harassment is handled pursuant to the WPI Sexual Misconduct and Complaint Procedures: Faculty Policy, which has superseded and replaced the Sexual Harassment Policy in the Faculty Handbook. Discipline relating to harassment and/or discrimination in violation of other WPI policies or laws is handled under this policy.

21 See, for example, not limitation, the Faculty Handbook and listing of University Policies.
the persistence of behavior in the face of prior warnings, counseling or sanction as well as the egregiousness of a particular action. Disciplinary actions fall into two categories:

Major sanctions include, but are not limited to, dismissal and/or removal of tenure, suspension without pay, reduction in academic rank, and public censure. A major sanction may not be imposed without following the investigatory process outlined below.

Minor sanctions are penalties less serious than a major sanction and include, but are not limited to, verbal or written reprimand, denial of eligibility for merit salary increase, and suspension with pay. Minor sanctions may be imposed administratively.

Should the Respondent disagree with an imposed minor sanction, the Respondent can request in writing a full inquiry within 5 business days of being notified of the minor sanction.

The referral of a faculty member to the Employee Assistance Program, training, counseling, or coaching is not considered a disciplinary sanction under this policy.

4. Initial Inquiry
   a. In all situations, complaints or allegations of misconduct should be made in writing to the appropriate Dean.22,23
   b. Complaints or allegations of misconduct are not subject to investigation if the alleged misconduct occurred more than six years prior to the date the allegation or complaint was received by the Dean.
   c. Within five business days of receiving an allegation of misconduct, the Dean will determine whether the behavior alleged meets the definition of misconduct and is sufficiently credible and specific so that potential evidence of such misconduct may be identified. If the behavior meets the definition of misconduct and is sufficiently credible and specific, the Dean shall forward a copy of the complaint or allegation to the person named therein (“Respondent”) along with a copy of this policy. The Dean shall, at the same time, forward a copy of the allegation to the Respondent’s department head or other immediate supervisor and immediately arrange to take all appropriate actions to obtain and secure all records and evidence needed to conduct the misconduct proceeding. Respondent shall have an opportunity to respond in writing to the Dean to any allegations raised. Responses must be received by the Dean within ten business days following the Respondent’s receipt of the allegation. Upon reasonable request, the Dean may choose to grant additional time. After considering the information provided by the Respondent, the Dean will reassess the credibility of the allegation. If the behavior meets the definition of misconduct and the allegation is sufficiently credible and specific an inquiry will be conducted. Otherwise the Dean will notify the Respondent in writing that the matter is dismissed.
   At any time, the Respondent may meet with the Dean and Provost to mutually resolve the issues raised by the complaint or allegation. If the parties cannot agree on a settlement of the issues, the proceedings outlined in this policy shall continue.
   d. If the Dean determines that an initial inquiry will be performed, then the Dean, in consultation with the department head and, if the Dean deems appropriate, the Vice President of Human Resources, and/or such other persons as the Dean decides would be helpful to the inquiry

---

22 The appropriate Dean would be based on the home department of the faculty member named in the allegation. Complaints may be brought by an individual, a department, or the administration (“Complainant”).
23 If the Complainant is a Dean or the Provost, the Secretary of the Faculty shall perform the role of Dean in the initial inquiry. If the Respondent is a Dean or Provost then the President shall perform the role of the Dean in the initial inquiry.
process shall form a committee of three tenured faculty members. This “Inquiry Committee” will undertake an initial review of the evidence and may interview Respondent, complainant and other relevant witnesses, all on an individual basis.

i. During the inquiry period, the identities of all parties involved will be held in confidence to the maximum extent that an effective inquiry allows.

ii. The entire inquiry process must be completed within sixty calendar days of the formation of the Inquiry Committee, unless the Dean determines, for good cause shown and documented on the record, that circumstances warrant a longer period.

e. Based on the information gathered, the Inquiry Committee shall prepare a written preliminary report. The Dean and Respondent shall be provided a copy of the preliminary report. The Respondent will be provided an opportunity to respond or comment within ten business days.

After evaluating all of the information, the Inquiry Committee shall determine if there is substance to the complaint or allegations of research misconduct and prepare a final report that includes any comments provided by the Respondent. The final report will be delivered to the Respondent, the Vice Provost for Research, and the Provost.

f. If the Inquiry Committee determines that there is not substance to the allegations, then the Provost will notify the Respondent in writing that the matter is dismissed.

g. If the Inquiry Committee determines that there is substance to the allegations of misconduct and the Provost decides that major sanctions are not supported, then minor sanctions may be imposed administratively after first providing the Respondent an opportunity to respond to the Provost. In this case, the Provost will determine the appropriate minor sanction only after reviewing and considering the response received from Respondent. Should the Respondent disagree with an imposed minor sanction, the Respondent can request in writing a formal investigation within 5 business days of being notified of the minor sanction.

h. If the Inquiry Committee determines that there is substance to the allegations of misconduct and the Provost determines that major sanctions might be appropriate then a formal investigation is warranted.

i. No action shall be taken against the Respondent as a result of misconduct allegations prior to the conclusion of the appropriate investigation, unless it is determined that the presence of that person on campus or in class poses an immediate threat of physical or psychological harm to others. A suspension on this basis shall not result in a reduction of salary while an investigation is pending.

5. Procedures for Formal Investigations

a. If a formal investigation is warranted, it shall begin within twenty-one (21) days of the conclusion of the initial inquiry. Before the investigation begins, the Provost shall notify the Respondent and Dean in writing that a formal investigation is in order.24

b. All parties involved in a formal investigation and any subsequent proceedings shall, to the extent possible, endeavor to maintain confidentiality regarding the allegations, evidence, proceedings, and use care in balancing the need for disclosure and the privacy interests of the persons involved.

c. The Provost will request the Secretary of the Faculty (SOF) and Chair of the Faculty Review Committee (FRC) to appoint a fact-finding committee (“the Committee”) of five elected FRC

---

24 If the Complainant or Respondent is the Dean or Provost, the President shall perform the roles of the Provost and Dean in the formal investigation.
members who are unbiased in the investigation. (If there are not 5 unbiased elected FRC members, then the SOF and FRC chair will appoint the required number of unbiased tenured faculty from outside the FRC. If the Respondent or Complainant is either the SOF or FRC chair, then the other will appoint the committee.) The Committee shall elect its own chair who shall be responsible for determining the manner in which the witness interviews and other procedures will be conducted by the Committee. The investigation will be completed within 120 days of the Committee’s formation, subject to external factors such as the availability of the parties, Committee members, witnesses and other evidence, and whether proceedings concerning the same allegations are pending in another forum.

d. The Committee will be provided with all necessary information about the complaint or allegation and empowered to review relevant documents and interview witnesses. The Committee shall also interview Respondent, complainant and any other persons who have been identified as having relevant material information regarding the investigation. The Committee may seek assistance from WPI counsel in conducting its investigation and, as referenced earlier, from the Vice President of Human Resources.

e. The Committee will pursue all significant issues and leads developed during the investigation, including evidence of additional instances of misconduct. The Committee will give Respondent written notice of new instances or allegations of misconduct not addressed during the inquiry or in the initial notice of investigation within a reasonable amount of time of deciding to pursue such allegations.

f. The Committee will maintain records of its fact-finding proceedings, including copies of materials submitted by all parties, documentary evidence considered by the Committee, and a written record or summary of its witness interviews.

g. Respondent may exercise the following rights during the investigation of the Committee:

1. Respondent may have an advisor or legal counsel to assist or support them through the Committee investigation process.

2. Respondent may challenge the composition of the Committee, if s/he believes that one or more of its members is biased. The remaining members of the Committee shall determine whether bias exists and otherwise act to ensure its own credibility. The Committee shall request that the Chair of the FRC and the Secretary of the Faculty replace a committee member when appropriate.

3. At the request of the Respondent, the Committee shall use its authority to obtain documents and evidence to interview witnesses who have information relevant to the defense of Respondent.

4. Respondent is entitled to a presumption of innocence and need not prove his or her innocence to the Committee and to the Provost.

5. Respondent shall have the opportunity to present a defense to the Committee, to present witnesses for interview by the Committee, and to respond to all allegations of misconduct.

6. Respondent shall receive a copy of the draft report of the Committee and shall have an opportunity to provide a written response to such report. Respondent shall receive a copy of the final report at the time it is provided to the Provost.

h. Once the investigation is completed, the Committee will prepare a written investigation report (the “Report”) offering a judgment based on the evidence provided as to whether the

25 “Biased” in this context means a person(s) who has unresolved personal, professional, or financial conflicts of interest with Respondent.
Respondent has committed misconduct, and if so its level of severity, and summarizing the facts and analysis that support that conclusion addressing the merits of any reasonable explanation or defense provided by Respondent, and including the vote of the Committee. Findings of misconduct shall be made if a majority of the members of the Committee agree that such findings are supported by a preponderance of evidence. If the Committee determines Respondent is guilty of misconduct, it shall also recommend disciplinary actions. If the disciplinary action includes termination and/or removal of tenure, it must be by agreement of four or more of the Committee members. The Report should normally be prepared within fifteen (15) days of conclusion of the evidentiary phase of the investigation.

6. Final Findings

a. The Committee will provide Respondent with a draft copy of the Report prior to the time it is presented to the Provost. Within 15 days of receipt of the Report, the Respondent may file an appeal or objection to the Report. Such appeals or objections must be in writing and state the reasons therefor. The Committee will prepare a Final Report that considers and includes the appeal(s) or objection(s) and any changes in the Committee’s vote, finding, and recommendation.

b. The Committee shall transmit the Final Report to the Provost and to the Respondent. The action of the Committee shall either be sustained by the Provost or the case returned to the Committee with the Provost’s objections specified in writing. If the case is returned, the Committee shall reconsider, taking account of the stated objections and receiving new evidence as necessary. The Committee shall frame its reconsideration and communicate it in the same manner as before, including any change in the Committee’s vote, finding, and recommendation. Only after study of the new report, and after consultation with the relevant Dean and Department Head, should the Provost make a final decision.

c. If at least four members of the committee voted that the respondent did not commit research misconduct, but the Provost decides on a finding of a guilt, then at most a minor sanction may be imposed.

d. If the Provost decides that termination and/or removal of tenure is appropriate, but if four members of the Committee do not support the decision, then both the Provost’s written recommendation and the Committee’s report will be submitted to the Board of Trustees for its decision. In this case, the Board will provide both the Respondent and the Complainant with 10 days to submit any additional relevant information. The Board will then review all materials received and any other relevant material submissions or information which the Board, in its discretion, may solicit from the Respondent or Complainant, or the Provost. The Board will relay its decision to the Provost who will inform the Respondent. This shall be the final decision on the part of the University.

e. The Provost shall promptly notify Respondent in writing of the decision on misconduct and, if applicable, disciplinary action. This decision shall be final, subject to a limited right of appeal to the Board of Trustees as described below.

26 “Preponderance of evidence” as applied to the Committee’s and Respondent’s (defense’s) burdens of proof means proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

27 If the Complainant or Respondent is the Dean or Provost, the President shall perform the roles of the Provost and Dean in the formal investigation.
7. Review of Disciplinary Actions by the Board of Trustees\textsuperscript{28}

If both the Committee and Provost recommend termination and removal of tenure, the respondent may appeal the disciplinary action, not the underlying finding of research misconduct, to the Board of Trustees (“the Board”). Such appeal must be in writing, must state the reasons for appeal, and must be presented to the Board within ten (10) days of the date of Respondent’s receipt of notice of such disciplinary action. Thereafter, the Provost shall promptly transmit the final investigation report and his/her written recommendation to the Board of Trustees. The Board shall review the reasons for appeal, the final investigation report, the Provost’s written recommendation, and any submission made by the Respondent relevant to the appeal, and may seek additional submissions or information from Respondent or the Provost. The Board shall notify both Respondent and the Provost of its decision, which shall be the final decision on the part of the University.

8. Special Measures

Should the procedure followed under this policy lead to a finding of no misconduct by the Respondent, the party or parties who conducted the initial inquiry or formal investigation shall, as appropriate, undertake a good faith effort to restore the reputation of the Respondent. Reasonable efforts will also be taken to protect the standing of the individual(s) who raised the issue of possible misconduct, unless the inquiry or investigation reveals that such individual(s) acted in bad faith, in which case appropriate disciplinary actions may be taken.

\textsuperscript{28} This Review is extended only to cases involving a tenured faculty member.
F. Review Of Tenured Faculty

The Departmental Peer Review Committee will review each tenured faculty member's teaching performance every six years. A faculty member may request a more frequent review. The Peer Review Committee will prepare a written report with copies going to the teacher being reviewed, the Department Head and the departmental file.

G. Definitions of Joint Appointments of Tenured and Tenure-Track Faculty
(Endorsed by COG, February 10, 2005)

Dual Appointment (Salary is split between two departments)
- Faculty member carries current rank title in both home and in second department (e.g. Professor of Biology/Biotechnology and Professor of Management).
- Set percentage (e.g. 50%) of salary is allocated to each of the two departments.
- Faculty member participates in all activities of both departments with full rights and privileges.
- Home department is listed first.

Collaborative Appointment (Salary is fully maintained by home department)
- Faculty member carries current rank title in both home and in second department (e.g. Professor of Biology/Biotechnology and Professor of Management). However, the second title is intended to foster interdepartmental collaboration.
- Faculty member salary is 100% budgeted in home department.
- Appointment is made to facilitate student advising, teaching and research. Course teaching would not be expected in the second department. However, advising, project advising, graduate advising (including thesis and dissertation advising) and research would be expected.
- Can be Advisor of Record for all project, thesis, and dissertation work.
- Home department is listed first.
- The appointment in the collaborative department will be for a maximum of five years and renewable on request.

To request either type of appointment, a memo bearing the signature of both department heads should be forwarded to the Provost, specifying which type of appointment and outlining the reason(s) for the request. If the Provost concurs, an appointment letter will be sent to the faculty member.
H. Guidelines for Searches to Fill Academic Administrative Positions*

(Approved by the Faculty, May 2007)

i. Academic Administrative Positions:

An academic administrative position is defined as a faculty appointment in which the primary responsibilities of the position are to lead faculty and to work with and on behalf of them to oversee substantial elements of WPI’s degree-granting undergraduate or graduate programs, and/or to provide leadership, vision, and guidance in working with and on behalf of faculty to enhance their scholarship. Academic administrative positions are held by faculty who work with other faculty across several departments, programs, or other similar academic units. Examples of academic administrative positions include the Provost, Associate or Assistant Provosts, and the Deans and Associate Deans of Undergraduate Studies, Graduate Studies, the Interdisciplinary and Global Studies Division, and the First Year Experience. Non-academic administrative positions include, but are not limited to those in admissions, enrollment management, student life, research administration, corporate and professional education, development, and marketing.

ii. Formation of the Search Committee:

When an academic administrative position is to be filled from either inside or outside of WPI, a search committee of nine members is formed consisting of three elected faculty, one faculty member appointed by the Committee on Governance, one faculty member appointed by the Provost, two members appointed by the President, and two students appointed jointly by the President and by COG. The President, the Provost, and COG will collaborate on all appointments to ensure balance of the committee’s membership and to select the Chair of the search committee. If the search is for the Provost, the President will make three appointments. If the responsibilities of the position cross all departments, then all faculty participate in the process to choose the three elected members of the search committee. In this case, there is no restriction on the departmental affiliations of the faculty members who may be appointed. If, on the other hand, the responsibilities of the position do not cross all departments and programs, then the elected members of the committee will be chosen by those faculty and from among those departments that fall under the responsibilities of the position. In this case, at least one of the appointed faculty members must be from outside the academic departments that fall under the responsibilities of the position.

iii. Conducting the Search:

The work of the search committee begins when the Provost (or the President, when the search is for Provost) provides it with a complete description of the responsibilities of the position. There is an understanding between the Provost, the President, the search committee, the candidates, and the WPI community that the job description will not change substantially throughout the search and for a reasonable period of time after an appointment is made to fill the position. At the outset of the search, the committee will meet with representatives from Human Resources for advice on relevant legal matters, and, throughout the search, will consult with those representatives whenever it is necessary to do so.

The job description will be used in soliciting nominations for the position. The search committee will evaluate the applicants and select appropriate candidates to be interviewed for the position.

29 Deans, Associate Deans, or Assistant Deans of a school or college, if such positions were created, would be an academic administrative position that crossed all faculty and programs within that school.
It is the responsibility of the search committee to conduct the search in such a manner that all members of the faculty, administration, and staff who would interact in a substantive way with the appointee be given the opportunity to review the candidate’s resume, meet with the candidate, ask questions of the candidate, and provide both written and oral feedback to the committee. The search committee may invite members of the staff to meet with the committee and/or serve as resources for the search.

Because input from students is so highly valued, it is also the responsibility of the search committee to solicit input from appropriate representatives of the student body, arrange meetings between students and each candidate, and obtain written and oral input from the students about the candidates with whom they have met.

iv. Evaluating the Candidates:

The search committee will provide a detailed evaluation of each candidate to the Provost, with its preferences made clear and with a digest of the feedback from the community included. The Provost will then share the information with the President, and jointly the President and Provost will select one of the candidates to fill the open position. If the search is for a Dean, then the President and Provost will select a candidate to be recommended to the Board of Trustees for approval. If the search is for the Provost, then the committee’s evaluations will be given directly to the President, who will make the selection for approval by the Board of Trustees. If none of the candidates is acceptable to them, the President and/or the Provost will discuss their reasons with the search committee, and will either request that the search committee continue the search process, or that the search begin anew with the formation of a new search committee and a new solicitation for the position.
2. POLICIES REGARDING ACADEMICS AND ACADEMIC PROGRAMS

A. Statement of Values for Undergraduate Education*
   (Endorsed by the WPI Faculty, May 6, 2004)

1. WPI's programs shall emphasize fundamental concepts, knowledge, and skills, and ensure that students are able to apply them within the context of their major disciplines.

2. WPI's programs shall emphasize the development of students as effective thinkers and communicators, able to use evidence to present their ideas with logic, clarity, and persuasion.

3. Programmatic breadth in general, and balance between technical and humanistic components in particular, are the hallmarks of a WPI undergraduate education. In addition to educating students in their major discipline, WPI's programs shall provide students with a broad preparation for fulfilling lives as responsible professionals and informed citizens.

4. Grounded in project and course experiences, a WPI education shall provide a firm foundation for life-long learning in a variety of fields. WPI programs shall emphasize inquiry-based learning and open-ended problem solving. Students shall bear a considerable responsibility for learning outside of the classroom.

5. WPI's programs shall be sufficiently flexible so as to allow students significant choice in and responsibility for planning their courses of study. Faculty, via the central teaching tasks of project and academic advising, shall ensure that student learning experiences encourage critical reflection, decision making, and personal growth.

6. WPI's programs shall emphasize the scientific, technical, societal, and humanistic contexts in which knowledge is applied and constructed. Educational activities shall challenge students to make connections between disciplines, to consider multiple viewpoints, and to appreciate the consequences of their actions. The curriculum shall prominently feature integrative and interdisciplinary activities.

7. WPI's learning environment and educational activities shall balance personal responsibility and individual accountability with cooperation, collaboration, and mutual respect. Members of the community shall be encouraged to value academic integrity, and to become conscious of the value that such integrity confers to themselves and to the community.

