

RULES & PROCEDURES
OF THE FACULTY
OF
PRINCETON UNIVERSITY
AND OTHER PROVISIONS OF CONCERN
TO THE FACULTY

Office of the Dean of the Faculty
Princeton University
Princeton, New Jersey
April 2022

UNIVERSITY CONFIDENTIAL

PREFACE

The *Rules and Procedures of the Faculty of Princeton University* is a compilation of basic information of immediate interest and concern to members of the Faculty and to other officers of instruction and administration. Included are rules concerning faculty members which have been adopted by the Board of Trustees and by the Faculty itself, as well as rules and procedures dealing with matters of undergraduate and graduate instruction and research activities in which faculty members may be involved. Appendix A contains the rules adopted by the Faculty establishing the Council of the Princeton University Community. Appendix B contains a description of the duties of a number of University academic and administrative officers.

The following publications of Princeton University contain material of interest to the Faculty, but not included in this volume.

1. The *Graduate School Announcement* and the *Undergraduate Announcement* contain general academic information, detailed curricula, course descriptions, and departmental mastheads.
2. The Dean of the Faculty's website provides additional guidelines and information.
3. *Rights, Rules, Responsibilities*

DISCLAIMER

Particular rules and procedures set forth in this booklet may be changed from time to time by appropriate action of the Board of Trustees, or in other instances by the body responsible for a matter in question. Such changes are effective as set forth upon enactment, and information about them may be obtained from the Office of the Dean of the Faculty.

NONDISCRIMINATION STATEMENT

In compliance with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and other federal, state, and local laws, Princeton University does not discriminate on the basis of age, race, color, sex, sexual orientation, gender identity or expression, religion, national or ethnic origin, disability, or status as a disabled or Vietnam era veteran in any phase of its employment process; in any phase of its admission or financial aid programs; or other aspects of its educational programs or activities. The Vice Provost for Institutional Equity and Diversity is the individual designated by the University to coordinate its efforts to comply with Title IX, Section 504 and other equal opportunity and affirmative action regulations and laws. Questions or concerns regarding Title IX, Section 504 or other aspects of Princeton's equal opportunity or affirmative action programs, should be directed to the Office of the Vice Provost for Institutional Equity and Diversity, Princeton University, 205 Nassau Hall, Princeton, NJ, 08544; or call 609-258-6110.

CONTENTS

PREFACE	i
DISCLAIMER	ii
NONDISCRIMINATION STATEMENT	iii
I: THE CALENDAR	I
II: GOVERNANCE.....	3
A. The Board of Trustees	3
B. The Officers of the University.....	7
C. The Faculty	11
D. Faculty Committees	15
III: ACADEMIC STRUCTURE OF THE UNIVERSITY	35
A. Academic Divisions.....	35
B. Academic Units	35
C. Academic Councils	37
D. Advisory Councils	38
IV: THE FACULTY	39
A. Appointment and Advancement of Professors.....	39
B. Appointment and Advancement of Associate Professors.....	39
C. Appointment and Advancement of Assistant Professors	40
D. Appointment and Advancement of University Lecturers	44
E. Appointment and Advancement of Professors of the Practice.....	45
F. Appointment and Advancement of Senior Lecturers	47
G. Appointment and Advancement of Lecturers.....	48
H. Appointment and Advancement of Instructors.....	49
I. General Observations	50
J. Affirmative Action.....	51
K. Compensation and Service Arrangements.....	51
L. Leaves of Absence	52
M. Outside Professional Activities	55
N. Retirement.....	58
O. Separation as a Result of Disability	58
P. Disciplinary Action.....	58

V: RULES AND POLICIES	65
A. Tutoring	65
B. Nepotism	65
C. Consensual Relations with Students.....	66
D. Discrimination, Harassment, and Sexual Misconduct	68
E. Use of University Identification.....	77
F. Confidentiality.....	77
G. Misconduct in Research.....	78
H. Campus Disruptions.....	82
I. Classroom Learning Environment	82
J. Conflicts of Interest in Research	83
VI: CONDUCT OF UNDERGRADUATE COURSES OF STUDY	87
A. Undergraduate Course Mechanics	87
B. Term Papers, Examinations, and Final Grades in Undergraduate Courses	88
C. Departmental Concentration	94
D. Procedures for Setting Policy	95
VII: CONDUCT OF GRADUATE COURSES OF STUDY.....	99
A. Procedures for Setting Policy.....	99
VIII: CONDUCT OF RESEARCH	101
A. University Research Funds	101
B. Research Supported by Outside Funds	101
C. Committees Governing Research.....	106
D. Intellectual Property	109
E. Classified Research	116
APPENDIX A	
The Council of the Princeton University Community	117
APPENDIX B	
Corporate Officers.....	137
APPENDIX C	
Guidelines for the Conduct Of Inquiries by the Committee on Conference and Faculty Appeal	143

I: THE CALENDAR

Effective July 1, 2020

FALL TERM

1. When Labor Day falls between September 1 and 5, the Fall Term begins on the Tuesday after Labor Day between September 2 and 6. When Labor Day falls on September 6 or 7, the Fall Term begins on the Wednesday prior to Labor Day on September 1 or 2, termed the 'early years' in the remainder of this chapter. The Fall Term continues until Spring Term begins.
2. The Fall Term includes a midterm recess of nine days, a Thanksgiving recess of five days, a reading period of eight days, an examination period of seven days, a Winter recess of nineteen to twenty-three days, and a Wintersession period of two weeks.
3. The Fall Term recess begins after the conclusion of the last class exercise on the Friday of the sixth full week of the term.
4. The Thanksgiving recess begins at the conclusion of the last class exercise on the Tuesday preceding Thanksgiving and ends on the following Sunday. The Tuesday preceding Thanksgiving will follow a Friday schedule, except in the early years.
5. The Fall Term reading period begins on the Friday between December 5 and 9 and continues until the beginning of final examinations on the Saturday between December 13 and 17, except in the early years. In the early years, the Fall Term reading period begins on the Tuesday between December 7 and 8 and continues until the beginning of final examinations on the Wednesday between December 15 and 16. Examinations end on the Friday between December 19 and 23, except in the early years when they end on the Tuesday between December 21 and 22.
6. The Winter recess begins after the conclusion of the last final exam in the Fall Term between December 19 and 23, and ends on the Sunday between January 9 and 15.

The Calendar

7. The Wintersession period starts on the Monday between January 10 and 16, and ends on the Sunday between January 23 and 29.

SPRING TERM

1. The Spring Term begins on the Monday between January 24 and 30 and continues until Commencement Day.
2. The Spring Term includes a midterm recess of nine days, a reading period of nine days, and an examination period of nine days (with senior comprehensive exams on the first two days).
3. Spring Term recess begins after the conclusion of the last class exercise on the Friday of the sixth week of the term.
4. The Spring Term reading period begins on the Monday between April 25 (April 24 in a leap year) and May 1 and continues until the beginning of examinations on the Wednesday between May 4 (May 3 in a leap year) and May 10. Examinations end on the Thursday between May 12 (May 11 in a leap year) and May 18.

GENERAL

1. Commencement Day is the Tuesday between May 24 (May 23 in a leap year) and May 30.
2. On years when conflicts with religious holy days arise, the Faculty Committee on Classrooms and Schedule may have to make modifications in the calendar.

II: GOVERNANCE

A. THE BOARD OF TRUSTEES

The Corporation now known as **The Trustees of Princeton University** had its origin in a *Charter*, granted under King George the Second on October 22, 1746. The *Charter*, which has been amended several times, now states: “The purposes of the corporation are the conduct of a university not for profit, including colleges and schools affiliated therewith, in various branches within or without the State of New Jersey, both graduate and undergraduate; the promotion, advancement, evaluation and dissemination of learning by instruction, study and research in the humanities, religion, social sciences, natural sciences, engineering and applied sciences; the awarding of certificates, diplomas and degrees; and engagement and participation in projects of instruction, study and research for the benefit of national, state, and local governments and for the general public welfare.”

All the powers of the Corporation are vested in the Board of Trustees. A copy of the Board of Trustees Bylaws, which explains in detail the responsibilities of the Board, its organization, and the duties and responsibilities of academic and corporate officers, may be obtained from the Office of the Vice President and Secretary of the University.

1. MEMBERSHIP

The Bylaws specify that the Board shall be composed of not less than twenty-three nor more than forty Trustees, of whom the Governor of the State of New Jersey and the President of the University are Trustees ex officio during their respective terms of office.

2. MEETINGS

The Board meets five times a year. Much of the business of the Board is conducted through its committees. The standing committees of the Board include an Executive Committee, which has, with few exceptions, all the powers and duties of the Board between meetings of the Board. Other standing committees have responsibilities pertaining, among other things, to finance, to academic affairs, to grounds and

Governance

buildings, to university resources, and to student life, health and athletics.

- 3. STATEMENT OF POLICY ON DELEGATION OF AUTHORITY**
Adopted by the Board of Trustees, 24 October 1969; reaffirmed (with amendments) *in 1992, 2005, 2011, and 2019.*

Resolution on Delegation of Authority

The Board of Trustees exists to ensure that the University carries out in perpetuity its educational and research mission. The Board's role is to govern, not to manage. In order to clarify the actual practice and procedures followed in the governance of the University, the Board declares its intent, in matters of policy as well as of operations, to continue to delegate broad authority to the President, to the officers of the administration, the Faculty, and the students as more specifically set forth below. While the Trustees may and do delegate authority in wide areas, they cannot either delegate it irrevocably or consign to any other parties their final responsibilities under the law and the terms of the Princeton *Charter*.

Policy initiative in almost all areas usually rests with the President and various members of the resident University community. Beyond this there have evolved, generally speaking, three modes by which Trustees, normally acting through Board committees, delegate, share or directly exercise their powers and responsibilities in University operations and decision making: (1) broad delegation subject to the Board's oversight and general review; (2) delegated responsibility subject to prior review and approval by the Board; and (3) direct exercise of authority by the Board.

Section 1. Broad Delegation Subject to Oversight and General Review:

In areas relating most directly to the academic mission of the University, the Trustees have made the broadest delegations of authority to the President, other administrative officers, and to the Faculty. In these areas, the Trustees exercise their responsibilities primarily through appropriate review of the integrity and effectiveness of the procedures of the University. In appointing members of the Faculty, the Trustees are guided almost entirely by the recommendations of the President and Advisory Committee on Appointments and Advancements. In matters of curriculum, the creation and abolition of courses, the establishment of requirements for degrees, the prescription of academic procedures, and in most matters within the purview of the University Research Board, the Trustees have delegated their authority to the President and Faculty,

to be exercised through the appropriate bodies and officers of the University. Procedures for recruiting undergraduate students, including criteria for admission, are the responsibility of the President, the Dean of the College, and the Dean of Admission, acting pursuant to policies determined with the advice of Faculty committees on admission, subject to the general review of the Trustees. Similar oversight is also exercised by the Trustees over recruiting and admission of graduate students, which is the primary responsibility of the Graduate School, acting with the advice of academic departments. Oversight of student life and discipline, including the formulation of rules of conduct and dormitory regulations, has been delegated to the President and Faculty to be exercised in accordance with duly constituted procedures.

Library operations are managed by the Librarian under the direction of the Provost, with the advice of Faculty and student committees, the Trustees' concern being directed to the overall quality of the Library and the effectiveness of its operations. Likewise, in the areas of health and athletics the Trustees exercise general oversight. Requirements for physical space and services are formulated by the administration with the advice of departments and subject to general review by the Trustees. The administration has responsibility for ongoing plant operations about which it reports regularly to the Board.

Section 2. Delegated Responsibility Subject to Prior Review and Approval: In areas where authority is not broadly delegated (Section 1) or directly exercised by the Trustees (Section 3), the Trustees share responsibility with the President and, as appropriate, the Faculty and administration. It is assumed that major changes in institutional priorities, major changes in policy, initiatives that involve substantial new claims on funds, and other undertakings with potentially far-reaching implications for the University will be brought to the Trustees for review and approval before final decisions or commitments are made. Relative to such matters, the Trustees endeavor to achieve informed consensus. Accordingly, matters of this type should be presented to the Trustees in sufficient detail and with enough lead-time to enable the Board to engage in robust discussion and provide input that can be considered and, if appropriate, incorporated before the matter is presented to the Board for approval. The types of matters in which the Board generally seeks to reach informed consensus include changes in instructional method of broad bearing for the institution, the principles governing the setting of tuition and fees, material steps to be taken to improve the social and living conditions of students, plans calling for the

Governance

establishment or abolition of departments or schools, changes in admissions policies affecting sizable categories of potential students, and material changes in relations with outside educational and social institutions and governmental agencies.

Section 3. Authority directly exercised: In matters concerning financial health, resource allocation and physical properties, the Trustees participate directly in the formulation of policy and the conduct of the business of the University. The preparation of the annual budget proceeds through a complex process under the direction of the President and the supervision of the Provost. Trustees review the development of the budget at various stages in the process, leading to a final approval vote. The Princeton University Investment Company oversees the investment of University funds under the general control of the Board and the Committee on Finance. Through the Committee on University Resources, the Trustees establish fund-raising policies, approve campaigns and other major development programs, and help to identify important sources of potential financial support, and to raise funds. Through the Committee on Grounds and Buildings, and with the advice of the President and other resident members of the University with relevant interests and competence, the Trustees oversee long-range physical planning, as well as the location, design and construction of University buildings and the stewardship of the physical campus.

In addition to what has been indicated above, it is understood more generally that the Board may contribute advice and criticism to the shaping of academic programs and the conduct of the affairs of the University. If the Board is to assess general policies wisely, it must be fully and currently informed and be alert and sensitive to particular conditions and requirements. Members of the Board often have experience and competence that can be helpful to the University in its dealing with specific problems, and their advice is most valuable in the early consideration of new policies.

In the normal course, it is the stated intent of the Trustees to continue the general arrangements described above. Modifications of these arrangements may from time to time be adopted in order to improve the University's pursuit of its essential missions and to give the Trustees the benefit of wider points of view in the exercise of the power and authority vested in the Board by the law and the Charter of the University.

4. RECOMMENDATIONS OF THE FACULTY ON THE SELECTION OF THE PRESIDENT

- a. There should be at least one Faculty representative from each Division of the University and at least one non-tenured member of the Faculty on a committee elected to advise the Board of Trustees in any future search for a President of the University.
- b. Representatives of the student body, and at least one elected member of the staff, should participate in consideration of candidates for President of the University.
- c. The members of the Faculty, student body, and staff so consulted by the Board of Trustees should be elected by a procedure which will insure, insofar as that is possible, that they represent such diversity of opinion as may exist within the student body and the Faculty.

B. THE OFFICERS OF THE UNIVERSITY

The *Charter* as amended designates the President of the University as the chief executive and academic officer of the Corporation. A current list of the academic and corporate officers of the University is contained in the Bylaws and appended resolutions. The academic officers include the Provost, the Dean of the Faculty, the Dean of the Graduate School, the Dean of the College, the Dean for Research, the Dean of the School of Engineering and Applied Science, the Dean of the School of Public and International Affairs, the Dean of the School of Architecture, the Dean of Admission, the Librarian, the Vice President for the Princeton Plasma Physics Laboratory, and such other academic officers as the Board may elect. The corporate officers include the President, the Provost, the Executive Vice President, the Vice President for Finance and Treasurer, the Vice President and Secretary, the Vice President for Advancement, the Vice President for Communications and Public Affairs, the Vice President for Campus Life, the Vice President for Facilities, the Vice President for Computing and Information Technology, the Vice President for Human Resources, the Vice President for University Services, the Vice President and General Counsel, the President of the Princeton University Investment Company, the Vice President and Chief Audit and Compliance Officer, and such other corporate officers as the Board may elect. The academic and corporate officers are elected by the Board on the nomination of the President, and continue in office at the pleasure of the Board. Officers of the University may serve, ex officio, and without vote, on committees of

Governance

the Board as elected by the Board pursuant to the provisions of the Bylaws. The duties and responsibilities of the President and the academic officers are described below.

THE PRESIDENT

The President is charged with the general supervision of the interests of the University and has special oversight of the various departments of instruction. The President, when present, presides at all University convocations, and represents the University before the public.

In the absence or disability of the President, the Board or its Executive Committee may appoint an Acting President, to have the powers and duties of the President. If no such appointment is made, the Provost has the powers and duties of the President.

The President is an ex officio voting member of all standing committees of the Board of Trustees, except the Compensation Committee, and is chair of the Committee on Honorary Degrees.

The President is ex officio chair of the Faculty Committee on Committees, the Faculty Advisory Committee on Appointments and Advancements, the Faculty Advisory Committee on Diversity, and the Faculty Advisory Committee on Policy, and by custom, has the right of sitting with any Faculty Committee.

The President is an ex officio member of the Council of the Princeton University Community, its Executive Committee, and its Committee on Governance, and, when present, is the presiding officer at meetings of the Council and of its Executive Committee.

THE PROVOST

The Provost is the general deputy of the President in the supervision of the University. As the chief academic and chief budgetary officer of the University, under the President, the Provost is responsible for long-range planning and for the coordination of the administrative and support functions of the University with its academic purposes. When requested by the President, the Provost either accompanies the President or represents the President at meetings of Trustee Committees and of the Board.

The Provost chairs the Academic Planning Group, is ex officio chair of the Faculty Committee on the Library and Computing, and meets with the Faculty Advisory Committee on Appointments and Advancements, the Faculty Advisory Committee on Diversity, the

Faculty Advisory Committee on Policy, and as necessary with the University Research Board.

The Provost is an ex officio member of the Council of the Princeton University Community and presides at its meetings in the absence of the President. The Provost normally meets with the Executive Committee of the Council and is its presiding officer in the absence of the President, and the Provost is chair ex officio of the Council's Committee on Priorities.

The Provost has administrative oversight of the Office of the Vice President for Computing and Information Technology, the Office of the Dean of the Graduate School, the Office of the Dean of the College, the Office of the Dean for Research, the Dean of the School of Engineering and Applied Science, the Dean of the School of Public and International Affairs, the Dean of the School of Architecture, the Librarian, the Vice President for the Princeton Plasma Physics Laboratory, and such other administrative or academic offices as the President shall from time to time determine.

THE DEAN OF THE FACULTY

The Dean of the Faculty has administrative oversight of the academic departments, centers, institutes and programs, and of all such matters as pertain to the effectiveness and well-being of the Faculty, the Professional Researchers, the Professional Specialists, and the Professional Librarians. He or she may be authorized by and in the name of the President to make appointments to these professional staffs.

The Dean of the Faculty is an ex officio member of the Council of the Princeton University Community's Committee on Rights and Rules and Priorities Committee, and serves as secretary of the Faculty Advisory Committee on Appointments and Advancements, the Faculty Advisory Committee on Diversity, and the Faculty Advisory Committee on Policy. The Dean of the Faculty is an ex officio member of the Faculty Committees on the Course of Study, the Graduate School, and the Library and Computing, and meets with the Committee on Committees, and as needed, with the University Research Board.

THE DEAN OF THE GRADUATE SCHOOL

The Dean of the Graduate School has administrative oversight of graduate studies, of the curriculum of the Graduate School, of graduate student affairs, and of the Graduate College.

Governance

The Dean of the Graduate School is ex officio chair of the Faculty Committee on the Graduate School.

The Dean of the Graduate School is an ex officio member of the Faculty Committees on Public Lectures, Library and Computing, Classrooms and Schedule, University Student Life, and of the University Research Board, and meets with the Faculty Advisory Committee on Appointments and Advancements, the Faculty Advisory Committee on Diversity, and the Faculty Advisory Committee on Policy.

THE DEAN OF THE COLLEGE

The Dean of the College has administrative oversight of undergraduate studies, of admission to the undergraduate College, of the curriculum of the College, of the services and agencies designed to promote the academic development of undergraduates, of the residential colleges, and of the Office of the Registrar. The Dean of the College is also charged with the application and enforcement of the rules and standards relating to undergraduate scholarship, standing, and attendance in the University.

The Dean of the College is ex officio chair of the Faculty Committees on the Course of Study, Examinations and Standing, Classrooms and Schedule, and Undergraduate Admission and Financial Aid. The Dean of the College is an ex officio member of the Faculty Committees on Public Lectures, University Student Life, and the Library and Computing, and meets with the Faculty Advisory Committee on Appointments and Advancements, the Faculty Advisory Committee on Diversity, and the Faculty Advisory Committee on Policy.

THE DEAN OF THE SCHOOL OF ENGINEERING AND APPLIED SCIENCE

The Dean of the School of Engineering and Applied Science has Administrative oversight of the School of Engineering and Applied Science.

THE DEAN FOR RESEARCH

The Dean for Research is responsible for administrative oversight of the organized research activities throughout the University, dealing with questions of policy in the acceptance and administration of research grants and contracts, and general supervision over the application of duly established policy in this area. The Dean for Research also has administrative responsibility for programs designed to enlist financial

support for the University from corporations and foundations, and for research translation and technology licensing. The Dean chairs two committees of the Faculty, the University Research Board and the Committee on the Appointments and Advancements for the Professional Researchers and Professional Specialists. The Dean oversees the Office of Research and Project Administration, Office of Technology Licensing, Laboratory Animal Resources, Corporate Engagement and Foundation Relations, the Office of Research Integrity and Assurance, and certain multidisciplinary research centers.

THE DEAN OF THE SCHOOL OF PUBLIC AND INTERNATIONAL AFFAIRS

The Dean of the School of Public and International Affairs has administrative oversight of the School of Public and International Affairs.

THE DEAN OF THE SCHOOL OF ARCHITECTURE

The Dean of the School of Architecture has administrative oversight of the School of Architecture.

THE DEAN OF ADMISSION

The Dean of Admission has administrative oversight of the Office of Admission.

THE LIBRARIAN

The Librarian has administrative oversight of the Corporation's library system.

THE VICE PRESIDENT FOR THE PRINCETON PLASMA PHYSICS LABORATORY

The Vice President for the Princeton Plasma Physics Laboratory has administrative oversight of the Princeton Plasma Physics Laboratory.

C. THE FACULTY

i. MEMBERSHIP

a. The tenured faculty consist of the Professors and tenured Associate Professors, and the tenure-track faculty consist of the non-tenured Associate Professors and Assistant Professors. The Lecturer Ranks

Governance

consist of the University Lecturers, Professors of the Practice, Senior Lecturers, Lecturers, Instructors, Lecturers with the Rank of Professor, and Lecturers with the Rank of Associate Professor. The Faculty consists of the President, the Academic Officers, the tenured and tenure-track faculty, and the Lecturer Ranks. The President, the Academic Officers, the tenured and tenure-track faculty, and full-time members of the Lecturer Ranks are entitled to vote at meetings of the Faculty and in any circumstances where votes of the Faculty are taken. The University Librarian is also a voting member of the Faculty.

b. When on full-time appointment, holders of visiting appointments and Professional Librarians, Professional Researchers, and Professional Specialists are entitled to attend each meeting of the Faculty but they are not entitled to vote, except that members of the Professional Staffs who are assigned teaching duties and given the additional or “Lecturer with the rank of Associate Professor” are entitled to vote during the period of such additional designation.

c. The tenured and tenure-track faculty shall be elected by the Board upon the recommendation of the Academic Affairs Committee. Members of the Lecturer Ranks, including holders of visiting appointments and secondary appointments at these ranks, Professional Librarians, Professional Researchers, and Professional Specialists are appointed by the Dean of the Faculty on behalf of the President.

d. A member of the Faculty may not substitute or appoint anyone to perform his or her teaching duties who is not a member of the Faculty, unless prior approval is obtained from the Chair of the department or from the Dean of the Faculty.

2. MEETINGS

a. The President, when present, shall preside at meetings of the Faculty. In the President’s absence, the Provost shall preside.

b. The Clerk of the Faculty is a member of the Faculty elected by vote of the Faculty and continues in office at the pleasure of the Faculty. It is the Clerk’s duty to keep the minutes of all meetings, to give notification to the Faculty of special meetings and of important matters proposed for action at any meeting, and to perform the duties appropriate to the recording secretary of a deliberative body. The Clerk also serves as Secretary of the Committee on Committees.

c. Meetings of the Faculty shall normally be open for attendance as observers to representatives of the campus press, to members of the

Executive Committee of the Undergraduate Student Government, to members of the Executive Committee of the Graduate Student Government, to members of the Council of the Princeton University Community, to Officers of the Corporation, and to the Associate and Assistant Deans of the Faculty, of the Graduate School, of the College and of Student Life. Observers shall not attempt by word or deed to influence the proceedings. Meetings may be broadcast on campus radio, subject to the conditions of confidentiality specified below. Members of University or Faculty committees, who have been invited to appear in connection with a committee report, and other guests who have been invited by the President shall normally be free to remain during the whole session to which they have been invited. All in attendance shall be bound to preserve the confidentiality of any portion of a meeting that has been designated confidential by a motion to that effect, duly approved; and any session may be declared closed to observers, in whole or in part, on the vote of a two thirds majority of the Faculty Advisory Committee on Policy or on the request of one-third of the members of the Faculty present and voting.

d. Actions taken when the Faculty meets in executive session are to be held as confidential until released by the appropriate authority; and a member of the Faculty participating in a meeting held in executive session may assume that his or her utterances and votes will not be revealed to anyone outside the membership of the Faculty.

e. Minutes of meetings of the Faculty and committees thereof are closed for a period of twenty-five years. Exceptions may be made only with the prior approval of the Dean of the Faculty. However, summaries of minutes of Faculty meetings held after 12 May 1970, prepared by the Clerk of the Faculty, are available.

f. The University Faculty meets regularly during the academic year. The first meeting is on the Monday following Labor Day in September, and subsequent meetings are scheduled for the first Monday of every month during the academic year with the following exceptions: (i) if a meeting falls in recess, then the Faculty meets on the first Monday after the recess; (ii) unless the Faculty votes otherwise at its September and December meetings, no regular meeting is held in October or January, respectively; (iii) the May meeting will be held in late April, and the June meeting will be held in May. The regular hour of meeting is 4:30 p.m. and the regular location is the Faculty Room in Nassau Hall, but the presiding officer, in consultation with the Clerk of the Faculty, may

Governance

call the meeting for any hour and location which in their judgment seems desirable.

g. The President of the University, or in the President's absence the Provost, may call a special meeting of the Faculty at his or her discretion. The President, or in the President's absence the Provost, shall call a special meeting on the request of a committee or of any six members of the Faculty. The call for a special meeting shall state the purpose for which the meeting is called. It is understood that special meetings shall ordinarily be set for Monday.

h. All important proposals should be delivered in writing to the Clerk not later than noon on the second Wednesday preceding the meeting at which they shall be introduced, and the Clerk shall normally cause such proposals to be printed and distributed to the members of the Faculty, to be made public and placed on file, and to be placed in the Order of Business for that meeting, provided that no such proposal offered by an individual member shall be so treated unless it is seconded by another member.

i. A quorum at a Faculty meeting shall be five per cent of the voting members. By long standing practice a member of the Faculty must be present in order to cast a vote.

j. Normally, no major calendar proposal shall be acted on by the Faculty unless it shall have been presented at a preceding Faculty meeting.

k. The parliamentary procedure at meetings of the Faculty is that of *Robert's Rules of Order Newly Revised*, with the following modifications:

To Section 47. Reports of committees containing matters which should be of record shall be in writing. Unless otherwise ordered, these reports shall be placed on file, and only the recommendations in them which are adopted shall be recorded in the minutes.