8. WPI shall be committed to assessment and improvement of student learning.
B. WPI Undergraduate Learning Outcomes*
(Endorsed by the WPI Faculty, May 6, 2004)

Graduates of WPI will:
1. have a base of knowledge in mathematics, science, and humanistic studies;
2. have mastered fundamental concepts and methods in their principal areas of study;
3. understand and employ current technological tools;
4. be effective in oral, written and visual communication;
5. function effectively both individually and on teams;
6. be able to identify, analyze, and solve problems creatively through sustained critical investigation;
7. be able to make connections between disciplines and to integrate information from multiple sources;
8. be aware of how their decisions affect and are affected by other individuals separated by time, space, and culture;
9. be aware of personal, societal, and professional ethical standards;
10. have the skills, diligence, and commitment to excellence needed to engage in lifelong learning;

WPI shall be committed to regular review of its undergraduate offerings in light of these Undergraduate Learning Outcomes. CAP and UOAC recommend that the Outcomes be conveyed to the Board of Trustees, be conveyed to current and future faculty and undergraduate students, and be included with the Mission and Goals Statements in future editions of the Undergraduate Catalog and the Faculty Handbook.
C. Policies Regarding the Awarding of Grades

1. Faculty Guidelines for Project Grading*
   (Approved by Faculty, October 9, 2014)

   Background
   Pronounced grade inflation for MQP, IQP, and Sufficiency activity is evident over the last twenty years. This has, in turn, resulted in a steady increase of the percentage of students graduating with honors. Furthermore, data indicate that project grading standards vary considerably from department to department. This not only creates an inequity with respect to honors, but may create barriers to student or faculty participation in multidisciplinary project activities.

   Recommendations
   Each term a student is registered for a project, the student receives a grade reflecting judgment of accomplishments for that term.

   Upon completion of the project, students will receive an overall project grade. It is important to note that this grade reflects not only the final products of the project (e.g., results, reports, etc.), but also the process by which they were attained. No amount of last-minute effort should turn a mediocre project effort into an A.

   The available grades and their interpretations are as follows:

   • A: This grade denotes excellent work that attains all of the project goals and learning outcomes. The product and process of this work meet all of the expectations and exceed them in several areas.

   • B: This grade denotes consistently good work that attains the project goals and learning outcomes. The product and process of this work meet but generally do not exceed all of the expectations.

   • C: This grade denotes acceptable work that partially attains project goals and learning outcomes. The product and process of this work meet some but not all expectations.

   • SP: This grade denotes satisfactory progress and certifies sufficient accomplishments to earn credit for that term. Faculty who assign this grade should provide clear feedback to the student regarding his or her progress during the term. The use of the SP grade is discouraged except in circumstances where the faculty member is unable to judge the quality of the work, yet can attest that the granting of credit is appropriate. This is a temporary grade and must be replaced by a permanent grade consistent with the criteria outlined above by, if not before, the end of the project.

   • NR: This grade denotes work that did not attain the project goals or learning outcomes and is insufficient for registered credit. Both product and process were inconsistent with acceptable project work at WPI as outlined above.

   • NAC: This grade is reserved for performance that is unacceptable. It might mean that a student’s performance (or lack of it) has seriously impeded group progress, or it has embarrassed the group, a project sponsor, or WPI. Note that this grade remains on the transcript.

   The results of a project should be such that an outside reviewer would reasonably deem the project as being worthy of the credit and grade given, based on evidence such as the project report.
In light of the above grading criteria, it is strongly suggested that a formal project proposal or contract be developed early in the project activity, so that all participants in the activity have a clear understanding of the project goals and advisor and student expectations.
2. Policy on Graduate Grade Appeals and Grade Changes*
(Approved by the Faculty, October 9, 2003)

The purpose of the Grade Appeal Policy is to provide the student with a safeguard against receiving an unfair final grade, while respecting the academic responsibility of the instructor. Thus, this procedure recognizes that:

- Every student has a right to receive a grade assigned upon a fair and unprejudiced evaluation based on a method that is neither arbitrary nor capricious; and,

- Instructors have the right to assign a grade based on any method that is professionally acceptable, submitted in writing to all students, and applied equally.

Instructors have the responsibility to provide careful evaluation and timely assignment of appropriate grades. Course and project grading methods should be explained to students at the beginning of the term. WPI presumes that the judgment of the instructor of record is authoritative and the final grades assigned are correct.

A grade appeal shall be confined to charges of unfair action toward an individual student and may not involve a challenge of an instructor’s grading standard. A student has a right to expect thoughtful and clearly defined approaches to course and research project grading, but it must be recognized that varied standards and individual approaches to grading are valid. The grade appeal considers whether a grade was determined in a fair and appropriate manner; it does not attempt to grade or re-grade individual assignments or projects. It is incumbent on the student to substantiate the claim that his or her final grade represents unfair treatment, compared to the standard applied to other students. Only the final grade in a course or project may be appealed. In the absence of compelling reasons, such as clerical error, prejudice, or capriciousness, the grade assigned by the instructor of record is to be considered final.

Only arbitrariness, prejudice, and/or error will be considered as legitimate grounds for a grade change appeal.

Arbitrariness: The grade awarded represents such a substantial departure from accepted academic norms as to demonstrate that the instructor did not actually exercise professional judgment.

Prejudice: The grade awarded was motivated by ill will and is not indicative of the student’s academic performance.

Error: The instructor made a mistake in fact.

This grade appeal procedure applies only when a student initiates a grade appeal and not when the instructor decides to change a grade on his or her own initiative.

This procedure does not cover instances where students have been assigned grades based on academic dishonesty or academic misconduct. Academic dishonesty or misconduct are addressed in WPI’s Academic Honesty Policy.

Also excluded from this procedure are grade appeals alleging discrimination, harassment or retaliation in violation of WPI’s Sexual Harassment Policy, which shall be referred to the appropriate office at WPI as required by law and by WPI policy.

The Grade Appeal Procedure strives to resolve a disagreement between student and instructor concerning the assignment of a grade in a collegial manner. The intent is to provide a mechanism for the informal discussion of differences of opinion and for the formal adjudication by faculty only when necessary. In all instances, students who believe that an appropriate grade has not been assigned must first seek to resolve the matter informally with the instructor of record. If the matter cannot be resolved informally, the student must present his or her case in a timely fashion in the
procedure outlined below. Under normal circumstances, the grade appeal process must be started near the beginning of the next regular academic semester after the disputed grade is received.

**Student Grade Appeal Procedure**

1. A student who wishes to question a grade must first discuss the matter with the instructor of record as soon as possible, preferably no later than one week after the start of the next regular academic semester after receiving the grade. In most cases, the discussion between the student and the instructor should suffice and the matter will not need to be carried further. The student should be aware that the only valid basis for grade appeal beyond this first step is to establish that an instructor assigned a grade that was arbitrary, prejudiced or in error.

2. If the student’s concerns remain unresolved after the discussion with the instructor, the student may submit a written request to meet with the appropriate Department Head or Program Coordinator within one week of speaking with the instructor. The appropriate Department Head or Program Coordinator will meet with the student within one week and, if he or she believes that the complaint may have merit, will consult with the instructor. After consultation with the appropriate Department Head or Program Coordinator, the instructor may choose to change the grade in question, leave the grade unchanged, or petition the Committee on Graduate Studies and Research to change a grade. The Department Head or Program Coordinator will communicate the result of these discussions to the student.

3. If the matter remains unresolved after the second step, the student should submit a written request within one week to the Provost’s Office to request an Ad hoc Faculty Committee for Appeal of a Grade. The Associate Provost will meet with the student and will ask the Faculty Review Committee (FRC) to appoint the ad hoc Committee for Appeal of a Grade. The FRC, in consultation with the Associate Provost, will select the members of the ad hoc committee. The Chair of the FRC will convene the ad hoc committee and serve as its non-voting chair. The ad hoc committee for appeal of a course, thesis credit or dissertation credit grade will be composed of three faculty members. The Department Chair, Program Coordinator or Departmental Graduate Coordinator from the instructor’s Department will be chosen as one member of the ad hoc committee. The other two appointees to the ad hoc committee may be any other faculty member as long as there are no conflicts of interest with either the student or the instructor. Apparent conflicts of interest would include the student’s thesis or dissertation advisor, members of the student’s graduate committee, faculty members with close research collaboration or project advising relationships with the instructor. The ad hoc committee would examine available written information on the dispute, would be available for meetings with the student and with the instructor, and would meet with others as it sees fit.

4. Through its inquiries and deliberations, the ad hoc committee is charged to determine whether the grade was assigned in a fair and appropriate manner or whether clear and convincing evidence of unfair treatment such as arbitrariness, prejudice, and/or error might justify changing the grade. The ad hoc committee will make its decisions by a majority vote. If the committee concludes that the grade was assigned in a fair and appropriate manner, the ad hoc committee will report its conclusion in writing to the student and the instructor. The decision of the ad hoc committee is final and not subject to appeal. If the ad hoc committee determines that compelling reasons exist for changing the grade, it would request that the instructor make the change, providing the instructor with a written explanation of its reasons. Should the instructor decline, he or she must provide a written explanation for refusing.

5. The ad hoc faculty committee, after considering the instructor’s explanation and upon concluding that it would be unjust to allow the original grade to stand, will then determine what grade is to be assigned. The new grade may be higher than, the same as, or lower than
the original grade. Having made this determination, the three members of the committee will sign the grade change form and transmit it to the Registrar. The instructor and student will be advised of the new grade. Under no circumstances may persons other than the original faculty member or the ad hoc faculty committee change a grade. Should the ad hoc faculty committee feel that the instructor’s written explanation justifies the original grade, the ad hoc committee will report this in writing to the student and instructor and the matter will be closed. The written records of these proceedings will be filed in the student’s file in the Registrar’s Office.

**Faculty Grade Change Procedure**

The Student Grade Appeal Procedure affirms the principle that grades should be considered final. The principle that grades for courses, thesis credit and dissertation credit should be considered final does not excuse an instructor from the responsibility to explain his or her grading standards to students and to assign grades in a fair and appropriate manner. The appeal procedure also provides an instructor with the opportunity to change a grade for a course or project on his or her own initiative. The appeal procedure recognizes that errors can be made and that an instructor who decides that it would be unfair to allow a final grade to stand due to error, prejudice or arbitrariness may request a change of grade for a course or project without the formation of an ad hoc committee. An instructor may request a grade change by submitting a course, thesis credit or dissertation credit grade change request in writing to the Registrar at any time prior to a student’s graduation.

3. **Policy on Undergraduate Grade Appeals and Grade Changes**

(Approved by the Faculty, December 5, 2002)

The purpose of the Grade Appeal Policy is to provide the student with a safeguard against receiving an unfair final grade, while respecting the academic responsibility of the instructor. Thus, this procedure recognizes that,

- Every student has a right to receive a grade assigned upon a fair and unprejudiced evaluation based on a method that is neither arbitrary nor capricious; and,

- Instructors have the right to assign a grade based on any method that is professionally acceptable, submitted in writing to all students, and applied equally.

Instructors have the responsibility to provide careful evaluation and timely assignment of appropriate grades. Course and project grading methods should be explained to students at the beginning of the term. WPI presumes that the judgment of the instructor of record is authoritative, and the final grades assigned are correct.

A grade appeal shall be confined to charges of unfair action toward an individual student and may not involve a challenge of an instructor’s grading standard. A student has a right to expect thoughtful and clearly defined approaches to course and project grading, but it must be recognized that varied standards and individual approaches to grading are valid. The grade appeal considers whether a grade was determined in a fair and appropriate manner; it does not attempt to grade or regrade individual assignments or projects. It is incumbent on the student to substantiate the claim that his or her final grade represents unfair treatment, compared to the standard applied to other students. Only the final grade in a course or project may be appealed. In the absence of compelling reasons, such as clerical error, prejudice, or capriciousness, the grade assigned by the instructor of record is to be considered final.

In a grade appeal, only arbitrariness, prejudice, and/or error will be considered as legitimate grounds for an appeal.
Arbitrariness: The grade awarded represents such a substantial departure from accepted academic norms as to demonstrate that the instructor did not actually exercise professional judgment.

Prejudice: The grade awarded was motivated by ill will, and is not indicative of the student’s academic performance.

Error: The instructor made a mistake in fact.

This grade appeal procedure applies only when a student initiates a grade appeal and not when the instructor decides to change a grade on his or her own initiative.

This procedure does not cover instances where students have been assigned grades based on academic dishonesty or academic misconduct, which are included in WPI’s Academic Honesty Policy. Also excluded from this procedure are grade appeals alleging discrimination, harassment or retaliation in violation of WPI’s Sexual Harassment Policy, which shall be referred to the appropriate office at WPI as required by law and by WPI policy.

The Grade Appeal Procedure strives to resolve a disagreement between student and instructor concerning the assignment of a grade in a collegial manner. The intent is to provide a mechanism for the informal discussion of differences of opinion, and for the formal adjudication by faculty only when necessary. In all instances, students who believe that an appropriate grade has not been assigned must first seek to resolve the matter informally with the instructor of record. If the matter cannot be resolved informally, the student must present his or her case in a timely fashion in the procedure outlined below. Under normal circumstances, the grade appeal process must be started near the beginning of the next regular academic term after the disputed grade is received.

**Student Grade Appeal Procedure**

1. A student who wishes to question a grade must discuss the matter first with the instructor of record as soon as possible, preferably no later than one week after the start of the next regular academic term after receiving the grade. In most cases, the discussion between the student and the instructor should suffice and the matter will not need to be carried further. The student should be aware that the only valid basis for grade appeal beyond Step One is to establish that an instructor assigned a grade that was arbitrary, prejudiced, or in error.

2. If the student’s concerns remain unresolved after the discussion with the instructor, the student may submit a written request to meet with the appropriate Department Head, within one week of speaking with the instructor. For a grade in a course, independent study, Sufficiency Project, or Major Qualifying Project (MQP), the appropriate person is the instructor’s Department Head. For a grade in an Interactive Qualifying Project (IQP), the appropriate person is the Dean of the Interdisciplinary and Global Studies Division (IGSD). If the instructor of record is a Department Head or the Dean of the IGSD, then the student should request to meet with the Associate Provost, who will serve as the appropriate Department Head in this step. The appropriate Department Head will meet within one week with the student, and, if he or she believes that the complaint may have merit, with the instructor. After consultation with the Department Head, the instructor may choose to let the grade remain, to change a course grade, or to petition the Committee on Academic Operations to change a grade for a Degree Requirement (MQP, IQP, or Sufficiency). The Department Head will communicate the result of these discussions to the student.

3. If the matter remains unresolved after Step Two, the student should submit a written request within one week to the Provost’s Office to request an ad hoc Faculty Committee for Appeal of a Grade. The Associate Provost will meet with the student, and will ask the Faculty Review Committee to appoint the ad hoc Committee for Appeal of a Grade. The FRC, in
consultation with the Associate Provost, will select the members of the ad hoc committee. The Chair of the FRC will convene the ad hoc committee and serve as its non-voting chair. The ad hoc committee for appeal of a grade in a course, independent study, Sufficiency Project, or MQP will be composed of three faculty members chosen in the instructor’s department or in closely allied fields. The ad hoc committee for appeal of a grade in an IQP will be composed of the instructor of record’s Department Head and two faculty members who are experienced advisors of IQPs chosen from any department. Appointees to the ad hoc committee must not have any apparent conflicts of interest with the instructor of record (which might include but are not limited to frequent co-advising or research collaboration). The committee would examine available written information on the dispute, would be available for meetings with the student and with the instructor, and would meet with others as it sees fit.

4. Through its inquiries and deliberations, the ad hoc committee is charged to determine whether the grade was assigned in a fair and appropriate manner, or whether clear and convincing evidence of unfair treatment such as arbitrariness, prejudice, and/or error might justify changing the grade. The ad hoc committee will make its decisions based on a majority vote. If the committee concludes that the grade was assigned in a fair and appropriate manner, the ad hoc committee will report its conclusion in writing to the student and instructor and the matter will be considered closed. If the ad hoc committee determines that compelling reasons exist for changing the grade, it would request that the instructor make the change, providing the instructor with a written explanation of its reasons. Should the instructor decline, he or she must provide a written explanation for refusing.

5. The ad hoc faculty committee, after considering the instructor’s explanation and upon again concluding that it would be unjust to allow the original grade to stand, will then determine what grade is to be assigned. The new grade may be higher than, the same as, or lower than the original grade. Having made this determination, the three members of the committee will sign the grade change form and transmit it to the Registrar. The instructor and student will be advised of the new grade. Under no circumstances may persons other than the original faculty member or the review committee change a grade. Should the ad hoc faculty committee feel that the instructor’s written explanation justifies the original grade, the ad hoc committee will report this in writing to the student and instructor and the matter will be closed.

Faculty Grade Change Procedure

The Student Grade Appeal Procedure affirms the principle that grades should be considered final. The principle that grades for courses or projects should be considered final does not excuse an instructor from the responsibility to explain his or her grading standards to students and to assign grades in a fair and appropriate manner. The appeal procedure also provides an instructor with the opportunity to change a grade for a course or project on his or her own initiative. The appeal procedure recognizes that errors can be made and that an instructor who decides that it would be unfair to allow a final grade to stand due to error, prejudice or arbitrariness may request a change of grade for a course or project without the formation of an ad hoc committee. An instructor may request a grade change in one of two ways. First, for courses, an instructor may submit a course grade change in writing to the Registrar at any time prior to a student’s graduation. Second, for Degree Requirements (MQP, IQP, and Sufficiency), an instructor must submit a petition to the Committee on Academic Operations (CAO) to change the grade.
Policy on Creating, Merging, Realigning or Eliminating Academic Programs and Research Facilities

Should the Administration propose creating, merging, realigning or eliminating an academic program or major academic or research facility, that proposal shall be conveyed to the Committee on Governance when it has been advanced to the stage of serious consideration, but before any commitments to action have been made. The Committee shall conduct a critical review of the proposal, which may include referring it to other committees for consideration. Upon receipt of all relevant information, the Committee on Governance will frame a recommendation to the Administration and present it to the Faculty for its approval.
3. CERTAIN POLICIES ON FACULTY BENEFITS AND OPPORTUNITIES

A. Consulting Policy
(Faculty Handbook, 1980)

The University encourages members of the faculty to do consulting work and, where appropriate, to expand consulting activities into on-campus research programs.

Participation as a consultant for extra compensation should be cleared with the Department Head concerned, and while time is made available for such participation, it must not substantially detract from full-time salaried responsibilities to the University.

Ordinarily, outside consulting work or participation in a university-industry program for extra compensation should not exceed the equivalent of one day per week. Participation in industry-sponsored programs requiring the equivalent of more than one day per week should be undertaken with released time from teaching with no additional compensation beyond the "one day equivalent." Each member of the faculty who undertakes consulting work or research is encouraged to seek that kind of activity which will enhance his or her long-range professional development.

In work for industry, routine testing in competition with established commercial testing laboratories is discouraged, unless no commercial testing facilities are reasonably available. More than casual use of University facilities for outside consulting work is discouraged. Where the Department Head believes that such use is justified, the Director of Research Administration must be consulted and a formal contract should be entered into between the University and the client to be sure that appropriate charges are made. Modest use of special campus facilities should compensate the Department for such use.

In all work with industry, arrangements should be made with the sponsor to permit adequate publication of results, where appropriate, without jeopardizing the proprietary interests of the sponsor.