To Section 51, subsection of Informal Consideration. All debate in meetings of the Faculty shall be conducted under the rules for Informal Consideration, unless the Faculty by a simple majority vote decides otherwise for a given main motion and its associated amendments.

To Section 36. A motion to reconsider may be moved at the meeting in which the original vote was taken, or at the next meeting, by anyone present when the vote was taken who did not vote in the minority.

To Section 42. The presiding officer shall have the same right to debate as other members, and need not yield the chair while speaking.

To Sections 4 and 42. The maker of a motion shall be permitted to close the debate on that motion even after the previous question has been voted.

1. The Faculty shall consider a second vote on any action taken on a proposal regarding the undergraduate curriculum when a second vote has been requested by the Caucus of the Undergraduate Student Government. In any particular academic year, the Faculty commits itself to a second vote on any action on a proposal regarding the undergraduate curriculum when, within thirty days exclusive of vacations after such action, a second vote has been requested by a two-thirds majority of the Caucus of the Undergraduate Student Government. In requesting reconsideration, the Caucus of the Undergraduate Student Government shall normally ask that the Faculty Committee on the Course of Study, meeting jointly with the Academic Committee of the Caucus of the Undergraduate Student Government, review their proposal. The Faculty would then reconsider its original action and any amendments or alternative proposals recommended. The Undergraduate Student Government may also return the proposal directly to the Faculty which may reconsider the proposal immediately or may request review of the proposal by the Committee on the Course of Study prior to reconsideration. If the action to be reconsidered is on a proposal that the Faculty has rejected, a majority vote of the Faculty shall reverse the previous decision. If the action to be reconsidered is on a proposal that has been adopted by the Faculty, a two-thirds vote of the Faculty shall be necessary to affirm the previous decision. The Faculty shall not be requested to reconsider the same action more than once in any academic year.

D. FACULTY COMMITTEES

I. GENERAL OBSERVATIONS

a. Any committee of the Faculty may ask the President to arrange for a conference with any appropriate committee of the Board of Trustees. Upon presentation of substantive evidence not previously considered, any Faculty committee may be requested to review a prior action.

b. It shall be the duty of each chair of a committee to advise new committee members of the responsibilities and procedures of the

Governance

committee. All standing committees of the Faculty normally shall report annually or more often to the Faculty, giving an account of their activities, together with any proposals they may have with regard to the matters within their charge or with regard to their own responsibilities.

c. Whenever the Undergraduate Student Government shall establish a committee parallel to a Faculty committee, the parallel committees shall at least once a year meet in joint session. In addition, the chair and one additional member of such committees of the Undergraduate Student Government shall designation of “Lecturer with the rank of Professor” meet with those Faculty committees which the President of the University and the officers of the Undergraduate Student Government believe would benefit from such participation. The student representatives on Faculty committees shall join freely in committee discussions of matters of concern to students, and shall be responsible for presenting the views of the student committee and the Undergraduate Student Government, when those views are known. Any student participating in the deliberations of a Faculty committee is bound by the same rules as the Faculty regarding the confidential nature of the proceedings. Within the bounds of this restriction, he or she may discuss the matters under consideration with the Undergraduate Student Government or with other students. Either committee may meet without the participation of members of the parallel committee. Before any final recommendation is made on any matter of general policy concerning students, there shall be an opportunity for the student committee to meet jointly with the Faculty committee involved. Views of the student committees may be brought to the attention of the full Faculty and the University community.

d. A student desiring to appeal an action of a Faculty committee taken on academic grounds which affects directly his or her academic standing and for which appeal is not otherwise provided, should notify the Dean of the Faculty in writing to that effect, specifying the grounds of appeal. Notification must be made no later than seven days after receipt of the written notice of the decision which the student wishes to appeal. The Dean of the Faculty shall transmit the student's written statement and any other relevant material directly to the Advisory Committee on Policy.

In deciding appeals, the Advisory Committee on Policy shall consider whether other committees have followed established procedures and reached decisions consistent with University rules and practices. In all cases the decision of the Advisory Committee on Policy

shall be final. If an appealed action is judged to have been arbitrary or based on improper or unfair procedures, the appeal will be sustained. In such a case the Advisory Committee on Policy shall determine a course of action to insure an impartial final determination of the merits of the case based on proper and fair procedures.

2. INDIVIDUAL COMMITTEES

a. Committee on Committees

The Committee on Committees consists of the President as chair and normally one tenured and one tenure-track member of the Faculty from each of the four divisions of the University (Humanities, Social Sciences, Natural Sciences, and Engineering and Applied Science). The Clerk of the Faculty acts as Secretary of the Committee without vote. The Dean of the Faculty meets with the Committee. Faculty members serving on the Committee shall be appointed by the Faculty Advisory Committee on Policy, with the consent of the Faculty. Terms shall normally be for four years beginning 1 January, with due consideration given to continuity and rotation. A member who has completed a term of four years shall not be eligible for reappointment to the Committee until after the expiration of four years.

The Committee nominates candidates for the various Faculty committees, except in those instances where another procedure is specified. Where terms of office are not specified, the Committee nominates candidates with due regard to continuity of committee personnel and to the avoidance of overlapping Faculty memberships on such committees as the Committee on Conference and Faculty

Appeal, the Committee on the Course of Study, the Advisory Committee on Policy, and the University Research Board. Members of the Faculty are invited to suggest names to be considered by the Committee in preparing its nominations.

The Committee has responsibility for ensuring adequate representation of non-tenured Faculty and of the four divisions of the Faculty on all Faculty committees for which it makes nominations, and shall increase such representation beyond the stated minimum as it deems appropriate.

b. Advisory Committee on Appointments and Advancements

The Advisory Committee on Appointments and Advancements consists of six members of the Faculty, all of whom shall be full professors. There shall be at least one from each division, three from Divisions I and II, and three from Divisions III and IV, not more than

Governance

one shall be from any one department, and at least two shall be current departmental chairs. The President is chair, and the Dean of the Faculty is secretary; the Provost, the Dean of the Graduate School, and the Dean of the College meet with the Committee. Faculty members serving on the Committee are elected by the Faculty after the February Faculty meeting, from the list of nominees presented to the Faculty by the Committee on Committees at the February meeting, together with any additional nominations from the floor. In the event that a member is unable to serve for a significant length of time because of illness, or other compelling reasons, the person on the slate from which the committee was elected, having the highest number of votes, who is in the division of the person who cannot serve, and most nearly meets the constraints governing membership on the committee, shall be asked to serve until such time as the original member is able to resume service.

The Committee advises the President on the appointment of Professors, the appointment and promotion of Associate Professors, and the reappointment and promotion of Assistant Professors; and on the salaries of these members of the Faculty.

c. Advisory Committee on Appointments and Advancements in the Lecturer Ranks

The Advisory Committee on Appointments and Advancements in the Lecturer Ranks consists of six appointed members, at least four of whom shall be tenured members of the Faculty, and two of whom are University Lecturers, Professors of the Practice, or tenured or tenure-track members of the Faculty. There shall be at least one from each division, and not more than one shall be from any one department, center, or program, or institute. The Dean of the Faculty or their designee is chair, and a Deputy, Associate, or Assistant Dean from the Office of the Dean of the Faculty is secretary; two Deputy, Associate, or Assistant Deans, one each from the Office of the Dean of the Graduate School and the Office of the Dean of the College, meet with the Committee. The six members serving on the Committee from the Faculty are appointed with the consent of the Faculty by the Committee on Committees.

The Committee advises the Dean of the Faculty on the appointment and reappointment of University Lecturers, Professors of the Practice, and Senior Lecturers, on the promotion of Senior Lecturers and Lecturers, and on the salaries of the Lecturer Ranks.

d. Faculty Advisory Committee on Diversity

The Faculty Advisory Committee on Diversity consists of eight voting members of the Faculty elected by the Faculty. Each of the four divisions of the University shall be represented by two members, at least one of whom will be tenured. Two to three members are elected each year for terms of three years (except that the President may appoint members to serve shorter terms as needed in the initial years of the Committee's operation or to fill vacancies when Committee members are on leave). The President is chair of this Committee, the Provost is ex officio a member and may chair in the President's absence, and the Dean of the Faculty is ex officio secretary. The Dean of the College and the Dean of the Graduate School sit with the committee.

The Committee will advise the President, the Provost, and the Dean of the Faculty with regard to diversity and inclusion issues, including specifically with regard to faculty hiring, policies, curriculum, and campus climate.

The administration will share with the Committee data, including anonymized and aggregated personnel data, to enable it to carry out this advisory role and monitor progress toward the University's goals. The Committee will meet at least once a year with the Academic Affairs Committee or other relevant committee of the Board of Trustees.

e. Advisory Committee on Policy

The Advisory Committee on Policy consists of the six tenured or tenure-track members of the Faculty elected by the Faculty to represent it on the Executive Committee of the Council of the Princeton University Community. The President is chair and the Dean of the Faculty is Secretary; the Provost meets with the committee, and the Dean of the Graduate School and the Dean of the College meet with the committee as needed.

The Advisory Committee on Policy meets with the President at her or his request, at the request of the Faculty, or on its own motion, to afford advisory consultation on matters of University-wide policy of concern to the Faculty and not primarily within the jurisdiction of other established committees.

f. Committee on Conference and Faculty Appeal

The Committee on Conference and Faculty Appeal consists of nine members of the Faculty, of whom three are elected by the Faculty each year to serve for a term of three years. The election slate shall be adjusted each year so that the membership of the Committee always consists of at least six tenured and two non-tenured members of the Faculty. Voting

Governance

shall be by the system of the alternative vote or single transferable vote, as appropriate. The Faculty Advisory Committee on Policy appoints one from among the Committee on Conference and Faculty Appeal's membership to serve as chair for one year. The Committee's procedures and requirements for quorum are provided in the Guidelines for the Conduct of Inquiries by the Committee on Conference and Faculty Appeal, included with these Rules as Appendix C.

If a case arises involving the dismissal or the suspension of a member of the Faculty, or any question of unfair treatment in relation to the appointment, reappointment, or academic duties or privileges of a member of the Faculty or anyone to whom an offer of a Faculty appointment has been made, the Committee on Conference and Faculty Appeal may be called upon to act as a board of review as provided for by the Minutes of the Board of Trustees on 15 June 1918, 19 April 1951, 15 June 1959, and 2 June 2014. (See Sections IV.P.1 and IV.P.2.)

Because the Committee serves principally as a board of review, it may not be called upon to hear or adjudicate in the first instance cases involving alleged violations of rules, or alleged professional misconduct, by members of the Faculty. Where such cases do not fall within the jurisdiction of the Judicial Committee of the Council of the Princeton University Community or another University body specifically identified in these Rules or Other University policy applicable to the Faculty, they shall ordinarily be decided in the first instance by appropriate administrative officers (the President or the Dean of the Faculty) with such advisory assistance as the administrative officers in question deem appropriate.

Procedure in cases of dismissal, suspension, and unfair treatment is outlined in Section IV.P. In other cases, appeal may be made directly to the Committee on Conference and Faculty Appeal by individuals directly affected; a statement of grievance shall be made in writing and a copy submitted to the Dean of the Faculty.

Also among the duties of the Committee on Conference and Faculty Appeal is the following as described in the Bylaws of the Board of Trustees: The Faculty shall appoint certain of its members as a standing committee, who shall attend a conference with the Trustees' Committee on Academic Affairs, as necessary, upon the call of the Chair of the said Faculty committee or the Chair of the Committee on Academic Affairs, or shall attend a conference with another standing or ad hoc Trustee committee, as necessary, upon the call of the President of the Chair of the Board, to consider such subjects as may be presented involving both administrative and educational matters.

g. Committee on the Course of Study

The Committee on the Course of Study consists of nine voting members of the Faculty elected by the Faculty between 1 April and the May meeting. Each of the four divisions of the University shall be represented by at least one member, and all nine members shall be elected according to the system of the alternative vote. Three members are elected each year for terms of three years. The Dean of the College is chair of this Committee, the Dean of the Faculty is ex officio a member, and the Deputy Dean of the College is ex officio secretary.

The Committee on the Course of Study considers and recommends to the Faculty appropriate action on all matters connected with the educational policy of the undergraduate program. Among the matters with which it is particularly concerned are the following:

- Requirements for admission to the University
- Requirements for all bachelors' degrees
- Methods of instruction, programs of study, and regulations concerning scholastic standing.
- The institution of new courses and the modification of existing courses in the undergraduate curriculum.
- The promotion, monitoring, and publicizing of experiments in teaching.
- There shall be consultation between the Committee and representatives of any department or group of departments before changes in the course of study affecting those departments are recommended to the Faculty by the Committee.

The Academic Committee of the Undergraduate Student Government, or a subcommittee thereof, shall normally meet jointly with the Committee on the Course of Study, so long as the student committee remains at a size of about five members. The Faculty Committee will meet separately, without students, at least once each semester, and may schedule additional such meetings. Members of the student committee shall have the right to attach comments to any proposals forwarded to the Faculty by the Committee on the Course of Study and to appear at meetings of the Faculty to present the views of the student committee on such proposals.

When the Committee on the Course of Study meets jointly with the Subcommittee of the Undergraduate Student Government's Academic Committee, votes in the two groups shall be recorded separately and the count in both made available for the information of the Faculty and the Undergraduate Student Government.

Governance

h. Committee on Discipline

The Committee consists of the following voting members: Six tenured or tenure-track members of the Faculty or full-time members of the Lecturer Ranks (no more than four of whom may be present during any hearing); a Dean from the Office of the Dean of the College; and eight undergraduate students. (A maximum of five students may be present during any hearing.) The Dean of Undergraduate Students serves as chair of the Committee without vote and an Associate or Assistant Dean of Undergraduate Students serves as secretary to the committee without vote. The Committee establishes its own procedures and requirement for a quorum at regular sessions.

In conjunction with its chair, the Dean of Undergraduate Students, the Committee is responsible for the administration of the stated rules and regulations governing student conduct, for assessing reported violations, and, where necessary, for determining appropriate penalties. The Committee will adjudicate all alleged academic infractions committed by undergraduates not under the jurisdiction of the Undergraduate Honor Committee. The Committee will also adjudicate all alleged behavioral infractions committed by undergraduate students that 1) might reasonably result in separation from the University or 2) for which no clear precedent exists.

Disciplinary cases involving allegations of sexual misconduct shall be managed by the Title IX Coordinator in accordance with the procedures approved by the Faculty. These procedures are outlined in *Rights, Rules, Responsibilities*.

Any and all appeals of decisions made by the Committee on Discipline are heard in accordance with procedures approved by the Faculty. These procedures are outlined in *Rights, Rules, Responsibilities*.

Disciplinary cases involving graduate students, for which separation from the University is a possible outcome, will be referred to the dean of the Graduate School who is advised, in accordance with the *Rules and Procedures of the Faculty*, by the Subcommittee on Student Life and Discipline of the Faculty Committee of the Graduate School.

The subcommittee consists of the dean of the Graduate School, *ex officio*, as chair, the assistant or associate dean (the associate or assistant dean for academic affairs will serve for academic infractions and the associate or assistant dean for student life will serve for nonacademic infractions) as secretary (without vote), and four members of the Graduate School Faculty Committee. The subcommittee may be enlarged, at the student's request, by four graduate students, selected at random. Following its investigation and hearing, the subcommittee

presents its advice in the form of a recommendation to the dean, who, observing fair process and with deliberate speed, normally accepts it (but is not bound to do so). The student is notified by the dean in writing of the subcommittee's recommendation and the dean's action, and is also informed of the rights of appeal and the appropriate procedures. The subcommittee follows procedures approved by the Faculty. These procedures are described in *Rights, Rules, Responsibilities*.

Disciplinary cases involving allegations of sexual misconduct against graduate students shall be managed by the Title IX Coordinator in accordance with the procedures approved by the Faculty. These procedures are outlined in *Rights, Rules, Responsibilities*.

i. Committee on Examinations and Standing

The Committee on Examinations and Standing consists of seven tenured or tenure-track members of the Faculty or full-time members of the Lecturer Ranks, at least one from each Division, and at least one from among the non-tenured members of the Faculty. The Dean of the College is chair, the Vice President for Campus Life, the Registrar, and the Dean of Admission are members *ex officio*, and a senior associate dean of the College is secretary *ex officio*.

The Committee is entrusted with the administration of all regulations which concern the program of study and the scholastic standing of undergraduate students. It may present to the Committee on the Course of Study proposals for changes in these regulations.

In conformity with these regulations, the Committee determines whether or not a student has met the qualifications for admission to particular programs of study, for promotion to a higher class, and for graduation. It is authorized by the Faculty to recommend directly to the Board of Trustees, through the Dean of the College, candidates for the bachelor's degrees.

Acting for the Faculty, it determines whether students who are academically deficient will be required to withdraw from the University, and whether students who have withdrawn because of academic deficiency will be reinstated. The Committee is also responsible for the formulation and administration of policies with regard to student records.

The Committee nominates to the Faculty, during the spring term each year, a candidate for the post of Latin Salutatorian and a candidate for the post of Valedictorian, under the rules set forth in the *Undergraduate Announcement* with respect to the selection of Commencement speakers.

Governance

The Committee is also charged with reviewing the grading history for each department and program to ensure consistency with University policy regarding assessment and grading standards. Each fall, the Committee reports to the Faculty on the grading record of the previous academic year.

Petitions for exceptions to academic policy, as well as grade appeals, may be adjudicated by the full Committee or by the senior associate dean acting for the Committee.

The Academics Committee of the Undergraduate Student Government is invited to meet with the Committee once during the fall semester to present any questions or concerns about academic regulations.

j. Committee on the Graduate School

The Dean of the Graduate School is chair and a staff member of the Graduate School is secretary of the Committee. The Dean of the Faculty is an ex officio member of the Committee. The remaining membership of the Committee consists of the directors of graduate studies of the departments and programs that offer study leading to graduate degrees, who are designated as such by their respective departmental chairs or program directors.

The Committee on the Graduate School recommends to the Faculty appropriate action on all matters connected with the educational policy of the Graduate School. It is particularly concerned with the following:

- Requirements for admission to the Graduate School.
- Requirements for all earned degrees beyond the bachelor's degree.
- Methods of instruction, programs of study, and regulations concerning scholastic standing.
- The institution of new courses and the modification of existing courses in the graduate curriculum.
- Policies for financial support of graduate students.
- Policies regarding graduate student life.

The Committee approves changes in the regulations and in the curriculum of graduate courses. The Faculty has empowered the Committee on the Graduate School to make appointments to graduate fellowships in its name and has authorized the Dean of the Graduate School to notify successful candidates.

The Graduate School Committee has four subcommittees: the Subcommittee on Policy, the Subcommittee on Student Life and

Discipline, the Subcommittee on Fellowships, and the Subcommittee on Curriculum.

- a. The Subcommittee on Policy assists the Graduate School staff in formulating major questions for consideration by the Faculty Committee on the Graduate School and advises the Dean on policy matters under consideration. The Subcommittee on Policy consists of the Dean of the Graduate School as chair, a staff member of the Graduate School as secretary, and eight members of the full Committee, two from each of the four divisions of the University elected by the Committee. In elections to the Policy Subcommittee the names on the ballot shall be grouped by division and the names of all directors of graduate studies shall appear. In the case of a tie vote, the Dean of the Graduate School shall cast the deciding vote.
- b. The Subcommittee on Student Life and Discipline advises the Dean on academic discipline cases of a serious nature where a graduate student is the respondent and on nonsexual behavioral discipline cases of a serious nature where a graduate student is the respondent. The Subcommittee on Student Life and Discipline consists of the Dean of the Graduate School, ex officio, as chair, a deputy, associate or assistant dean of the Graduate School as secretary (without vote), and four members of the Graduate School Faculty Committee, at least two of whom must be present at a hearing and at least one of whom must be appointed in the same division as the student's home department. At the student's request, the subcommittee may be enlarged for a hearing by up to four graduate students, selected by the office of the Dean of the Graduate School at random.
- c. The Subcommittee on Fellowships reviews applications for University honorific fellowships and fellowship grants for study abroad that require central University endorsement. The Subcommittee on Fellowships consists of the Dean of the Graduate School (or a designee) as chair, an Assistant or Associate Dean of the Graduate School as secretary, and no fewer than four members of the full Committee appointed by the Dean, representing each of the four divisions of the University.
- d. The Subcommittee on Curriculum reviews proposed major course changes and departmental curricular revisions. The Subcommittee on Curriculum consists of the Dean of the Graduate School (or a designee) as chair, an Assistant or Associate Dean of the Graduate School as secretary, and no fewer than four members of the full

Governance

Committee appointed by the Dean, representing each of the four divisions of the University.

k. Committee on the Library and Computing

The Committee on the Library and Computing consists of ten elected Faculty members, with at least two from each division of the University; two members appointed by the President, one of whom may be a member of the Professional Research Staff; the Provost, University Librarian, Dean of the Faculty, Dean of the Graduate School, Dean of the College, and Vice President for Information Technology, *ex officio*. The Provost serves as chair. Appointment and elected members shall serve for three-year terms, but no such member may serve more than two consecutive terms. Each year sufficient appointments shall be made to assure that the membership requirements listed above are met.

The Committee advises the President on the operation and development of the Library, particularly in relation to educational policy, and on all matters involving University computing and related information services. The Committee works closely with the University Librarian and the Vice President for Information Technology on planning and resource allocation for both educational and research purposes, and reviews policies governing the use of library and computing facilities. The Committee shall normally consult widely with departmental representatives whenever significant changes in library or computing services or policies are being considered.

The chair of the Committee presents a report to the Faculty at least once a year on all such matters as in the judgment of the Committee may seem to require a Faculty action or regarding which the Faculty should be informed.

l. Policy Committee on Athletics and Campus Recreation

The Policy Committee on Athletics and Campus Recreation consists of the Vice President and Secretary (*ex officio*), Vice President for Campus Life (*ex officio*), Deputy Dean of the College (*ex officio*), an Associate Dean of the College (*ex officio*), the Director of Athletics (secretary), ten members of the Faculty (at least one from each division), two representatives of the Alumni Council, and representatives from the Department of Athletics staff. Four to five undergraduate students at the University also serve on the committee, including two varsity athletes, one intramural/sport-club leader, and one member appointed by the Undergraduate Student Government. The Faculty representatives and chair are appointed by the Dean of the Faculty, in consultation with the Faculty Advisory Committee on Policy.

The Policy Committee on Athletics and Campus Recreation advises the President and the Director of Athletics concerning the conduct and direction of the programs of intercollegiate athletics, campus recreation, and health and fitness.

m. Committee on Public Lectures

The Committee on Public Lectures consists of six Faculty members, including at least one from each of the four divisions and at least one who is non-tenured, and the Director of the Princeton University Press, the Dean of the College, and the Dean of the Graduate School, *ex officio*. A member of the Committee is designated by the President to serve as chair.

The Committee selects the incumbents of the Spencer Trask, Stafford Little, Louis Clark Vanuxem, J. Edward Farnum Fund, and Walter E. Edge Lectureships, and arranges for public lectures by members of the Faculty or by invited guests. When two or more lectures are proposed for the same date by other agencies of the University, the Committee has authority to decide whether there is a conflict of interest and, if so, which lecture shall give way to the other.

n. Committee on Classrooms and Schedule

The Committee on Classrooms and Schedule consists of six tenured or tenure-track members of the Faculty or full-time members of the Lecturer Ranks, one from each of the four divisions of the University and at least one of whom is non-tenured. The Dean of the College chairs the Committee. The Registrar is *ex officio* secretary; the Dean of the Graduate School, and the Vice Provost for Space Programming and Planning are *ex officio* members. The chair may invite other administrators to sit with the committee as needed.

The Committee on Classrooms and Schedule is authorized by the Faculty to arrange the Academic Calendar in accordance with Section I of these Rules, and may make recommendations to the Faculty for changes in that section. The Committee also assesses classroom and teaching facilities and recommends improvements that better meet the pedagogical needs of the University.

The Committee approves the Scheduling Rules/Grid for Undergraduate Courses.

o. Committee on Undergraduate Admission and Financial Aid

The Committee on Undergraduate Admission and Financial Aid consists of six tenured or tenure-track members of the Faculty or full-time members of the Lecturer Ranks including at least one from each of

Governance

the four divisions of the University and at least two who are non-tenured. Two members are elected each year to terms of three years. The Dean of the College is chair; the Dean of Admission, and the Director of the Undergraduate Financial Aid, are *ex officio* members. The Vice President for Finance and Treasurer and the Vice President for Campus Life sit with the Committee.

The Committee advises the President, the Dean of the College, the Dean of Admission, and the Director of Undergraduate Financial Aid on policies and procedures governing admission and financial aid.

The Committee is advised by the Committee on the Course of Study about basic academic requirements for undergraduate admission. It may in turn present to the Committee on the Course of Study proposals for changes in these basic requirements, and it may concern itself with additional criteria necessary for the final selection of candidates for admission.

On the recommendation of the Dean of Admission and the Director of Undergraduate Financial Aid, the Committee reviews annual aggregate admission decisions and financial aid budgets and evaluates on-going policy presumptions. The Committee makes an annual report to the University Priorities Committee on the financial aid budget; on financial aid policies and procedures; and on admission statistics.

The Dean of the College will report to the Faculty annually - typically at the first Faculty meeting of each academic year - on matters under the Committee's jurisdiction. This annual report will include analysis of both the academic character and co-curricular experiences of candidates admitted to the University, those rejected, and those who decline admission. The report will also provide a general overview of financial aid, with an appropriate analysis of funding wherever possible.

p. University Student Life Committee

The University Student Life Committee consists of six tenured or tenure-track members of the Faculty or full-time members of the Lecturer Ranks, including at least two who are tenure-track members of the Faculty or full-time members of the Lecturer Ranks and one Residential College Head. The following also serve on the Committee: the Vice President for Campus Life as chair, the Dean of the College, the Dean of the Graduate School, the Director of Athletics, the Executive Director of University Health Services, the Dean of Undergraduate Students and the Vice President for University Services.

The University Student Life Committee is concerned with fostering relationships among academic, residential and social experiences of

undergraduate and graduate students and more generally with the tone and character of University student life. In conjunction with the Council of College Heads, which oversees such matters in the residential colleges, the Committee reviews policies affecting residential and extracurricular life for all undergraduate and graduate students.

The Committee may advise the Dean of Undergraduate Students, the Dean of the Graduate School, the Dean of the College, the Vice President for Campus Life and the President concerning matters under its purview and may, periodically, report and make recommendations to the Faculty.

Normally, the Committee shall include in its deliberations, and in the work of any subcommittees which may develop, student members of the University Student Life Committee of the Undergraduate and Graduate Student Governments.

q. Council of College Heads

The Council of College Heads consists of the heads of the Residential Colleges. The Dean of the College is chair, the Vice President for Campus Life and the Dean of Undergraduate Students are ex officio members, and a senior associate dean of the College serves as secretary.

The heads of the Residential Colleges are tenured faculty, normally appointed to four-year terms by the President on recommendation of the Dean of the College and the Dean of Undergraduate Students.

The Council creates and sustains a welcoming and inclusive environment in the undergraduate residential colleges which supports and enhances the educational mission of the University. The Council, after consulting with the college professional staff and student leadership, sets policy for the residential and dining facilities for which it has general oversight.

The Council may advise the Dean of Undergraduate Students, the Dean of the College, the President and the President's Cabinet on matters concerning undergraduate education and co-curricular life.

r. University Research Board

The University Research Board consists of six tenured or tenure-track members of the Faculty. Two faculty members are elected by the Faculty at large by the system of the alternative vote and four faculty members are appointed by the President. Each of the four divisions of the Faculty is represented by at least one member. Faculty members normally serve four-year terms and are not eligible for immediate re-

Governance

election or reappointment after serving a full four-year term, except in unusual circumstances.

The Dean for Research serves as Chair and the Director of the Office of Research and Project Administration serves as Administrative Officer. An administrator from the Office of the Dean for Research serves as Secretary. The Vice President for Finance and Treasurer and Dean of the Graduate School are ex officio members of the committee. When necessary, the Provost, Dean of the Faculty, Vice President for Advancement, General Counsel, and Director of Environmental Health and Safety meet with the Board. Other individuals may sit with the Board as needed. The Board advises the Dean for Research and the President on matters pertaining to research administration and policy.

s. Council on Teaching and Learning

The Council on Teaching and Learning consists of eight tenured or tenure-track members of the Faculty or full-time members of the Lecturer Ranks, two from each division of the University, appointed by the Dean of the Faculty and the Dean of the College. The Dean of the College will appoint one member as chair. The Director of the McGraw Center for Teaching and Learning is ex officio secretary, and the Dean of the College may appoint other administrators to serve as needed.

In consultation with the Dean of the College, the faculty chair of the Council will identify matters and priorities related to undergraduate teaching and learning that merit extended consideration. Among the many areas that the Council might address are:

- online courses and innovative uses of instructional technology
- academic support for undergraduate students
- assessment of teaching and learning
- academic integrity
- classroom design; and
- accessibility of curricular pathways into certain disciplines

In all matters, the Council's work will be advisory to the administration and the relevant faculty committees such as the Committee on the Course of Study, the Committee on Classrooms and Schedule, and the Committee on Examinations and Standing. The Council will be invited to render opinions and offer recommendations regarding specific courses and proposals that raise special issues of policy and practice related to undergraduate teaching and learning.

3. ELECTION PROCEDURES

a. For the Committee on Conference and Faculty Appeal, the Committee on the Course of Study, the Committee on the Library and Computing, the Committee on Undergraduate Admission and Financial Aid, Faculty Advisory Committee on Diversity, and the University Research Board, the election procedures shall be as follows:

1. Before the April meeting of the Faculty, the Committee on Committees, having due regard for the fair representation of all Divisions of the Faculty and for the widest possible distribution of committee assignments among Faculty members, shall present to the Faculty twice as many nominees as there are vacant elective posts to be filled in each committee.
2. Additional nominations to any or all of the committees may be made from the floor at the April Faculty meeting.
3. Following the April Faculty meeting the Clerk shall present to each voting member of the Faculty ballots containing lists of the candidates for these committees, the names grouped by divisions and within each division arranged alphabetically. Brief statements describing the responsibilities of these committees shall also appear on the ballots. The Faculty shall be instructed to rank all the candidates for each of these committees in order of preference, and to return their ballots to the Clerk's office by noon of the 10th day following the date of issuance, at which time the poll will be deemed closed.
4. The Clerk shall tabulate the results of this balloting and report the results of the election at the May meeting of the Faculty.
5. In the event of a tie affecting the election of any candidate to a designated committee, the President, or in the President's absence the Provost, shall cast the deciding vote.
6. In case a vacancy occurs on any of these committees between regular elections, it shall be filled by a special election for the unexpired term and the special election shall be conducted according to the procedures just outlined.
7. Except for elected or appointed members of the Committee on the Library and Computing, a member of the Faculty, upon completion of a full term on any one of these committees, is not eligible for reelection to that committee until a period of time equal to a full term has elapsed, except under unusual circumstances. In the case of the Committee on the Library

Governance

and Computing, no elected or appointed member may serve more than two consecutive terms.

8. In order to assure a wide distribution of committee assignments among committees concerned with overall policies of the University, a member of the Faculty may not serve on the Advisory Committee on Policy and the Committee on Conference and Faculty Appeal during the same period of time.
9. For committee members whose appointments to the Faculty end during the normal period of committee service, the term on the committee shall end with the Faculty appointment.

b. For the Advisory Committee on Appointments and Advancements, the election procedure shall be as follows:

1. Before the February meeting of the Faculty, the Committee on Committees, having due regard for the fair representation of all divisions of the Faculty, for continuity of service on the Committee, and for the widest possible distribution of committee assignments among Faculty members, shall present to the Faculty twelve or more nominees for the Advisory Committee on Appointments and Advancements. The committee shall choose full professors who have demonstrated competence and fairness in the making of decisions regarding appointment and advancement of Faculty members.
2. Additional nominations to the Committee may be made from the floor at the February Faculty meeting.
3. Following the February Faculty meeting the Clerk shall present to each voting member of the Faculty a ballot listing the candidates for this committee, in alphabetical order and indicating department and division. The Faculty shall be instructed to rank the names by order of preference and to return their ballots to the Clerk's office by noon of the 10th day following the date of issuance, at which time the poll shall be deemed closed.
4. The Clerk shall tabulate the result of this balloting. The winning candidates shall be determined according to the system of the single transfer able vote, modified when necessary to insure (a) at least one person from each Division; (b) three persons from Divisions I and II, three from Divisions III and IV; (c) not more than one person from any depart meet; and (d) at least two departmental chairs. The results of the

tabulation shall be announced by the Clerk of the Faculty at the March meeting of the Faculty.

5. In case of a tie vote, the President shall cast the deciding vote.
 6. In case a vacancy occurs, it is to be filled by an election, for the unexpired term, conducted in a manner similar to that prescribed for regular elections, except that the system of the single transferable vote need not be used if there is only one vacancy.
 7. A ballot shall not be considered defective when fewer than the stipulated number of names are marked, provided it is otherwise in conformity with the above instructions.
- c. For the Faculty Advisory Committee on Policy, the election procedure shall be as follows:

The Faculty Advisory Committee on Policy consists of the elected Faculty members of the Executive Committee of the CPUC. The election procedure is specified by the Charter of the Council of the Princeton University Community.

d. For all other Faculty committees, unless another procedure is indicated, the Committee on Committees shall nominate members to fill vacancies and shall submit the nominations at the June meeting for action by the Faculty; at that meeting further nominations may be made from the floor.

e. Any member of a committee may be recalled by the Faculty, and such recall vote shall be held upon petition of fifty members of the Faculty. A majority of votes cast for recall shall cause the recall of the member and his or her seat shall thereby become vacant.

An ex officio member of any committee of the Faculty may designate at the beginning of the academic year a representative to serve in his or her place as a voting member, normally for the duration of that year.

Unless otherwise specified in these Rules and Procedures, terms of members of all Faculty committees shall normally begin on 1 July immediately following the academic year in which they are elected or appointed, and shall terminate on 30 June of the year which completes their specified length of service. In unusual situations where an important action of a committee (such as an appeal) cannot be completed by 30 June and must be continued into the summer recess, members who would otherwise be terminating their service may be asked by the President or the Dean of the Faculty to continue to serve during the summer until the action under consideration has been completed.

III: ACADEMIC STRUCTURE OF THE UNIVERSITY

A. ACADEMIC DIVISIONS

For purposes of representation on Faculty committees, the University is considered to include four major divisions, as follows: I-The Humanities including Architecture, II-The Social Sciences including History and the School of Public and International Affairs, III-The Natural Sciences including Mathematics and Psychology, and IV-Engineering and Applied Science. Except for Engineering and Applied Science, none of these Divisions has administrative or instructional responsibilities.

B. ACADEMIC UNITS

1. For the conduct of its work of instruction and research the Faculty is organized into academic units, which include departments, schools, institutes, centers, and programs.
2. The chairs and directors of these units are appointed by the President, usually for a term of three or four years, after consultation with the members of the Faculty concerned. The duties of the chair or director of an academic unit are:
 - a. To call and preside over all meetings of the unit.
 - b. To bring to the attention of the participating faculty for discussion and action all matters which may pertain to the work and efficiency of the unit.
 - c. To represent the unit in all administrative dealings with the President of the University.
 - d. To prepare proposals for appointment, reappointment, or advancement in rank or salary of unit members.

Academic Structure of the University

- e. To perform such other duties in connection with the work and administration of the unit as the President of the University may assign to the chair.
3. Within the general framework of the rules and procedures established for the Faculty as a whole, each unit determines its own procedures and internal organization and establishes such committees as it finds desirable.
4. The unit is corporately responsible for all of its courses and programs of study and research.
 - a. It may recommend to the Faculty through the appropriate Faculty committee the institution of new courses and programs and the cancellation or revision of existing courses and programs.
 - b. It authorizes its chair or director, or one of its departmental committees, to designate which member of the unit shall take charge of each course or program, and which members shall participate in each course or program.
5. A proposal to constitute a new department, school, institute, center, or program is in the first instance considered by the Dean of the Faculty, the Academic Planning Group, and the Faculty Committees on the Course of Study and on the Graduate School. Their recommendations are reported to the Faculty. If the Faculty approves the proposal, its action is reported by the President to the Academic Affairs Committee of the Board, which in turn reports to the full Board of Trustees for final action.

The following academic units are authorized to be the primary academic home for tenured and tenure-track faculty appointments:

Department of African American Studies
Department of Anthropology
Department of Art and Archaeology
Department of Astrophysical Sciences
Department of Chemical and Biological Engineering
Department of Chemistry
Department of Civil and Environmental Engineering
Department of Classics
Department of Comparative Literature
Department of Computer Science
Department of East Asian Studies
Department of Ecology and Evolutionary Biology
Department of Economics

Academic Structure of the University

Department of Electrical and Computer Engineering
Department of English
Department of French and Italian
Department of Geosciences
Department of History
Department of Mathematics
Department of Mechanical and Aerospace Engineering
Department of Molecular Biology
Department of Music
Department of Near Eastern Studies
Department of Operations Research and Financial Engineering
Department of Philosophy
Department of Physics
Department of Politics
Department of Psychology
Department of Religion
Department of Slavic Languages and Literatures
Department of Sociology
Department of Spanish and Portuguese
Lewis Center for the Arts
Lewis Sigler Institute for Integrative Genomics
Princeton Neuroscience Institute
Program in American Studies
Program in Gender and Sexuality Studies
Program in Linguistics in the Council of the Humanities
School of Architecture
School of Public and International Affairs
University Center for Human Values

C. ACADEMIC COUNCILS

1. Academic Councils are standing faculty committees charged with fostering teaching and research across academic units and divisions. Some Councils are advisory to administrative offices; those are described in [Chapter II.D.2](#).
2. The Council of the Humanities supports significant teaching and research in the humanities. It consists of the chair of each department in Division I, plus the history department, the directors of programs and chairs of committees under Council aegis, the Dean of the School of Architecture, the Dean of the School of Engineering and Applied

Academic Structure of the University

Science, and one representative from each of Division II (Social Sciences) and Division III (Natural Sciences).

3. The Council on Science and Technology fosters the teaching of science and technology courses for non-science students. It consists of eight voting members of the Faculty, six from Divisions III (Natural Sciences) and IV (Engineering) and one each from Divisions I (Humanities) and II (Social Sciences). The members are appointed by the Dean of the Faculty. The chair is named by the President from among the members of the Council.

D. ADVISORY COUNCILS

1. Advisory Councils are set up by academic units to advise and support their teaching and research programs.

2. An Advisory Council consists of up to 20 members that may include faculty members at other institutions, experts and major figures in the field, alumni/ae of the University, and friends of the department.

3. Advisory Councils normally meet on campus biennially.

4. After each campus visit, they make a report in writing addressed to the academic unit concerned for transmission through the Dean of the Faculty to the President of the University. Each advisory council shall also, on request by the President, the Dean of the Faculty, the academic unit, or on its own initiative, submit a confidential report to the Dean of the Faculty and the President.

5. The Dean of the Faculty has administrative oversight of the Advisory Councils and the Dean of the Faculty or a designee typically meets with them when they come to campus.

IV: THE FACULTY

A. APPOINTMENT AND ADVANCEMENT OF PROFESSORS

1. All proposals for appointment or advancement in salary of Professors shall be made in writing by the Chair of the department concerned and sent to the Dean of the Faculty for transmission to the President. Appointment of Professors shall normally be made only after formal consultation (a formal vote taken at a meeting) with the Professors and the tenured Associate Professors having full or joint appointments in the department. Proposals for advancement in salary of Professors shall be made by the Chair of the department. In cases of joint appointment, action is taken in each of the departments involved.

These proposals shall be presented by the President to the Faculty Advisory Committee on Appointments and Advancements. After consultation with this Committee, the President recommends to the Board of Trustees such action as he or she may deem proper.

2. Professors are appointed without express limitation as to term (i.e., having continuing tenure). Proved abilities as an outstanding scholar and teacher with the capacity to make important contributions to the department shall be essential qualifications for appointment as professor; qualifications for making other contributions to the welfare of the University shall also be taken into account.

3. In recommending a Professor for advancement in salary, the quality of scholarship and teaching shall be primary considerations and service to the University community an important consideration.

B. APPOINTMENT AND ADVANCEMENT OF ASSOCIATE PROFESSORS

1. All proposals for appointment, reappointment, or advancement in rank or salary of Associate Professors shall be made in writing by the Chair of the department concerned and sent to the Dean of the Faculty for transmission to the President. They shall normally be made only after formal consultation (a formal vote taken at a meeting) with those

The Faculty

Professors having full or joint appointments in the department. Associate Professors shall also be consulted with regard to the appointment of Associate Professors. In cases of joint appointment, action is taken in each of the departments involved.

These proposals shall be presented by the President to the Faculty Advisory Committee on Appointments and Advancements. After consultation with this Committee, the President recommends to the Board of Trustees such action as he or she may deem proper.

2. The first appointment to the Faculty in the rank of Associate Professor may be for a term of up to three years. The service of the appointee shall then terminate unless he or she is reappointed. Departments shall recommend action in such cases not later than December first of the final year of the appointment. In an exceptional case, the appointee may be reappointed for one year only; otherwise reappointment is without express limitation as to term (i.e., with continuing tenure).

Departments may recommend that the initial appointment of an Associate Professor be without express limitation as to term (i.e., with continuing tenure). Associate Professors who are promoted to that rank hold appointment without express limitation as to term (i.e., with continuing tenure).

3. Proved abilities as a scholar and teacher shall be essential qualifications for recommendation of appointment as Associate Professor; qualifications for making other contributions to the welfare of the University shall also be taken into account in making any such recommendation.

4. In judging and recommending any Associate Professor for advancement in rank or salary, or for reappointment, departments shall make the quality of scholarship and teaching primary considerations and service to the University community an important consideration.

C. APPOINTMENT AND ADVANCEMENT OF ASSISTANT PROFESSORS

1. All proposals for appointment, reappointment, or advancement in rank or salary of Assistant Professors shall be made in writing by the Chair of the department concerned and sent to the Dean of the Faculty for transmission to the President. They shall normally be made only after formal consultation (a formal vote taken at a meeting) with the

Professors and Associate Professors having full or joint appointment in the department.

2. All proposals concerned with the reappointment or advancement in rank or salary of Assistant Professors shall be presented by the President to the Faculty Advisory Committee on Appointments and Advancements. After consultation with this Committee, the President recommends to the Board of Trustees such action as he or she may deem proper.

3. The normal initial appointment of an Assistant Professor is for a three-year term.

An Assistant Professor may be recommended for reappointment for a second three-year term. He or she shall be notified not later than December first of the third year of his or her initial appointment whether or not the department recommends reappointment for a second three-year term. The Chair of the department shall submit to the Dean of the Faculty the department's recommendation, and the material on which it is based, for consideration by the Faculty Advisory Committee on Appointments and Advancements. Whatever the recommendation, the material submitted to the Dean of the Faculty shall include a written report evaluating the Assistant Professor's performance and promise according to the criteria in paragraph 10 below and stating, in full, the grounds for the department's recommendation.

If the department's recommendation is to reappoint, the Committee shall advise the President regarding the recommendation. If the department's recommendation is not to reappoint, the Committee may either (a) let the department's negative recommendation stand or (b) suggest that the department reconsider its recommendation in the light of any comments the Committee may offer. The department shall report to the Dean of the Faculty the results of such reconsideration.

4. Normally an Assistant Professor shall not be appointed in that rank for more than a total of six years. If the Assistant Professor is reappointed for a second three-year term, he or she shall be notified, not later than November fifteenth of the sixth year of appointment, of the department's intention to recommend or not to recommend promotion to Associate Professor.

The Chair of the department shall submit to the Dean of the Faculty the department's recommendation with respect to promotion, and the material on which it is based, for consideration by the Faculty Advisory Committee on Appointments and Advancements. Whatever the recommendation, the material submitted to the Dean of the Faculty shall include a written report evaluating the Assistant Professor's work and

The Faculty

potential according to the criteria in 10 below and stating, in full, the grounds for the department's recommendation. Candidates for promotion and advancement to tenure shall be invited to submit a written evaluation to the department concerning scholarship, teaching, and service to the University and a list of referees. This submission is entirely voluntary; failure to submit may in no way count against the candidate. It shall be considered in the department's own evaluation of the candidate and shall be forwarded along with the department's recommendation to the Faculty Advisory Committee on Appointments and Advancements. A department that solicits letters from outside referees for use by the department itself shall take care to consult some referees suggested by the candidate. All letters received by the department shall be forwarded to the Committee on Appointments and Advancements.

If the department's recommendation is to promote, the Committee shall advise the President directly regarding the recommendation. If the department's recommendation is not to promote, the Committee may either (a) let the department's negative recommendation stand or (b) suggest that the department reconsider its recommendation in light of any comments the Committee may offer. The department shall report to the Dean of the Faculty the results of such reconsideration.

When the Faculty Advisory Committee on Appointments and Advancements rejects a departmental recommendation for reappointment or advancement, the Dean of the Faculty shall invite the candidate to a discussion of the case.

5. Only under the following exceptional circumstances and on no more than one occasion may a department recommend an Assistant Professor for an additional appointment of up to three years beyond the normal total of six years: (a) where the type of scholarship in which the Assistant Professor is engaged requires an unusually long period of time to make an adequate scholarly reputation or (b) where for other extraordinary reasons an Assistant Professor has not had adequate opportunity to demonstrate his or her ability and potential as a teacher-scholar. Such an appointment shall not, however, in itself be construed as creating a presumption of eventual attainment of tenure.

6. An Assistant Professor who becomes the parent of a child by birth or adoption will automatically be granted a one-year extension of term by the Dean of the Faculty, upon notification by the Assistant Professor's department. The Assistant Professor's service may be extended by one year for each child, including twins and other multiple births or

adoptions. Extensions are available to (1) all Assistant Professors in the first term, before the final year of that term; (2) Assistant Professors in the final year of the first term who have been reappointed to a second term; and (3) Assistant Professors in the second term, before the final year of that term. Notifications of such extensions should be made by the Assistant Professor's department in writing to the Dean of the Faculty as soon as possible after the childbirth and/or adoption, but in no case later than September fifteenth of the year in which a recommendation on the Assistant Professor's reappointment or promotion to tenure must be made. Extensions on grounds of childbirth and/or adoption do not preclude an additional appointment according to the provisions of 5 above.

7. If promotion to Associate Professor does not occur, the sixth year of appointment as Assistant Professor shall normally be considered terminal, unless additional appointment as Assistant Professor occurs as provided in 5 or 6 above, in which case the final year of additional appointment shall be considered terminal. One additional terminal year reappointment may be made. It should be based upon specific agreement in writing with the Faculty member for whom recommendation is made that such further appointment has no implications concerning promotion to tenure at Princeton.

8. In judging and recommending Assistant Professors for further appointment, departments, without being bound by any rule of equivalence, shall take into account prior service at other academic institutions. Assistant Professors may request that a departmental decision on promotion to Associate Professor be made earlier than the sixth year in the rank. If the promotion is denied, the Assistant Professor must be reviewed again at the end of the regular appointment as in 4 above.

9. Appointment to a Bicentennial Preceptorship is for a three-year term which replaces the remainder of the term of appointment as an Assistant Professor. An Assistant Professor, who is appointed as a Bicentennial Preceptor during the first three-year term, may later be appointed for a one-year or two-year term as Assistant Professor to complete six years in the rank, with possible appointment thereafter as provided in 5 and 6 above. No appointment to a Bicentennial Preceptorship shall be made which would come into effect later than the beginning of the fifth year of an Assistant Professorship.

The Faculty

Appointment to a University Preceptorship is held concurrently with appointment as Assistant Professor, normally for a three-year term. However, a Preceptorship expires at the completion of the regular term as Assistant Professor or any extension of that term. In the event the recipient of a Preceptorship is promoted to tenure at any time during the term of the preceptorship, the recipient will continue to receive its benefits until the preceptorship expires.

10. In judging and recommending Assistant Professors for advancement in rank or salary, or for further appointment, departments shall make the quality of scholarship and teaching primary considerations and service to the University community an important consideration.

11. Chairs of departments are required to have annual reviews with Assistant Professors. Each such review is an important occasion in the career of the non-tenured faculty member, and the Chair should therefore prepare for the review by consulting with colleagues familiar with the teaching and research of the Faculty member. The Chair should, at the review, explain fully, frankly, and tactfully the department's view concerning the Faculty member's progress and prospects. If the Chair believes that departmental priorities or situations are, or are becoming, adverse to the prospects of a particular member, that information should be conveyed and its implications assessed.

The third-year review of Assistant Professors should be especially frank and thorough. The Chair should appoint a subcommittee consisting of one or more tenured members of the department qualified to review the scholarly work and teaching of the candidate for reappointment. The subcommittee should report formally to the tenured members of the department. The candidate should be informed of useful criticism.

D. APPOINTMENT AND ADVANCEMENT OF UNIVERSITY LECTURERS

1. The designation of University Lecturer is reserved for individuals with a distinguished record of professional accomplishment as instructors and/or scholars in traditional academic fields of study represented by our tenured and tenure-track Faculty.

2. All proposals concerned with the appointment of University Lecturers or promotion of Lecturers or Senior Lecturers to the rank of University Lecturer shall be made in writing by the Chair of the

department or Director of the program concerned and sent to the Dean of the Faculty. They shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured and tenure-track Faculty members and full-time University Lecturers and Professors of the Practice having full or joint appointment in the department or program.

These proposals shall be presented by the Dean of the Faculty to the Faculty Advisory Committee on Appointments and Advancements in the Lecturer Ranks. After consultation with this committee, the Dean of the Faculty will take such action as they deem proper.

3. In the beginning of the final year that an individual is on a multi-year appointment at the rank of University Lecturer, the department or program shall review the appropriateness of extending the appointment and shall notify the candidate not later than December 1 whether or not the department or program recommends reappointment and the length of the term of the proposed reappointment. Unless a University Lecturer is notified in writing by the Dean of the Faculty (not the department Chair or program Director) that their appointment has been renewed, the appointment will terminate on the end date of the current appointment.