Endorsements and Letterhead

The University letterhead is not to be used for promotion of one's own business interests or for any purposes other than University business.

B. Retirement Plan

Faculty are required to participate in WPI’s retirement plan on the first day of the month following completion of twelve months of continuous service, if in an eligible class of participants, and working at least 1000 hours per calendar year. The waiting period will be waived for anyone with one year of continuous service as a non-student at any non-profit educational organization or teaching hospital, or already participating in TIAA/CREF immediately prior to the start of employment at WPI.

Detailed information on WPI’s Retirement Plan is available in the Summary Plan Description available in the Human Resources office.
C. Policy on Sabbatical Leaves*
(Approved by COAP, June 1999. Approved by the Provost, June 1999)
(Amended by the Faculty, May 8, 2012)

1. Basic Objectives

Leaves of absence, and particularly sabbatical leaves, are among the most important means by which a teacher's effectiveness may be enhanced, a scholar's usefulness enlarged, and an institution's academic program strengthened and developed. A sound program of leaves is therefore of vital importance to WPI, and faculty members are strongly encouraged to take advantage of this mechanism to help promote their professional competence. The major purpose of leaves is to provide opportunity for continued professional growth and new, or renewed, intellectual achievement through study, research, and writing.

The term "sabbatical" normally applies to a leave of absence in which a faculty member receives partial or full salary from WPI. Faculty exchanges between two institutions, leaves without salary, and the performance of full-time duties assigned by WPI at off-campus locations are not part of the sabbatical program.

Because both the institute and the individual benefit as a result of a sabbatical leave, both share in the cost of such a leave. At WPI such sharing is both through financial support by the institute and through the assumption by colleagues of the academic responsibilities of absent faculty members. A faculty member should apply for a leave far enough in advance that temporary replacements of high quality can be obtained. Each application for sabbatical leave should include a well-designed and serious program with clearly stated objectives that will maximize the professional development of the faculty member involved.

Sabbatical leaves may be taken for a full academic year, a half-year, or one term. All full-time tenured and tenure-track faculty are eligible to apply for a full-year or half-year sabbatical leave after 6 years of full-time service since their initial hiring at WPI or since their previous sabbatical, or for a one-term sabbatical leave after 3 years of full-time service since their initial hiring at WPI or since their previous sabbatical.

2. Financial Arrangements

a. A full year sabbatical leave is taken at one-half of the faculty member’s academic year salary. Half-year and one-term leaves are taken at full salary. If the faculty member obtains salary support from outside sources, WPI’s contribution will not exceed that required to maintain the faculty member’s normal salary. Exceptions to this policy must be negotiated before the leave starts.

b. Faculty members on sabbatical leave will receive WPI benefits based only on actual WPI compensation.

c. WPI, on occasion, may provide some displacement expense to faculty members who leave the campus on sabbatical leave for an entire academic year, depending on the particular circumstances.

d. Funds will be provided to departments with faculty on sabbatical leaves to cover necessary teaching obligations.

3. Procedures for Review and Award

a. Faculty members should submit requests for sabbatical leaves to the Committee on Appointments and Promotions on or before the following dates:

   Full year and half-year sabbaticals:
   December 15 for proposed leaves in the following academic year.
One-term sabbaticals:
October 1 for proposed leaves in following C term or later
November 15 for proposed leaves in following D term or later
February 1 for proposed leaves in following A term or later
April 1 for proposed leaves in following B term or later

An application for a sabbatical leave must contain all the supporting information including the objectives of the sabbatical leave and the benefits to the faculty member, the department, and to WPI. The application should also include information on previous leave(s) of absence taken by the faculty member, past contributions to WPI, a letter of invitation from any institution at which the faculty member plans to work, and the sources and amounts of external funding.

b. The application should be accompanied by supporting documentation from the faculty member’s department head. This documentation should include a review of the faculty member's proposed sabbatical program with regard to its appropriateness; the impact of the sabbatical on department operations; a statement that all administrative requirements have been cleared with the Provost; and the department recommendation on the proposed sabbatical. In the case of an application for a sabbatical leave by a department head, this additional documentation will be supplied by the Provost.

c. The Committee on Appointments and Promotions reviews all application materials and supporting documentation, and forwards its recommendation to the Provost.

d. The Provost reviews all leave applications, together with recommendations from the Committee on Appointments and Promotions, and makes the final determination of the request.

e. For full-year and half-year sabbatical leaves, notification of the award will be made no later than the time of issuance of appointment letters. For one-term sabbatical leaves, notification of the award will be made no later than the end of the term in which the application is submitted.
D. Summer Supplemental Salary
(Modified, April 14, 2011 and October 14, 2011)

Support Provided by Institute Funds:

Compensation for summer academic activities (including independent study courses, project work and thesis advising) and summer educational youth programs (e.g. Frontiers, STRIVE, and GEMS) will be paid on a lump sum basis. Payment will be made on the last business day of the month in which the activity ends. These will be coordinated by the Summer Programs Office.

Payroll Authorization forms should be submitted to the Provost’s office by the respective Department Head for faculty assigned administrative summer responsibilities (e.g. Acting Head, etc.).

First- or second-year faculty members scheduled to receive summer support should contact the Provost’s office before June 1 of the year(s) in which the summer support is to be paid.

Sponsored Research/Restricted Accounts:

WPI policy allows faculty members with summer salary and employee benefits budgeted on a sponsored project to receive supplemental income.

Monthly compensation for work performed during the summer will be paid at the rate of $/9 of the faculty member’s regular academic year salary.

Authorization forms for summer salary to be charged to sponsored or restricted accounts must be completed, approved by the Department Head, and forwarded to the Provost’s office before the 10th of the month in which the salary is to be paid. Faculty members may indicate whether or not pension (TIAA/CREF) contributions should be made and charged to the grant.

Please check with the Office of Sponsored Programs regarding any restrictions on the total amount of supplemental pay allowed by a particular contract or grant.

Compensation Limitations:

WPI place no restriction on maximum faculty compensation. Additional duties may receive additional compensation beyond the regular monthly rate. However, faculty with sponsored research projects must comply with limitations on compensation or “total effort” imposed by the granting agency.

Payment for teaching and research activities must be received as salary. From time to time contributions may be made to faculty members’ professional development accounts but these deposits may not be taken in place of salary.

WPI does not contribute to faculty pension plans for summer academic (non-research) activities.

E. Unpaid Leaves

On occasion, faculty members may wish to pursue a professional opportunity off-campus and request a leave of absence without salary and fringe benefits. WPI expects the host institution to assume the institutional costs of benefits. These leaves can be for periods of time that fit in with the academic program, up to a maximum of 2 years, and should involve experience in government, industry, or academia that contributes to the professional development of the faculty member. This type of leave requires the approval of the appropriate department head and the Provost.

When a faculty member takes an unpaid leave the department may employ replacements at salaries up to the normal budgeted salary of the faculty member on leave. Any surplus in the budgeted salary accrues to the WPI general account.
Although unpaid leave requests are not reviewed by the Committee on Appointments and Promotions it is desirable that such requests take the form of sabbatical leave requests and are accompanied by documentation from the department head.

**F. The Fringe Benefits Committee**

(Amended by the Faculty, February 27, 2014)

The Fringe Benefits (FBC) is responsible for reviewing and proposing changes to the WPI fringe benefits offerings with special attention paid to the evaluation and recommendation of health care plans and health insurance providers, tuition benefits, disability plans, and retirement policies.

Recommendations from the FBC are passed to the Committee on Administrative and Financial Policy (FAP). In those instances when FAP does not accept FBC’s recommendations, the two committees should meet in an attempt to resolve their differences.

The FBC consists of a Chair to be selected from FAP from among its elected faculty members, two members of the Faculty selected by the Committee on Governance (COG), and two additional members of the Faculty selected by FAP. Faculty members of the FBC (other than the Chair) will serve three-year staggered terms. Current faculty members who have not completed three years of service will continue on FBC.

Although formally the FBC is constituted as above, operationally it invites two continuing non-tenure-track faculty members (continuing NTTs), and five members of the WPI staff to join its deliberations and to vote on matters related to benefits that are of equal concern to WPI Faculty, continuing NTTs, and staff. One continuing NTT is selected by COG and the other is selected by FAP. Each continuing NTT serves a three-year term. The five members of the WPI staff are chosen by the V.P. of Human Resources to serve three-year staggered terms.

Either the V.P. of Human Resources or the Benefits Administrator serves as the liaison between the FBC and the Department of Human Resources. The liaison provides information requested by the FBC to conduct its deliberations in an informed manner. Neither the V.P. of Human Resources nor the Benefits Administrator should serve as one of the five invited voting WPI staff members.
4. CERTAIN LEGAL RESPONSIBILITIES AND RELATIONSHIPS WITH WPI

A. Conflict of Interest Policy*
(Endorsed by the Faculty, March 20, 2003. Adopted by the Board of Trustees, May 2003)

Preamble

Worcester Polytechnic Institute promulgates this Conflict of Interest policy to assure its constituents of its continued commitment to the integrity of its students, faculty, staff, and associates in the conduct of research and other activities.

Universities have long recognized the importance of maintaining policies on conflict of interest. In 1964, the American Association of University Professors and the American Council on Education issued a joint statement On Preventing Conflicts of Interest in Government-Sponsored Research at Universities. This was followed in 1978 when the Association of American Universities, the ACE, and the National Association of State Universities and Land-Grant Colleges published Principles to Govern College and University Compensation: Policies for Faculty Engaged in Sponsored Research. In 1985, the AAU issued a report entitled University Policies on Conflict of Interest and Delay of Publication. Additional statements and reports have been published by the Association of American Medical Colleges, Guidelines for Dealing with Faculty Conflicts of Commitment and Conflicts of Interest in Research (1990), the AAU, Framework Document for Managing Financial Conflicts of Interest (1993), and the Association of Academic Health Centers.

Both the National Science Foundation (NSF) and the Public Health Service (PHS) require principal investigators and co-principal investigators "to certify that they have read and understood the institution's conflict of interest policy," that they have made all required financial disclosures, and that "they will comply with any conditions or restrictions imposed by the institution to manage, reduce, or eliminate actual or potential conflicts of interest." Moreover, the University's representative must certify that the University "has implemented and is enforcing a written policy on conflicts of interest," that all financial disclosures required by the conflict of interest policy were made, and that actual or potential conflicts of interests, if any, were, or prior to expenditure of funds under the award, will be satisfactorily managed, reduced or eliminated in accordance with the institution's conflict of interest policy, or disclosed to PHS or NSF.

In its Notice No. 117 dated June 30, 1994 and updated in its Notice No. 118 dated July 13, 1995 on the subject of Investigator Financial Disclosure Policy, the National Science Foundation requires that all grantee institutions employing more than fifty persons have in effect on October 1, 1995 a written and enforced conflict of interest policy. In addition, the Department of Health and Human Services published its final rule on "Objectivity in Research" on July 11, 1995 in the Federal Register (60 Fed. Reg. 35820) to coincide in effective date and requirements with NSF's Financial Disclosure Policy. As the NSF Notice states:

The National Science Foundation encourages the increased involvement of academic researchers and educators with industry and private entrepreneurial ventures. But NSF recognizes that such interactions carry with them an increased risk of conflict of interests.

The Public Health Service (PHS) wishes to assure the public that its support to researchers will follow standards and procedures to ensure that the design, conduct, or reporting of research funded under ...[its] grants, cooperative agreements or contracts will not be biased by any conflicting financial interest of those investigators responsible for the research.
Policy Rationale

Funding sources and personal gain represent two aspects about which investigators must be ever mindful, because without clear guidelines there is a possibility for conflict of interest issues to arise. Donors, for example, providing grants to conduct research may sometimes possess a vested or proprietary interest in the research results. Professors themselves may hold equity positions or policy making authority in an enterprise from which they would benefit personally by research sponsored by the enterprise, a government, or other private agency, and that is conducted using university facilities, equipment, or personnel.

In addition, there are large numbers of other types of funded and unfunded interactions between WPI faculty members and government, industry and other non-University organizations through research, projects and consulting.

With the increased national emphasis on technology transfer and economic competitiveness, it is particularly timely for Worcester Polytechnic Institute to articulate a new conflict of interest policy to protect the integrity of the University, its faculty, and the research process, to encourage the free flow of knowledge and ideas, and to ensure that public and institutional resources are used appropriately.

WPI's conflict of interest policy now requires annual disclosure by all faculty and other personnel associated with the university (listed in Appendix D).

Disclosure Rationale and Procedure

For all University personnel to maintain public trust, disclosure of all conflicts and potential conflicts of interest is appropriate practice. Based upon the traditions of university life there are two pillars on which to construct a conflict of interest policy.

One pillar of the academy is peer review. Some matters of peer review are handled confidentially; for example, senior faculty routinely review junior colleagues for appointment, re-appointment, promotion, and tenure. Other peer reviews are more open. Faculty committees review courses to be included in the university curriculum, and pass on degree requirements and other issues of academic policy. Peer review is essential, then, for a conflict of interest policy. Another pillar of the academy is disclosure of discoveries and other scholarly accomplishments. Indeed, peer review cannot occur without prior disclosure. When faculty publish their research, they are disclosing their findings to peers not only within the University, but to all scholars throughout the world. Disclosure is also essential for a conflict of interest policy. Indeed, NSF's Investigator Financial Disclosure Policy requires "a) limited and targeted financial disclosure, b) designation of a person(s) to review the disclosures and resolve actual or potential problems revealed, c) enforcement mechanisms, and d) arrangements for informing NSF of conflict issues that are not resolved to the satisfaction of the institution."

In addition, NSF and PHS require that an institution's policy provide for disclosure prior to submitting a proposal, and that all actual or potential conflicts be satisfactorily managed, reduced, or eliminated prior to the time funds from an award are expended, or disclosed to NSF or PHS. In addition, both NSF and PHS require that, during the period of any award, the University obtain updated financial disclosures from investigators either on an annual basis or as investigators obtain new reportable financial interests.

Disclosure Process

How and to whom should the significant financial interest(s) of a faculty member and/or investigator be disclosed?
On or before October 1 annually or within sixty (60) days of appointment, each faculty member and other individuals identified in Appendix D shall complete and submit a Conflict of Interest Disclosure Form to his/her Department Head.

WPI policy requires Principal Investigators to complete a Proposal Coordination Form (see Appendix A) at the time the Principal Investigator submits the proposal for review and authorization by the Office of Research Administration. This form includes check boxes in which the respondent shall indicate whether or not a conflict of interest exists or is likely to exist in connection with the proposal being submitted. Co-investigators and any other individuals who are expected to participate in the design, conduct, and/or reporting of the research also must complete a Conflict of Interest Disclosure Form (see Conflict of Interest Disclosure for NSF and PHS Submissions, Appendices B and/or C) concurrent with submission of the Proposal Coordination Form by the Principal Investigator, unless they have done so as a required annual disclosure. Principal Investigators will have filed the Annual Conflict of Interest Disclosure Statement, as required.

Investigators submitting a human subjects protocol for Institutional Review Board (IRB) review must file or have on file a Conflict of Interest Disclosure Form, Appendix C, at that time.

Any Disclosure Statements, whether submitted in satisfaction of the NSF or PHS proposal submission requirement or in fulfillment of the WPI annual disclosure requirement or IRB disclosure requirement, must be updated when a new reportable Significant Financial Interest or potential conflict of interest exists.

Annual Review Process

All faculty members and other individuals, identified in Appendix D, who have not, within the last year, completed the Conflict of Interest Disclosure Form for funded research associated with an NSF or PHS submission (Appendix B or C) must file the Annual Conflict of Interest Disclosure Statement with his/her Department Head annually by October 1 and as any significant changes occur. Department Heads will file their Annual Disclosure Statements with the Vice President for Research. The individual shall, to the best of his/her knowledge, include in his/her Disclosure Statement the same information for his/her family, as defined by this Policy. Department Heads and members of the Cabinet will file with the Vice President of Research. The Vice President of Research will file his/her Annual Conflict of Interest Disclosure Form with the Provost.

Upon receipt of each annual or updated Disclosure Statement, the Department Head or his/her designee will make a review for adequacy, requesting additional information, as necessary. If the answers to the four questions on Part I of the Disclosure Statement are "no," then no further review is required. The Disclosure Statement should be transmitted to the Office of Research Administration, the central repository for all Disclosure Statements. No additional action will be required of the faculty member or other submitter unless a significant change occurs prior to the next annual due date. If the answer to any of the four questions on Part I of the Annual Conflict of Interest Disclosure Form is "yes", the Department Head will determine if a real or apparent conflict appears to be significant. If so, the Department Head will forward the disclosure to the Vice President for Research with a copy to the Office of Research Administration. The Vice President for Research will gather further information and supporting documentation from the individual and will bring the Disclosure Statement to the attention of the Conflict Management Committee for resolution. All such documentation and subsequent discussions will be confidential. The individual will have an opportunity to meet with the Conflict Management Committee to explain the financial documentation and to discuss options for management of the conflict. Should the findings indicate significant potential conflict of interest, the Conflict Management Committee will consult with the faculty member or other submitter to devise a plan.
to effectively eliminate, reduce, or otherwise manage the conflict. If the Committee cannot come to an agreement with the individual and concludes that a significant conflict of interest to WPI's interests appears to remain, the Committee will refer the matter to the Office of the Provost and so inform the individual.

**Review Process for NSF and PHS Proposal**

Should a disclosure associated with any NSF or PHS submission indicate a potential or actual conflict of interest, the Director of Research Administration will advise the Vice President for Research. The Vice President for Research will gather further information and supporting documentation from the investigator and take the matter to the Conflict Management Committee for resolution. All such documentation and subsequent discussions will be confidential. The investigator will have an opportunity to meet with the Conflict Management Committee to explain the financial documentation and to discuss possible conditions or restrictions. Should the findings indicate significant financial interest, the Conflict Management Committee will impose conditions or restrictions to effectively manage, reduce, or eliminate the conflicts. The Conflict Management Committee will use as guidelines this policy statement including the definitions of significant financial interest and conditions or restrictions found in the section of Definitions.

If the Conflict Management Committee determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the Conflict Management Committee may recommend to the Vice President for Research that the research be permitted to go forward without imposing such conditions or restrictions. In such cases, the conflict of interest of the investigator(s) will be disclosed to the government agency as required.

**Appeal Process for NSF and PHS Proposals**

Should the faculty member or other individual (as defined in Appendix D) not agree with the Conflict Management Committee's conditions or restrictions, he/she can appeal in writing to the Provost within ten (10) days after receipt of notification from the Vice President for Research, spelling out why such conditions and restrictions are inappropriate. The Provost will then consult with the Conflict Management Committee; it is possible that a modification of the conditions and restrictions will be agreeable to all parties. However, the decision of the Provost is final.

**Human Subject Protocols**

Disclosures associated with the submissions of protocols for IRB review will be reviewed following the same process as for NSF and PHS proposals. Protocols will not be approved until all conflicts are resolved.

**Definitions**

*Conflict of Interest* - A conflict of interest may take various forms but arises when an individual is or may be in a position to influence University business, research, or other decisions in ways that could lead to any form of personal gain for the individual or his/her family, or give improper advantage to others. A real or perceived conflict of interest may also arise when someone engages in an action or decision that compromises the integrity of teaching, research, advising, or scholarship.