4. All proposals for reappointment or advancement in salary of University Lecturers shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Proposals for reappointment shall normally be made only after formal consultation (a formal vote taken at a meeting) with the members of the tenured and tenure-track Faculty members having full or joint appointment in the department or program. Proposals for advancement in salary of University Lecturers shall be made by the Chair of the department or the Director of the Program. In cases of joint appointment, action is taken in each of the departments/programs involved.

E. APPOINTMENT AND ADVANCEMENT OF PROFESSORS OF THE PRACTICE

1. The designation of Professor of the Practice is reserved for distinguished practitioners who demonstrate eminence in their field and sustained accomplishment and activity in their area of practice, such as industry, entrepreneurship, government, journalism, or the creative or performing arts. This rank is intended for those who are experienced in

The Faculty

a field of practice and teach subject matter that is not normally taught or represented by our tenured and tenure-track Faculty. The rank of Professor of the Practice is meant primarily to enable departments and programs to appoint practitioners with national and international reputations to contribute to and participate in our instructional programs in a meaningful way.

2. All proposals concerned with the appointment of Professors of the Practice or promotion of Lecturers or Senior Lecturers to the rank of Professor of the Practice shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Such proposals shall normally be made only after formal consultation (a formal vote taken at a meeting) with the members of the tenured and tenure-track Faculty members and full-time University Lecturers and Professors of the Practice having full or joint appointment in the department or program.

These proposals shall be presented by the Dean of the Faculty to the Faculty Advisory Committee on Appointments and Advancements in the Lecturer Ranks. After consultation with this committee, the Dean of the Faculty will take such action as they deem proper.

3. In the beginning of the final year that an individual is on a multi-year appointment at the rank of Professor of the Practice, the department shall review the appropriateness of extending the appointment and shall notify the candidate not later than December 1 whether or not the department recommends reappointment and the length of the term of the proposed reappointment. Unless a Professor of the Practice is notified in writing by the Dean of the Faculty (not the department Chair or program Director) that their appointment has been renewed, the appointment will terminate on the end date of the current appointment.

4. All proposals for reappointment or advancement in salary of Professors of the Practice shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Proposals for reappointment shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured and tenure-track Faculty members having full or joint appointment in the department or program. Proposals for advancement in salary of Professors of the Practice shall be made by the Chair of the department or the Director of the Program. In cases of joint appointment, action is taken in each of the departments/programs involved.

F. APPOINTMENT AND ADVANCEMENT
OF SENIOR LECTURERS

1. The designation of Senior Lecturer is accorded to individuals with a record of significant professional accomplishment and experience.
2. All proposals concerned with the appointment of Senior Lecturers or promotion of Lecturers to the rank of Senior Lecturer shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Such proposals shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured and tenure-track Faculty members and full-time University Lecturers and Professors of the Practice having full or joint appointment in the department or program.

These proposals shall be presented by the Dean of the Faculty to the Faculty Advisory Committee on Appointments and Advancements in the Lecturer Ranks. After consultation with this committee, the Dean of the Faculty will take such action as they deem proper.

3. In the beginning of the final year that an individual is on a multi-year appointment at the rank of Senior Lecturer, the department shall review the appropriateness of extending the appointment and shall notify the candidate not later than December 1 whether or not the department recommends reappointment, and the length of the term of the proposed reappointment. Unless a Senior Lecturer is notified in writing by the Dean of the Faculty that their appointment has been renewed, the appointment will terminate on the end date of the current appointment.

4. All proposals for reappointment or advancement in salary of Senior Lecturers shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Proposals for reappointment of Senior Lecturers shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured and tenure-track Faculty members and full-time University Lecturers and Professors of the Practice having full or joint appointment in the department or program. In case of joint appointment, action is taken in each of the department/programs involved.

The Faculty

G. APPOINTMENT AND ADVANCEMENT OF LECTURERS

1. The designation of Lecturer is accorded to individuals participating in instructional programs of the University. Appointment as a Lecturer is normally for one year at a time but, to accommodate curricular needs or certain projects, appointments can be up to three years. All lecturer appointments are subject to annual or term renewals. Unless a lecturer is notified in writing by the Dean of the Faculty (not the department Chair or program Director) that their appointment has been renewed, the appointment will terminate on the end date of the current appointment.

2. All proposals for appointment, reappointment, or advancement in salary of Lecturers shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Proposals for appointment, reappointment or advancement in salary of full-time Lecturers shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured and tenure-track Faculty members and full-time University Lecturers and Professors of the Practice having full or joint appointment in the department.

3. In their sixth year of service teaching more than .40 FTE or 40% duty-time, Lecturers shall be notified in writing either (a) that further appointments as Lecturer shall be for equal to or less than .40 FTE or 40% duty-time, or (b) that the seventh year shall be the terminal year of employment, or (c) that they are being recommended to the Faculty Advisory Committee on Appointments and Advancements in the Lecturer Ranks for promotion to Senior Lecturer or Professor of the Practice or University Lecturer. Exceptions to the seven-year limit may be made if the department or program can demonstrate to the satisfaction of the Dean of the Faculty (1) that the appointment meets an indispensable academic purpose and (2) that the lecturer meets all expectations in this role.

Appointment as Lecturer to teach at a duty-time equal or less than .40 FTE or 40% in an academic year may be renewed on the recommendation of the department and with the approval of the Dean of the Faculty.

4. On recommendation of a department, and with the permission of the Dean of the Faculty, members of the Professional Staffs who are assigned teaching duties may, during the semester or academic year in which such assignments are made, hold a secondary appointment as a

Lecturer, Senior Lecturer, Professor of the Practice, or University Lecturer, as appropriate. All proposals concerned with the appointment or promotion of a member of the Professional Staffs to the rank of Senior Lecturer, Professor of the Practice, or University Lecturer as a secondary appointment shall be made in writing by the Chair of the department or Director of the program concerned and sent to the Dean of the Faculty. Such proposals shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured and tenure-track members of the Faculty and full-time University Lecturers and Professors of the Practice having full or joint appointment in the department or program. These proposals shall be presented by the Dean of the Faculty to the Faculty Advisory Committee on Appointments and Advancements in the Lecturer Ranks. After consultation with this committee, the Dean of the Faculty will take such action as they deem proper.

H. APPOINTMENT AND ADVANCEMENT OF INSTRUCTORS

1. All proposals for appointment, reappointment or advancement in rank or salary of Instructors shall be made in writing by the Chair of the department concerned and sent to the Dean of the Faculty for transmission to the President. Proposals for appointment, reappointment or advancement in rank or salary of full-time Instructors shall normally be made only after formal consultation (a formal vote taken at a meeting) with the tenured members having full or joint appointment in the department. Those proposals concerned with part-time Instructors may be made by the Chair without formal consultation with the department.
2. Instructors are appointed for a period of one year. An Instructor in the third year of appointment shall be notified before March fifteenth of the department's intention to recommend promotion to Assistant Professor at that time, or within one year subject to specific conditions. Otherwise an appointment for a fourth year as an Instructor shall be considered terminal.
3. In recommending Instructors for further appointment, departments, without being bound by any rule of equivalence, shall take into account prior service at other academic institutions.
4. In recommending an Instructor for advancement in rank or salary, or for further appointment, departments shall make the quality of

The Faculty

scholarship and teaching primary considerations and service to the University community an important consideration.

I. GENERAL OBSERVATIONS

1. The Dean of the Faculty shall seek to ascertain in a systematic way the views of non-tenured faculty members on the range and balance of the academic specialties in their departments and on the manner in which decisions on appointments are made in their departments.

The Dean of the Faculty shall also review periodically the practices of all departments with regard to matters important to the quality of life of tenure-track Faculty. The results of this review should be communicated to the President and the Faculty. This review should pay particular attention among other issues to:

- the fairness with which teaching assignments are distributed, taking into account the professional development of the faculty;
- the manner in which departments select candidates for nominations to Preceptorships;
- the possible overloading of tenure-track faculty with advising and committee responsibilities; and
- the extent to which tenure-track faculty are involved formally and informally in determining policies for the department as a whole.

2. The Dean of the Faculty shall produce and make available to all members of the tenured and tenure-track Faculty a written account of the procedures that govern the work of the Faculty Advisory Committee on Appointments and Advancements and the Faculty Advisory Committee on Appointments and Advancements in the Lecturer Ranks. This account shall describe the character of the information that the Committee receives from departments and the ways in which the Committee may solicit additional information.

3. Each year departmental Chairs shall invite interested students and student departmental committees to express their views on the range, balance, and quality of instruction in their departments and on other matters relevant to the reappointment and advancement of Faculty members, and shall advise the students and committees that they may forward to the Dean of the Faculty for transmission to the President (and where appropriate to the Faculty Advisory Committee on Appointments and Advancements or the Faculty Advisory Committee

on Appointments and Advancements in the Lecturer Ranks) comments regarding the quality of teaching by individual members of the Faculty.

J. AFFIRMATIVE ACTION

1. One member in each department shall be charged with responsibility for stressing and safeguarding the University's commitment to affirmative action, in at least the following two respects:
 - a. He or she should keep informed on availability data concerning women and minorities in fields in which appointments are to be made. If the proportion of applicants from these groups is significantly less than the data would lead one to expect, the possible reasons should be explored with colleagues, Chairs, and the Dean of the Faculty with an eye to improving recruiting procedures.
 - b. He or she should review files of women and minority applicants rejected at the various stages of the appointment procedure, to determine whether any might merit further consideration.
2. The Dean of the Faculty shall ask the departments to report on the measures they have taken to widen their contacts and the manner in which candidates for appointment come to the attention of the department.
3. The Dean of the Faculty shall seek to ascertain whether perceptions of prejudice or bias affected the decisions of those who turn down offers from Princeton.
4. The tenure flow to individual departments shall be administered with sufficient flexibility to take account of the importance to the University of broadening the Faculty to include more women and minority group members. In special situations, an effort may be made to provide additional positions to departments able to identify and attract distinguished women and minority group members.

K. COMPENSATION AND SERVICE ARRANGEMENTS

i. ARRANGEMENTS FOR PAYMENT OF SALARY

Faculty salaries are paid at the end of each of the ten months from September through June for duties performed during the nine-month academic year, and for the time before academic duties begin in September and after they cease in June.

The Faculty

Arrangements may be made with area banks, or with the Princeton University Employees Federal Credit Union, for monies to be set aside from the employee's academic year salary to cover the summer months when not paid. Arrangements may be made through the Treasurer's Office for the automatic deposit of salary payments in one of the banks in the area approved by Princeton University for direct deposit.

Any payroll-related questions, including those regarding earnings, deductions, tax withholding, direct deposit, and payment schedules, should be addressed to the Payroll Section, of the Treasurer's Office.

2. SUMMER EMPLOYMENT

For those Faculty receiving summer salaries, salaries are paid at a rate of one-ninth of the academic year salary per month. Such appointments do not normally exceed two months' duration and ordinarily include payments from sponsored research funding. University policy does permit the payment of summer salaries for up to 2.5 months, provided that any salary beyond two months is derived from outside sources. Requests for summer salary beyond two months must include a statement that no vacation will be taken during this time. Summer salary payments are made at the end of July and at the end of August. Summer employment must be authorized each year, in advance, through procedures established by the Dean of the Faculty.

3. RELATION OF COMPENSATION TO DUTY ASSIGNMENT

It is the long-established policy of the University that the academic year salary includes compensation for all duty performed during the academic year, whether in teaching, research, or administration. Changes in duty assignment do not, therefore, alter a Faculty member's salary. Exceptions to this policy are made only for participation as an Undergraduate Academic Adviser, service as Chair or Director of an academic department or program, or in other special cases.

L. LEAVES OF ABSENCE

1. ABSENCE DURING TERM TIME

An individual member of the Faculty wishing to be absent from the campus for an interval of three or more consecutive days, excluding weekends, during term time (the weeks of classes and the reading and examination periods) or Wintersession shall request permission to do so from the Chair of the department well in advance, and shall make certain

that arrangements to meet the Faculty member's teaching and other academic and departmental responsibilities have the Chair's approval. The Chair shall refer any unusual requests to the Dean of the Faculty for approval. The Chair shall report all such absences to the Dean of the Faculty at the end of each academic year.

2. LEAVES FOR SCHOLARSHIP

The leave program of the University is designed to ensure that tenured and tenure-track Faculty members may be relieved periodically from normal teaching and other University duties in order to pursue scholarship. Leaves are recommended by the Chair of the department on the basis of a Faculty member's proposed program of scholarship, while taking into account the teaching and service needs of the department. The leave program does not guarantee that each Faculty member receives a specified number of leaves during a given number of years. It is intended rather to provide flexibility in planning both for the individual Faculty member's scholarly pursuits and for the instructional program of the department. There are several kinds of leave, including sabbatical leave and leave without pay. For sabbatical leaves, at least five consecutive semesters of active service must precede the leave. For leaves without pay, at least two consecutive semesters of active service must precede the leave. No member of the Faculty may be on leave of any kind for more than four semesters in a seven-year period.

a. Sabbatical Leaves

Tenured Faculty members are eligible for leaves with pay for scholarship after five consecutive semesters of active service. In this context, semesters including short-term disability or workload relief for childcare are considered semesters of active service. Sabbatical leaves may be with full pay for one semester or half pay for two semesters in the same academic year. External funds may be used to provide the other half salary so long as these funds do not entail obligations which alter the purpose of the leave. One semester of paid leave may be "banked" to be used at a later time, with the understanding that no more than one semester of paid leave may be banked at a time and that five semesters of active service remains the minimum interval between sabbatical leaves. For example, Faculty may elect to serve ten semesters of active service and take one academic year on leave at full pay. Note that sabbatical leaves are available only to Faculty who are actively engaged in scholarship, teaching, and service.

The Faculty

b. One-In-Six Leaves for Assistant Professors in the Humanities or Social Sciences

It is University policy that an Assistant Professor in the Humanities or Social Sciences is granted one semester's leave with full pay or its equivalent during the first three-year appointment.

c. Leaves for Bicentennial Preceptors

A Bicentennial Preceptor is granted one academic year's leave with full pay during the term as Bicentennial Preceptor in addition to the one-in-six leave granted to Assistant Professors in the humanities and social sciences.

d. Leaves for University Preceptors

A University Preceptor is granted one semester's leave with pay during the term as University Preceptor in addition to the one-in-six leave granted to Assistant Professors in the humanities and social sciences.

3. LEAVES WITHOUT PAY (INCLUDING LEAVES FOR PERSONAL REASONS)

Leaves without pay may be recommended by the Chair of the department on the basis of a Faculty member's needs, provided that the department's teaching and other functions can be met. In addition to those for scholarship, leaves without pay may be granted for such purposes as the temporary assumption of an important government post, a temporary honorific professorial or administrative appointment, or for personal reasons, including child rearing. Leaves without pay are not, however, granted for regular teaching at another institution.

Normally leaves without pay are granted for no more than one year. Under certain circumstances, typically in connection with government service, an extension of one year is permitted, but at the end of that time the University normally requires that the Faculty member either return or resign. Extensions may not be granted for leaves for scholarship, whether paid or unpaid. In all cases the Dean of the Faculty shall be consulted at the outset of negotiations with an outside party. All leaves without pay must be approved by the Dean of the Faculty, and when combined with leaves for scholarship, including sabbaticals, may not exceed four semesters in a seven-year period.

4. OUTSIDE ACTIVITIES DURING LEAVES OF ABSENCE

During a leave of absence with full pay, a faculty member is subject to the same provisions governing outside professional activities that apply when he or she is on regular duty. Normally, a Faculty member on leave with pay shall not teach part-time or full-time at another institution; a request for exception to this rule must be explained fully in the application form for a leave and shall be taken into account at the time the leave application is reviewed.

A Faculty member who applies for a leave of absence with half pay for a whole year, or a leave of absence for a term or year without pay, shall outline the activities to be engaged in during the proposed leave and state whether any professional activities, including teaching, are to be performed during that period.

After a leave of absence, with or without pay, is approved, any significant change in the amount or nature of professional activities to be performed during that leave must be approved by the Dean of the Faculty before any commitment is made with respect to such change.

All of the rules set forth in this and the next section apply during the time that a Faculty member is on leave with full pay. When a Faculty member is on leave of absence with partial pay or no pay, the pertinent sections of the rules governing Outside Professional Activities apply.

M. OUTSIDE PROFESSIONAL ACTIVITIES

The following considerations and rules apply to Faculty on full-time appointment. When a Faculty member is on part-time appointment, University obligations, outside activities, and leave of absence arrangements shall be approved by the Dean of the Faculty.

1. A Faculty member on full-time appointment has a primary obligation to the University, and outside professional activities, whether gainful or not, shall not be allowed to interfere with teaching, scholarly research, and other duties in the department or the University.

2. During a calendar year (vacation periods excepted), a Faculty member on full-time appointment shall devote an average of no more than one working day a calendar week to outside professional activity during the academic year and portions of the summer for which salary is drawn through the University. The duty terms for part-time service shall be specified clearly at the time of hiring or at the time of moving to part-time service.

The Faculty

3. The term “outside” refers to professional activities not directly associated with the fulfillment of a Faculty member’s teaching, research, and administrative commitments to the University. Such activities generally bring into play the academic expertise of the Faculty member and often bring professional benefits to the Faculty member and the University. They may or may not involve compensation. Before undertaking such activities, faculty members should satisfy themselves that the activities contribute:
 - a. to teaching and scholarship at Princeton,
 - b. to communicating and applying special knowledge outside the University, and/or
 - c. to furthering the common good.
4. In outside professional activities, whether compensated or not, a Faculty member shall not:
 - a. violate the University’s patent policy;
 - b. permit an outside agent to have a preferred position with respect to information emanating from University activities.
5. In outside professional activities, a Faculty member shall not commit University materials, facilities, students, or personnel for the gain or benefit of an outside enterprise. However, limited use may be made of materials, facilities, and secretarial assistance for service to professional societies in the Faculty member’s discipline and in connection with nonpartisan public service. The Chair of the department and the Dean of the Faculty shall be kept informed of such activities. Questions arising out of special circumstances shall be reviewed by the Dean of the Faculty.
6. In outside professional activities, a Faculty member shall take care not to affect adversely either the Faculty member’s own independence or the integrity of the University. For example, a Faculty member may not accept a regular and continuing position with significant responsibility for the management of an outside enterprise. Also, a Faculty member may not become a regular and continuing employee of any outside organization, either part-time or full-time, or accept any outside position that would tend to create conflicts of interest with the position in the University.
7. A full-time Faculty member may not teach part-time or full-time on a continuing basis in another institution or hold a regular teaching post or assignment on a continuing basis on the Faculty of another institution. Teaching under the Faculty Exchange Program at Rutgers or at the Princeton Theological Seminary, which involves no overall increase in

teaching load or salary income, is an exception to this rule. Acceptance by a Faculty member of a temporary teaching appointment to give a course at an academic institution in the region is subject to approval by the Dean of the Faculty, in line with the policy that Princeton stands ready to assist a neighboring institution which is unable temporarily to fill a regular vacancy or which has a short-term vacancy for such reasons as sickness or leave of absence.

8. A faculty member who provides by way of a restrictive and specific license extensive course materials in electronic form to any other educational institutions or to businesses aiming to profit from enrollment in their courses may be thereby involved in teaching elsewhere. (One indication of this potential conflict of commitment is that (a) the course materials are available to the public only in connection with a course offered by the educational institutions or businesses who hold the license, and (b) the materials constitute a substantial part of the content of a course at such institutions or businesses.) A faculty member who uses electronic media to engage in ongoing educational interaction with students enrolled in a course offered at another institution or through a business aiming to profit from enrollment in its academic courses, where that interaction represents a substantial part of the content of the course, shall be deemed to be teaching elsewhere. Moreover, even in the absence of ongoing educational interaction, a faculty member shall be deemed to be teaching elsewhere if the faculty member allows himself or herself to be listed as a teacher of a substantial part of a course, electronic or otherwise, offered for credit at another institution or at a business. Uncertainties about the application of these principles should be raised with the Dean of the Faculty and with the Faculty Advisory Committee on Policy. The Dean of the Faculty will report periodically to the Board of Trustees on the ongoing implementation of these policies, and the policies themselves shall be reviewed after a period of about three years.

9. A Faculty member shall inform the departmental Chair annually, in writing, of all outside professional activities as part of the regular report on scholarly and other activities. A Faculty member shall also consult with the Chair whenever considering significant new outside professional activities. The Chair shall consult with the Dean of the Faculty concerning any exceptions to these rules and forward for consideration any special circumstances that may arise.

10. Only the Dean of the Faculty may approve exceptions to, or exemptions from, these rules concerning outside professional activities.

N. RETIREMENT

As of July 1, 1994, retirement of tenured Faculty at age 70 is no longer mandatory. Retirement from the University is a voluntary termination. A Faculty member who wishes to discuss retirement should consult with the Chair of the department and with the Dean of the Faculty. Emeriti may teach on an occasional and part-time basis when needed with the rank of Professor Emeritus (Teaching) or Associate Professor Emeritus (Teaching).

O. SEPARATION AS A RESULT OF DISABILITY

A member of the Faculty unable to perform the normal duties because of a disability may be terminated at the option of the University, if a reasonable accommodation will not allow that person to perform the essential functions of the position he or she holds, or if the University is unable to transfer that person into another position for which he or she is qualified.

P. DISCIPLINARY ACTION

I. GROUNDS FOR INVOLUNTARY SUSPENSION, DISMISSAL, OR OTHER DISCIPLINARY ACTION FOR CAUSE

Adopted by resolution of the Board of Trustees, 2 June 2014, amending policies recorded in Trustee minutes of 9 June 1975 and 25 February 2000.

Without either limiting or abrogating any of the powers, duties, and privileges granted by the Charter to the Board of Trustees, the Board of Trustees wishes to reaffirm its long-standing policy of upholding academic freedom and security of academic tenure, and to declare that: A member of the Faculty may be suspended, dismissed, or be subjected to reduction of salary or other workplace restrictions for cause only on the basis of (a) substantial and manifest incompetence, (b) substantial and manifest neglect of duty, (c) substantial and material misrepresentations in dealings with University officials, including during the appointment process, (d) conduct which is shown to violate the University rules and procedures applicable to a member of the Faculty, or (e) conduct which is shown to substantially impair the individual's performance of the full range of his or her responsibilities as a member of the Faculty. In cases involving misrepresentations during

the appointment process, an appointment to the Faculty may be rescinded.

Actions taken on these grounds are subject to the procedural rules and safeguards established by the Board of Trustees and stated in the paragraphs below. It is also the intention of the Board in these matters that a range of penalties be made available so that the nature of the penalty may be commensurate with the nature of the offense. To that end, two or more of the penalties described below may be combined in appropriate cases.

The Dean of the Faculty, in consultation with the President, may place a member of the Faculty on leave and relieve the individual of teaching, advising and other responsibilities pending a review relating to the Faculty member's conduct. Placement on leave pending a review of conduct is not a disciplinary action. The terms of the leave will be based on the circumstances of the particular situation.

In the event the Dean of the Faculty has a conflict of interest with respect to a disciplinary matter covered by Section P, an appropriate officer of the University shall be designated by the President to assume the duties of the Dean of the Faculty in the disciplinary matter.

The range of penalties for disciplinary action are listed below. Unless otherwise stated below, relevant information remains in the individual's employment record at the University and may be taken into account in judging the seriousness of any future violation. In addition, such information may be disclosed by the Office of the Dean of the Faculty in response to requests for which the individual has given permission, in accordance with University policy or procedures, or in accordance with applicable law.

a. Warning

An oral warning is an informal admonition that does not remain in the individual's employment record at the University, and a written warning is a formal admonition.

b. Probation

A more serious admonition assigned for a definite amount of time, typically three months to five years in length. It implies that any subsequent violation, of whatever kind may be grounds for suspension, or in especially serious cases, dismissal from the University.

Probation may be accompanied by or require fulfillment of certain conditions stipulated by the Dean of the Faculty. These conditions may include, but are not limited to, restriction of duties, removal from an administrative office, or training. During probation, certain restrictions

The Faculty

to the leave policy may be imposed, including non-accrual and/or ineligibility for leaves.

c. Suspension

When initiated by the University as a penalty for misconduct, “suspension” means an unpaid suspension of employment or an involuntary reduction of duty time with a corresponding reduction in salary for a specified period of time.

A suspension may be accompanied by or require fulfillment of certain conditions. These conditions may include, but are not limited to, removal from an administrative office, restitution of damages, or training.

d. Dismissal

Dismissal means termination from employment by the University and may involve revocation of tenure and all the rights and privileges thereof.

e. Other Possible Conditions

Other possible conditions may accompany any of the preceding penalties. Such conditions may include but are not limited to:

Campus or community service. Campus or community service may be added to any of the penalties listed above.

University Housing. When appropriate to the infraction, particularly in instances involving discriminatory behavior or sexual misconduct, removal from University housing or relocation within University housing may be added to any of the other penalties listed above. For an individual holding a position which requires residence in an undergraduate college, the disciplinary response may involve removal from the position and the housing.

Access to Space, Resources, and Activities. In appropriate cases involving misconduct, restrictions may be placed on access to space and/or resources or on participation in activities.

Educational Programs. In addition to any of the penalties listed above, an individual may be required to participate in educational programs appropriate to the infraction.

2. PROCEDURES FOR DISCIPLINARY ACTIONS OTHER THAN SUSPENSION OR DISMISSAL

Should the Dean of the Faculty determine it is necessary to review the conduct of a member of the Faculty under this section, the Dean or the Dean’s designee will so inform the individual, preferably in person,

and apprise them of the circumstances, and offer them the opportunity to be heard and to provide information. If, at the conclusion of the review, the Dean proposes to impose disciplinary action less than suspension, the Dean will provide the member of the Faculty with a written statement articulating the reasons for the proposed disciplinary action.

Upon receiving the Dean's decision, the member of the Faculty shall be entitled, if they make the request within one week following the receipt of the Dean's decision (unless other University policy governs), to a review of the matter by the Committee on Conference and Faculty Appeal (CCFA) in accordance with the Guidelines for the Conduct of Inquiries by the CCFA (Appendix C to these Rules). In the course of this review, the CCFA may, at its discretion, invite the faculty member to a hearing before the CCFA. The CCFA, after considering the case, shall report its opinion, including an explanation of its rationale, to the Dean of the Faculty. If the CCFA does not find sufficient grounds for appeal or affirms the Dean's decision, then the Dean's decision shall be final. If the CCFA recommends a different penalty, and the Dean issues a new decision that is consistent with the CCFA opinion, then this revised decision shall be final. If the CCFA recommends a different penalty and the Dean disagrees with the CCFA opinion, then the President shall decide the penalty and the President's decision shall be final.

3. PROCEDURES FOR SUSPENSION AND DISMISSAL

Without limiting or abrogating any of the powers, duties, and privileges granted by the Charter to the Board of Trustees, and without restricting the right of suspension or dismissal in the first instance residing in the President, the Board of Trustees declares that it is its intention, in case of suspension or dismissal of a member of the Faculty to proceed as follows:

Should the Dean of the Faculty determine it is necessary to review the conduct of a member of the Faculty under this section, the Dean or the Dean's designee will so inform the individual, preferably in person, and so apprise them of the circumstances and offer them the opportunity to be heard and to provide information. If, at the conclusion of the review, the Dean is considering recommending to the President that the member of the Faculty be suspended or dismissed, prior to submitting such written recommendation, the Dean of the Faculty will so inform the affected individual and provide another opportunity to be heard.

The Faculty

If the Dean of the Faculty decides to proceed to recommend suspension or dismissal, the member of the Faculty shall receive a written statement from the Dean articulating the reasons for the proposed suspension or dismissal. Upon receiving the Dean's statement of reasons, the member of the Faculty shall be entitled to a review of the matter by the CCFA provided they request this review within one week following receipt of the Dean's statement of reasons, unless another University policy governs. This review shall be conducted in accordance with the Guidelines for the Conduct of Inquiries by the CCFA (Appendix C to these Rules). In cases where suspension or dismissal is recommended, the member of the Faculty shall be entitled to a hearing before the CCFA. The CCFA, after considering the matter, shall report its opinion, including an explanation of its rationale, to the Dean of the Faculty. If the CCFA recommends a penalty less than suspension, and the Dean issues a new decision consistent with the CCFA's opinion, the revised decision shall be final. If the Dean disagrees with the CCFA recommendation, or decides to recommend a suspension or dismissal, the Dean shall send the recommendation to the President, along with the statement of reasons provided to the Faculty member, the CCFA's report, and other relevant material. After receiving the recommendation from the Dean of the Faculty, the President will request a meeting with the member of the Faculty.

Following the meeting (or if the individual declines the meeting), if the President decides upon a penalty less than suspension, that penalty will be imposed and the member of the Faculty shall receive a written statement from the President explaining the decision, and that decision will be final.

If the President decides to recommend suspension or dismissal, the President shall provide the recommendation to a committee of the Board appointed to consider the proposed suspension or dismissal before the Board takes final action on the recommendation. The President's recommendation shall be accompanied by (i) the President's statement of reasons, (ii) the Dean of the Faculty's recommendation to the President and statement of reasons, (iii) the CCFA's report, and (iv) material from the review. In cases in which the CCFA's report advises against suspension or dismissal, recommends a shorter period of suspension than recommended by the President, or recommends suspension when the President recommends dismissal, the committee of the Board shall invite the CCFA to discuss the CCFA's report. Before final action is taken by the Board, the member of the Faculty shall be invited to appear and be heard by the committee of the Board.

4. ACADEMIC STATUS AND PRIVILEGES

Minutes of the Board of Trustees, 15 June 1959 (with amendments approved by the Faculty).

Without limiting or abrogating any of the powers, duties, and privileges granted by the Charter to the Board of Trustees, and without restricting the powers delegated to the President regarding academic appointments, but recognizing the desire of the members of the Faculty that the Committee on Conference and Faculty Appeal (CCFA) should extend its role to conduct hearings not only in cases of dismissal and suspension (as provided for by the Minutes of the Board of Trustees of 15 June 1918, and 19 April 1951), but also in cases of possible unfair treatment in relation to the appointment, reappointment, or academic duties or privileges of members of the Faculty, the Board of Trustees declares its approval of the charge and procedures in respect to these matters.

The Board of Trustees further declares that, when requested by the CCFA and so agreed to by the Board, a subcommittee of the Board shall meet with the CCFA on questions of possible unfair practice relative to academic status and privileges. The CCFA's request for the meeting shall be accompanied by a report articulating the CCFA's views and their rationale. If the Board committee agrees to a meeting, and the matter relates to an action against an individual member of the Faculty, the aggrieved member of the Faculty shall be offered the opportunity to appear and be heard at such a meeting.

V: RULES AND POLICIES

The following paragraphs set forth rules applicable to members of the faculty in certain areas in which written policies have been promulgated. The policies printed here are not intended to be exhaustive or to supplant commonly held understandings in areas not covered by these paragraphs.

Complaints regarding non-academic conduct of members of the Faculty should be addressed to the Dean of the Faculty. When such a complaint is brought forward, the Dean normally conducts an inquiry and, if appropriate, submits his or her findings and recommendations to the President under paragraph IV.P.1. above.

If a member of the Faculty is uncertain about any of these matters, he or she should feel free to discuss them with the department Chair or with the Dean of the Faculty.

A. TUTORING

1. No officer of instruction of the University shall tutor students of the University privately for remuneration during the academic year, except as he or she may be authorized by the Dean of the College.
2. No officer of instruction of the University shall be permitted at any time to tutor students privately in preparation for those examinations in which the instructor himself or herself takes part, either in the way of preparing questions or reading papers.

B. NEPOTISM

In order to avoid conflicts of interest, it is University policy that no faculty or staff member may initiate, or participate in, directly or indirectly, decisions involving a direct benefit, (e.g. initial employment or appointment, retention, promotion, salary, course work assignments, research funds, leaves of absence, etc. or, in the case of students, admission, grades or recommendations) to those related by blood or marriage, membership in the same household, including domestic partners, or persons with whom a faculty or staff member has an intimate

Rules and Policies

relationship. The potential for conflict of interest may also exist in close personal relationships which involve other than family relationships. The University views such conflicts of interest as seriously as it does those involving family members or blood relatives.

C. CONSENSUAL RELATIONS WITH STUDENTS

A sexual or romantic relationship between a faculty member or visiting faculty member and a person for whom he or she has professional responsibility (including, for example, as a teacher, adviser, evaluator, or supervisor) raises concerns such as conflict of interest, abuse of authority, and unfair treatment. These concerns exist even where the relationship is considered consensual by both participants. Moreover, even when consensual, relationships involving individuals of different University status have the potential to have an adverse impact on others in the University community. As members of a community characterized by multiple formal and informal hierarchies, it is incumbent on members of the Faculty not to abuse, nor to appear to abuse, the authority with which they are entrusted. To address these issues, the University has adopted the following rules, which apply to members of the Faculty, visiting faculty, and emeriti on a teaching appointment:

1. PROHIBITION OF CONSENSUAL RELATIONS WITH STUDENTS

Faculty members shall not initiate or engage in romantic or sexual behavior with undergraduate or graduate students. This prohibition encompasses both enrolled and prospective students, and includes students from other institutions who come to Princeton for pre-baccalaureate, post-baccalaureate, visiting, summer, or other programs or courses of study.

2. PROHIBITION OF CONSENSUAL RELATIONS WITH INDIVIDUALS UNDER ONE'S SUPERVISION

In addition, no faculty member, researcher, graduate student, visiting student, or undergraduate course assistant shall initiate or engage in any romantic or sexual behavior with any person, including a researcher or prospective or current student or employee, who is subject to that individual's academic supervision or evaluation. Examples of supervision or evaluation include: teaching; advising; assigning grades; supervising or evaluating research; supervising or evaluating teaching

or grading; evaluating degree progress; serving as a dissertation reader or committee member; nominating or selecting individuals for awards, fellowships, or admission to an academic program; and providing letters of reference.

3. RELATIONSHIPS AND CONFLICT OF INTEREST

Faculty members shall not initiate or engage in any romantic or sexual behavior or relationship with any other member of the University community, regardless of the other person's status, if the conduct would create an actual conflict of interest. In instances involving an actual, apparent, or potential conflict of interest, the parties must promptly disclose their romantic or sexual relationship to their respective department chairs and to the Dean of the Faculty.

4. PREEXISTING RELATIONSHIPS

Except when such relationships create an actual conflict of interest, this policy does not prohibit relationships between a faculty member and another member of the University community that pre-date the adoption of this policy, the affiliation of either party with the University, or the role at the University which causes the conflict. In all cases involving relationships that pre-date one party's affiliation with the University, both parties to the relationship must disclose it promptly to their respective department chairs and to the Dean of the Faculty, in order to enable the University to take steps to prevent conflicts of interest. Relationships which pre-date either this policy or the role at the University which causes the conflict must also be disclosed promptly to the parties' respective department chairs and to the Dean of the Faculty.

5. DISCIPLINARY CONSEQUENCES OF VIOLATIONS

Faculty participating in a sexual or romantic relationship prohibited by this policy, and failing to disclose when disclosure is required by the policy, may be subject to disciplinary action up to and including termination of that faculty member's relationship with the University. Where this policy imposes a duty to disclose, the disclosure must be made as soon as practical after any action has been taken by either party to engage in or establish a sexual or romantic relationship, or in cases of pre-existing relationships, as soon as practical. The grounds for disciplinary action are set forth in *Rules and Procedures of the Faculty*, Chapter IV, Section P.

Rules and Policies

6. PRUDENTIAL CONSIDERATIONS IN CIRCUMSTANCES INVOLVING POWER DISPARITIES

Even when permissible under this policy, all romantic or sexual relations or behavior between individuals of different University status require heightened awareness. Any member of the University community who is uncertain about how a power asymmetry may impact a relationship or adversely affect the community should contact the Office of the Dean of the Faculty, the Vice Provost for Institutional Equity and Diversity, or the Office of Human Resources.

7. COMPLAINTS

Complaints regarding conduct of members of the Faculty should be addressed to the Dean of the Faculty.

D. DISCRIMINATION, HARASSMENT, AND SEXUAL MISCONDUCT

1. Princeton University is committed to maintaining an environment free of all forms of harassment, discrimination, and sexual misconduct. All members of the Faculty, academic professionals (Professional Librarians, Professional Researchers, and Professional Specialists) and non-academic staffs are responsible for helping to ensure a community free of such prohibited conduct. The information provided below describes the University's policies prohibiting discrimination, harassment, and sexual misconduct. It also explains the processes through which complaints by or against members of these groups may be brought forward, as well as descriptions of the central roles played by "harassment resolution facilitators" and "confidential resources" in the resolution process. The full text of the University's Nondiscrimination/Anti-Harassment Policy and Procedures, prohibiting discrimination and harassment, can be accessed at <https://inclusive.princeton.edu/addressing-concerns/policies/policy-discrimination-and-or-harassment>. The full text of the University's statement prohibiting sex discrimination and sexual misconduct can be accessed at <http://www.princeton.edu/pub/rrr/part1/index.xml#comp12>.

Complaints of discrimination and harassment against students, including graduate students serving as Assistants in Instruction (AIs), are covered by student disciplinary procedures administered by the Faculty Committee on Discipline. Complaints of sex discrimination and

sexual misconduct against students are covered by the sex discrimination and sexual misconduct policies, administered by the Office of the Provost.

2. Discrimination, harassment, and sexual misconduct are serious violations of University policy as well as violations of federal and state law. Title IX of the Education Amendments of 1972 prohibits discrimination on the basis of sex in education programs receiving federal funds. Title VII of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, religion, sex, and national origin in employment practices. The New Jersey Law Against Discrimination prohibits discrimination in employment practices on bases such as race, color, religion, sex, national origin, sexual orientation, disability, age and gender identity or expression.

3. As required by law, the University has devised and adopted appropriate procedures for addressing and resolving concerns and complaints of discrimination, harassment, and sexual misconduct by members of the campus community. Under the law, employers and supervisors (i.e., individuals with assigned supervisory duties over employees) have a responsibility to report claims of discrimination, harassment, and sexual misconduct to the appropriate individuals designated in these procedures. "Supervisors" in a university context include Chairs of departments who supervise Faculty, and all individuals who have been assigned formal supervisory duties over employees. For example, apart from the Chair of a department, Faculty do not normally supervise each other, or, in the relevant sense, students. They do, however, often have supervisory responsibility over members of support staff or members of other professional staffs, and are thus under an affirmative obligation to respond to incidents of discrimination, harassment, and sexual misconduct in their areas of supervisory responsibility. Supervisors in the sense just defined are not only responsible for reporting incidents when they receive a specific complaint or concern alleging improper activity on the part of a member of their staff, but they also have a duty to report such matters that come to their attention informally (e.g., by witnessing or otherwise learning of such incidents). Indeed, they may be held responsible for not having acted upon matters about which they reasonably should have known.

4. Discrimination against a person on the basis of their race, creed, color, sex, gender identity or expression, age, national origin, ancestry, religion, physical or mental disability, veteran's status, marital or domestic partnership status, affectional or sexual orientation, or any

Rules and Policies

other characteristic protected under law is unlawful and violates University policy. The University expects all members of the campus community, as well as its visitors, to be treated equally based on merit in all aspects related to its educational programs and activities, and in all aspects related to employment.

Listed below are examples of conduct that can constitute discrimination if based on an individual's protected characteristic. This list is not all-inclusive; in addition, each situation must be considered in light of the specific facts and circumstances to determine if discrimination has occurred.

- Singling out or targeting an individual for different or adverse treatment (e.g., more severe discipline, lower salary increase) because of his or her protected characteristic
 - Failing or refusing to hire or admit an individual because of their protected characteristic
 - Terminating an individual from employment or an educational program based on their protected characteristic
- a. Harassment is defined as unwelcome verbal or physical behavior which is directed at a person because of their race, creed, color, sex, gender identity or expression, age, national origin, ancestry, religion, physical or mental disability, veteran's status, marital or domestic partnership status, affectional or sexual orientation or other protected characteristic, when these behaviors are sufficiently severe and/or pervasive to have the effect of unreasonably interfering with an individual's educational experience or working/living conditions by creating an intimidating, hostile, or offensive environment.

Listed below are examples of behaviors that can constitute harassment. This list is not all-inclusive; in addition, each situation must be considered in light of the specific facts and circumstances to determine if discrimination has occurred.

- Unwelcome jokes or comments about a legally protected characteristic (e.g., racial or ethnic jokes);
- Disparaging remarks to a person about a legally protected characteristic (e.g., negative or offensive remarks or jokes about a person's religion or religious garments);
- Displaying offensive posters or pictures about a legally protected characteristic;
- Electronic communications, such as email, text messaging and internet use, that violate this Policy; and
- Stereotyping.

Rules and Policies

b. Sex discrimination, including sexual misconduct, sexual harassment, sexual assault, intimate partner violence, and stalking is defined by and prohibited under the University's Policy and Disciplinary Procedures for Sex Discrimination and Sexual Misconduct, which can be found in Rights, Rules, Responsibilities, section 1.3. In any case involving an allegation of sex discrimination or sexual misconduct, the Policy and Disciplinary Procedures for Sex Discrimination and Sexual Misconduct states the applicable policies and procedures.

5. Complaints of discrimination and harassment will be treated with the maximum possible degree of confidentiality. Confidential resources (including the chaplains in the Office of Religious Life, the Ombuds Officer, and other individuals identified as such) are not authorized to engage in fact-finding or take action on behalf of the University. If after speaking with a confidential resource an individual does not wish to initiate a complaint, the confidential resource will take no action. If an individual does wish to make a complaint, the confidential resource will put the individual in touch with an appropriate University administrator (i.e., a "discrimination/harassment resolution facilitator,") who can also provide counseling and initiate actions to remedy complaints of discrimination and harassment (see Section 6 below).

- a. Fear of retaliation should not be a barrier to reporting incidents of discrimination or harassment. Retaliation in any form will not be tolerated and is, in addition to the initial incident, subject to University disciplinary procedures.
- b. The Director for Institutional Equity and EEO, in collaboration with the Office of General Counsel and other resources as appropriate, provides assistance and training to individuals and offices relating to discrimination and harassment, as well as information about procedures for pursuing complaints of such behaviors. The Director for Institutional Equity and EEO is also responsible for maintaining records of internal complaints under these policies.
- c. All Faculty and academic professionals, current and new, are expected to complete an on-line (computerized) sexual harassment prevention learning module. The purpose is to make employees aware of their rights and responsibilities and to ensure they receive consistent information on the University's policies prohibiting discrimination and harassment.

Rules and Policies

d. Individuals who have a responsibility under these University policies for taking action to discover and to stop discrimination and harassment do so as agents of the University. Accordingly, these individuals will be defended legally by the University in case of a lawsuit for their actions taken in good faith in accordance with University policies, even if mistaken.

6. Any individual who has information about or believes that he or she might be the victim of a specific act or a pattern of behavior falling within the above definitions of discrimination or harassment carried out by a member of the University community, should discuss the matter with one of the discrimination/harassment resolution facilitators designated in the University's Nondiscrimination/Anti-Harassment Policy and Procedures, or the Title IX Coordinator, if applicable. In addition, any individual having information about such acts or patterns of behavior in a supervisory capacity (i.e., where the alleged perpetrator is someone whom he or she supervises in the sense explained in Section 3 above) is under an affirmative duty as part of University employment to act upon such information by bringing it to the attention of one of these designated administrators. She or he should not under such circumstances try to "handle the matter" on her or his own.

These resolution facilitators, listed below, can provide information, answer questions, and receive complaints (both formal and informal) about discrimination, harassment, and sexual misconduct. They also may refer individuals to resources within the University; in emergencies they will obtain assistance to intervene directly to protect the safety of individuals; in appropriate situations they may themselves seek to resolve conflicts between a complainant and respondent. They also may assist complainants in deciding whether to submit a written complaint, including the option to utilize the University's electronic complaint form, which may be found at <http://dof.princeton.edu/discrimination-harassment-complaint-form>. Note: in some instances, the University may be obligated to act without the consent of the complainant.

The following resolution facilitators stand ready to assess concerns, engage in fact-finding, and will seek to resolve the matter at the lowest possible level:

- **For Undergraduate Students:** Associate Deans of Undergraduate Students, or Directors of Student Life
- **For Graduate Students:** Associate Deans of the Graduate School

- **For Faculty or Academic Professionals:** The Deputy Dean of the Faculty or their designee
- **For Human Resources Staff:** Senior Human Resources Managers, or Director of Client Services
- **For Princeton Plasma Physics Laboratory Staff:** Director of Human Resources
- **For any concerns involving sex discrimination or sexual misconduct:** Title IX Coordinator

If the complainant fails to achieve satisfactory results through this informal means, however, he or she may still initiate a written formal complaint.

7. An individual who decides, usually after consultation with one of the resolution facilitators, to make a written complaint against a member of the Faculty or a member of the other staffs alleging a violation of the University's policies prohibiting discrimination or harassment may do so as follows:

a. Complaint Reporting

Any member of the University community who believes she/he has been subjected to or has observed discrimination or harassment may submit a written complaint. A complete list of University resources with contact information can be found at <https://inclusive.princeton.edu/addressing-concerns/bias-discrimination-harassment>.

The written complaint should identify the parties involved; describe the behavior, including when and where it occurred; and identify by name or description any witnesses. Written complaints should be treated as confidential and should be provided directly and only to one of the appropriate designated administrators listed at <https://inclusive.princeton.edu/addressing-concerns/bias-discrimination-harassment>.

b. Interim Steps

When appropriate, prior to or during the investigation, the Provost's Office may recommend to the appropriate University official that interim steps be taken to protect the safety and well-being of members of the University community.

c. Investigation Process

The purpose of the investigation is to gather facts relating to the incident(s) outlined in the written complaint and to determine whether it is more likely than not that the alleged behavior occurred and, if so,

Rules and Policies

whether it constitutes harassment. The formal complaint process allows individuals to submit their complaint to one of many offices, although the requisite fact finding in the case of a faculty member will typically be conducted by DOF. The investigator (or co-investigators, as necessary) will conduct a fact-finding inquiry that may include written statements, interviews and any other sources the investigator deems appropriate. During the course of the investigation, the investigator may receive counsel from the Provost's Office, the Office of General Counsel, or other parties as needed.

Princeton University expects its faculty, staff and students to cooperate fully in the investigation process. An individual who chooses not to cooperate may be subject to discipline.

Adversarial hearings, including confrontation, cross-examination by the parties, and active advocacy by attorneys or other outside advocates, are neither appropriate nor permitted during the investigation process.

d. Complaint Resolution

At the conclusion of the investigation, a determination will be made whether any allegations in the complaint were substantiated and whether University policy was violated. A written report will be submitted to the appropriate Dean (in most instances the Dean of the Faculty) or Vice President (in most instances the Vice President for Human Resources) and to the Provost's Office.

The Dean/VP to whom the report is submitted may accept the report or return the report for further investigation. The Dean/VP or their designee will, for both parties involved (the person who filed the written complaint as well as the person whose behavior is being investigated), summarize the findings (see range of findings below).

Finding of "No Violation" of the University's Nondiscrimination/Anti-Harassment Policy

If there is a determination that the behavior investigated did not violate University policy, both parties will be so informed. If retaliatory behavior occurs after the issuance of this determination, either party may bring a new complaint.

Finding of "Inappropriate Behavior Not Rising to the Level of a Violation" of the University's Nondiscrimination/Anti-Harassment Policy

There may be a determination that the behavior was inappropriate and unprofessional but did not rise to the level of violating University policy. Such inappropriate behavior may merit

discipline, ongoing monitoring, coaching, or other appropriate action. Neither party may appeal such a finding. If retaliatory behavior occurs after the issuance of this determination, either party may bring a new complaint.

Finding of “Violation” of the University’s Nondiscrimination/Anti-Harassment Policy

If there is a determination that the behavior did violate University policy, the VP/Dean, in consultation with the appropriate manager or department head, will determine the appropriate corrective actions to be taken. In addition, where appropriate, the Dean/VP/Provost may implement measures to ensure that the person who filed the complaint is not subjected to further harassment, and to remedy the effects of any harassment that may have occurred. Remedial steps, at the discretion of the University, may include, but are not limited to, ongoing monitoring, counseling or training, separation of the parties, and/or discipline of the accused, including a written warning, financial penalty, suspension, demotion or termination in accordance with University policy. The process for appealing such a finding is set forth in item 8 below.

The University’s ability to discipline an individual who is not an employee or student (such as a vendor or contractor) is limited by the degree of control, if any, the University has over the alleged harasser. Nonetheless, the University will seek to take appropriate action in response to violations of this policy.

As it relates to tenured faculty, if the complaint was sustained, the Dean of the Faculty will then recommend appropriate action to the President, including any appropriate penalty in accordance with University rules and regulations. The Dean of the Faculty will inform the complainant and respondent of the findings and any action taken or penalty imposed. If the complaint is sustained, reference to the determination will be discreetly recorded in the respondent’s personnel file. With regard to issues of confidentiality of faculty files and records, the Dean of the Faculty will follow the same procedures as the Committee on Conference and Faculty Appeal.

8. Faculty members found to have violated the University’s policies prohibiting discrimination or harassment may, consistent with the *Rules and Procedures of the Faculty*, file a written appeal with the Committee on Conference and Faculty Appeal, provided the appeal involves the

Rules and Policies

dismissal or the suspension of a member of the Faculty, or any question of unfair treatment in relation to the appointment, reappointment, or academic duties or privileges of a member of the Faculty or anyone to whom an offer of a Faculty appointment has been made. In cases of alleged sexual discrimination or sexual misconduct, both parties - the complainant and the respondent - have equal rights of appeal, in writing, on the grounds that (1) there is substantial relevant information that was not presented, and reasonably could not have been presented during investigation; (2) there was procedural unfairness; or (3) on any question of unfair treatment in relation to the dismissal, suspension, appointment, reappointment, or academic duties or privileges of a member of the Faculty or anyone to whom an offer of a Faculty appointment has been made.

Academic Professionals found to have violated the University's policies prohibiting discrimination or harassment may, consistent with the *Rules and Procedures of the Professional Researchers and Specialists* and *Rules and Procedures of the Professional Library Staff*, submit a written request for reconsideration to the Dean of the Faculty on the grounds that: (i) there exists substantial relevant information that was not presented, and reasonably could not have been presented during the investigation, or (ii) the imposed penalty does not fall within the range of penalties imposed for similar misconduct.

Appeals concerning dismissal or suspension, or procedural unfairness will be heard by the Promotions, Continuing Appointment and Review Committee for Professional Librarians or the Committee on Appointments and Advancements for the Professional Researchers and Professional Specialists, as appropriate. *For any appeal alleging sex discrimination or sexual misconduct, see the Policy and Disciplinary Procedures for Sex Discrimination and Sexual Misconduct.*

E. USE OF UNIVERSITY IDENTIFICATION

1. By resolution of the Board of Trustees, members of the University sending communications to the public press on subjects lying outside their particular field are requested not to use the name of the University.
2. Except with the formal consent of the President of the University, no one connected with the University shall enter into any agreement with any firm or enterprise whereby the name "Princeton" shall be used in advertising, publicity, etc., nor shall furnish to firms or enterprises

material for advertising, publicity, etc., in which the name “Princeton” appears.

F. CONFIDENTIALITY

In the course of their teaching, research, and administrative activities, faculty members are typically exposed to a broad range of confidential information related to prospective, current, or former students, faculty, and staff members. They may also be exposed to confidential or proprietary information about the University. These Rules refer to information collectively as “Confidential Information.” Faculty members must treat Confidential Information in accordance with University requirements. A breach of these requirements is a serious violation of University policy. A breach of these requirements relating to faculty appointment and advancement processes or student and alumni records is especially egregious, as explained below.