*Family* - The family of a faculty member means spouse, minor children, and other persons financially dependent upon the faculty member.
Investigator - The term investigator means the principal investigator, co-principal investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities.

Relationships which can give rise to conflicts of interest - Relationships as used in this policy include relationships with others which can give rise to real or perceived conflicts of interest. These include, among others, personal relationships created by kinship, friendship, or professional contacts, and financial relationships created by contracts, shared property rights, or state or Federal law. Though a domestic partnership may create a real or perceived conflict of interest, this policy is not meant to force disclosure of one's sexual orientation. By policy, WPI does not discriminate on the basis of sexual orientation.

Significant Financial Interest - The term significant financial interest means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights) when related to the subject matter of the individual's research and/or scholarly activities, including teaching and advising. The term does not include:

- salary, royalties or other remuneration from the University;
- income from service on advisory committees or review panels for public or nonprofit entities;
- financial interests in business enterprises or entities if the value of such interests does not exceed $10,000 or does not represent more than a 5% ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's family;
- royalties or other payments that, when aggregated for the investigator, and the investigator's family, are not expected to exceed $10,000 during the next twelve-month period;
- income from self-authored textbooks, software, etc. that are used for your teaching purposes; or
- project fees solicited from sponsors of MQP's and IQP's that are returned to Faculty professional development accounts.

A significant financial interest becomes a conflict of interest if it could result in personal gain, advantage to others to the detriment of WPI, or influence the outcomes of research.

Conditions or Restrictions - Examples of conditions or restrictions that might be imposed to manage, reduce or eliminate actual or potential conflicts of interest include:

- public disclosure of significant financial interests;
- monitoring of funded research by independent reviewers;
- modification of the funded research plan;
- disqualification from participation in the portion of the NSF-or PHS-funded research that would be affected by the significant financial interests;
- divestiture of significant financial interests; or
- severance of relationships that create actual or potential conflicts.

Institutional Review Board (IRB) - Any boards established or contracted to review protocols for human subjects research whether federally funded or not.

Conflict Management Committee - Conflict Management Committee membership shall consist of a faculty member selected annually by the Committee on Governance (COG) to chair the committee, the Chair of the Committee on Graduate Studies and Research, an additional member selected by CGSR, the Vice President for Research, and the Director of Research Administration.
COG shall also annually appoint an alternate to the Committee to serve in the event of the recusal or absence of one of the other appointed faculty members. In the event that more than one alternate is needed, COG shall appoint additional alternates as necessary. Recusal shall be required when it appears that a member of the Conflict Management Committee will be unable to fairly judge a potential conflict raised by a disclosure statement. All such potential conflicts of interest of committee members must be disclosed to the committee in advance of the proceedings, and the committee will vote to determine whether recusal is required. To prevent the appearance of bias in judgment, the committee shall follow the practices that the Committee on Tenure and Academic Freedom uses to determine whether tenure committee members are able to fairly judge candidates for tenure.

Instructions

To comply with this policy regarding the submission of an annual Disclosure Statement, each Faculty Member must complete the Disclosure form and any updates on or before October 1 of each year and forward it to his/her department head.

In addition, to comply with this policy regarding authorization for the submission of a proposal for funded research to the NSF and/or PHS, a principal investigator will:

1. in accordance with the Explanation and Instructions, complete and sign the front side of the Proposal Coordination Form and require any co-investigators and/or other key personnel to complete and submit a Conflict of Interest Disclosure Form for funded research, Appendix B, (unless already submitted);
2. ask his/her department head to review and complete the Proposal Coordination Form and any accompanying Conflict of Interest Disclosure Forms and sign them;
3. submit the Proposal Coordination Form and accompanying Conflict of Interest Disclosure Form together with the NSF or PHS proposal to the Office of Research Administration when requesting submission authorization.

Appendices

Conflict of Interest Policy (Endorsed by the Faculty and Recommended for Adoption by the Board of Trustees, March 20, 2003)

Appendix A – Proposal Routing Form (PRF)
Appendix B – Conflict of Interest Disclosure for NSF Submissions
Appendix C – Conflict of Interest Disclosure for PHS Submissions
Disclosure Statement – WPI’s Annual Disclosure Statement
Appendix D – Individuals Who Must Sign Disclosure
Appendix E – Implementation of the Final Rule on Conflicts of Interest in Public Health Service Funded Research (NEW!)
Appendix F – Travel Disclosure Form (NEW!)

The Appendices and Forms identified above are available at http://www.wpi.edu/Pubs/Policies/conflict.html
WPI shall indemnify all of its Faculty, Professional Staff and all other "Exempt" Employees including those who serve at its request as Faculty, Officers, Employees or other Agents of any other organization in which WPI has an interest, and their respective heirs, administrators, successors and assigns, against any and all expenses, including amounts paid upon judgments, counsel fees, and amounts paid in settlement (before or after suit is commenced), actually and necessarily incurred by such persons in connection with the defense or settlement of any claim, action, suit, or proceeding, whether civil or criminal, or both, in which they, or any of them, are made parties, or a party, or which may be asserted against them or any of them, by reason of being or having been in one of the above-described relationships of WPI, or of such other organization. No indemnification shall be provided for any person with respect to any matter as to which he shall have been adjudicated in any proceeding not to have acted in good faith in the reasonable belief that his action was in the best interests of WPI and conformed to the requirements of his employment. Each person to be indemnified shall provide WPI with an undertaking to repay the amounts advanced on his behalf if he shall be adjudicated not to have been entitled to indemnification, which undertaking may be accepted without reference to the financial ability of such person to make repayment.
C. Intellectual Property Policy
(Approved by the Board of Trustees, May 13, 2016)

Part One: Policy Summary:

It is the policy of Worcester Polytechnic Institute (WPI) to encourage creativity and entrepreneurism among its faculty, students, and staff. WPI invests in this endeavor by making available its own facilities, equipment, personnel, and information resources. WPI also actively seeks specific support for creative activity from external sources, both public and private.

The Policy supports the strategic goals of creating an outstanding student experience that promotes personal and intellectual development; recruiting and retaining excellent students, faculty and staff; and strengthening research, and scholarship, as well as institutional financial resources.

Inventions, discoveries, and creative works that are developed by individuals at WPI, may have commercial as well as scientific and scholarly value. The intent of this policy is to provide incentives that foster creative activity and to help assure that any such intellectual property produced will be exploited for the benefit of the creator(s), WPI, and the public. To help meet these policy objectives, WPI makes available from the Office of Intellectual Property and Innovation’s, technical and legal assistance to protect ownership of intellectual property and to aid in its commercial development.

The specific aims of this policy are the following:

1. to encourage creativity among, WPI faculty, students and staff;
2. to increase the likelihood that ideas, inventions, and creative works produced at WPI are used to benefit the public;
3. to protect the traditional rights of the creator(s) with respect to owning the products of their intellectual endeavors;
4. to assure compliance with the provisions of contracts with external sponsors; and
5. to provide that, when intellectual property is introduced for commercial development, the creator(s) and WPI share any net profits, where appropriate.

Part Two: Scope of Policy

1.0 Who Is Covered: WPI Personnel Community

For purposes of this policy, WPI personnel community refers to WPI faculty members (this includes full time, part time, tenured, tenure-track and non-tenure track faculty), visiting faculty, postdoctoral scholars, researchers (research associates, scientists and engineers, and postdoctoral fellows), visiting scholars, investigators, administrators, office and technical staff, students, contractors (as appropriate), consultants, and all others whose work affiliation is with WPI, whether compensated by WPI or not. WPI personnel are obligated under this policy when their creative work is developed partially or entirely during performance of their WPI responsibilities or when it involves the use of WPI resources such as space, facilities, equipment, staff, or funds, as stipulated for the particular circumstances described in the sections below “Determination of Rights for Patentable Subject Matter” for both patentable and copyrightable material.

As a condition of affiliation with WPI, members of the WPI personnel community are bound by all WPI policies, including this one.

2.0 What Is Covered: Intellectual Property

All intellectual property produced at WPI by its personnel (defined above) is covered by this policy. Intellectual property shall consist of, for example and without limitation: inventions, creative works, patentable subject matter, copyrightable materials, know-how, electronic or paper documents, software, multimedia or audiovisual materials, and photographs. For purposes of this policy, intellectual property is divided into two categories:
2.1 “Patentable intellectual property” shall include, without limitation, all inventions, discoveries, know-how (despite the fact that these may not benefit from patent protection) and discoveries or other material that is patentable under US law (whether or not produced in the US), as well as all software that is excluded from “copyrightable material” (whether or not patentable under US law).

2.2 “Copyrightable intellectual property” shall include, without limitation, all creative works, electronic or paper documents, software, multimedia or audiovisual materials, and photographs, and any other materials that may be copyrightable under US law (whether or not produced in the US).

2.3 All research lab notebooks, data sets, data images, gene constructs, reagents, animal, human and plant cell lines, model organisms remain the exclusive property of WPI.

2.1 Patentable Intellectual Property

Responsibility for Disclosure of Patentable Intellectual Property: WPI personnel who alone, or in association with others, create patentable subject matter with any use of WPI resources are responsible for disclosing the patentable subject matter to WPI. Such disclosure shall be made in a timely manner when it can be reasonably concluded that a patentable subject matter has been created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects rights to the intellectual property for the creator and WPI (http://www.wpi.edu/offices/ipi/forms.html).

Determination of Rights to Patentable Subject Matter: Except for Patentable Intellectual Property developed independently and without WPI resources as noted below, all Patentable Intellectual Property produced by WPI Personnel shall be deemed "work made for hire" and be WPI's sole and exclusive property. WPI will assert ownership rights to patentable intellectual property developed under any of the following circumstances:

2.1.1 Development was funded by an externally sponsored research program or by any agreement that allocates rights to WPI.

2.1.2 Development required use of WPI resources (for example but not limited to facilities, equipment, funding, or personnel). WPI has rights to patentable material derived from research carried out with any use of WPI resources. However, patentable material developed independently by the creator outside of normal duties associated with the creator’s position and with no use of WPI resources or facilities is vested with the creator and/or with the organization whose resources were used.

2.1.3 The creator was assigned, directed, or specifically funded by WPI to develop the material.

2.1.4 Material was developed by administrators or staff in the course of their employment duties and constitutes “work for hire” under US law.

2.2 Copyrightable Intellectual Property

Responsibility for Disclosure of Copyrightable Intellectual Property: In contrast to historical business practice, the tradition of academic institutions is to give its personnel the right to retain ownership of their copyrightable products. This policy protects that traditional right and personnel are not obligated to disclose the creation of copyrightable material, even when the product might have commercial value, unless the material was developed under one of the qualifying conditions listed in the next section, in which case the creator is responsible for timely disclosure.
Determination of Rights to Copyrightable Intellectual Property: Except for Copyrightable Intellectual Property developed independently and without WPI resources as noted below, all Copyrightable Intellectual Property produced by WPI Personnel shall be deemed "work made for hire" and be WPI's sole and exclusive property. To the extent that copyrightable material is developed for courses or curriculum at WPI by such individuals, and as a condition of employment by WPI, the creators of such copyrightable material grant a non-exclusive, royalty-free, perpetual license to WPI to use of such material for educational and research purposes. WPI will assert ownership rights to copyrightable intellectual property developed under any of the following circumstances.

2.2.1 Development was funded by an externally sponsored research program or by any agreement, which allocates rights to WPI.

2.2.2 WPI personnel was assigned, directed, or specifically funded by WPI to develop the material, or WPI has negotiated an understanding or formal contract with the creator.

2.2.3 The material was developed with extraordinary or substantially more use of WPI resources than would normally be provided for the creator’s employment duties. This might occur as disproportionate use of staff time, networks, equipment, or direct funding.

2.2.4 Works created by non-faculty independent contractors on behalf of WPI, unless otherwise specified in a written agreement between such independent contractor and WPI. Such contractors do not share in the creator’s portion of Net Royalty Income (as defined below under “Income Distribution”).

2.2.5 Laboratory Notebooks, data sets, biological materials.

Scholarly and Artistic Works Exception: "Scholarly and Artistic Works" means copyrightable and copyrighted works that are in the nature of academic and scholarly works of authorship and works of visual art, including but not limited to photography, film, audio-visual works, sculpture, painting, choreography and the like. "Scholarly and Artistic Works" include by way of example 1) scholarly articles and papers written for journal publication (rights to these is assigned to the publisher as a condition for publication), presentations and scholarly papers prepared for seminars and conferences, pedagogical works, and teaching and curriculum materials (including classroom lectures, seminars and presentations reduced by or for the author to written or other recorded form); and 2) paintings, drawings, musical compositions and performances, dramatic compositions and performance, poetry, fiction and other works of artistic expression authored by WPI faculty, postgraduate students, and postdoctoral fellows and postdoctoral associates; provided that, the definition shall not apply to the works of WPI Students authored pursuant to activities undertaken as Teaching Assistants that are Scholarly or Artistic Works as described in this paragraph will remain the property of their authors.

“Scholarly and Artistic Works” shall be and remain the property of their Authors ("Individually-Owned Works") unless such copyrighted works are (i) developed as part of a WPI project, program or activity that is the subject of an external WPI agreement; (ii) developed within the scope of employment by non-faculty WPI Employees; or (iii) developed as part of a WPI-Commissioned project. All Scholarly and Artistic Works described in the preceding sentence under (i), (ii), or (iii) are WPI-Owned.

2.3 Intellectual Property Created by Students

It is the general policy of WPI that WPI Students shall have ownership rights in Intellectual Property developed by them independently, except where it is developed using WPI funds, part of any project, Interactive Qualifying Project (IQP), Major Qualifying Project (MQP), directed study,
directed research, or where WPI has external obligations with respect to Student Intellectual Property, such as via a contract with a company, or where there are federal funds involved. If there are no WPI external obligations for the Intellectual Property, Student Intellectual Property may assign to WPI and be treated as a WPI Invention.

If there is Student Intellectual property that is free from WPI external obligations the Students may choose to enter into an agreement with WPI for the value of that Intellectual Property. Such value will not exceed 1% of the current value of that Intellectual Property. The waiver provisions of this Policy shall apply to WPI Students (Section 6).

Activities undertaken by WPI Students receiving financial aid as tuition assistance shall not be considered “WPI funds” unless such assistance consists of employment at WPI (including, but not limited to teaching assistantships) or is charged against a grant, contract or other agreement between WPI and an external funding source.

As a condition of study or a degree award, each student shall grant to WPI a non-exclusive, royalty-free, non-commercial license to reproduce and publicly distribute, including by electronic means, copies of the student’s work in which the student retains copyright.

3.0 Significant Use of WPI Resources

Generally, an invention, software, or other copyrightable material, will not be considered to have been developed using WPI funds or facilities if:

3.1 only a minimal amount of unrestricted funds has been used; and
3.2 the Intellectual Property has been developed outside of the assigned area of research of the inventor(s)/author(s) under a research assistantship or sponsored project; and
3.3 only a minimal amount of time has been spent using significant WPI facilities or only insignificant facilities and equipment have been utilized (note: use of office, library, machine shop facilities, and of traditional desktop personal computers are examples of facilities and equipment that are not considered significant); and
3.4 the development has been made on the personal, unpaid time of the inventor(s)/author.

4.0 Intellectual Property Developed Under Sponsored Research Agreements

Ownership of copyrightable and patentable intellectual property developed pursuant to an agreement with any sponsor will be governed by the provisions of that agreement.

Government and nonprofit sponsors generally allow rights to intellectual property that arise from the research program to vest with the institution, subject to certain retained rights held by the federal government. Under special circumstances, sponsors, including government agencies, will provide for the institution to retain title to all intellectual property that arises in the course of the research program, with the sponsor retaining an option to acquire commercialization rights through a separate license agreement.

5.0 Special Agreements

Since WPI aims to encourage creativity, it reserves the right to allow some flexibility in applying this policy. The inventor(s) or author(s) may request the VPR Office to release the intellectual property to them, at their own expense, unless other agreements exist.

6.0 Waiver or Return of Rights

WPI may determine that WPI will not take ownership of invention or WPI may, after initially exercising ownership, determine that WPI will no longer pursue or maintain intellectual property protection, for example in cases without a revenue producing license. Where WPI determines that it will not pursue or maintain intellectual property protection and licensing of WPI-Owned Intellectual
Property, it will promptly and in writing advise the inventor(s) or author(s). To the extent permitted by external obligations, including any applicable laws and regulations, WPI may consider application by inventor(s) or author(s) for alternative funding of prosecution or maintenance of intellectual property, or waiver of ownership rights and the terms under which such waiver may be made. WPI will not consider requests for waiver of ownership with respect to any invention or software program unless all inventors and authors, as legally determined, concur with the request for waiver. Ownership waivers, if granted, will be made to all relevant inventors and authors as joint owners. Waiver agreement terms between WPI and the inventor(s) will include a perpetual, royalty-free right and license retained by WPI to use the invention or software for its own education and research purposes, and will be further subject to any external obligations as may be required.

7.0 Administration of Intellectual Property Policy

Except as otherwise specified in this policy or as otherwise duly authorized by WPI, the IPI department has responsibility for the interpretation, implementation and oversight of this Policy. The IPI department will issue such administrative guidelines and procedures to facilitate Policy as may be reasonable and consistent with it. In accordance with otherwise applicable WPI policy or contract terms, WPI may also pursue disciplinary, or civil or criminal action, for Policy violations. These duties are delegated to the Director of Intellectual Property and Innovation.

WPI personnel who wish to pursue the commercialization of their independently developed and owned intellectual property through WPI may offer such intellectual property to WPI by following the administrative process outlined above.

8.0 Income Distribution

Costs and Net Royalty Income: Unless otherwise agreed, Net Royalty Income shall mean Gross Royalties in the form of cash or cash proceeds whether from the sale of equity or obtained in licensing transactions, less all commercialization costs, including but not limited to, previous and ongoing billed costs for protection of intellectual property, marketing, legal fees and other licensing costs.

Distribution of Net Royalty Income: With respect to intellectual property owned by WPI hereunder, Net Royalty Income shall be distributed (usually annually) as follows:

- 50% Creator(s) (personal)
- 5% Creator(s) Department
- 5% Creator(s) Office of the Dean
- 5% Office of Intellectual Property and Innovation
- 35% WPI

It is encouraged for the Department share give priority to the inventor’s laboratory if at all possible. The funds should be directed towards a continued investment in research and technology development. Dean and Department shares may involve multiple Deans or Departments. If this occurs, the split will go according to how the inventors have agreed to split their share.

Note that Intellectual Property created by students may have a different distribution per the conditions in section 4.

The creator will receive personal royalties as income. If the creator chooses to donate a portion of the royalties to research, the creator may do so in accordance with the policy and procedures of the Development Office of WPI and in accordance with local, state and federal tax policies.

Where all or a portion of the Royalty Income received by WPI is in shares of stock, stock options, warrants or other indicia of ownership ("Equity"), Inventors and Authors shall be entitled to shares to be negotiated with the company. If Inventors and Authors obtain Equity from the company, WPI Equity will be wholly owned by WPI. For all other Inventors/Authors who did not receive Equity from
the Company, WPI, upon occurrence of a liquidation event, distribute cash according to the
distribution agreed upon among the inventors in their original invention disclosure.

WPI may postpone the distribution of Net Royalty Income when future expenses relating to the
applicable technology, such as patent prosecution costs, or an infringement suit, are reasonably
anticipated.