I. CONFIDENTIALITY IN APPOINTMENT AND ADVANCEMENT PROCESSES

It is essential to maintain confidentiality in all faculty personnel matters. This includes hiring, reappointment, tenure, and promotion. Decisions on appointments and advancements depend on frank discussions among faculty and the ability to have open and honest exchanges. These processes also depend on the frank and critical assessments of national and international scholars, who rely on the University’s commitment to treat their evaluations, including the fact that they provided an evaluation confidentially. Breaches of confidentiality at any stage can seriously undermine the open exchange involved in these processes. Such breaches could compromise the interests of the candidates and interests of the University (e.g., the ability of a department or the University to obtain external evaluations, and to have meaningful conversations at department meetings). Breaches could result in significant reputational harm as well, making it difficult for academic units and the University to perform their work, and compromising the effectiveness of the process for the candidates under review. Disclosing Confidential Information in an unauthorized manner is strictly prohibited.

Rules and Policies

2. CONFIDENTIALITY OF STUDENT AND ALUMNI RECORDS

It is the policy of Princeton University that student and alumni records are confidential documents. As noted in Rights, Rules and Responsibilities (<https://rrr.princeton.edu/>) such Confidential Information is not to be disclosed unless it meets one of the stated exceptions.

As an extension of the general policy set forth above, Faculty members are expected to treat with discretion any personal information concerning students including students' political, religious, or social opinions and beliefs as revealed in classroom exchange or discussion, in course essays, advising meetings, or in other contexts of the educational process. This policy is in no way intended to discourage Faculty members from making professional judgments of students' academic capacities or performance in response to reasonable requests; rather, it is intended to safeguard the students' privacy and to protect the student-teacher relationship. Faculty members are invited to cite this document as a statement of official University policy in response to requests for information that appear to infringe upon the principles of academic freedom and individual privacy.

G. MISCONDUCT IN RESEARCH

The University is committed to high ethical and scholarly standards in the substance, conduct, and reporting of research. Safeguards on both fronts are embodied in the best traditions of disinterested scholarly inquiry, including skepticism, independent cross checks, and a sense of personal responsibility. These traditions presuppose that one's colleagues are honorable, even if occasionally mistaken: room has to be left open for intellectual risk-taking and honest error. However, any serious indication of research *misconduct* calls for systematic institutional response. Members of the Princeton community have a duty to foster a climate that encourages ethical conduct of scholarly research. They also have a responsibility to report if ever they encounter serious indications of misconduct in research. Reporting such concerns in good faith is a service to the University and to the larger academic community. The University is committed to maintaining an environment that enables and encourages such service. The University prohibits retaliation of any kind against a person who, acting in good faith, reports or provides information about suspected or alleged misconduct in research.

“Misconduct in research”, as understood here, includes, but is not limited to, fabrication or falsification of data, plagiarism, interference with the integrity of the work of others, misappropriation of the ideas of others, or misrepresentation in the proposing, conducting, or reporting of research. The procedures adopted for dealing with possible incidents of misconduct must be sensitive to the personal reputations and careers of the person bringing the allegation of misconduct, of the person against whom the allegation is directed, and of others caught up in the events. Confidentiality in the proceedings has to be respected throughout, to the maximum extent possible. Procedures must be expeditious and fair. It is important that a written record be kept covering all phases of the proceedings. These records will be kept for at least seven years. Members of the inquiry committees and investigative panels must be selected with a care for their impartiality and personal distance from the principals. Princeton University will comply with the requirements of all relevant federal regulations throughout, and if applicable, should there be a conflict between these general procedures and the regulations, the regulations shall govern.

1. The responsibility for pursuing allegations of misconduct in research rests with the Dean of the Faculty. If a graduate student is involved as one of the principals, the Dean of the Faculty will consult throughout with the Dean of the Graduate School. If the Dean of the Faculty has a conflict, the responsibility shall fall upon the Provost or another academic officer designated by the President.
2. Any allegations of misconduct in research should be communicated by written or oral statement. The person raising the allegations (the “claimant”) is expected to be available early on for confidential communications with the Dean of the Faculty, or his or her designee. The aim in this is to determine whether the case falls within the definition of “misconduct in research” and whether the allegations are sufficiently credible and specific so that potential evidence of research misconduct may be identified. The Dean will make every effort to assess the claims fully and fairly even in cases where the claimant chooses to remain anonymous, for example, by presenting the allegations via the University’s hotline (<https://oac.princeton.edu/compliance/hotline>). In some such cases, however, the Dean may decide that it is not possible to make an appropriate assessment of the matter. If the allegations meet the assessment criteria above, the Dean will soon thereafter form an *ad-hoc* committee to carry out a preliminary inquiry and to issue a confidential written report recommending to the Dean whether or not a formal

Rules and Policies

investigation is warranted. The preliminary inquiry formally commences with the initial meeting of the inquiry committee.

3. At the time of or before beginning an inquiry, the person against whom the allegations are raised (the “respondent”) must be provided by the Dean with a written statement laying out the charges in full, evidence, membership of the inquiry committee, and, with permission of the claimant, the identity of the claimant. On or before the date on which the respondent is notified of the inquiry, the Dean will determine what reasonable and practical steps should be taken to protect the research records and evidence needed to conduct the proceedings. Before the conclusion of the preliminary inquiry, the respondent will be provided a confidential draft copy of the inquiry report and an opportunity to comment. Any comments are expected to be submitted within seven days of the respondent’s receipt of the draft report, and such comments will become a part of the record and will be considered in deciding whether to proceed to a formal investigation. The preliminary inquiry, which shall conclude within 60 days unless an extension is warranted and documented, shall end upon issuance of the Dean’s decision. If the Dean determines that a formal investigation is not warranted, the matter shall be closed and final.

4. If the Dean believes that his or her findings warrant a formal investigation and, in the case of an anonymous complaint, are capable of being formally investigated despite the anonymity of the complainant, the Dean will form an appropriate investigative panel and inform the respondent as to its membership within 30 days. The panel must include two members of the standing University Research Board, one of whom will normally serve as Chair of the panel. It may include members from outside the University community, and the panel may consult with outside experts. If government-sponsored research is involved, the University will inform the appropriate agencies in as confidential manner as possible on or before the date the investigation begins. If, during the course of the proceedings, the University learns that the alleged research misconduct poses a threat to public health, federal funds or equipment, or the integrity of the government-supported research process, the University shall (i) notify the applicable federal sponsor(s) immediately, and (ii) promptly take appropriate action to protect against the perceived threat(s).

5. Unless there are extenuating circumstances requiring a longer process, the investigative panel will be expected to come to a conclusion and report its findings to the Dean, in a confidential draft report, in no

Rules and Policies

more than 60 days from the initial meeting of the investigative panel. The confidential draft report of the investigative panel will be made available to the respondent. Any comments on the report by the respondent are expected to be submitted within 30 days of the respondent's receipt of the draft report and will be considered by the panel in preparing its final report. The comments of the respondent shall be appended to the final report and considered by the Dean before the final decision is made. It is expected that all aspects of the investigation will be completed within 120 days of the panel's initial meeting.

6. If the allegations of misconduct are not sustained, the case must be dropped, and nothing of it may appear in the personnel record of the respondent or claimant. The claimant may be advised by the Dean that the matter is concluded and final, and the allegations not sustained. The Dean should take reasonable steps, if requested and as appropriate, to protect or restore the reputation of persons alleged to have engaged in research misconduct but against whom no finding of research misconduct is made.

7. If the respondent acknowledges misconduct, or if the Dean accepts a finding of misconduct by the investigative panel, the conclusions and disciplinary recommendations of the Dean will be implemented or forwarded to the President for decisions and implementation, subject to standard University grievance protections. If misconduct has occurred, the University must make every reasonable effort to reach and inform journal editors, research collaborators and other parties affected by the misconduct and, in the case of sponsored research, the sponsoring organizations. The claimant may be advised by the Dean that the matter is concluded and final, misconduct in research was found to have occurred, and appropriate responsive steps have been or are being taken by the University. The Dean should take reasonable and practical efforts to protect or restore the position and reputation of any complainant, witness, or committee member and to counter potential or actual retaliation against them.

8. The University will cooperate, to the extent required by law or term of award, with the appropriate federal sponsor during its oversight review or any subsequent administrative proceedings.

H. CAMPUS DISRUPTIONS

Free speech and peaceable assembly are basic requirements of the University as a center for free inquiry and the search for knowledge and

Rules and Policies

insight. These rights involve a concurrent obligation on the part of all members of the University to maintain on the campus an atmosphere conducive to scholarly pursuits and to respect the rights of all individuals.

Demonstrations and the distribution of leaflets, statements, or petitions therefore are permitted on the campus unless, or until, they disrupt regular and essential operations of the University or significantly infringe the rights of others. On the same grounds, the campus is open to speakers whom students or Faculty wish to hear and to recruiters for agencies and organizations in whom student or Faculty have an interest.

It is a violation of these policies for a member of the Faculty, staff, or student body to prevent the orderly conduct of a University function or activity, such as lectures, meetings, interviews, ceremonies, and public events; or block the legitimate activities of any person on the campus or in any University building or facility. Activities which exceed these guidelines, if persisted in after due warning, will subject the participants to disciplinary and, if need be, legal action.

The University cannot be content merely to tolerate inquiry and discussion; it has an obligation to ensure and protect them.

I. CLASSROOM LEARNING ENVIRONMENT

Princeton University places a strong emphasis on its teaching mission. The classroom provides a distinctive space where knowledge is transmitted, ideas are debated, and argument flows freely in an atmosphere characterized by trust, openness, mutual respect, and a willingness to have one's beliefs and arguments, whatever they may be, vigorously challenged.

Princeton faculty members have broad authority to determine the content and the structure of their courses. With this authority comes the responsibility to have considered reasons for the pedagogical choices they make. Faculty members should be willing to explain the reasons for their choice of methods and approaches. It is perfectly legitimate for students to ask faculty members about their pedagogical choices.

Consistent with the University's strong commitment to freedom of thought and expression, the critical examination of competing points of view should be encouraged. No point of view, including that of the instructor, should be treated as immune from challenge or criticism. Classroom discussion among students and the instructor should also strive to foster a respectful atmosphere conducive to learning in which no one is humiliated, intimidated, or excluded. Under no circumstances

should any student or instructor be subjected to threats, intimidation, assaults, name-calling, or personal vilification.

J. CONFLICTS OF INTEREST IN RESEARCH

1. Research activity in the University is dedicated to the advancement, preservation and dissemination of knowledge; instruction of undergraduate, graduate and postdoctoral students; advancement of the public interest and public welfare. Research dedicated to these ends may incidentally generate financial benefits to individual investigators and to the University, for example, through patents and licensing. This is to be welcomed. However, the prospect of such gain cannot be allowed to govern the selection and conduct of research projects. Choices concerning the nature and orientation of research must be based on University values, which include intellectual importance, educational merit and public benefit. It is thoroughly consistent with these values, indeed it is both necessary and desirable, for the University to seek outside support from government, industry, foundation and private sponsors. Sponsored projects should reflect a coincidence of research interests on the part of sponsors and University.

2. Outside professional, financial and entrepreneurial activities of individual faculty and staff can contribute to University goals and provide valuable public and personal benefits as well. Primary commitment must however be devoted to the University. External interests and activities have to be ordered so as to minimize any risk of conflict with University objectives and values. It is not possible to lay down a precise and comprehensive set of rules on conflict of interest, even when the focus is narrowed to the research side of University life. A representative set of markers is nevertheless provided below. The Conflict of Interest in Research Panel (Panel), as set forth in paragraph I.13 below, is established to monitor and deal with issues of conflict. Faculty and staff are counted on, in the first instance, to monitor their own activities. Whenever they perceive that the question of conflict might arise, they are expected to disclose the relevant facts to the Panel as a basis for guidance, possible adjustments and expeditious resolution. These matters are described below.

3. Student participation in research is a central educational goal of the University. The selection and involvement of students must therefore at all times be governed primarily by consideration of the students' own educational goals as well as the legitimate needs and objectives of the

Rules and Policies

research project. Faculty and staff must at all times scrupulously avoid providing research guidance and facilities to students with the dominant aim of serving their own outside professional, financial and/or entrepreneurial activities and objectives.

4. Open communication of research findings is an important University value. Outside sponsorship or other associations should not be a basis for inhibiting the publication or sharing of information. In the case of sponsored research, University researchers must retain full rights concerning the timing and content of publications, apart from those safeguards established by the University to protect privacy, proprietary information and patentable inventions.

5. Research data and materials owned by or in the custody of the University, if they are to be made available externally, must be made generally available. In no case can the transfer of data or materials be made for reasons of personal gain, except in accordance with University policy on patents and copyright.

6. The University does not accept research sponsorship predicated on the finding of predetermined research results.

7. Except in the most incidental of ways, members of the University community should not use University research or administrative facilities to pursue personal business or commercial consulting activities.

8. Research within the University may not be undertaken or oriented with the purpose of serving the interests of outside persons or organizations unless there is University approval and, typically, appropriate financial support from the same persons or organizations.

9. Members of the University who enter into external consulting or other agreements must take care that these are not in conflict with the provisions of Princeton's patent policy, its obligations under any sponsored grant or contract, or any other policies of the University.

10. The risk of conflict of interest, or serious appearance of conflict, can arise when a University investigator (or their spouse or dependent children) has significant financial interests in an external enterprise engaged in activities closely related to the investigator's line of University research. It is the policy of the University to require faculty to complete an Annual Disclosure Form designed to identify any potential conflicts of interest arising from significant financial interests so that they may be appropriately managed. The University defines "significant financial interest" to include anything of monetary value

rising to the level of significance, including but not limited to salary; other payments for services (e.g., consulting fees or honoraria); equity interest (e.g., stocks, stock options, or other ownership interests); or intellectual property rights (e.g., patents, copyrights, and royalties from such rights). By no means does the existence of such interests necessarily imply a conflict of interest. Nevertheless, where there are such interests, the investigator is obligated to provide full and current disclosure to the Review Panel. In exercising their judgment, members of the University are urged to tilt toward disclosure rather than nondisclosure in cases where they are unsure whether or not their outside financial interests rise to the level of “significant.”

11. Federal agencies funding research at the University have a legitimate interest in ensuring that the design, conduct and reporting of such research will be free from bias resulting from an investigator’s financial conflicts of interest. Often these federal agencies have specific regulations requiring certain disclosure of financial interests by principal investigators and key personnel applying for and working on federally funded research. The reporting requirements of federally funded research may be different than those ordinarily required by the University. In those cases, the University will provide guidelines to assist Investigators in understanding their obligations as well as disclosure forms.

12. Every University researcher is obligated to make appropriate disclosure as required by federal regulations or when, in the investigator’s judgment and in the spirit of general University standards, there is a risk of conflict of interest or serious appearance of conflict. What is called for in such cases is full and current disclosure of all interests that bear on the particular instance of conflict. Wider disclosure of personal interests beyond that is not sought.

13. The Conflict of Interest in Research Panel (Panel) is established as a committee reporting to the Dean for Research. The Panel is charged with receiving and analyzing disclosure material; proposing to the investigator suitable adjustments in project arrangements when these are deemed necessary to remove, minimize, or manage conflicts of interest; and developing policy recommendations on conflicts of interest for consideration by the URB or other appropriate University bodies. The Panel consists of ten members: the Dean for Research as chair, Dean of the Faculty, Dean of the Graduate School, Dean of the School of Engineering and Applied Science, General Counsel, and the Director of the Office of Technology Licensing and the Director of Research

Rules and Policies

Integrity and Assurance, ex officio; three other tenured members of the Faculty, one from Division I or II, and two from Divisions III and/or IV, who are appointed by the Dean for Research in consultation with the Dean of the Faculty for staggered, renewable, three-year terms.

14. Where external sponsorship of research is involved, there can be extra sensitivities concerning the potential for conflict of interest and, especially in the case of government sponsorship, conformity with agency regulations. For these reasons, the Review Panel reviews the annual conflict of interest disclosure statements from investigators involved in sponsored research.

VI: CONDUCT OF UNDERGRADUATE COURSES OF STUDY

A. UNDERGRADUATE COURSE MECHANICS

1. COURSE ENROLLMENTS

- a. At the beginning of each term, every instructor in charge of a course receives from the Office of the Registrar a list of students enrolled in the course.
- b. A student who wishes to enter or withdraw from a course does so through the Office of the Registrar.

2. MEETINGS OF COURSES

- a. Under the Faculty Committee on Classrooms and Schedule, the Office of the Registrar schedules the time and place of meeting for lecture courses and class meetings. Changes in either the time or place of meeting, if necessary, should be arranged through the Office of the Registrar.
- b. Seminars, precepts, and small group sections may be assigned times and places for meeting in the same way, through the Office of the Registrar.
- c. Out of respect for colleagues, as well as students, lectures and other formal academic exercises should end promptly. For many students the full 10-minute period between classes is required to stay on schedule.

3. STUDENT OBLIGATIONS TO COURSES

- a. Undergraduate courses are offered on a term basis. Faculty members may set deadlines within the term for required essays or papers, but only the Office of the Dean of the College, acting for the Committee on Examinations and Standing, may authorize extensions beyond the stipulated University deadlines (see *The Undergraduate Announcement: Academic Regulations*).

Conduct of Undergraduate Courses of Study

- b. Students are expected to participate fully in all aspects of University courses in which they are enrolled.
- c. Cases of excessive absence from a course, failure to submit numerous or significant assignments in a course or unsatisfactory performance in course work as the term progresses should be reported promptly to the Office of the Dean of the College.

4. TERM TESTS AND MIDTERM GRADES

- a. All quizzes and tests during the term, as well as final examinations, are conducted under the honor system (see Section VI.B.4 below).
- b. Tests or examinations based on a significant section of the course should be indicated on the syllabus or announced adequately in advance.
- c. Unless special provision is made by the Office of the Registrar, quizzes and tests during a term should be held during a class period regularly assigned to the course, and must end promptly.
- d. If a student is absent from a test because of illness or equally compelling cause, the absence is not counted against his or her record. The instructor in charge of the course determines whether the test is to be waived or a makeup test given. If an absence is not of the above kind, the student's record is determined by the instructor in charge of the course.
- e. In 100 and 200 level (underclass) courses, midterm grades are reported to the Office of the Registrar by a specified date shortly after the middle of each term. Departments may determine whether and how individual students shall be notified of their grades in each course.
- f. There is no provision for formal reporting of midterm grades in 300 and 400 level (upper-class) courses. While the term is in progress, instructors are urged to report to the Office of the Dean of the College the names of any students whose standing is marginal.

B. TERM PAPERS, EXAMINATIONS, AND FINAL GRADES IN UNDERGRADUATE COURSES

I. GENERAL CONSIDERATIONS

- a. An examination not to exceed three hours is normally required in each course at the end of the term.

Conduct of Undergraduate Courses of Study

- b. All major requirements in a course should be clearly indicated to students at the outset. If there are changes, care must be taken to assure that all individuals enrolled in the course are informed.
- c. When instances of suspected plagiarism occur on term papers or projects, a report should be made to the Committee on Discipline through the Office of the Dean of Student Life.
- d. Specific procedures covering late completion of work in a course because of medical or other compelling reasons are set out in full in *The Undergraduate Announcement: Academic Regulations*.

2. PREPARATION OF FINAL EXAMINATIONS

- a. Final course examinations should be designed to enable a student to demonstrate a grasp of the subject of the course and thus should be based upon large parts of the syllabus rather than a restricted topic or special section.
- b. In a course taught by several instructors, responsibility for the final examination rests with the individual in charge who should, in turn, consult with her or his colleagues in the course.
- c. It is the obligation of those concerned with preparing an examination to ensure that copies of it do not fall into unauthorized hands in advance of the examination.

3. CONDUCT OF FINAL EXAMINATIONS

- a. The examination should be held at the time and place designated in the official schedule of examinations. Any changes in time or place must be authorized by the Office of the Registrar acting for the Committee on Classrooms and Schedule and the Committee on Examinations and Standing.
- b. The examination should begin promptly and end promptly at the designated times.
- c. If a student arrives late at an examination, there are procedures through which he or she may apply for a postponed examination (see *The Undergraduate Announcement: Examinations, Tests*).

Alternatively, the student may, if he or she chooses, undertake to complete the examination within the remainder of the time allotted to the examination.

Conduct of Undergraduate Courses of Study

4. THE HONOR SYSTEM

All written examinations and tests are taken in accordance with the provisions of the Honor System. (The constitution and a description of the Honor System are given in *The Undergraduate Announcement*.) The provisions which immediately concern an officer of instruction in charge of an examination are the following:

a. There shall be no proctorial supervision of examinations, but each student shall subscribe on her or his paper the following pledge:

“I pledge my honor that I have not violated the Honor Code during this examination.”

b. Suspected breaches of this pledge which come to the attention of the Faculty shall be reported immediately to the student Honor Committee.

c. At the request of the student Honor Committee the following rules are to be observed at all examinations and tests taken under the Honor System:

- 1) Students may not take an examination or written test in any place other than that regularly scheduled for the examination or test, except at the Infirmary, unless the instructor has granted specific permission, which must then also be granted to any other student who makes the same request.
- 2) All students taking examinations should, as far as feasible, sit in alternate seats, refrain from bringing books and notes into the examination room, and avoid sitting near those with whom they have studied.
- 3) Each student taking an examination or test should indicate the number of the seat he or she occupies in the room.
- 4) The examiner shall insist that every student taking an examination or test write out the pledge and sign her or his name thereto.

5. DETERMINATION OF FINAL COURSE GRADES

a. The final standing of a student in a course should be determined in consideration of the quality of the student's overall participation in the course--not only on the basis of the final examination or other final exercise. The relative weight to be given to the elements is decided by the department concerned, except that in underclass courses the final examination may not be weighted more than fifty percent in calculating the final grade.

Conduct of Undergraduate Courses of Study

- b. When more than one instructor has responsibility for a course, the final grade of each student is determined by the group of instructors and reported to the Office of the Registrar by the instructor in charge of the course.
- c. In a course for which two or more instructors have responsibility, no final grade is to be regarded as definitely established until after consultation among the concerned members of the Faculty.

6. REPORTING OF FINAL COURSE GRADES

- a. The final standing of each student in a course is reported to the Office of the Registrar, on a form provided for the purpose, as soon as possible after the scheduled final examination or, in courses that do not have final examinations, the deadline for submission of final papers or other final exercises, and in any case within the following limits: in courses involving less than twenty students the report is to be submitted within three days; in other courses the report is to be submitted within six days.
- b. Only the final grade in a course is reported to the Office of the Registrar but term grades and the final examination grade should be available if the Committee on Examinations and Standing requests information about marginal or failing students.
- c. If a student has been absent from the final examination or has not completed other major requirements, he or she is to be reported "Inc" (incomplete) only if the student has made arrangements through the Office of the Dean of the College to complete the course. Otherwise the student's final grade is to be computed assuming that he or she has a failing grade on the final examination or other missing component(s). (See The Undergraduate Announcement: Academic Regulations.)
- d. When a student fails a course, the instructor submits to the Committee on Examinations and Standing a written report on the student's work. These reports are reviewed by the Committee before it places a student on academic probation or requires a student to withdraw from the University.
- e. After a final grade has been reported to the Office of the Registrar, any request for a change in the grade shall be made by the instructor in charge of the course. A request for a change of grade must include an adequate statement of grounds on which it is made. The Committee on Examinations and Standing reviews all requests for changes of grade.

Conduct of Undergraduate Courses of Study

f. If a student so requests, an instructor should go over a student's examination paper with him or her so that the student may have a clearer idea of his or her strengths and weaknesses.

g. The University considers the academic record of each student to represent highly personal information properly available for use within the University only by appropriate persons. For a full statement of the University's policies concerning the confidentiality of student records, see the "University Privacy Policy and Procedures" statement, available from the Office of the Secretary. Also see Section V.F. above.

7. RESCHEDULING OF FINAL EXAMINATIONS

a. The registrar, acting for the Committee on Examinations and Standing, may authorize a student to take an examination up to 24 hours before or after the scheduled examination time. Appropriate reasons for granting such requests are religious days, personal emergencies, and more than one examination scheduled in a single calendar day. Examinations will normally be rescheduled during the 24 hours after the scheduled examination time; examinations will be rescheduled during the 24-hour period before the regularly scheduled time only in the most unusual and compelling circumstances. In no such cases will a faculty member be required to administer the examination more than twice. This provision does not preclude additional administrations of an examination by the registrar or other responsible individuals designated by the registrar.

b. The Office of the Dean of the College, acting for the Committee on Examinations and Standing may authorize rescheduled final examinations beyond the 24-hour period on the basis of applications from individual students. (See *The Undergraduate Announcement: Academic Regulations*.) Responsibility for all arrangements connected with such examinations is taken by the Office of the Registrar. Postponed final examinations for the fall term courses will be scheduled during the third week of spring term classes, and for spring term courses, during the week preceding the beginning of the next fall term.

c. Final grades are normally reporting using the letters A, B, C, D, and F. Members of the Faculty may, at their discretion, report pluses and minuses with A's, B's, and C's. P's may be reported in courses offered exclusively on a pass/D/fail basis. (The Office of the Registrar will convert letter grades of C- or higher to P's in the case of individual students electing courses under the pass/D/fail option.) The A+ should be regarded as an exceptional grade reserved for work of extraordinary

Conduct of Undergraduate Courses of Study

merit. A faculty member who awards the grade of A+ must submit to the Committee on Examinations and Standing a written report explaining how the student's course work or independent work meets the instructor's standards for truly outstanding work. A+ statements become a part of students' permanent records and will be made available to them as a matter of course. The statements may be reviewed by University committees making decisions about academic honors, awards, and prizes, and by administrators and faculty preparing institutional recommendations for applicants to medical school and institutional endorsements for candidates in national fellowship competitions.

d. When a postponed final examination has been authorized in a course, the instructor in charge of the course is notified of the fact and given a list of students who are entitled to take the examination. The instructor in charge prepares a question paper as soon as possible and sends it to the Office of the Registrar. At the same time the instructor informs the Office of the Registrar which member of the Faculty will read the completed examinations. If examinations are to be read by another member of the Faculty, the instructor in charge of the course provides a list of students expected to take the examination together with their grades in the course exclusive of the final examination.

e. Rescheduled final examinations are conducted under the supervision of the Committee on Examinations and Standing by the Office of the Registrar acting for the Committee.

f. Regular final grades are assigned to each student on the basis of the completed rescheduled examination. If not completed by the stipulated deadline, a failing grade is assigned to the examination and an appropriate final grade reported.