8.1 Creator Equity Participation

Creators may receive equity in return for their contributions as founders or consultants only
in accordance with specific WPI policies. Annually, creators must fully disclose their equity
positions and shall otherwise be and remain in compliance with the WPI Conflict of Interest
policies.

9.0 Conflict of Interest and Conflict Avoidance in Equity Transactions

Where a Creator(s) holds or will acquire an equity or founder’s stock and/or option position in a
company to which Intellectual Property that the Creator(s) helped develop is licensed by WPI, WPI
will accept an equity position in lieu of royalty. In all such situations, Creator(s) who remain in the
employ of WPI will not use WPI students for research and development projects sponsored by the
company without expressly disclosing to students the inventor(s)’ equity ownership interest in the
company and without the express approval of the academic department head or other appropriate
administrative unit supervisor. In addition, inventor(s) will not restrict or delay access to their research
results so as to benefit the company (apart from any WPI-authorized agreement with the company)
and will not engage in such other activities that may create a presumption of conflict of interest
between their activities as faculty or staff of WPI and their activities with or on behalf of the company.
The limitations and conditions of this paragraph are in addition to those required by WPI’s conflict of
interest or other related policies.

10.0 Survival of Terms

All licenses and rights granted to WPI will survive any termination of employment or end of
enrollment by a student as applicable.

11.0 Conflict Resolution

When a disagreement arises between WPI and the inventor(s) concerning the interpretation of this
policy, an Intellectual Property Appeal Board (the "Appeal Board") will be appointed and convened
to resolve the disagreement. Appeals shall state explicitly what is in dispute and be submitted in
writing to the President of WPI and to the Committee on Governance. When a request for an
appeal is received, an Appeal Board shall promptly be appointed.

11.1 The Appeal Board is composed of five persons, three appointed by the Committee on
Governance and two appointed by the WPI administration. The COG-appointed members
shall be members of the faculty chosen from a current list of tenure-track faculty members
who have agreed to serve on the Appeal Board if so requested, and who have a variety of
experience. In making their respective appointments, COG and the WPI Provost will seek to
ensure that some of the appointees are familiar in detail with this policy and its past
applications, and some of the appointees are familiar with the technical area of the
intellectual property under consideration. No person with a special interest in the outcome
of its decisions, including people who have participated in the decision that is under appeal,
shall be appointed to the Appeal Board.

11.2 The Appeal Board shall promptly meet, elect a chair, and hear the appeal. The Appeal
Board shall receive written briefs from each party to the dispute, take oral presentations
open to all parties and their counsels, and receive written emendations to the written briefs.
The Appeal Board shall have the power to summon witnesses and documents necessary to reaching its decisions. The Appeal Board shall consider all relevant facts, policies, and precedents, and then reach a decision. The Appeal Board shall report its decision in a written finding that includes the principal arguments leading to its conclusions.

12.0 Use of WPI Name, Mark, or Insignia

The WPI name, seal, or logo may not be used:

1. in conjunction with any private or commercial enterprise;
2. in tandem with the advertisement of any product;
3. by any individual or group promoting itself.

Any questions regarding the use of the WPI name, seal, or logo should be referred to the WPI Chief Marketing Officer.

12.1 Changes to this Policy

The Provost will periodically initiate review of this Policy to address legal developments and to reflect experience gained in its administration. Policy changes will be made in accordance with governance and applicable legal requirements.
D. Anti-Hazing Policy

In December 1987, the anti-hazing legislation, Chapter 269, Sections 17 through 19, was amended by the Legislature in Chapter 665 of the Acts of 1987. The amendment increases the criminal penalties for hazing infractions and alters the manner in which institutions notify individuals of the law.

Specifically, WPI is required to inform groups, teams or organizations of the provisions of M.G.L. Chapter 269, Section 17, 18 and 19. [Found at http://www.wpi.edu/Admin/SAO/Policies/ nooplacehaze-law.htm]

A club officer must read Sections 17, 18, and 19 of this law and pass out a copy to each member of the organization. Once you have shared the information with your organization:

1. Print out the anti-hazing act signature page and complete the bottom portion.
2. Print out the club signature sheet and have all of your members sign it.
3. Return both forms to the Student Activities Office. These materials must be submitted on a yearly basis to SAO for Recognition purposes. The due date for these forms is September 13.

Not only is hazing against the law, but it is a practice which diminishes the integrity of individuals and their organizations. Hazing is clearly defined with the sections of the law, and has no place in our society, particularly at an institution of higher education.

WPI is committed to emphasizing that all organization activities be made constructive, educational and safe. Therefore, in support of the university's commitment to the mental, emotional and physical well-being of every student, it is the policy of the University and the Commonwealth of Massachusetts that "hazing" in any form be prohibited, and its practices in any fashion be condemned.

E. Statement on Affirmative Action

(Updated by SOF through Human Resources, August 15, 2016)

WPI is committed to the principles of equal opportunity for all persons and it is the policy of WPI to affirmatively seek, employ, and promote the best qualified employees, students, and applicants without regard to race, sex, age, color, national origin, religion, genetic identity, disability, gender identity or expression, marital or parental status, sexual orientation, transgender status, veteran status, or any other protected status. This policy applies to the total WPI community and is designed to comply with both the spirit and letter of governing state and federal laws. It is expected that this policy, as well as the WPI Affirmative Action Plan will be effectuated by employees, students and others who act on behalf of WPI.

All supervisors, managers, and administrators are responsible for helping the campus fulfill its equal opportunity responsibilities. This is accomplished by making good faith efforts toward meeting affirmative action goals and ensuring a workplace that is free of discrimination and harassment. WPI’s goal is to employ and retain a diverse workforce of the best-qualified individuals.

Employment of Minorities and Women

The Institute's Affirmative Action Program is intended to expand our efforts to guarantee equality of opportunity in employment and in education and to reduce underrepresentation and underutilization of minorities and women at WPI. For all Institute categories of employment, our objectives are to achieve a representation of minorities and women that is at least in proportion to their current availability and to provide new opportunities for career development which both stimulate and respond to their changing interests and aspirations. WPI's obligations as a federal
contractor under Executive Order 11246 includes the development of an affirmative action program which provides for analysis of utilization of minorities and women in all job groups in each organizational unit.

Employment of Disabled Individuals

The Institute's program for the employment of individuals with disabilities is intended to expand WPI's efforts to provide opportunities for employment and advancement for qualified persons with disabilities. The Institute will not discriminate against any employee or applicant for employment because of physical or mental disability in regard to any position for which the employee or applicant is qualified.

WPI's obligations as a federal contractor under Section 503 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act, include an assessment of all employment practices to assure that any adaptation that permits the employment or advancement of individuals with disabilities is reasonably accommodated, provided it does not cause undue hardship to the employer. Some individuals may require flexible work schedules, worksite accommodations, or auxiliary aids in order to perform the required duties of a job. Reasonable accommodation to needs such as these is the Institute's affirmative action responsibility under the law.

Inquiries regarding this policy may be directed to the Benefits Administrator in the Office of Human Resources

Employment of Disabled and Other Covered Veterans

In compliance with the Vietnam-Era Veterans Readjustment Assistance Act of 1974, as amended, and the 2002 Jobs for Veterans Act (JVA), as amended, WPI does not discriminate against any qualified employee or applicant for employment because he or she is a veteran with a disability or other covered veteran. WPI, in this respect, takes affirmative action to employ, advance in employment, and treat without discrimination, veterans with disabilities and other covered veterans.

A covered veteran is a person in one of the following categories:

- Armed Forces Service Medal Veteran: Any veteran who, while serving on active duty in the U.S. military, ground, naval or air service, participated in a United States military operation for which an Armed Forces service medal was awarded pursuant to Executive Order 12985.
- Recently Separated Veteran: Any veteran during the three year period beginning on the date of such veteran’s discharge or release from active duty in the U.S. military, ground, naval or air service.
- Other Protected Veteran: A person who served on active duty in the U.S. military, ground, naval or air services during a war or in a campaign or expedition for which a campaign badge has been authorized.
- Disabled Veteran: A veteran of the U.S. military, ground, naval or air service who is entitled to compensation (or who but for the receipt of military retired pay would be entitled to compensation) under laws administered by the Secretary of Veterans' Affairs, or a person who was discharged or released from active duty because of a service-connected disability. A disabled individual is defined as any person who has a physical or mental impairment which substantially limits one or more of such person’s major life activities, or has a record of such impairment, or is regarded as having an impairment. ("Life activities" are those which affect employability; "substantially limits" means the degree that the impairment affects employability.)
As a government contractor, WPI will take affirmative action to ensure that job applicants are employed and that employees are treated during employment without regard to their race, creed, color, national origin, sex, or other protected classifications.

WPI also invites all employees to voluntarily self-identify themselves to the Office of Human Resources. More information can be found on our website.
F. Sexual Harassment Policy*
(Approved by the Faculty, January 23, 2014)

WORCESTER POLYTECHNIC INSTITUTE
SEXUAL MISCONDUCT COMPLAINT PROCEDURES: FACULTY

1. Introduction and Applicability

Sexual Misconduct. Sexual misconduct, also referred to in these Procedures as sexual harassment, has the meaning described in WPI’s Sexual Misconduct Policy 30 (the “Policy”) and is a form of unlawful sex discrimination that is prohibited by state and federal laws and/or the Policy. Worcester Polytechnic Institute (“WPI” or the “University”) will employ the procedures outlined below to conduct an investigation into any complaint of sexual misconduct by a tenured, tenure-track, or continuing non-tenure track faculty member 31 that may constitute a violation of the Policy. If, after an investigation as outlined herein, it is determined that a violation of the Policy has occurred, the University will take immediate action to ensure its programs and activities remain free of sexual misconduct, including, where appropriate, suspension and termination from employment at WPI.

Confidentiality. The University will administer any complaint of sexual misconduct against a WPI faculty member using the process described below while providing the utmost degree of privacy and confidentiality possible under the circumstances of each matter and as permitted by law. Notwithstanding the foregoing, the University reserves the right to promptly and thoroughly investigate any complaint of sexual misconduct, including but not limited to speaking to relevant witnesses. Failure of any participant in an investigation process conducted under these Procedures to respect confidentiality, either during or after any investigation, may constitute retaliation and may subject the violator to discipline, including suspension or termination.

Retaliation Prohibited. Retaliation of any kind against any participant in an investigation or administration of a complaint of sexual misconduct will not be tolerated by the University. Complaints of retaliation arising from a person’s participation in the processes outlined below will be handled in accordance with the investigation and discipline process provided in these Procedures and may result in discipline, including suspension or termination.

University Title IX Coordinators. The University has designated the following individuals as having oversight responsibility for receiving complaints of and investigating allegations of sexual misconduct by a WPI faculty member in connection with a University program or activity:

Title IX Coordinator
Michelle Jones-Johnson
VP for Talent Develop. and Chief Diversity Officer
Worcester Polytechnic Institute
100 Institute Road
Worcester, MA 01609-2280
(508-831-6863)

---

30 The university’s Sexual Misconduct Policy is a sub-section of its policy on Equal Opportunity, Anti-Discrimination & Harassment and Sexual Harassment. (The term “sexual harassment” will be changed to “sexual misconduct” after this new policy for faculty procedures is approved.) Together, the university-wide Sexual Misconduct Policy and these Sexual Misconduct Complaint Procedures: Faculty replace the Sexual Harassment Policy previously published in the Faculty Handbook.

31 Complaints of sexual misconduct by adjunct, visiting, and other non-tenure track professors or instructors will be addressed in accordance with procedures in the Employee Benefits and Policy Manual.
2. Definitions

Complainant. The individual, department or entity bringing forth an allegation of sexual misconduct.

Respondent. The individual against whom an allegation of sexual misconduct is made.

3. Filing A Complaint of Sexual Misconduct

Although the circumstances of a particular situation may make it difficult to do so, any person who believes they have been subjected to sexual misconduct or harassment by a WPI faculty member in connection with a WPI program or activity is strongly encouraged to immediately and firmly inform the offender that their conduct is inappropriate and unwelcome and to immediately report the conduct to the individuals identified above as the Title IX Coordinator or Deputy Title IX Coordinators in order to initiate a complaint.

In order to facilitate a prompt and thorough investigation, the University will accept, review, and respond appropriately to all complaints involving allegations of sexual misconduct that are submitted within 180 calendar days of the most recent alleged misconduct. The Title IX Coordinator may waive this deadline in extenuating circumstances.

In addition, any University employee (faculty or staff) who has witnessed, or has information regarding, conduct that may constitute sexual misconduct by a WPI faculty member in connection with a WPI program or activity should immediately notify their supervisor. If disclosure to a supervisor is either inapplicable or impracticable, complaints or information should be brought to the attention of the Title IX Coordinator or any Deputy Title IX Coordinator.

Complaints should provide as much detail as possible including, where practicable, the following:

- name of person subjected to sexual misconduct;
- name of faculty member alleged to have engaged in sexual misconduct;
- information concerning the incident(s) at issue, including date(s), location(s), and any witness(es) to the incident(s); and
- detailed description of the incident(s) at issue.

Although a complaint alleging sexual misconduct may be initiated orally, in order for the complaint to be fairly administered and investigated by the University, the complaining person(s) (“Complainant”) will be asked to submit a written complaint, or authenticate a written complaint prepared by the Title IX Coordinator or other designated Deputy Title IX Coordinator containing the above information.

Where practicable and legally permissible, the University will keep the Complainant apprised of the progress and outcome of an investigation under these Procedures.

4. Initial Inquiry

a. Within five days of receiving a complaint of sexual misconduct, sexual harassment, or other violation of the Policy by a member of the WPI faculty, the Title IX Coordinator or Deputy will determine whether the behavior alleged constitutes a violation of the Policy and is sufficiently credible and specific so that potential evidence of such misconduct may be identified. If the behavior constitutes a Policy violation and the complaint is sufficiently credible and specific, an inquiry will be conducted. At this time, the Title IX Coordinator or Deputy may inquire of the
Complainant whether he or she wishes to engage in an informal resolution process and, if so, will initiate and oversee such informal resolution efforts. If such informal resolution efforts are declined or are unsuccessful, the Title IX Coordinator or Deputy will provide a written report to the Provost and initiate the investigation process outlined below. In no case where it has been alleged that non-consensual physical touching of a sexual nature has occurred – including rape, sexual assault, or attempts to commit rape or sexual assault – will the matter be referred to or otherwise handled through an informal resolution process.

b. In situations where a Complainant has requested confidentiality and does not wish to go forward with a complaint or where WPI receives notice or allegations of sexual misconduct from third parties, the Title IX Coordinator or Deputy may determine that further inquiry is required and is empowered to contact and interview witnesses, including the alleged Respondent and, where appropriate, may enlist the aid of WPI Campus Police. If, after such inquiry, the Title IX Coordinator or Deputy determines that there is sufficiently credible and specific evidence of a potential violation of the Policy, the Title IX Coordinator or Deputy shall provide the Provost with a written report identifying the allegations and basis for the determination that a potential violation of the policy has occurred, and an investigation will be conducted.

c. In extraordinary circumstances, when the presence of the Respondent on campus or in class creates an impossible working/academic environment for the Complainant, the Provost may suspend Respondent or impose a temporary transfer or assignment of Respondent’s duties. A suspension on this basis shall not result in a reduction of salary while an investigation is pending. The Complainant will be notified of any such interim measures.

5. Procedures for Formal Investigation

a. Within five business days of receiving the determination by the Title IX Coordinator or Deputy that an investigation is warranted:

1. The Provost will request the Secretary of the Faculty (SOF) and Chair of the Faculty Review Committee (FRC) to appoint a fact-finding committee (“the Committee”) of five elected FRC members who are unbiased in the investigation. (If there are not five unbiased elected FRC members, then the SOF and FRC Chair will appoint the required number of tenured faculty from outside the FRC. If the Respondent or Complainant is either the SOF or FRC Chair, then the other will appoint the committee.) The Committee shall elect its own chair who shall be responsible for determining the manner in which the witness interviews and other procedures will be conducted by the Committee. In most cases, the Committee will complete its investigation of a complaint within sixty (60) days of the Title IX Coordinator or Deputy’s receipt of the complaint, subject to external factors such as the availability of the parties, Committee members, witnesses and other evidence, and whether proceedings concerning the same allegations are pending in another forum.

2. The Title IX Coordinator or Deputy will forward a copy of the complaint (or report) to the faculty member(s) named in the allegation (“Respondent”) along with a copy of these Procedures and the Policy and inform the Complainant that an investigation has been initiated in accordance with these Procedures.

3. The Title IX Coordinator or Deputy will also notify Respondent that s/he may submit a written response to the allegations within ten business days of his/her receipt of the complaint (or report). Upon request, the Coordinator or Deputy may choose to grant additional time.

---

32 If the Provost is the Complainant or the Respondent, then the President shall perform the role of the Provost as described throughout this policy.

33 The Title IX Coordinator will ensure that all committee members are Title IX trained.
The Complainant and the fact-finding Committee will be provided with a copy of any written response submitted by Respondent to the complaint.  

b. All parties involved in a formal investigation and any subsequent proceedings shall, to the extent possible, endeavor to maintain confidentiality regarding the allegations, evidence, proceedings, and the privacy interests of the persons involved.

c. The Committee will be provided with all the information about the allegations and empowered to review relevant documents and interview witnesses. The Committee is not bound by rules of evidence and is specifically empowered to hear witnesses and review material evidence relevant to the allegations of sexual misconduct. The Committee will interview the Respondent and Complainant, and will provide each with the opportunity to identify potential witnesses who may provide relevant information and/or documentary evidence for consideration by the Committee. The Committee may, at its discretion, interview any such additional witnesses and/or review documentary evidence requested by the Respondent or Complainant. The Committee may also seek relevant information and evidence on its own initiative.

d. The Committee will pursue all significant issues and leads developed during the investigation, including information concerning new instances or allegations of sexual misconduct or harassment, which may constitute a pattern of misconduct. The Committee will give Respondent written notice of any new instances or allegations of misconduct within a reasonable time of deciding to pursue or consider such allegations. The Committee is also entitled to consider information concerning any previous violations of the Policy by Respondent in making recommendations as to appropriate discipline.

e. The Committee will maintain records of its fact-finding proceedings, including copies of materials submitted by all parties, documentary evidence considered by the Committee, and a written record or summary of its witness interviews.

f. The Committee may seek assistance from WPI’s legal counsel and/or the Vice President of Human Resources/Title IX Coordinator in conducting its investigation.

g. During the Committee investigation process, the Respondent and/or Complainant may:

1. Have an advisor or legal counsel to assist or support them through the Committee investigation process;

2. Challenge the composition of the Committee, if s/he believes that one or more of its members is biased. The remaining members of the Committee shall determine whether bias exists and otherwise act to ensure its own credibility. The Committee shall request that the Chair of the FRC and the Secretary of the Faculty replace a committee member when appropriate;

3. Have a reasonable amount of time to prepare for the investigation consistent with the overall time constraints on the investigation process;

4. Have the opportunity to present a defense to the Committee, to present witnesses for interview by the Committee, and to respond to all allegations of misconduct. Complainant shall have the same opportunity to present his/her position and to respond to any defense(s) presented;

5. Elect not to provide testimony to the Committee;

6. Submit to the Committee written questions for the Committee to ask of any witness;

34 In situations where an investigation is commenced on a Title IX Coordinator or Deputy Report, without a complainant, copies of a Respondent’s response(s) and other submissions will be provided to the Title IX Coordinator and, where applicable, the Title IX Coordinator or Deputy may file submissions to the Committee.
7. Request the Committee to consider certain evidence, including documents and witness testimony relevant to the issues before the Committee.

h. Once the investigation is completed, the Committee will prepare a written investigation report (the “Report”) offering a judgment as to whether or not the preponderance of the evidence substantiates a finding that the Respondent has violated the Policy. A finding that the Respondent has violated the Policy requires a majority vote of the Committee. The Report will summarize the facts and analysis that support the Committee’s conclusion, address the merits of any reasonable explanation or defense provided by Respondent, and include the vote of the Committee. If the Committee concludes that Respondent has violated the Policy, it shall recommend disciplinary action(s) to the Provost. The Report will normally be completed within 15 days of concluding the fact-finding portion of the investigation.

6. Final Findings

a. The Committee will provide Respondent and Complainant with a draft copy of the Report prior to the time it is presented to the Provost. Within 15 days of receipt of the Report, the Respondent and Complainant may file an appeal or objection to the Report. Such appeals or objections must be in writing and state the reasons therefor. The Committee will prepare a Final Report that considers and includes the appeal(s) or objection(s) and any changes in the Committee’s vote, finding, and recommendation. The Committee shall take into account any applicable privacy laws and regulations, including the Family Educational Rights and Privacy Act (FERPA), in preparing the Final Report.

b. The Committee shall transmit the Final Report to the Provost. The action of the Committee shall either be sustained by the Provost or the case returned to the Committee with the Provost’s objections specified in writing. If the case is returned, the Committee shall reconsider, taking account of the stated objections and receiving new evidence as necessary. The Committee shall frame its reconsideration and communicate it in the same manner as before, including any change in the Committee’s vote, finding, and recommendation. Only after study of the new report, and after consultation with the relevant Dean and Department Head, should the Provost make a final decision.

c. If at least four members of the Committee voted that the respondent did not commit sexual misconduct, but the Provost decides on a finding of guilt, then at most a minor sanction (such as verbal or written reprimand, denial of eligibility for merit salary increase, or suspension with pay) may be imposed.

d. If the Provost decides that termination and/or removal of tenure is appropriate, but if four members of the Committee do not support the decision, then both the Provost’s written recommendation and the Committee’s report will be submitted to the Board of Trustees for its decision. In this case, the Board will provide both the Respondent and the Complainant with 10 days to submit any additional relevant information. The Board will then review all materials received and any other relevant material submissions or information which the Board, in its discretion, may solicit from the Respondent or Complainant, the Provost, or the Title IX Coordinator. The Board will relay its decision to the Provost who will inform the Respondent. This shall be the final decision on the part of the University.

---

35 Preponderance of the evidence means proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

36 If the Provost is the Complainant or the Respondent, then the President shall perform the role of the Provost as described throughout this policy.
e. The Provost shall promptly notify Respondent in writing of the decision on misconduct and, if applicable, disciplinary action. This decision shall be final, subject to a limited right of appeal to the Board of Trustees as described below.

7. **Review of Disciplinary Actions by the Board of Trustees**

If both the Committee and Provost recommend termination and removal of tenure, such disciplinary action – not the underlying finding of sexual misconduct or other violation – may be appealed to the Board. Such appeal must be in writing, state the reasons for appeal, and be submitted to the Board within ten (10) days of the date of Respondent’s receipt of notice from the Provost of such disciplinary action. Complainant shall be notified of the facts of an appeal and shall also be entitled to make a submission to the Board and Provost within ten (10) days of the receipt of such notice.

The Provost will promptly transmit the final investigation report and his/her written recommendation to the Board of Trustees. The Board will review the final investigation report, the Provost’s written recommendation, and any submission made by the Respondent and the Complainant relevant to the appeal, and any other relevant material submissions or information which the Board, in its discretion, may solicit from the Respondent or Complainant, the Provost, or the Title IX Coordinator. The Board will notify the Respondent, the Complainant, and the Provost of its decision in writing, which shall be the final decision on the part of the University.

8. **Special Measures**

Should the Committee find that the Respondent did not violate the Policy, the Provost and/or his/her designee will, as appropriate, undertake a good faith effort to restore the reputation of Respondent. Reasonable efforts will also be taken to protect the standing of the Complainant, unless the inquiry or investigation reveals that the Complainant acted in bad faith, in which case appropriate disciplinary action may be taken under applicable University policy.

---

37 This Review is extended only to cases involving a tenured faculty member.
G. Policy on Research Conduct*
(Approved by the Faculty, January 23, 2014)

WORCESTER POLYTECHNIC INSTITUTE
POLICY ON RESEARCH CONDUCT

1. Introduction and Applicability

The integrity of the University and its academic endeavors require that teachers, researchers, advisors and other members of its community be dedicated to maintaining the highest ethical standards in their professional activities. In recognition of this need, WPI has developed the following policy to respond to allegations of research misconduct and to inform members of the community of the appropriate channels for bringing such matters to the attention of the University. This policy applies to tenured, tenure-track, and continuing non-tenure track members of the WPI faculty.

2. Definitions

Complainant. The individual, department or entity bringing forth an allegation of research misconduct.

Respondent. The individual against whom an allegation of research misconduct is made.

Research misconduct is defined as knowing, intentional or reckless fabrication, falsification, or plagiarism in the conduct of scholarly activity. Research misconduct also includes the failure to follow standards of professional conduct with regard to human or animal subjects. Research misconduct does not include honest error or differences of opinion.

i. Fabrication is inventing data or results and recording or reporting them.

ii. Falsification is manipulating research results, equipment, or processes, or changing or omitting data or results such that information is not accurately represented in the research record. The research record is the record of data or results of scholarly activity and includes, but is not limited to, research proposals, laboratory records (both physical and electronic), progress reports, abstracts, theses, oral presentations, internal reports, and materials submitted for publication or published in any form.

iii. Plagiarism is the appropriation of another person's ideas, processes, results, data or words without giving appropriate credit.

iv. Scholarly activity includes, but is not limited to, writing research proposals, undertaking research activities, and reporting or presenting research results. Scholarly activity includes all basic, applied, and demonstration research in all fields of study. Scholarly activity also includes reviewing the research of others for publishers, funding agencies or any other purpose.

38 This policy is based upon the federal regulations governing research misconduct in connection with Public Health Service (“PHS”)-supported activities and will be interpreted and applied so as to be in compliance with those regulations. WPI has also determined that this policy will be applied as the minimum standard to all allegations of research misconduct, regardless of the funding source(s) or whether the scholarly activity is funded. Institutional response to research misconduct allegations in areas not PHS-supported will follow the same general principles except for the actual involvement of PHS. In the event another research sponsor has additional requirements beyond those covered by this policy, all research funded by that source will be subject to those additional requirements.

39 This policy replaces the prior policy entitled “Policy and Procedure for Removal of Tenured Faculty Member for Cause” adopted in 1969 as it relates to matters concerning research misconduct.

40 Definitions relating to research misconduct are based on the Federal Policy on Research Misconduct, 42 C.F.R. Part 93.

2-57
3. Sanctions
It is not feasible or wise to automatically assign a specific sanction to particular research misconduct. Generally, sanctions should be commensurate with the seriousness of the research misconduct or cause. Seriousness, and thus the sanction, may be affected by the persistence of behavior in the face of prior warnings, counseling, or sanction as well as the egregiousness of a particular action. Disciplinary actions fall into two categories:

Major sanctions include, but are not limited to, dismissal and/or removal of tenure, suspension without pay, reduction in academic rank, and public censure. A major sanction may not be imposed without following the investigatory process outlined below.

Minor sanctions are penalties less serious than a major sanction and include, but are not limited to, verbal or written reprimand, denial of eligibility for merit salary increase, and suspension with pay. Minor sanctions may be imposed administratively.

Should the Respondent disagree with an imposed minor sanction, the Respondent can request in writing a full inquiry within 5 business days of being notified of the minor sanction.

4. Initial Inquiry
a. In all situations, complaints or allegations of research misconduct should be made in writing to the Vice Provost for Research.41,42

b. Complaints or allegations of research misconduct are not subject to investigation if the alleged misconduct occurred more than six years prior to the date the allegation or complaint was received by the Vice Provost for Research. However, an exception to this limitation is made (a) if the Respondent republishes, cites or otherwise uses falsified, fabricated or plagiarized data or information within the six year limitation period, in which case the limitation period begins at the time of republication or other use; or (b) if the health or safety of the public is in jeopardy, in which case there is no time limit.

c. Within five business days of receiving an allegation of research misconduct, the Vice Provost for Research will determine whether the behavior alleged meets the definition of research misconduct above and is sufficiently credible and specific so that potential evidence of such misconduct may be identified. If the behavior meets the definition of misconduct and the allegation is sufficiently credible and specific the VPR shall forward a copy of the complaint or allegation to the person named therein (“Respondent”) along with a copy of this policy. The Vice Provost for Research shall, at the same time, forward a copy of the allegation to the Respondent’s department head or other immediate supervisor and immediately arrange to take all appropriate actions to obtain and secure all research records and evidence needed to conduct the research misconduct proceeding. Respondent shall have an opportunity to respond in writing to the Vice Provost for Research to any allegations raised. Responses must be received by the Vice Provost for Research within ten business days following the Respondent’s receipt of the allegation. Upon reasonable request, the Vice Provost for Research may choose to grant additional time. After considering the information provided by the Respondent, the VPR will reassess the credibility of the allegation. If the behavior meets the definition of misconduct and the allegation is sufficiently credible and specific an inquiry will be conducted. Otherwise the VPR will notify the Respondent in writing that the matter is dismissed.

41 If the Complainant is the Vice Provost for Research or the Provost, the Secretary of the Faculty shall perform the role of the Vice Provost for Research in the initial inquiry.
42 If the Respondent is the Vice Provost for Research or Provost then the President shall perform the role of the Vice Provost for Research in the initial inquiry.
At any time, the Respondent may meet with the Vice Provost for Research and Provost to mutually resolve the issues raised by the complaint or allegation. If the parties cannot agree on a settlement of the issues, the proceedings outlined in this policy shall continue.43

d. If the VPR determines that an initial inquiry will be performed, then the VPR, in consultation with the department head and, if the VPR deems appropriate, the Director of Research Administration, and/or such other persons as the VPR decides would be helpful to the inquiry process shall form a committee of three tenured faculty members. This “Inquiry Committee” will undertake an initial review of the evidence and may interview Respondent, complainant and other relevant witnesses, all on an individual basis.

i. During the inquiry period, the identities of all parties involved will be held in confidence to the maximum extent that an effective inquiry allows.

ii. The entire inquiry process must be completed within sixty calendar days of the formation of the Inquiry Committee, unless the Vice Provost for Research determines, for good cause shown and documented on the record, that circumstances warrant a longer period.

iii. The Vice Provost for Research shall, at any appropriate time and when required by law, notify federal authorities of allegations of research misconduct in federally supported research.44

e. Based on the information gathered, the Inquiry Committee shall prepare a written preliminary report. The Vice Provost for Research and Respondent shall be provided a copy of the preliminary report. The Respondent will be provided an opportunity to respond or comment within ten business days.45

After evaluating all of the information, the Inquiry Committee shall determine if there is substance to the complaint or allegations of research misconduct and prepare a final report that includes any comments provided by the Respondent.46 The final report will be delivered to the Respondent, the Vice Provost for Research, and the Provost.

f. If the Inquiry Committee determines that there is not substance to the allegations, then the Provost will notify the Respondent in writing that the matter is dismissed.

g. If the Inquiry Committee determines that there is substance to the allegations of misconduct and the Provost decides that major sanctions are not supported, then minor sanctions may be imposed administratively after first providing the Respondent an opportunity to respond to the Provost. In this case, the Provost will determine the appropriate minor sanction only after reviewing and considering the response received from Respondent. Should the Respondent disagree with an imposed minor sanction, the Respondent can request in writing a formal investigation within 5 business days of being notified of the minor sanction.

---

43 If PHS-supported research is at issue, the Vice Provost of Research must notify the ORI, if WPI intends to close a case at the inquiry, investigation or appeal stage on the basis that Respondent has admitted guilt or a settlement with Respondent has been reached (42 C.F.R. § 93.316).

44 Regulations require institutions receiving grants under the Public Health Service to notify the Office of Research Integrity (“ORI”), a component of the Office of the Director of the National Institutes for Health (“NIH”), when an institution determines that a formal investigation is warranted (42 C.F.R. § 93.309) and certain specific conditions exist (see 42 C.F.R. § 93.318). If it is determined that an investigation is not warranted, the institution must maintain, for a period of at least seven (7) years, sufficiently detailed documentation of the inquiry to permit a later assessment of reasons supporting that determination (42 C.F.R. § 93.309(c).

45 Inquiry reports involving PHS-supported research must comply with Federal Regulations. See 42 C.F.R. § 93.309.

46 Inquiry reports involving PHS-supported research must comply with Federal Regulations. See 42 C.F.R. § 93.309.
h. If the Inquiry Committee determines that there is substance to the allegations of misconduct and the Provost determines that major sanctions might be appropriate then a formal investigation is warranted.

i. No action shall be taken against the Respondent as a result of research misconduct allegations prior to the conclusion of the appropriate investigation, unless it is determined that the presence of that person on campus or in class poses an immediate threat of physical or psychological harm to others. A suspension on this basis shall not result in a reduction of salary while an investigation is pending.

5. Procedures for Formal Investigations

a. If a formal investigation is warranted, it shall begin within twenty-one (21) days of the conclusion of the initial inquiry. Before the investigation begins, the Provost shall notify the Respondent and Vice Provost for Research in writing that a formal investigation is in order. When the complaint or allegation involves externally funded research, the Vice Provost for Research will inform the sponsor of the formal investigation.

b. All parties involved in a formal investigation and any subsequent proceedings shall, to the extent possible, endeavor to maintain confidentiality regarding the allegations, evidence and proceedings, and use care in balancing the need for disclosure and the privacy interests of persons involved.

c. The Provost will request the Secretary of the Faculty (SOF) and Chair of the Faculty Review Committee (FRC) to appoint a fact-finding committee (“the Committee”) of five elected FRC members who are unbiased in the investigation and have the required expertise to evaluate the particular issues and evidence involved in the alleged misconduct. (If there are not five unbiased elected FRC members with the required expertise, then the SOF and FRC chair will appoint the required number of qualified faculty from outside the FRC. If the Respondent or Complainant is either the SOF or FRC Chair, then the other will appoint the committee.) The Committee shall elect its own chair who shall be responsible for determining the manner in which the witness interviews and other procedures will be conducted by the Committee. The investigation will be completed within 120 days of the Committee’s formation, subject to external factors such as the availability of the parties, Committee members, witnesses and other evidence, and whether proceedings concerning the same allegations are pending in another forum. The VPR may determine that the investigation cannot be completed within this 120-day period and will so notify the granting agency if necessary.

d. The Committee will be provided with all necessary information about the complaint or allegation and empowered to review relevant documents and interview witnesses. The Committee shall review all relevant research records and documentation and interview Respondent, complainant and any other available persons who have been identified as having relevant and material information regarding the investigation. The Committee may seek assistance from WPI counsel in conducting its investigation and from ORI, if needed.

e. The Committee will pursue all significant issues and leads developed during the investigation, including evidence of additional instances of possible research misconduct. The Committee will give Respondent written notice of new allegations of research misconduct not addressed during

---

47 If the Complainant or Respondent is the Vice Provost for Research or Provost, the President shall perform the roles of the Provost and VPR in the formal investigation.

48 “Unbiased” in this context means person(s) “who do not have unresolved personal, professional or financial conflicts of interest with” Respondent (42 C.F.R. § 93.310(b)).
the inquiry or in the initial notice of investigation within a reasonable amount of time of deciding to pursue such allegations.

f. The Committee will maintain records of its fact-finding proceedings, including copies of materials submitted by all parties, documentary evidence considered by the Committee, and a written record or summary of its witness interviews.

g. Respondent may exercise the following rights during the investigation of the Committee:

1. Respondent may have an advisor or legal counsel to assist or support them through the Committee investigation process.

2. Respondent may challenge the composition of the Committee, if s/he believes that one or more of its members is biased (see footnote 6). The remaining members of the Committee shall determine whether bias exists and otherwise act to ensure its own credibility. The Committee shall request that the Chair of the FRC and the Secretary of the Faculty replace a committee member when appropriate.

3. At the request of Respondent, the Committee shall use its authority to obtain documents and evidence and to interview witnesses who have information relevant to the defense of Respondent.

4. Respondent is entitled to a presumption of innocence and need not prove his or her innocence49 to the Committee and to the Provost.

5. Respondent shall have the opportunity to present a defense to the Committee, to present witnesses for interview by the Committee, and to respond to all allegations of research misconduct.

6. Respondent shall receive a copy of the draft report of the Committee and shall have an opportunity to provide a written response to such report. Respondent shall receive a copy of the final report at the time it is provided to the Provost.

h. Once the investigation is completed, the Committee will prepare a written investigation report50 (the “Report”) offering a judgment based on the evidence provided as to whether the Respondent has committed research misconduct, and if so its level of severity, and summarizing the facts and analysis that support that conclusion, addressing the merits of any reasonable explanation or defense provided by Respondent, and including the vote of the Committee. Findings of research misconduct shall only be made if a majority of the members of the Committee agree that such findings are supported by a preponderance of evidence51. If the Committee determines Respondent is guilty of research misconduct, it shall also recommend disciplinary action. If the disciplinary action includes termination and/or removal of tenure, it must be by agreement of four or more of the Committee members. The Report should normally be prepared within fifteen (15) days of conclusion of the evidentiary phase of the investigation.

49 The Respondent does bear the burden of proving any affirmative defenses raised (e.g., honest error or difference of opinion) or mitigating factors. (See 42 C.F.R. § 93.106.)

50 If applicable, the investigation report shall comply with the requirements of 42 C.F.R. § 93.313.

51 “Preponderance of the evidence” as applied to the Committee’s and Respondent’s (defense’s) burdens of proof means, “proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.” (42 C.F.R. § 93.219.)
6. **Final Findings**

a. The Committee will provide Respondent with a draft copy of the Report prior to the time it is presented to the Provost.\(^{52}\) Within 15 days of receipt of the Report, the Respondent may file an appeal or objection to the Report. Such appeals or objections must be in writing and state the reasons therefor. The Committee will prepare a Final Report that considers and includes the appeal(s) or objection(s) and any changes in the Committee’s vote, finding, and recommendation.

b. The Committee shall transmit the Final Report to the Provost and to the Respondent. The action of the Committee shall either be sustained by the Provost or the case returned to the Committee with the Provost’s objections specified in writing. If the case is returned, the Committee shall reconsider, taking account of the stated objections and receiving new evidence as necessary. The Committee shall frame its reconsideration and communicate it in the same manner as before, including any change in the Committee’s vote, finding, and recommendation. Only after study of the new report, and after consultation with the VPR and Department Head, should the Provost make a final decision.

c. If at least four members of the committee voted that the respondent did not commit research misconduct, but the Provost decides on a finding of a guilt, then at most a minor sanction may be imposed.

d. If the Provost decides that termination and/or removal of tenure is appropriate, but if four members of the Committee do not support the decision, then both the Provost’s written recommendation and the Committee’s report will be submitted to the Board of Trustees for its decision. In this case, the Board will provide both the Respondent and the Complainant with 10 days to submit any additional relevant information. The Board will then review all materials received and any other relevant material submissions or information which the Board, in its discretion, may solicit from the Respondent or Complainant, or the Provost. The Board will relay its decision to the Provost who will inform the Respondent. This shall be the final decision on the part of the University.

e. The Provost will allow for submission of the report to ORI\(^{53}\) or the appropriate sponsor no later than 120 days from the date the investigation began if there is a finding of research misconduct. If this time period cannot be met and PHS-supported research is at issue, the Provost must file a written request and explanation for an extension with the ORI.

f. The Provost shall promptly notify Respondent in writing of the decision on research misconduct and, if applicable, disciplinary action. This decision shall be final, subject to a limited right of appeal to the Board of Trustees as described below.