8. ACADEMIC WARNING

At the end of each academic term, the Committee on Examinations and Standing is responsible for issuing academic warnings to students whose records indicate either poor overall standing or particular weaknesses, e.g., in departmental independent work. Formal academic warnings are normally issued only at the end of a term. The record of a student who has received a warning will be reviewed by the Committee at the end of the following term, and its judgment reported to the student.

Conduct of Undergraduate Courses of Study

C. DEPARTMENTAL CONCENTRATION

1. A.B. CANDIDATES

a. Each program of concentration includes provision for a departmental examination (also known as a comprehensive examination) in the senior year. This examination provides opportunity to examine a student's ability to use knowledge intelligently. Departments determine whether to utilize written examinations, oral examinations, papers, or some appropriate combination thereof. Departments may propose to the Committee on the Course of Study conditions under which a departmental examination will not be administered.

b. Departmental programs of concentration require a thesis, or several substantial essays, to be written during the two terms of senior year and to be submitted at a date to be specified by the department, in any case prior to the University deadline set by the Office of the Dean of the College.

c. If in the opinion of the department an extension of time for the submission of the thesis is clearly justified in any individual case, the department may grant a postponement to the University deadline. A postponement beyond that date may be authorized only by the Committee on Examinations and Standing, and only for compelling reasons.

d. Departments may set deadlines for the receipt of the paper(s) or independent reading project(s) constituting the independent work of junior year. However, junior independent work must be submitted no later than the deadline set for all written work of the term. A postponement beyond that date may be authorized only by the Committee on Examinations and Standing, and only for compelling reasons.

2. A.B. AND B.S.E. CANDIDATES

a. A department is under obligation to report to the Committee on Discipline a clear case of dishonest use of another's work in the senior thesis or any paper presented in connection with an independent program of study.

b. A copy of each senior thesis is permanently retained by the department and deposited in the Library.

Conduct of Undergraduate Courses of Study

- c. The departmental standing of students is discussed in *The Undergraduate Announcement: Academic Standing*.
- d. At the close of each academic year departments certify to the Office of the Registrar the names and standing of those seniors who have satisfied requirements for the degree, and separately the names and standing of those who have failed to satisfy requirements.
- e. For each senior who has failed to satisfy its requirements the department should send to the Office of the Dean of the College, for guidance in talking to the student, a confidential statement about the grounds for the failure as well as recommendation about whether and under what circumstances the student may attempt to qualify for the degree. These recommendations must be approved by the Committee on Examinations and Standing.
- f. Honors are awarded at graduation by the various departments. See the current issue of *The Undergraduate Announcement* under the sections devoted to the Program of Study for the A.B. Degree and the Program of Study for the B.S.E. Degree.

D. PROCEDURES FOR SETTING POLICY

The following are to be established policies in the making of decisions about the undergraduate course of study, and department Chairs shall be responsible for so informing the concentrators of their departments at the beginning of each academic year. However, any of these policies may be modified by agreement of the tenured and tenure-track and concentrators of a department, these modifications to remain in effect until changed by similar procedure.

1. In the election of student departmental committees, such committees and departmental Chairs shall be jointly responsible for adopting procedures that have these objectives:
 - a. It should be convenient for the students of the department to vote.
 - b. There should be an opportunity for any departmental student to place names in nomination.
 - c. It should be easy for relatively small groups of students to have a representative of their department's committee and difficult for an organized minority to capture a disproportionate share of committee positions.

Conduct of Undergraduate Courses of Study

- d. There should be reasonable precautions against multiple balloting and reasonable measures to ensure a fair count of the vote.
2. Student departmental committees shall be provided with a reasonable amount of secretarial assistance in preparing proposals, communicating with departmental majors, and conducting elections.
3. Department chairs shall be responsible for:
 - a. Referring all proposals for major changes in departmental undergraduate programs to their student committees before action on such proposals is taken by department Faculty.
 - b. Inviting members of student committees to discuss proposals for major changes in departmental undergraduate programs with departmental faculties at or before any meetings in which department Faculty take action on such proposals.
 - c. Scheduling at least two meetings each academic year with their student committees, one early in the fall term to work out plans for later consultation, and one in late spring to review departmental undergraduate offerings so that Chairs may take student views into account in preparing requests for new staff.
4. Student committees and faculty departmental committees concerned with the undergraduate program (in departments in which the latter sort of committee exists) shall normally meet jointly.
5. Student departmental committees have the following additional rights:
 - a. The right to attach comments, favorable or unfavorable, to all proposals forwarded by the faculties of their departments to the Committee on the Course of Study.
 - b. The right in certain circumstances to secure a departmental faculty's reconsideration of action taken on proposals regarding the course of study for undergraduate students. Specifically: Department Faculty should seriously consider a second vote on any measure regarding the department's undergraduate program, when a second vote is requested by the student committee of the department. In any particular academic year departmental faculties should commit themselves to a second vote on such measures if a second vote is requested within one month by the student committee in a petition endorsed by two-thirds of the department's majors. If the action being

Conduct of Undergraduate Courses of Study

reconsidered is on a proposal that the Department Faculty has rejected, a majority vote of the Departmental Faculty should reverse the previous decision. If the action being reconsidered is on a proposal that has been adopted by the Department Faculty, a two-thirds vote of the Department Faculty should be required to affirm the previous decision.

Department Faculty should not be bound to reconsider the same action more than once in the same academic year.

VII: CONDUCT OF GRADUATE COURSES OF STUDY

A. PROCEDURES FOR SETTING POLICY

The following are to be established policies in the making of decisions with regard to the graduate courses of study, and department Chairs shall be responsible for so informing the graduate students of their departments at the beginning of each academic year. However, any of these policies may be modified by agreement of faculty and graduate students of a department, these modifications to remain in effect until changed by similar procedure.

1. Each department shall establish a departmental committee of graduate students, to act as a liaison between the faculty and the graduate student body of the department. Each committee should normally meet with the committee of the department Faculty concerned with graduate studies, if one exists. The committee of graduate students shall have the right to initiate discussion of any proposals relating to the departmental graduate program, shall encourage students to participate in departmental affairs of special interest and relevance to them, and shall have the following additional rights:

- a. The right to attach comments to all proposals forwarded to the Committee on the Graduate School by department Faculty.
- b. The right in certain circumstances to secure a department Faculty's reconsideration of action taken on proposals regarding the graduate curriculum. Departments should seriously consider a second vote on any measures regarding the department's graduate program when it is requested by the student committee. In any particular academic year department Faculty should commit themselves to a second vote on such measures if a second vote is requested within one month by the student departmental committee in a petition endorsed by two thirds of the department's graduate students. If the action being reconsidered is on a proposal that the department Faculty has

Conduct of Graduate Courses of Study

rejected, a majority vote of the department Faculty should reverse the previous decision. If the action being reconsidered is on a proposal that has been adopted by the departmental faculty, a two-thirds vote of the department Faculty should be required to affirm the previous decision. Department Faculty should not be bound to reconsider the same action more than once in the same academic year.

2. Student departmental committees shall be provided with a reasonable amount of secretarial assistance in preparing proposals, communicating with departmental majors, and conducting elections.
3. Each department chair shall be responsible for:
 - a. Referring all proposals for major changes in the department's graduate program to the departmental graduate student committee before action on such proposals by the faculty of her or his department.
 - b. Inviting student committee members to discuss proposals for major changes in the graduate course of study with the faculty of the department at or before any meetings in which the department Faculty proposes to take action on such proposals.
 - c. Scheduling at least two meetings each academic year with the graduate student committee of her or his department, one early in the fall term to work out plans for later consultation, and one in late spring to review the department's graduate offerings so that the Chair may take student view into account in preparing requests for new staff.

VIII: CONDUCT OF RESEARCH

A. UNIVERSITY RESEARCH FUNDS

I. UNIVERSITY COMMITTEE ON RESEARCH IN THE HUMANITIES AND SOCIAL SCIENCES

The University Committee on Research in the Humanities and Social Sciences administers, on behalf of the President, a fund established by the Board of Trustees to support the scholarly activities of regular tenured and tenure-track members of the Faculty in the Humanities and Social Sciences. The Committee is composed of three department Chairs in the Humanities and Social Sciences Divisions, appointed to three-year terms by the Dean of the Faculty. It acts to advise the President on awards made to provide funds for research assistance, travel, and publication of results in connection with the scholarship of the faculty in these two Divisions.

2. ENGINEERING RESEARCH FUNDS

Limited research funds are available to the Faculty and Professional Research Staff of the School of Engineering and Applied Science. These funds are composed of several small industrial, foundation, and government grants, and a University allocation, and are intended primarily to facilitate inception of new research by Assistant Professors, in areas not readily supported by external agencies. These funds are allocated on recommendation of the Dean of the School of Engineering and Applied Science, based on advice from the Executive Committee or other appropriate advisers.

B. RESEARCH SUPPORTED BY OUTSIDE FUNDS

Although the research funds mentioned in Section VIII.A. continue to be of great importance to the University in a variety of ways, the major expenditures for research now come from current funds supplied by foundations, industries, or government agencies through grants or contracts. The Dean for Research oversees the solicitation and administration of external funds through the Office of Research and

Conduct of Research

Project Administration and the Office of Corporate Engagement and Foundation Relations.

The Office of Research and Project Administration provides central administration services for all sponsored research projects, including proposal reviews and submission, grant and contract negotiations, issuing of awards, and sponsored research award management and maintenance. The Office of Corporate and Foundation Relations provides central support for developing and stewarding proposals for research funding and gifts from corporations and private foundations.

A general policy statement of the criteria to be considered in accepting grants or contracts for research and the procedure to be followed in obtaining such grants or contracts was approved by the President on 26 April 1960, and later communicated to, and approved by, the Faculty. Since that time the procedure has been amended in several respects; the statement as amended is reproduced in full as follows:

i. POLICIES FOR SPONSORED RESEARCH

Princeton University has based its adoption of these policies for sponsored research upon the fact that it is dedicated to the following primary and essential objectives:

- a. The education of undergraduate, graduate, and postdoctoral students.
- b. The advancement of knowledge through research and scholarship.
- c. The advancement, preservation, and dissemination of knowledge.
- d. The advancement and protection of the public interest and public welfare.

2. OBLIGATIONS OF SPONSORED RESEARCH

In accepting a grant or contract for research, Princeton University, the departments, and the members of the Faculty or staff involved have accepted obligations to furnish:

- a. An appropriate share of the time and talent of those members of the Faculty and staff who are committed to perform the research.
- b. An appropriate share of the University's administration, both at the general administrative and departmental levels, services such as library assistance, shop and secretarial services, and general guidance to the extent needed.

Conduct of Research

- c. Reports and publications describing the research performed and the results achieved.
- d. Compliance with any terms and conditions of the grant or contract, such as those covering patents, copyrights, fiscal requirements, and so forth.

3. ADMINISTRATION AND PROCEDURES

The Dean for Research, with the advice of the University Research Board is charged with the formulation of policy for the solicitation, acceptance, and administration of research grants and contracts throughout the University. The University Research Board is composed of six tenured or tenure-track members of the Faculty. The Dean for Research serves as Chair and the Director of the Office of Research and Project Administration serves as Administrative Officer. An administrator from the Office of the Dean for Research serves as Secretary. The Treasurer and the Dean of the Graduate School also sit on the Board. When necessary, the Provost, Dean of the Faculty, Vice President for Development, General Counsel, and Director of Environmental Health and Safety meet with the Board. Other individuals may sit with the Board as needed. The University Research Board is advisory to the President of the University.

The following procedures are to be followed with regard to sponsored research:

- a. Every application or proposal for sponsorship, renewal, or expansion of research within the University, with funds to be furnished by an outside source, but administered by the University, should be submitted with the approval of the Chair(s) of the department(s) involved to the Office of Research and Project Administration before any formal proposals are transmitted to the outside source or any commitments are made. This is not to be construed, however, as limiting the freedom to discuss possible research sponsorship on an informal basis with outside individuals or organizations. The Office of Research and Project Administration will be available for assistance with the preparation of proposals and the location of receptive sponsors. Excluded from the requirement for processing through the Office of Research and Project Administration are awards or gifts to individuals, such as Guggenheim Fellowships, etc., where the University has no responsibilities for administering the funds.

Conduct of Research

- b. After the proposal has been reviewed and approved by the Department Chair(s) and the appropriate administrative review committee to ensure its compliance with established University policies, formal proposals to outside sponsors will normally be transmitted through the Office of Research and Project Administration. Any arrangement or contract negotiation with the sponsor will normally be handled through that office.
- c. The acceptance of grants or gifts designated to be used for research, where no proposal from the University is involved, will be coordinated through both the Office of Corporate Engagement and Foundation Relations and the Office of Research and Project Administration in accordance with policies adopted by the University Research Board.
- d. Proposals for gifts and the acceptance of gifts from corporations and foundations that are not specific to sponsored research are normally handled through the Office of Corporate Engagement and Foundation Relations.

4. CRITERIA APPLICABLE TO SPONSORED RESEARCH

It will be the policy of the University, the University Research Board, the departments, and members of the Faculty involved to consider the merits of any proposal for sponsored research based upon the following criteria:

- a. The research should fit within the framework of the four primary and essential objectives of the University cited earlier.
- b. The research should be soundly based; its primary goal should be a significant contribution to knowledge rather than product development; and the personnel involved should be qualified to perform the project.
- c. The research should be proposed and carried out within a regular department of the University, within an interdepartmental center or institute, or through the cooperation of several departments, and be led by a member of the Faculty or professional research staff. The provisions of the research agreement should not grant the sponsor or any other external party a continuing role in the scientific direction of the research.
- d. Major research projects should be clearly related to the academic programs of the department or departments involved, and provide opportunities for graduate or undergraduate research training.

Conduct of Research

Projects which do not meet these requirements shall be considered by the Executive Committee of the Council of the Princeton University Community. In no case shall the research extend the activities of a department to an extent that the quality of the educational programs is compromised.

- e. Adequate facilities should be available or provisions should be made for funds to make them available.
- f. There should be a good prospect of employing any additional professional or nonprofessional personnel required within the limits of existing salary scales and personnel policy.
- g. The budget should be adequate for the work proposed, including allowance for contingencies and possible salary increases.
- h. Provision should be made for any University funds required, either in the form of direct costs or indirect expenses computed in accordance with usual University practice.
- i. Contracts or grants for research expected to generate classified information are accepted by the University only under unusual conditions and with specific approval in each case by the University Research Board--see section VIII.D. below. No such research has been carried on by Princeton University for a number of years.
- j. The terms of any contract, grant, or gift to cover the research should, insofar as possible, permit flexible operation under regular University policies and procedures, permit free publication of results (except where the requirements of national security dictate otherwise), reimburse the indirect expenses as well as the direct costs of the research, conform to the principles of the University Patent Policy, and in general permit the University to exercise administrative control and responsibility for the work.
- k. As a matter of policy, the University does not administer funds whose purpose and the character of whose sponsorship cannot be publicly disclosed. In the particular case of research abroad, Faculty, research staff, graduate students and undergraduates receiving grants for this purpose from funds administered by the University are requested not to accept additional support from agencies of the government for purposes that cannot be disclosed.

Members of the Faculty considering the solicitation of outside funds for research in which they are interested are urged to study

Conduct of Research

the above statement and to consult with the Office of Research and Project Administration.

5. PROCEDURES FOR REVIEWING INDIVIDUAL PROJECTS AND DEPARTMENTALLY SPONSORED RESEARCH PROGRAMS

- a. The University Research Board will periodically review and discuss with representatives of the departments involved all sponsored research within each department or area of the University.
- b. The URB has oversight responsibility for sponsored research grants as a whole. It sets the policies and criteria for the processing of proposals for sponsored research by the Office of Research and Project Administration, and participates in the review of selected proposals with broad or unusual implications for the University.
- c. The Chair of the Research Board shall from time to time report to the Council of the Princeton University Community on issues of policy before the Board.

C. COMMITTEES GOVERNING RESEARCH

The University committees charged with oversight of research projects at the University and their compliance with federal, state, and University regulations report to the Dean for Research. This reporting structure facilitates the development of an integrated and effective institutional compliance program covering all facets of research. The committees are comprised in compliance with federal regulations and consist of faculty members, staff members with expertise in the particular area of each committee, and, where appropriate, community representatives. Please refer to the Office of the Dean for Research for current committee membership. New members are recruited through the Office of the Dean for Research in consultation with the chair of the Committee and are appointed by the Dean for Research. Committee terms are normally for three-year terms.

In addition to their oversight responsibilities, these committees advise the Dean for Research in their respective areas of oversight and relevant policy. The Institutional Animal Care and Use Committee, Institutional Biosafety Committee, and Institutional Review Board for Human Subjects are administered through the Office of Research Integrity and Assurance. The Radiation Safety Committee is administered through the Office for Environmental Health and Safety.

1. INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

The Institutional Animal Care and Use Committee is responsible for ensuring appropriate care and use of animals involved in the University's research, educational, and training activities. The Committee is also responsible for University compliance with federal policies and procedures governing the care and welfare of animals. The Institutional Animal Care and Use Committee is comprised in a manner that complies with current federal regulations and that provides the breadth of expertise necessary for adequate review of the range of research involving animals at the University. At the discretion of the Committee, appropriate individuals, including the Environmental Health and Biosafety Officer, are invited to sit with the Committee without a vote.

2. INSTITUTIONAL BIOSAFETY COMMITTEE

The Institutional Biosafety Committee is responsible for the review and approval, if appropriate, of research that involves biological materials, including recombinant and synthetic nucleic acid molecules, pathogenic organisms and viruses, biological toxins and animal tissues that pose zoonotic disease risk. The Institutional Biosafety Committee is comprised in a manner that complies with current federal regulations. There must be sufficient collective expertise on the Committee to conduct an effective review of the full range of projects at the University that involve recombinant DNA, infectious agents, and other biohazardous material. The review should ensure that the project is conducted with appropriate containment levels, practices, facilities, and expertise. The Committee should also have expertise in the risk to the environment and to public health. At the discretion of the Committee, appropriate individuals, including the Director of Environmental Health and Safety and individuals with specific appropriate expertise, are invited to sit with the Committee without a vote.

3. INSTITUTIONAL REVIEW BOARD FOR HUMAN SUBJECTS

By federal mandate, the Institutional Review Board for Human Subjects (the IRB) is responsible for reviewing research projects involving human subjects to ensure that such research activity at the University does not expose any research subject to an unjustifiable risk or unduly invade their privacy. The Board ensures that each research proposal contains provisions for securing the informed consent of participants, free from undue pressure, prior to the start of research. All

Conduct of Research

members of the University community, including students, must obtain approval from the Board before initiating any research project involving human subjects. The Board also ensures that the policies and procedures of the University with regard to research involving human subjects comply with federal and other government requirements. The membership of the IRB is composed in a manner that complies with current federal regulations. At the discretion of the Board, appropriate individuals, including ad hoc experts or consultants, may be invited to sit with the Board without the ability to vote.

4. RADIATION SAFETY COMMITTEE

The Radiation Safety Committee is responsible for oversight of the University's radiation safety program. It grants authorization to principal investigators and other senior staff members who plan to work with radioactive materials, reviews incidents involving radioactive materials, sets policies for the use of sources of radiation, and gives general supervision for the implementation of those policies. The Radiation Safety Committee is chaired by a tenured faculty member and is composed of various faculty members, the Director of Environmental Health and Safety, the University Radiation Safety Officer, and other relevant personnel.

5. HUMAN REMAINS OVERSIGHT BOARD

The Human Remains Oversight Board (the HROB) is responsible for providing guidance and oversight for research, educational, and training activities involving human remains, as defined by University policy. The HROB will function in a manner consistent with applicable policies, laws, and regulations, including the Native American Graves Protection and Repatriation Act (NAGPRA). All members of the University community, including students, must obtain approval from the HROB before initiating any University activities involving human remains. The HROB reviews proposals and makes recommendations for the University's acquisition, usage, storage, display and deaccession of human remains; and maintains a register of human remains in the possession of the University or used under the auspices of the University. The HROB is comprised in a manner that provides the breadth of expertise necessary for adequate review of the range of possible activities involving human remains at the University. At the discretion of the HROB, appropriate individuals, including external experts, may be invited to sit with the HROB without the ability to vote.

D. INTELLECTUAL PROPERTY

I. GUIDING PRINCIPLE

The University's policies concerning intellectual property are intended to further its central mission--the sustained production, preservation, and dissemination of knowledge--while exercising due care for its fiduciary responsibility for the resources it administers.

2. PATENT POLICY

a. Basic Objectives

Patents are created by the Constitution and the Laws of the United States "to promote the progress of science and useful arts by securing for limited times to...inventors the exclusive right to their... discoveries." The basic objectives of Princeton University's policy include the following:

- 1) To maintain the University's policy of encouraging research and scholarship without regard to potential gain from royalties or other such income.
- 2) To make inventions developed in the course of University research available under conditions that will promote their effective development and utilization in the public interest.
- 3) To provide adequate recognition to inventors through a share in any proceeds from their inventions since University salaries are not based on the expectation of income from inventions.
- 4) To advance and encourage research and scholarly endeavors within the University with any funds accruing to the University from patents.
- 5) To recognize the equity of outside sponsors in the endeavors of the University by granting appropriate limited rights to the sponsors, consistent with the University's basic objectives outlined above.

b. The University Research Board, the Dean for Research, and the Office of Technology Transfer

The University Research Board is responsible for general oversight and administration of the University's Patent Policy as regards the University, its Faculty, employees, students, and outside sponsors.

The Dean for Research is responsible for the implementation of the Patent Policy under general oversight of the University Research Board.

Conduct of Research

The Office of Technology Licensing, reporting to the Dean for Research, is responsible for the University's Technology Transfer Program, providing management of inventions and patenting and licensing services for inventions developed by members of the Princeton University community.

c. Relationship Between the University and Faculty, Employees, and Students

All Faculty members, employees, and students, in consideration of their membership in the academic community and upon the approval of this policy by the Trustees and the Faculty of Princeton University, agree to handle inventions and patents resulting therefrom as follows:

- 1) The University shall own all rights in any discovery or invention resulting from research carried on by any Faculty member, employee, or student
 - a) in which all or part of the cost thereof is paid from University funds or from funds administered by the University, or
 - b) which is made as a direct result of University duties, or
 - c) which has been developed in whole or in part through the utilization of University resources.
- 2) All such discoveries or inventions must be disclosed to the Office of Technology Licensing as soon as practicable.
- 3) The Office of Technology Licensing shall determine that such discovery or invention be either:
 - a) assigned outright to the discoverer or inventor in the event the discovery or invention does not meet any of the criteria set forth in paragraph 1) above;
 - b) assigned outright to the discoverer or inventor if determination is made that University technology transfer is not warranted
 - c) transferred to one or more patent management organizations with which the University has contracted;
 - d) forwarded to the outside sponsor if such action is required under the terms of a sponsored project agreement or by law.
- 4) No Faculty member, employee, or student may assign or license or agree to assign or license an invention developed under the criteria listed in c.1. above without prior written consent of the Office of Technology Licensing.

Conduct of Research

- 5) When the University and an outside sponsor enter into an agreement for research or other scholarly endeavor to be conducted with funds or facilities provided by said sponsor, faculty members, employees or students who utilize such funds or facilities shall comply with the conditions pertaining to inventions and patents contained in said agreement and may be required to agree in writing that they will so comply.
- 6) If a dispute should arise between an inventor and the University with respect to the provisions of this Section c., questions shall be referred for decision to the University Research Board.

d. Distribution of Income

Any income realized by the University from its equity in an invention will be used for the purpose of research or scholarly activity, with the preferential consideration being given to the field of activity in which the invention was made.

- 1) For an invention in which the University owns all rights in accordance with Section c. above, the inventor will be distributed the following percentages of the net income realized by the University: fifty percent (50%) of the first \$100,000; forty percent (40%) of the next \$400,000; and thirty percent (30%) of the amount in excess of \$500,000. "Net income" for distribution purposes means the income received by the University minus unreimbursed out-of-pocket costs, without subtraction of the general expenses incurred by the University in supporting research and licensing technology.
- 2) For all licenses signed after July 1, 1998, the Department or Program of the inventor shall receive a portion of net income realized by the University as follows: zero percent (0%) of the first \$100,000; ten percent (10%) of the next \$400,000; and twenty percent (20%) of the amount in excess of \$500,000 up to a maximum of one million dollars (\$1,000,000).
- 3) For inventions which the University releases outright to the discoverer or inventor under the provision of Section c. above, the University may also release all claims to any subsequent income received by the discoverer or inventor.

e. Relations with Outside Sponsors

Research supported by outside funds is governed by the Policies for Sponsored Research which are set forth in the *Rules and Procedures of*

Conduct of Research

the Faculty of Princeton University and also in the Rules and Procedures of the Professional Researchers and Professional Specialists of Princeton University.

When a sponsor of research at Princeton University desires a formal agreement that includes conditions applicable to inventions and patents, the provisions of such agreements will be negotiated giving full consideration to this Patent Policy and to the objectives cited in Section a. hereof.