7. **Review of Disciplinary Actions by the Board of Trustees**\(^{54}\)

If both the Committee and Provost recommend termination and removal of tenure, the respondent may appeal the disciplinary action, not the underlying finding of research misconduct, to the Board of Trustees (“the Board”). Such appeal must be in writing, must state the reasons for appeal, and must be presented to the Board within ten (10) days of the date of Respondent’s receipt of notice of such disciplinary action. Thereafter, the Provost shall promptly transmit the final investigation report and his/her written recommendation to the Board of Trustees. The Board shall review the

---

\(^{52}\) If the Complainant or Respondent is the VPR or Provost, then the President, in consultation with the Secretary of the Faculty, shall fulfill the role of the Provost in sections 6 through 9 of this policy.

\(^{53}\) If PHS-supported research is involved, the contents of the final report must comply with federal regulations (42 C.F.R. § 93.313).

\(^{54}\) This Review is extended only to cases involving a tenured faculty member.
reasons for appeal, the final investigation report, the Provost’s written recommendation, and any submission made by the Respondent relevant to the appeal, and may seek additional submissions or information from Respondent or the Provost. The Board shall notify both Respondent and the Provost of its decision, which shall be the final decision on the part of the University.

8. Special Measures

a. If there is a finding that research misconduct occurred and the Provost determines that further action is required, the Provost shall direct the department head or program director to notify the editors of publications to which abstracts and/or papers relevant to the research misconduct have been submitted, and request that the work be withdrawn prior to publication. If any relevant work has already been published, the department head or program director will request that a correction or retraction be published. The individual who was found to have committed research misconduct will ordinarily be responsible for preparing and presenting appropriate corrections and/or retractions.

b. Should the procedure followed under this policy lead to a finding of no research misconduct by the Respondent, the party or parties who conducted the initial inquiry or formal investigation shall, as appropriate, undertake a good faith effort to restore the reputation of the Respondent. Reasonable efforts will also be taken to protect the standing of the individual(s) who raised the issue of possible research misconduct, unless the inquiry or investigation reveals that such individual(s) acted in bad faith, in which case appropriate disciplinary actions may be taken.

9. Reporting

a. If the research misconduct occurred in the context of externally sponsored research, the Provost shall instruct the Vice Provost for Research to convey the results of the investigation and any decision or further actions taken as a result of that investigation to the sponsor of the research. This communication shall include a description of the procedure that was followed to investigate the allegation(s) and a summary of the views of the person(s) found to have engaged in research misconduct.

b. The Vice Provost for Research shall file reports on allegations and investigations of research misconduct as required by the Federal Office of Research Integrity, Office of Scientific Integrity, or other relevant agency.

55 If the Complainant or Respondent is the VPR or Provost, then the President, in consultation with the Secretary of the Faculty, shall fulfill the role of the Provost in sections 6 through 9 of this policy.

56 For the purposes of this section, the Associate Provost/Vice President for Research will fulfill the responsibilities of the department head when the research misconduct was committed by a department head or program director.

57 If the Complainant or Respondent is the VPR or Provost, then the President, in consultation with the Secretary of the Faculty, shall fulfill the role of the Provost in sections 6 through 9 of this policy.
5. DEVELOPMENT COUNCILS FOR EDUCATION AND RESEARCH

A. Educational Development Council
(Updated by the SOF, August 15, 2016)

The Educational Development Council (EDC) is an administratively appointed committee whose responsibilities include:

- Conducting an internal small grants program to promote educational innovation and improvement;
- Conducting the annual selection process for the Romeo L. Moruzzi Young Faculty Award for Innovation in Undergraduate Education
- Serving as an advisory committee to the Morgan Teaching and Learning Center.

Membership of the EDC includes the Director of the Morgan Teaching and Learning Center, a faculty member appointed by the Committee on Academic Policy, a faculty member appointed by the Committee on Governance, a faculty member appointed by the Provost, and an undergraduate student appointed by the Student Government Association.

Faculty serve for staggered three-year terms.

B. Research Development Council*
(Approved by the Faculty, May 22, 1986)

Background

The Research Development Council (RDC) was conceived and approved by faculty vote in 1986 as a way to nurture and develop excellence in research and scholarship among members of the Worcester Polytechnic Institute (WPI) faculty and is the group that provides funding under the Research Advancement Program (RAP). The purpose of the RDC is to provide relatively modest amounts of short-term (normally one year) financial support as "seed" money to faculty members and research teams with an emphasis on those who currently lack external funding. The general goal of the RDC is to assist faculty in acquiring off-campus support for research activity, while the more specific objects are:

1. to foster research programs being developed by newly appointed faculty members;
2. to support researchers and scholars who have not previously been successful in attracting off-campus funding;
3. to foster the development of new research programs by experienced researchers;
4. to support those areas of research and scholarship in which WPI wishes to become especially well-recognized;
5. to support researchers when necessary to maximize the success of their efforts;
6. in general, to promote the preparation and submission of proposals for external funding of scholarship and research, as a means of stimulating this activity; and
7. to review on a regular basis WPI's support for faculty research activity and to recommend changes in policy and practice, where appropriate.

For financial reasons, funding of the RDC was discontinued shortly after it was established until the winter of 1999, when an allocation was made to fund a limited number of programs. Additional funding was then made available for awards to be made for fiscal year 2001 projects and it is expected that annual funding of the RDC will again continue. Funds available at this time must be used for support of the Strategic Initiatives, including the Interdisciplinary Research Areas and increasing the number of Ph.D.'s awarded.
Funding Categories:

Descriptions of RDC funding categories and organizational composition follow. The full text of the original faculty-approved RDC document provides additional information about funding objectives and other RDC activities/responsibilities. This document is available via the RDC webpages.

Through the RDC, funds are made available in the following categories of research needs:

1. support for travel necessary to negotiate off-campus mechanism) and limited supplies funding to complete proposals for such funding;
2. research initiation support for new researchers;
3. research initiation support for other faculty members developing new areas of expertise;
4. research completion and proposal preparation support;
5. support for other travel and publication expenses;
6. support for equipment repair and maintenance contracts; and
7. support for major equipment acquisition.

In all cases, RDC funding will be limited solely to the amount needed to carry out the research in question and may, if appropriate, include graduate student stipends and limited summer support for faculty members. For certain types of expenses, funding is also available through the Supplemental Research Support (SRS) mechanism.

Organization

The Research Development Council consists of five established scholars who are actively involved in their own research programs: the Associate Provost (who chairs the Council) and four other members of the WPI faculty. One faculty member is appointed annually by the Associate Provost for a one year term, while the other three will serve rotating three year terms. One of these members is appointed by the Committee on Graduate Studies and Research from the faculty at large. The second member is appointed by an ad hoc group consisting of the heads of the departments of biomedical engineering, chemical engineering, civil and environmental engineering, computer science, electrical and computer engineering, fire protection engineering, management, and mechanical engineering. The third member is appointed by another ad hoc group consisting of the heads of the departments of biology and biotechnology, chemistry, humanities and arts, mathematical sciences, physics, and social science and policy studies. After the initial Council is appointed, the three terms members must draw lots to determine who will serve for one year, two years, or three years. When a faculty member completes a term on the RDC, her or his successor will be appointed by the appropriate committee or ad hoc group. The Director of Research Administration provides the RDC with administrative and staff support.
6. AWARDS AND AWARD COMMITTEES

A. Board of Trustees' Award for Outstanding Teaching

Creation of the Award

The Board of Trustees voted the following recommendation by one of its committees, at the Annual Meeting on June 6, 1959:

That a FACULTY AWARD be established to give recognition from time to time to a faculty member who, in the judgment of a suitable committee of the faculty, is an outstanding teacher who has made a notable professional contribution.

It is important in the concept of this award that only faculty members known for excellence in teaching be eligible.

The professional contribution could be in any appropriate category, including distinguished excellence in teaching; writing a fine textbook; study or teaching; conceiving an idea of great importance to the advancement of the engineering profession or of engineering education; directing or conducting outstanding research; creating an important invention; carrying out some distinguished service to the Institute, the community, the Nation or to mankind.

Nominations should be made to the Board of Trustees by a committee of the faculty. The Executive Committee of the Faculty might perform this function. However, there would seem to be greater merit in having a special committee for this important, time-requiring purpose – made up of faculty with a rotating membership involving, after a starting period, at least three years of service per member. Such a committee might well be chosen by faculty members who have served at WPI for more than a designated number of years. It is proposed that a committee of the faculty be designated to prepare Governing Rules relating to the Faculty Award and to the Faculty Award Committee, its composition, organization, and operations. These Governing Rules should be subject to approval of the Chairman of the Board of Trustees, with counsel of the Institute President and Executive Vice-President.

It is proposed that the Board of Trustees specify that except in most unusual circumstances, not more than one such award will be made per year, and that there shall be no requirement that such an award be made each year.

It is proposed that the award consist of an appropriately worded, hand-illuminated, framed certificate or a suitably designed and worded, wood-mounted plaque. In addition, it is proposed that at some suitable, prominent location at the Institute, there be an appropriate plaque on which will be inserted the names and years of Faculty Award recipients. Further, it is proposed that the Journal or handbook of the Institute include the names of Faculty Award recipients who are currently on the WPI faculty, together with a terse statement of the faculty contribution recognized in each case.

As to the occasion for presenting such awards and as to other questions which may arise, it is proposed that the faculty committee assigned responsibility for formulating Governing Rules be given such additional responsibilities also – their decisions similarly to be subject to approval of the Board Chairman.

Governing Rules Relating to the Faculty Award
(Faculty Award Committee - April 13, 1960)

In the selection of the recipient of the Faculty Award, the Faculty Award Committee acted in accordance with the general instructions provided in the action of the Board of Trustees and used the following criteria in making its choice.
First, and foremost, the recipient had to satisfy the requirement of being an outstanding teacher. The Committee realized at the start of its deliberations that what constituted an “outstanding teacher” would, of necessity, involve intangibles incapable of being transformed into clearly stated language. With this in mind, the Committee felt that the teacher would have to be judged as a whole, rather than by a strictly numerical rating system assigning certain weights to fixed categories. However, the Committee did examine each nomination with respect to the degree to which some of the following attributes of an excellent teacher were met.

The excellent teacher is sincerely interested in both the students and his subject matter. He has the knack of “getting his material across.” He is devoted to the persistent and patient search for truth, and is anxious to share his learning experiences with others. The first-rate professor has far more than the average ability and desire to communicate. He is excited about the why and how of many things.

An important part of the reward of an outstanding teacher is in the stimulation of the students’ intellectual curiosity, and the feeling that he has played a significant role in their resulting growth. Frequently, his approach is imaginative and sensitive. He expects and obtains a high level of accomplishment. This demands, among other things, ability on the instructor’s part to equitably evaluate the work of his students. His interest in them is further evidenced by a willingness to patiently discuss their problems with them. He is respected by his students and is esteemed by his colleagues for his knowledge, scholarship and intellectual integrity. Usually such a person is considered as an authority in his chosen field, and is so recognized by other authorities in that field.

In addition to the above attributes the Committee also took into account other scholarly and professional contributions of the nominee such as publications, consulting work in his field, activities in professional organizations, research, and public service. And Finally, the recipient’s career was characterized by generous service to Tech.

In summary, the selection of the recipient was made on the basis of the individual as a whole.

The following rules were also drawn up and followed in making the selection:

1. The recipient had to be a full time member of the faculty actively engaged in teaching at the time that the selection was made.

2. Members of the administration were ineligible in spite of the fact that they had been members of the faculty in the past.

3. Heads of departments, unless they were carrying more than a half teaching load, in addition to their administrative duties, were ineligible.

4. Members of the Faculty Award Committee were ineligible.

5. Each member of the faculty was invited to submit one or more nominations.

6. Each member of the Committee was invited to submit one or more nominations.

Organization of the Award Committee
(Committee on Governance, November 20, 1995)

The selection committee for the Trustees’ Award for Outstanding Teaching was established by recommendation of the Committee on Governance, November 20, 1995, as follows:

COG recommends to the Provost and the Trustees’ Committee on Academic Policy and Student Affairs the following composition for the award committee: five faculty, including the three most immediately prior recipients (if willing and able to serve); one faculty member nominated by COG from a slate selected by CAP, CSA [now CASL], and CGSR; and one faculty member nominated
by the Provost; five students, including four undergraduates nominated by SGA and one graduate student nominated by GSA. The faculty serve rolling three-year terms; the students one-year terms.

B. Board of Trustees' Award for Outstanding Research and Creative Scholarship

Rules:

1. The Selection Committee shall consist of the three most recent recipients of the awards, the Associate Provost and a person selected by the Committee on Graduate Studies & Research. The chair of the committee should be the award recipient serving the third year. If the committee cannot be wholly formed in this manner, then the Chair of the Committee on Graduate Studies and Research shall make appointments as necessary.

2. Except in most unusual circumstances, not more than one such award will be made per year. There is no requirement that the award by made each year.

3. The name of the nominee selected should be given to the Provost by March 28.

4. The recipient must be a member of the WPI faculty as defined in the Constitution of the WPI faculty.

5. Members of the Selection Committee and previous recipients of the award are ineligible.

6. Nominations may be submitted by members of the faculty, department heads, administrators, and students.


8. The award should be for continuing creative scholarship over at least a five-year period at WPI rather than for a particular single accomplishment, although naturally an individual brilliant accomplishment should be weighed by the Committee.

9. The Selection Committee will select the award recipient by considering the creative scholarship of the nominees. They may solicit scholarship materials from the nominators, nominees, department heads, or others as necessary. Such supporting materials should reflect a minimum five-year period at WPI.

10. Revisions of these rules may be initiated by the Selection Committee. Proposed changes will be submitted to the Provost.

Note 1: The Award is conferred for scholarship and research in a discipline regardless of the individual’s department.

Note 2: The term “creative scholarship” encompasses creativity exemplified in works such as musical composition and poetry.
C. Board of Trustees' Award for Outstanding Academic Advising

Resolution Re: Trustees’ Award For Outstanding Academic Advising – February 2000

Intention:

In recognition of the important role that academic advisors play in guiding and mentoring students through states of professional and personal development, the WPI student chapter of Tau Beta Pi, the national engineering honor society, has for about 10 years presented an annual award for outstanding academic advising. This faculty member is selected based on input from the entire WPI student body.

The students of Tau Beta Pi, wishing to enhance the status and recognition of academic advising on the WPI campus, are requesting that the WPI Board of Trustees establish a WPI Trustees’ Award for Outstanding Academic Advising, to be awarded at Faculty Convocation along with the current awards for outstanding teaching and outstanding creative scholarship. It is their hope that this award would gain the prestige already accorded to the existing two Trustees’ Awards, and that it would carry the same monetary stipend. The faculty Committee on Advising and Student Life voted to endorse this recommendation at their meeting of January 26, 2000, and WPI’s senior administration endorses that recommendation.

Resolution:

THEREFORE, BE IT RESOLVED, that the Board of Trustees, upon the recommendation of the senior administration of WPI, hereby establishes the Trustees’ Award for Outstanding Academic Advising to be presented annually and to carry with it a stipend equal to the then current stipends for the Trustees’ Awards for outstanding teaching and outstanding creative scholarship.

D. Romeo L. Moruzzi Young Faculty Award for Innovation in Undergraduate Education

Romeo Moruzzi grew up in the north end of Boston and served with the U.S. Air Force in Europe during World War II. After the war, he graduated from Northeastern, received his Master's Degree from Harvard and his Doctor of Engineering degree from Yale.

In 1954, after several years on the faculty of the University of Connecticut, he joined the Electrical Engineering Department of WPI. He set exceptionally high standards for his students while always concerned with their personal welfare. As the years went on, he served not only as a role model for his undergraduates, but a valued mentor to the younger faculty.

In the late 1960s, Romeo became a campus leader in two historic developments. Through his efforts, and at some risk to his own position he was the person primarily responsible for bringing tenure to the faculty of WPI. In 1969, he was one of the six faculty elected to the WPI Planning Committee which developed and promoted the famous "Two Towers" series. These documents revolutionized education at WPI, and in May 1970, they were accepted by the faculty for implementation as the WPI Plan.

Romeo retired from WPI in the late 1980s and passed away in 1993. It is in his memory that the Romeo L. Moruzzi Award has been established to recognize innovation in undergraduate education by a young faculty member. The Educational Development Council accepts nominations and selects the award winner on an annual basis.
**E. Denise Nicoletti Trustees’ Award for Service to Community**  
(Approved by the Trustees, March 2, 2003)

**Award Title:** Denise Nicoletti Trustees’ Award for Service to Community

**Award Description:**
This award is in memory of Denise Nicoletti, a faculty member in Electrical and Computer Engineering from 1991-2002, whose passion for life and humanity touched many lives. The award is intended to keep her spirit alive in the WPI community.

The award consists of an engraved plaque and a check. At the initiation of the award the amount of the check is $1500; this amount may increase commensurate with the other Trustee Awards.

**Eligibility**
1. The award may be given annually to a faculty or staff member with a minimum of one year of full time or part time employment at WPI at the time of his/her nomination.
2. Previous award winners are not eligible.

**Award Criteria**
1. The candidates for the award will be judged based on demonstrated passion and action in serving the needs of a community and genuine care for the enrichment of life for others. Service to WPI and other communities will be valued equally.
2. The service being evaluated for this award must go above and beyond the candidate's regular job description.
3. If there is no outstanding candidate in a given year, the award will not be given.
4. A maximum of one award may be made each year.

**Nomination**
Candidates will be determined by an open nomination process. Anyone inside or outside WPI may submit nominations. Nominations must include:

- Name of the nominee.
- Name and contact information of the nominator (self-nominations are acceptable).
- The capacity in which the nominator has known the nominee, and the length of time.
- Description of the nominee's eligibility for the award (at least 1-2 paragraphs). Please provide whatever information you believe would be helpful to the committee.
- Names and contact information of others who would be familiar with the candidate's qualifications.

The committee may seek additional information from the nominator or others.

Nominations must be submitted to the President’s Office or other designated location, with a target deadline of November 1 of each year, in hard copy or by email.

**Selection Committee**
The selection committee will consist of:

- Two faculty members, to be selected by the Provost;
- Two staff members, to be selected by Assistant Vice President of Human Resources
- One graduate student, to be selected by the Graduate Student Organization;
- One undergraduate student, to be selected by the Student Government Association;
• At the committee's discretion, an additional member from outside the WPI community may be added;
• After the first year in which the award is given, the committee will also include the most recent available award winner. If no previous award winners are available to serve, the committee will consist of the persons listed above.

Presentation
It is suggested that the current "Faculty Honors Convocation" be renamed "WPI Honors Convocation", be reorganized appropriately, and the presentation be made at that event.

The Spirit of Denise Nicoletti
Professor Denise Nicoletti was a member of the WPI faculty from 1991 until July 22, 2002.

She was the first tenured female faculty member in the history of Electrical and Computer Engineering Department. During eleven years of association with WPI she made major contributions to knowledge in her discipline, brought the outside world of engineering into her classroom, and became a mentor and a role model for WPI female students as well as new faculty/staff. Such was her compassion and commitment to each student that she greatly aided the academic success of the first blind student who graduated in electrical engineering at WPI.

Among her many contributions to the local community were the dissemination of science knowledge among youngsters, and the encouragement of young girls to "think engineering," to aspire to become tomorrow's scientists and astronauts. This thrust culminated in the foundation of Camp Reach in 1996 and an NSF-funded project for developing pre-engineering curricula for grades K - 6.

All of her activities were marked by concern for the disadvantaged and for the student in trouble. She upheld high standards of fairness and ethical conduct, and she stood up for the rights of women on the WPI campus. She contributed broadly to the welfare of students and to the advancement of WPI, leaving an indelible mark with her teaching, advising and her humane attitude. She accomplished all these things within the context of her family and local community, being a mother, a wife, and an active member of her church congregation.
7. CATEGORIES OF FACULTY MEMBERS AT WPI *
(Approved by the Faculty, March 22, 2012)

A. The Role of the Tenured and Tenure-Track Faculty:

The tenured and tenure-track Faculty at WPI play the primary role in fulfilling the University’s academic mission and in shaping and delivering WPI’s academic programs. The tenured and tenure-track Faculty is distinct in that it shares in the governance of the University with the governing body and its appointed administrative officers.

B. Categories of Non-Tenure Track Faculty and their Roles:

- Continuing Non-Tenure Track Faculty: Continuing non-tenure track faculty members are full-time employees of the University who are hired with the expectation that they will have significant and continuing academic responsibilities at WPI. Such faculty members may have a focus in either teaching or research, but they make a range of contributions, including different forms of service to the University. They are an integral part of the fabric of the campus.

- Adjunct Non-Tenure Track Faculty: Adjunct non-tenure track faculty are part-time employees of the University who play specific roles. Some adjunct faculty members develop long-term relationships with WPI and take on significant responsibilities. Other adjunct faculty members may be hired for a specific limited period of time with no expectations that they will take on significant ongoing responsibilities.

C. Others with Teaching and Research Responsibilities at WPI:

- Visiting Faculty: Visiting faculty members are Assistant, Associate, or (full) Professors who are visiting from some other institution, for periods up to one full year. Appointment as a Visiting faculty member would not be made for other full-time non-tenure track appointments.

- Post-Doctoral Scholars: Postdoctoral scholars are individuals who have received a doctoral degree (or equivalent) and are engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path.

D. Titles:

- for Tenured and Tenure-Track Faculty: The titles for tenured and tenure-track faculty members are limited to Assistant, Associate and (full) Professor.

- for Continuing Non-Tenure Track Faculty:

  Instructor/Lecturer; Senior Instructor/Lecturer; or Assistant, Associate, and (full) Teaching Professors: These are full time non-tenure track faculty members who are hired primarily to contribute to the teaching mission of WPI. The titles of Assistant, Associate, and (full) Teaching Professor will be awarded only to those individuals with both a Ph.D. degree (or the recognized highest degree for the discipline) and with teaching credentials appropriate to the corresponding tenured or tenure-track rank. Instructor and Lecturer are equivalent positions.

  Assistant, Associate, and (full) Research Professors: These are full-time non-tenure track faculty members who are hired primarily to contribute to the research mission of WPI. These titles Assistant, Associate, and (full) Research Professor will be awarded only to those individuals with both a Ph.D. degree (or the recognized highest degree for the discipline) and with research credentials appropriate to the corresponding tenured or tenure-track rank.

  Professors of Practice: These are full-time non-tenure track faculty members who, by virtue of their non-academic industry-related experiences, are hired to bring a unique, current area of expertise to teaching. This experience and expertise must be distinct from that which would be
brought by a conventional tenured or tenure-track faculty member and should be aligned with a specific institutional need or required area of expertise.

- for Adjunct Non-Tenure Track Faculty:
  
  **Adjunct Instructor/Lecturer; or Adjunct Teaching Professor:** These are assigned to individuals hired on a part-time basis to contribute to the teaching mission of WPI. The title of Adjunct Teaching Professor will be made to those individuals with both a Ph.D. degree (or the recognized highest degree for the discipline) and with teaching credentials appropriate to the corresponding tenured or tenure-track rank. These are part-time non-tenure track faculty members who are hired primarily to contribute to the teaching mission of WPI.

E. Appointment, Evaluation, and Promotion Procedures for Continuing Non-Tenure Track Faculty:

- For Instructor/Lecturer and Senior Instructor/Lecturer:

  **Term(s) of Appointment:** Initial appointments at the Instructor/Lecturer or Senior Instructor/Lecturer will be for one-year terms. Subsequent appointments can be for one-, two-, or three-year terms. All appointments, regardless of their duration, will be reviewed on an annual basis.

  **Initial Appointment:** The evaluation for initial appointment of an Instructor/Lecturer or a Senior Instructor/Lecturer will be made by the Department Head and/or Program Director, Dean, and Provost. The candidates for these positions must have an advanced degree or its equivalent appropriate for the course(s) to be taught. In addition, the candidate must have some level of documented teaching experience appropriate for the course(s) to be taught.

  **Evaluations:** After the initial appointment, the Instructor/Lecturer or Senior Instructor/Lecturer will have established a record of teaching at WPI. Continuing performance evaluations, based on course evaluations, project evaluations, and other relevant feedback, will be made by the Department Head and/or Program Director (with input from departmental and/or program faculty members), the appropriate Dean, and the Provost on a year-by-year basis. These annual evaluations will include a written evaluation to be kept on file.

  **Promotions:** Recommendations for promotion from Instructor/Lecturer to Senior Instructor/Lecturer or from Instructor/Lecturer (of either level) to Assistant Teaching Professor will be made by the Department Head and/or Program Director (with input from departmental and/or program faculty members) and the appropriate Dean, and presented to the Provost for action. These recommendations will be made based on the evaluations accounting for course evaluations, project evaluations, and other relevant feedback. Promotion to Assistant Teaching Professor will be made only to those individuals with both a Ph.D. degree (or the recognized highest degree for the discipline) and with teaching credentials appropriate to the corresponding tenured or tenure-track rank.

- For Assistant, Associate, or (full) Teaching Professor:

  **Term(s) of Appointment:** Initial appointments of Assistant, Associate, or (full) Teaching Professors will be for one-year terms. Subsequent appointments can be for one-, two-, or three-year terms. All appointments, regardless of their duration, will be reviewed on an annual basis. Multi-year appointments may be shortened due to unforeseen changes in WPI’s strategic needs. The titles of Assistant, Associate, and (full) Teaching Professor will be awarded only to those individuals with both a Ph.D. degree (or the recognized highest degree for the discipline) and with teaching credentials appropriate to the corresponding tenured or tenure-track rank.
Initial Appointment: The evaluation for the initial appointment of an Assistant, Associate, or (full) Teaching Professor will be made by a search committee consisting of a Department Head and/or Program Director and at least two tenured faculty members. This group could be the same as the Department’s standing tenure committee. The initial appointment of Assistant Teaching Professors will require approval of the appropriate Dean and the Provost. The initial appointment of Associate or (full) Teaching Professors will require both review by COAP and approval of the appropriate Dean and the Provost. The candidate for an Assistant, Associate, or (full) Teaching Professor position should have both a Ph.D. degree (or the recognized highest degree for the discipline) and teaching credentials and accomplishments appropriate to the corresponding tenured or tenure-track rank.

Evaluations: After the initial appointment, the Assistant, Associate, or (full) Teaching Professors will have established a record of teaching at WPI. Continuing evaluation of teaching performance, based on course evaluations, project evaluations, and other relevant feedback, will be made by the Department Head and/or Program Director, the appropriate Dean, and the Provost on a year-by-year basis. Annual performance evaluations will also take into consideration any other activities described in the official letter of appointment from the Provost. These annual evaluations will include a written evaluation to be kept on file.

Promotions: Recommendations for promotion to the Associate and (full) Teaching Professors level will be made by the Department Head and/or Program Director (with input from departmental and/or program faculty members) and the appropriate Dean, reviewed by COAP, and then passed to the Provost for action. The standards used to grant these promotions should be identical (with respect to teaching performance and credentials) as those used in the corresponding promotions of the tenured faculty (see Section 7F).

• For Assistant, Associate, or (full) Research Professors:

Term(s) of Appointment: Terms of appointments of Assistant, Associate, or (full) Research Professors are negotiated on a case-by-case basis with one- or two-year appointments the most common. The titles of Assistant, Associate, and (full) Research Professor will be awarded only to those individuals with both a Ph.D. degree (and the recognized highest degree for the discipline) and with research credentials appropriate to the corresponding tenured or tenure-track rank.

Initial Appointment: The evaluation for the initial appointment of an Assistant, Associate, or (Full) Research Professor will be made by the Department Head and/or Program Director, and members of the WPI Faculty whose research is most relevant to the work to be done by the candidate. The initial appointment of an Assistant Research Professor will require approval of the appropriate Dean and the Provost. The initial appointment of Associate or (full) Research Professors will require both review by COAP and approval of the appropriate Dean and the Provost. The candidate for an Assistant, Associate, or (full) Research Professor position should have both a Ph.D. degree (or the recognized highest degree for the discipline) and research credentials and accomplishments appropriate to the corresponding tenured or tenure-track rank.

Evaluations: After the initial appointment, the Assistant, Associate, or (full) Research Professors will have established a record of research at WPI. Continuing performance evaluations, based primarily on research accomplishments at WPI, will be made by the Department Head and/or Program Director, members of the WPI Faculty whose research is most relevant to the work done by the candidate, the appropriate Dean, and the Provost on a year-by-year basis. Annual performance evaluations will also take into consideration any other activities described in the official letter of appointment from the Provost. These annual evaluations will include a written evaluation to be kept on file.
Promotions: Recommendations for promotion to the Associate and (full) Research Professor level will be made by the Department Head and/or Program Director (with input from members of the WPI Faculty whose research is most relevant to the work done by the candidate and from other departmental faculty members as is appropriate) and the appropriate Dean, reviewed by COAP, and then passed on to the Provost for action. The standards used to grant these promotions should be identical (with respect to research performance and credentials) as those used in the corresponding promotions of the tenured and tenure-track faculty members (see Section 7F).

- For Professors of Practice:

Term(s) of Appointment: Initial appointments of Professors of Practice will be for a maximum of five years. All appointments, regardless of their duration, will be reviewed on an annual basis. Multi-year appointments may be shortened due to changes in WPI’s strategic needs.

Professors of Practice are full-time non-tenure track faculty members who, by virtue of their non-academic industry-related experiences, are hired to bring a unique, current area of expertise to teaching. This experience and expertise must be distinct from that which would be brought by a conventional tenured or tenure-track faculty member and should be aligned with a specific institutional need or required area of expertise.

After five years at WPI, if the Professor of Practice has maintained significant relevant currency within the field, has demonstrated high quality performance at WPI, and there remains a strong continued institutional need that still cannot be filled by hiring a tenured or tenure-track faculty member, then a Professor of Practice may receive an additional appointment (reviewed annually) for a maximum of three years. Multi-year appointments may be shortened due to changes in WPI’s strategic needs. Subsequent (maximum) three-year appointments can be made under the same circumstances as the first three-year appointment. Such appointments may be shortened due to changes in WPI’s strategic needs.

Initial Appointment: The evaluation for the initial appointment of a Professor of Practice will be made by a search committee consisting of a Department Head and/or Program Director and at least two tenured faculty members. This group could be the same as the Department’s standing tenure committee. The initial appointments of Professors of Practice will require both review by COAP and approval of the appropriate Dean and the Provost. The candidate for Professor of Practice should, by virtue of his or her non-academic industry-related experiences, bring a unique current area of expertise to teaching. This experience and expertise must be distinct from that which would be brought by a conventional tenured or tenure-track faculty member and should be aligned with a specific institutional need or required area of expertise. The review by COAP should be based on the extent to which these criteria are met, and on the quality of the candidate’s experience to date.

Evaluations: After the first year at WPI, the Professor of Practice will have established a record of teaching at WPI. Annual evaluations will include assessment of high quality teaching (based on course evaluations, project evaluations, and other relevant feedback) and documented evidence that the Professor of Practice has maintained significant relevant currency in the field. These evaluations will be made by the Department Head and/or Program Director, the appropriate Dean, and the Provost, and will also take into consideration any other activities described in the official letter of appointment from the Provost. These annual evaluations will include a written evaluation to be kept on file.

Appointments beyond five years: After five years, the Department Head and/or Program Director (with input from members of the department and/or program and the appropriate Dean) may recommend that a Professor of Practice receive subsequent (maximum) three-year appointments,
to be reviewed annually subjected to the annual evaluations described above. These three-year appointments are to be reviewed by COAP and passed on to the Provost for action. The Professor of Practice to be reappointed, should by virtue of his or her non-academic industry-related experiences, continue to bring a unique current area of expertise to teaching. This experience and expertise must be distinct from that which would be brought by a conventional tenured or tenure-track faculty member and should be aligned with a specific institutional need or required area of expertise. The review by COAP should be based on the extent to which these reappointment criteria are met, on the quality of teaching performance (and of any other activities described in previous appointment letters) at WPI, and on documented evidence that the Professor of Practice has maintained significant relevant currency in the field (see Section 7F). These appointments are contingent on a continued institutional need for the Professor’s of Practice specific area of expertise. Any multi-year appointments may be shortened due to changes in WPI’s strategic needs.

F. Criteria for promotion to the indicated non-tenure track ranks:
(Approved by the Faculty, April 17, 2014)

- **Assistant Teaching Professor** The candidate for promotion to assistant teaching professor must possess a PhD. degree (or the recognized highest degree for the discipline) and have demonstrated effective teaching ability.

- **Associate Teaching Professor** The candidate for promotion to associate teaching professor must have completed at least three years as an assistant teaching professor, and will normally have completed at least five years. The candidate must have exhibited high quality teaching (undergraduate and/or graduate). High quality teaching can be evidenced in many ways, including (but not limited to): course evaluations; faculty peer evaluations; evaluations by alumni; the quality of the Major Qualifying Projects, Interactive Qualifying Projects, the Humanities Inquiry Seminar or Practicum, and graduate student work; freshman advising, academic advising; teaching innovations; new course introductions; and redesign of existing courses. Service is valued and considered in the promotion review. Service can be evidenced in many ways, including (but not limited to): service to WPI (committee work, assistance to administrative offices); service to the candidate's department (curriculum committees, MQP area coordinators, faculty recruitment, seminar series participation and coordination); and service to the profession (participation in national and international committees and panels, in local chapters of professional societies, in conference organization).

- **(Full) Teaching Professor** To be considered for promotion to teaching professor, an associate teaching professor must have demonstrated considerable professional growth and development of qualities of leadership. This usually requires at least five years as an associate teaching professor. The candidate must have recent accomplishments of high quality in teaching as well as demonstrated leadership in some aspect of teaching. This leadership must be recognized by peers within WPI, and acknowledgement by external peers would be viewed favorably. High quality teaching can be evidenced in many ways, including (but not limited to): course evaluations; faculty peer evaluations; evaluations by alumni; the quality of the Major Qualifying Projects, Interactive Qualifying Projects, the Humanities Inquiry Seminar or Practicum, and graduate student work; freshman advising, and academic advising; teaching innovations; new course introductions; and redesign of existing courses. In evaluating teaching qualifications, the Committee on Appointments and Promotions will consider innovations in teaching and adaptability to the needs of WPI, effectiveness as measured by students, alumni, and colleagues, and the candidate's overall impact and importance in WPI academic programs. Leadership accomplishments in teaching may be demonstrated by some or all of the following: exceptionally high quality teaching that serves as a model for others, development of new courses or other academic activities such as project experiences, leadership in curricular
revisions or other academic initiatives within WPI, leadership of teaching- and learning-related grant proposals and funded projects, publications and presentations related to teaching, and leadership roles in appropriate professional organizations. Service is valued and considered in the promotion review. Service can be evidenced in many ways, including (but not limited to): service to WPI (committee work, assistance to administrative offices); service to the candidate's department (curriculum committees, MQP area coordinators, faculty recruitment, seminar series participation and coordination); and service to the profession (participation in national and international committees and panels, in local chapters of professional societies, in conference organization).

- **Associate Research Professor** The candidate for promotion to associate research professor must have completed at least three years as an assistant research professor, and will normally have completed at least five years. The candidate must have exhibited high quality scholarship. High quality scholarship can be evidenced in many ways, including (but not limited to): peer-reviewed publications such as journal articles, conference papers, and/or book chapters; books; exhibitions, and performances; professional awards; citations in the professional literature; presentations at professional meetings; grant proposals and grants awarded; offices held in professional societies; journal editorships; reviews of papers and proposals; and patents. Service is valued and considered in the promotion review. Service can be evidenced in many ways, including (but not limited to): service to WPI (committee work, assistance to administrative offices); service to the candidate's department (such as faculty recruitment, seminar series participation and coordination); and service to the profession (participation in national and international committees and panels, in local chapters of professional societies, in conference organization).

- **(Full) Research Professor** To be considered for promotion to research professor, an associate research professor must have demonstrated considerable professional growth and development of qualities of leadership. This usually requires at least five years as an associate research professor. The candidate must have recent accomplishments of high quality and demonstrated leadership in scholarship/creativity. This leadership must be recognized by peers within WPI, and by knowledgeable people outside WPI. Scholarship and/or creativity can take many forms. It may be demonstrated, for example, by publications in respected research or scholarly journals, by non-routine presentations at meetings of professional or scholarly societies or at seminars at other colleges, or by authorship of well-regarded textbooks or monographs. Creativity may be shown, for example, by applying knowledge as a consultant or inventor, and through artistic publications, exhibitions, or productions. In evaluating this activity, the Committee will consider how it is regarded by knowledgeable peers. Service is valued and considered in the promotion review. Service can be evidenced in many ways, including (but not limited to): service to WPI (committee work, assistance to administrative offices); service to the candidate's department (such as faculty recruitment, seminar series participation and coordination); and service to the profession (participation in national and international committees and panels, in local chapters of professional societies, in conference organization).

G. **Criteria for re-appointment as Professor of Practice** The candidate for re-appointment as Professor of Practice must demonstrate that he/she continues to bring a unique current area of expertise, by virtue of non-academic industry-related experiences, in an area of institutional need, to teaching, and that his/her teaching performance is of high quality. The professional expertise and continued currency in the field must be supported by documented evidence, such as by reviews from knowledgeable persons external to WPI. Appropriate activities could include such industry-related experiences as summer or part-time positions, production of commercial designs or other artifacts, consulting activities that are material in terms of time and substance, leadership
positions in recognized professional societies, relevant, active service on boards of directors, documented continuing professional education experiences, scholarly or professional publications or presentations, and significant participation in professional conferences.