3. COPYRIGHT POLICY

a. Basic Objectives

Copyrights are created by the Constitution and the Laws of the United States “to promote the progress of science and useful arts by securing for limited times to authors ... the exclusive right to their writings.” The basic objectives of Princeton University’s policy as to copyrights include the following:

- 1) To maintain the University’s policy of encouraging research and scholarship without regard to potential gain from royalties or other such income.
- 2) To maintain the basic right of any individual within the University community to write and publish.
- 3) To encourage the dissemination of copyrightable materials developed in the course of University activities.
- 4) To recognize each individual’s right to all income resulting from her or his writings except as stated herein.
- 5) To disavow any claim of equity on the part of the University in the writings of any individual simply because of the individual’s membership in the University community.
- 6) To advance and encourage research and scholarly endeavor within the University with any funds accruing to the University from copyrights.
- 7) To recognize the equity of outside sponsors in the endeavors of the University by granting appropriate limited rights to sponsors, consistent with the University’s basic objectives outlined above.

b. University Research Board, the Dean for Research, and the Office of Technology Licensing

The University Research Board is responsible for general oversight and administration of the University's Copyright Policy as regards the University, its faculty, employees, students and outside sponsors.

The Dean for Research is responsible for the implementation of the Copyright Policy under general oversight of the University Research Board. The Office of Technology Licensing is responsible for the providing management of copyrights and licensing services for the University community.

c. Relationship Between the University and its Faculty, Employees, and Students

All faculty members, employees, and students, in consideration of their membership in the academic community and upon the approval of this policy by the Trustees and the Faculty of Princeton University, agree to handle material subject to copyright as follows:

- 1) The members of the Faculty of Princeton University strive to make their publications openly accessible to the public. To that end, each Faculty member hereby grants to The Trustees of Princeton University a nonexclusive, irrevocable, worldwide license to exercise any and all copyrights in his or her scholarly articles published in any medium, whether now known or later invented, provided the articles are not sold by the University for a profit, and to authorize others to do the same. This grant applies to all scholarly articles that any person authors or co-authors while appointed as a member of the Faculty, except for any such articles authored or co-authored before the adoption of this policy or subject to a conflicting agreement formed before the adoption of this policy. Upon the express direction of a Faculty member, the Provost or the Provost's designate will waive or suspend application of this license for a particular article authored or co-authored by that Faculty member.

The University hereby authorizes each member of the Faculty to exercise any and all copyrights on his or her scholarly articles that are subject to the terms and conditions of the grant set forth above. This authorization is irrevocable, non-assignable, and may be amended by written agreement in the interest of further protecting and promoting the spirit of open access.

Conduct of Research

- 2) The University shall, except as provided by specific contract between the author and the University, have the right to obtain and own copyright and to retain any income from copyrightable material which is developed by individuals whose specifically assigned duties include the preparation of that material.
- 3) The University supports the normal teaching and research efforts of its faculty in a variety of ways. The University considers these allocations appropriate to further the individual scholarly activities of the members of the University community and, except as provided above in paragraph 1, makes no claim to the copyrights from products of these activities. However, under some conditions, this support may include substantial resources specifically designated for the development of intellectual property from which a faculty or staff member may derive personal income from the outside. In such cases, the University considers it has some equity and part of the income received should be used to reimburse the University for use of its resources.
- 4) When the University and an outside sponsor enter into an agreement for research or other scholarly endeavor to be conducted with funds or facilities provided by said sponsor, faculty members, employees or students who utilize such funds or facilities shall comply with the conditions pertaining to copyrights contained in said agreement and may be required to agree in writing that they will so comply. Where the University is the recipient of sponsored research funding it will generally retain ownership of copyrights, especially of technical data and patentable computer programs but not generally literary, artistic scholarly, or educational works (even if embodied in computer software or programs). Income realized by the University from such copyrights shall be distributed in accordance with the formulas in 2.d above unless the written agreement requires otherwise.
- 5) The University shall not, except as provided by specific contract between the author and the University, claim any equity in or right to the copyrights in material other than that covered by paragraphs 1, 2, 3, and 4 above.

Conduct of Research

- 6) If a dispute should arise between an author and the University with respect to the provision of this Section c., questions shall be referred for decision to the University Research Board.
- 7) Ownership of the copyright in computer software shall be in accordance with the provisions laid out above. However, because the analysis underlying the University's decision as to whether it will assert rights to any software may be more complex than the analysis with respect to other works, software is subject to special disclosure requirements. Specifically, if the faculty member or other creator believes the software has commercial potential or wishes to license or otherwise commercialize the software developed, whether or not the creator believes the University would assert rights to it, he or she must disclose the software to the University for a determination of ownership of the respective intellectual property.

d. Materials Subject to Copyright

The types of material that may be subject to copyright include the following:

- Literary Works, such as books, journal articles, texts, glossaries, bibliographies, periodicals, manuscripts, study guides, laboratory materials, syllabi, and tests.
- Musical works, including any accompanying words.
- Dramatic works, including any accompanying music.
- Pantomimes and choreographic works.
- Motion pictures and other audio-visual works.
- Sound recordings.
- Architectural works.
- Computer software.

e. Distribution of Income

Any income realized by the University from its equity in copyrightable material will be used for the purpose of research or scholarly activity, with preferential consideration being given to the field of activity in which the copyrightable material is generated.

Conduct of Research

E. CLASSIFIED RESEARCH

Resolution

(Adopted by the Faculty on 4 May 1953, as revised on 5 February 1968 and on 1 February 1971)

Whereas,

Security regulations and classification of information are at variance with the basic objectives of a University, and

Whereas,

The proper performance of any research contracts or grants involving classified information places on the University obligations which should be carefully controlled to avoid jeopardizing the fulfillment of the University's educational responsibilities,

Therefore,

Be it resolved that the University be guided by the following principles in its relations with the Government on research contracts and grants:

- 1) The University will not, as a matter of policy, accept any contracts or grants for the support of classified research.
- 2) If any portion of the research carried out under a contract or grant is classified by the government, that portion shall be terminated as soon as possible.
- 3) Exceptions to these policies shall be authorized by the University Research Board only under extraordinary conditions to be determined by the special review in which the Board, the Faculty, and the Council of the Princeton University Community shall participate.
- 4) Classified information shall be stored and classified research shall be conducted in such physical quarters, and under such contractual requirements, that the free functioning of the educational operations of the University will not be hampered.
- 5) No outside agency shall have the right to determine that any individual employed by the University shall be excluded from participating in work which does not involve classified information.
- 6) Government attempts to restrict the free flow of unclassified information, or to restrict participation of personnel in work which does not involve classified information, by termination of contracts or by other means, should be resisted and deplored.

APPENDIX A

THE COUNCIL OF THE PRINCETON UNIVERSITY COMMUNITY

RESOLUTIONS OF THE FACULTY RELATING TO THE ESTABLISHMENT OF THE COUNCIL OF THE PRINCETON UNIVERSITY COMMUNITY

I

Resolved,

That the proposal of May, 1969, of the Special Committee on the Structure of the University to establish the Council of the Princeton University Community be approved:

That the Charter of the Council of the Princeton University Community submitted by the Special Committee on the Structure of the University be accepted; and

That, as soon as practicable in the Fall Term of the academic year 1969-70, representatives of the Faculty to the Council of the Princeton University Community and to its Executive Committee be elected.

Be it recorded,

That the Faculty adopts the foregoing resolution with these understandings:

(1) That exercise by the Council of the Princeton University Community of the authority to make rules regarding the conduct of resident members of the University community is to be consistent with those purposes for which the Council oversees the making of rules by other bodies, that is, to insure that such rules “protect the rights of individuals and the legitimate interests of the University, and that they are clear in meaning, fair, enforceable, and in conformity with the law”;

(2) That, in this context, “the rights of individuals” include, but are not necessarily limited to, freedom of association, and “the legitimate interests” of the University do not extend to conduct (professional or any other) not affecting the University;

Appendix A: Council of the Princeton University Community

(3) That, in keeping with the provision of the Charter of the Council of the Princeton University Community that “with respect to matters mainly of concern to a particular group within the University community, the authority to make rules shall normally be delegated to a body representing that group or shall be exercised in a manner otherwise acceptable to that group,” a group exercising delegated authority will have full opportunity to make its rules consistent with “the rights of individuals and the legitimate interests of the University” and to make them “clear in meaning, fair, enforceable, and in conformity with the law” before the Council will itself make rules regarding conduct on subjects primarily of interest to that group. Thus, for example, students will in the first instance make rules of conduct with regard to matters mainly of interest to students, the Faculty on matters mainly of interest to faculty members.

(4) That, as is clearly implied by the statement on page four of the report of the Special Committee on the Structure of the University of May, 1969, the authority of the Council of the Princeton University Community to make rules regarding the conduct of resident members of the University community, and to oversee the making of such rules, does not include the authority to make rules, or to oversee the making of rules, on academic subjects.

THE COUNCIL OF THE PRINCETON UNIVERSITY COMMUNITY CHARTER

As amended September 1984

I

The Council of the Princeton University Community shall have authority to consider and investigate any question of University policy, any aspect of the governing of the University, and any general issue related to the welfare of the University; and to make recommendations regarding any such matters to the appropriate decision-making bodies of the University or to the appropriate officers of the University; make rules regarding the conduct of resident members of the University community, which rules shall be binding on them; but the Council may delegate authority to make rules, and, with respect to matters mainly of concern to a particular group within the University community, the authority to make rules shall normally be delegated to a body representing that group or shall be exercised in a manner otherwise acceptable to the members of that group; oversee the making and the applying of rules regarding the conduct of resident members of the University community, whether such rules shall have been made by other bodies within the resident University community, or by the Council itself, or by officers of the University; such oversight shall be exercised for the purpose of ensuring that such rules protect the rights of individuals and the legitimate interests of the University, and that they are clear in meaning, fair, enforceable, and in conformity with the law; adopt such by-laws and rules of procedure as are necessary or convenient for the exercise of its authority.

II

- 2.1 The membership of the Council of the Princeton University Community shall consist of:
the President of the University, the Provost, and four of the following officers, as appointed to the Council each year by the President: the Financial Vice-President, the Treasurer, the Secretary of the University, the General Counsel, the Dean of the Faculty, the Dean of the Graduate School, the Dean of the College, and the Dean of Student Life; fifteen members of the faculty, among whom each division must be represented by at least two members and the non-tenured faculty by at least four members; twelve undergraduate students, among whom shall be the Chair and the Vice-Chair of the Undergraduate Student Government; seven graduate students, among whom each division must be represented by at least one member; four alumni of the University one member each from among the Professional Library Staff, the Administrative Staff Council, the Professional Research Staff, the Professional Technical Staff, and the Office Staff and two members from the staff of the University who hold none of the offices and are members of none of the groups so far indicated.
- 2.2 A legal counsel, the Chair of the University Research Board, and other officers of the University shall meet with the Council as may be necessary and may speak to issues, but shall be without vote; and, upon the invitation of the Council or of its Executive Committee, other members of the University community who are not members of the Council may also participate in the deliberations of the Council, although not in voting.
- 2.3 Before the February meeting of the faculty, the Advisory Committee on Appointments and Advancements of the Faculty shall present to the Faculty twice as many nominees as there are vacant posts to be filled by Faculty representatives on the Council. Additional nominations to the Council may be made from the floor at the February Faculty meeting. Following the February Faculty meeting, the Clerk of the Faculty will present to each member of the Faculty entitled to vote a ballot containing the list of nominees, with instructions to return the ballot to the Clerk's office by noon ten days later, at which time the poll shall be closed. Voting shall be according to the system of the single transferable

vote, modified, when that is necessary, to ensure representation for each division and for non-tenured members of the Faculty as provided in Section 2.1. Faculty representatives on the Council shall be elected to serve for a term of three years, terms to begin at the beginning of the academic year, and with the terms of five such representatives to be completed each year.

- 2.4 By March 20, elections will be held for the vacant posts to be filled on the Council by undergraduate students. Nominations for the vacant post shall be made by a petition, signed by at least twenty-five undergraduates, submitted to the Elections Committee of the Undergraduate Student Government by a time prior to the elections specified by the USG Elections Committee. Voting shall be by secret ballot according to the system of the single transferable vote. Representatives of undergraduate students on the Council shall be elected by direct vote of all undergraduates and shall serve for a term of one year or until their successors shall have qualified.
- 2.5 By March 20, the graduate student representatives to the Council shall nominate for membership on the Council at least twice as many graduate students as there are posts to be filled on the Council by graduate students and such nominations shall be made public. Additional nominations may be made on petition of any twenty-five regularly enrolled graduate students, but nominations shall be closed and elections shall be held no later than April 1. In such elections, all regularly enrolled graduate students shall be entitled to vote, and voting shall be by secret ballot according to the system of the single transferable vote, modified, when that is necessary, to ensure representation from each Division. Representatives of graduate students on the Council shall be elected for a term of two years, terms to begin at the beginning of the academic year.
- 2.6 Prior to the end of April, the Professional Library Staff, the Administrative Staff Council, the Professional Research Staff, the Professional Technical Staff, and the Office Staff shall each elect one of its members by means of its own established procedures to serve on the Council for a term of one year, the term to begin at the beginning of the next academic year. Voting shall be according to the system of the alternative vote.

Appendix A: Charter

- 2.7 Alumni representatives on the Council of the Princeton University Community shall be elected by the Alumni Council by means of its own established procedures. Alumni representatives on the Council of the Princeton University Community shall be elected to terms of two years, such terms to begin at the beginning of the next academic year. Two alumni representatives will be elected each year. Voting shall be according to the system of the single transferable vote.
- 2.8 If there is no representative body to act on behalf of a group to be represented on the Council, the Council itself may elect members to represent that group, nominations for all such posts having been made by the Executive Committee of the Council; or the Council may make whatever other arrangements for the selection of such members it deems desirable.
- 2.9 Any member of the Council may be recalled by the body by which he or she was chosen. Such a recall vote shall be held upon petition of one fourth of the members of that body, or as may otherwise be provided by it. In any recall vote, a majority of the votes cast for recall shall cause the recall of the member and his or her seat shall thereby become vacant.
- 2.10 If a vacancy shall occur in any elected post on the Council before the member elected to fill that post shall have completed his or her term, the next runner-up in the last election for that post, as determined by normal election procedures, shall fill that vacancy with full voting privileges until the next regularly scheduled election for representatives of the concerned group, or until the representative body of that group, if any, conducts a special election. At that election, the seat will be placed open for election to fill the remainder of the term. If a vacancy shall occur in a non-elective position, it shall be filled for the remainder of the term in the same manner in which the member who held that post was chosen.
- 2.11 Should a member of the Council anticipate, or be in, absence for three or more consecutive meetings or three or more consecutive months, the next runner-up in the last election, as determined by normal election procedures, shall be appointed alternate with full voting privileges until the absent member returns provided that either the absent member is the sole representative of a group, or a majority of the other Council representatives of the concerned

group so request. The Executive Committee shall be responsible for the operation of this provision, and shall promptly report any action under this provision to the Council as a whole.

- 2.12 Each staff group, because it has only one representative to the Council, shall be entitled to designate one of its members to serve as an alternate delegate. The term of the alternate delegate shall be coterminous with the term of the regular delegate. In the event the regular delegate is unable to be present at a particular meeting of the Council, the designated alternate may represent his or her staff group at that meeting and may vote as if a full member of the Council. Alternate delegates may not, however, assume the committee responsibilities of the regular delegate.
- 2.13 The results of all elections to Council posts, including the names of elected representatives and runners-up, in order, shall be given to the Secretary of the Council.
- 2.14 No person shall simultaneously hold more than one membership on the Council.
- 2.15 Representatives on the Council, excepting those elected by the Council itself, shall regularly, by appropriate means, report on the activities of the Council to the bodies by which they were elected.
- 2.16 The Council shall be the judge of the qualifications of its members.

III

- 3.1 The President of the University, or in the President's absence the Provost, shall be the presiding officer at meetings of the Council.
- 3.2 The Secretary of the Council shall keep the minutes of all meetings, notify members of the Council of special meetings and of important matters proposed for action at any meeting, make public the reports of the Council and its committees and the minutes of all meetings not held in executive session, and perform the duties appropriate to the recording secretary of a deliberative body. The Secretary shall be appointed by the Executive Committee of the Council with the advice and consent of the Council, to serve for a term of one year.

Appendix A: Charter

- 3.3 The Council shall, at its first meeting of the academic year, adopt a schedule of meetings for the remainder of the year, which schedule it shall make public.
- 3.4 The President of the University, or in the President's absence the Provost, may at his or her discretion call a special meeting of the Council. The President of the University, or in the President's absence the Provost, shall call a special meeting of the Council on the request of the Executive Committee, or of any fifteen members of the Council. The call for a special meeting shall state the purpose for which the meeting is called.
- 3.5 All important proposals shall be delivered in writing to the Secretary of the Council not less than five calendar days preceding the meeting at which they are to be introduced, and the Secretary shall cause such proposals to be distributed to members of the Council and placed on the Order of Business for that meeting, provided that no such proposal offered by an individual member shall be so treated unless it shall have been seconded by another member. This rule may, however, be suspended by a vote of a majority of those present and voting at a meeting of the Council.
- 3.6 The Secretary of the Council shall make public the Order of Business at any meeting of the Council at least two days in advance of that meeting, if it is a regularly scheduled one, or at the time it is called, if it is a special meeting. Meetings of the Council shall be open to members of the University community to attend as spectators, except that the presiding officer of the Council shall, on the vote of a two-thirds majority of the Executive Committee of the Council, or on the request of one third of the members of the Council present and voting, call the Council into executive session.
- 3.7 A quorum of the Council shall consist of fifteen of its voting members.
- 3.8 The parliamentary procedure at meetings of the Council shall be that of Robert's Rules of Order Newly Revised, with the following modifications:

To Section 18. Call for the Orders of the Day. A majority of those present and voting shall be able to defeat a call for the Orders of the Day.

To Section 47. Reports of committees containing matters that should be of record shall be in writing. Unless otherwise ordered, these reports

shall be made public and placed on file, and only the recommendations in them which are adopted shall be recorded in the minutes.

To Section 51, subsection on informal consideration. All debate in meetings of the Council shall be conducted under the rules for Informal Consideration, unless the Council by a simple majority vote decides otherwise.

To Section 36. A motion to reconsider may be moved at the meeting in which the original vote was taken, or at the next meeting, by anyone present when the vote was taken who did not vote in the minority.

To Section 42. The presiding officer shall have the same right of debate as other members, and need not yield the chair when speaking.

To Sections 4 and 42. The maker of a motion shall be permitted to close the debate on that motion even if the previous question has been voted.

IV

4.1 The Executive Committee of the Council shall set the Order of Business for meetings of the Council, and shall recommend the annual Order of Business for Council Committees. The Executive Committee, with the Council's consent, shall appoint the members and designate the Chairs of all standing committees of the Council, except members or Chairs serving ex officio and the Chair of the Judicial Committee, who shall be appointed by the President of the University with the consent of the Council. Appointments to all Charter committees of the Council shall be presented to the Council for its approval at a meeting in May except that all but five of the undergraduate appointments shall be recommended at this time, and the remainder shall be recommended after the fall elections of undergraduate representatives to the Council. In each case notice of such appointments shall be given to members of the Council at least one week in advance of the meeting at which the recommended appointments will be considered. The Executive Committee may consider any matter within the jurisdiction of the Council and, subject to the approval of the Council at the next regularly scheduled meeting, may appoint such special committees as it deems necessary or desirable.

Appendix A: Charter

- 4.2 The Executive Committee of the Council shall consist of fourteen members, who shall include the President of the University; six members of the Faculty; the Chair of the Undergraduate Student Government and two other undergraduate students; two graduate students; one staff representative; and one alumni representative. The Provost shall normally meet with the Executive Committee, and, when representing the President of the University, shall have the vote. Other officers of the University may sit with the Executive Committee and speak to issues but shall be without vote.
- 4.3 Immediately following the April Faculty meeting, the Clerk of the Faculty shall communicate to each member of the Faculty entitled to vote a ballot containing the names of the fifteen members of the Faculty who are to serve as members of the Council for the ensuing year. The Faculty will be instructed to vote for six of these to serve terms of one year as members of the Executive Committee of the Council, those terms to begin at the beginning of the next academic year. Voting will be according to the system of the single transferable vote, modified, when that is necessary, to ensure that at least one of the six chosen will be a non-tenured member of the Faculty and that each division is represented among those chosen.
- 4.4 As soon after each election of representatives of undergraduate students to the Council as may be practicable, and preferably prior to April 15, the Caucus of the Undergraduate Student Government shall elect two from among the undergraduate students who are members of the Council, to serve as members of the Executive Committee of the Council until their successors shall have qualified. Voting shall be according to the system of the single transferable vote.
- 4.5 As soon after the election of graduate student representatives to the Council as may be practicable, and preferably prior to April 15, the graduate student representatives to the Council shall elect two from among such representatives to serve terms of one year as members of the Executive Committee of the Council, those terms to begin at the beginning of the next academic year. Voting shall be according to the system of the single transferable vote.
- 4.6 The staff seat on the Executive Committee shall be rotated among the six staff groups represented on the Council, each staff group being allocated the position for a term of one year, that term to

begin at the beginning of the academic year. The order of rotation shall be as follows: the Professional Library Staff; the Office Staff; the Professional Technical Staff; the Administrative Staff Council; the Professional Research Staff; Staff Groups Not Otherwise Represented on the Council. In the event that the representative of the staff group to which the seat on the Executive Committee is allocated for a particular year is unable to fill the available seat, or if the representative must vacate the seat before the end of the academic year, the staff group to which the seat is allocated shall select a new representative in accordance with Section 2.11 of the Charter.

- 4.7 As soon as may be practicable after the election to the Council of the alumni representatives, and preferably prior to April 15, one of the alumni representatives shall be elected by the Executive Committee of the Alumni Council to serve a term of one year on the Executive Committee of the Council, that term to begin at the beginning of the next academic year. Voting shall be according to the system of the alternative vote.
- 4.8 Any member of the Executive Committee may be recalled by the body by which he or she was chosen. Such a recall vote shall be held upon petition of one-fourth of the members of that body, or as may otherwise be provided by it. A majority of the votes cast for recall shall cause the recall of the member and his or her seat shall thereby become vacant.
- 4.9 If a vacancy shall occur in any post on the Executive Committee of the Council, with the exception of the post occupied by the staff representative, before the member elected to that post shall have completed his or her term, the next runner-up in the last election for that post, as determined by normal election procedures, shall fill that vacancy with full voting privileges until the next regularly scheduled election for representatives of the concerned group, or until the body that chooses members for that vacancy conducts a special election.
- 4.10 A quorum of the Executive Committee shall consist of five of its voting members.
- 4.11 The President of the University, or in the President's absence the Provost, shall preside at meetings of the Executive Committee, and may call meetings of the Executive Committee at his or her discretion. The President of the University, or in the President's

Appendix A: Charter

absence the Provost, shall call meetings of the Executive Committee as these are necessary to carry forth its work or when requested to do so by at least five of its members.

- 4.12 The Secretary of the Council shall meet with the Executive Committee but shall be without vote, unless he or she shall be a regularly elected member of it. It shall be the Secretary's duty to keep the minutes of all meetings and to make public the recommendations and proceedings of the Executive Committee in such manner as it may direct.

V

5.1

- 5.1.1 The Council may from time to time establish special committees, and prescribe their responsibilities and membership. Normally, such committees shall have no more than eight members, and shall exist for not more than two years without reinstatement by the Council. The following, however, shall be Charter committees, and the provisions in this Charter regarding them shall be subject to change only in accordance with Section Six of this Charter:

- *The Executive Committee*
- *The Committee on Rights and Rules*
- *The Committee on Governance*
- *The Committee on Priorities*
- *The Committee on Resources*
- *The Judicial Committee*

- 5.1.2 Members of the committees of the Council need not be members of the Council, and shall be chosen with due consideration to the following: the importance of allowing each member of the Council to sit on a Charter committee, the variety of interests represented in the University community, and the desirability of continuity of committee membership. Unless otherwise provided, members of committees of the Council shall serve for a term of one year, but without limitation as to reappointment. The term of the Judicial Committee shall begin at the end of the academic year. The terms of all other committees shall begin when two thirds of their members have been approved. An ex officio member of any Council Committee may designate at the beginning of the

academic year a representative to serve in his or her place as a voting member normally for the duration of that year.

- 5.1.3 Unless otherwise provided, the Chair of each of the Charter committees shall be one of its members, as that membership is defined in this Charter; and he or she shall also, normally, be a member of the Council. The Chairs of the Charter committees, except for the Committee on Priorities, shall be appointed for a term of one year, but without limitation as to reappointment. It shall be the duty of the Chair of each Charter committee to acquaint all new members of the committee with its responsibilities and procedures, and the Chair may, at his or her discretion, invite the attendance at meetings of the committee of persons who are not members of it.
- 5.1.4 Committees of the Council, with consent of the Executive Committee of the Council, may appoint sub-committees, and the members of such sub-committees need not be members of the Council.

5.2 The Committee on Rights and Rules

- 5.2.1 The Committee on Rights and Rules shall, on behalf of Council, consider and investigate the adequacy of all rules regarding the conduct of resident members of the University community, and the adequacy of the procedures for making applying such rules. At least once annually and more often requested by the Council or by its Executive Committee, Committee shall report its findings with respect to these matters to the Council, together with any proposals it may have changes in such rules or in the procedures for making or applying them.
- 5.2.2 The Committee on Rights and Rules shall consist of the Dean of the Faculty, the Dean of Student Life, three members of the Faculty, three undergraduate students, two graduate students, one member from one of the other groups represented on Council. A legal counsel shall meet with the Committee as be necessary, but shall be without vote.

5.3 The Committee on Governance

- 5.3.1 The Committee on Governance shall, on behalf of the Council consider and investigate questions relating to the governing of the University, and, at least once annually and more often if so requested by the Council or by its Executive Committee, it report

Appendix A: Charter

its activities, submitting to the Council any proposals it have with respect to the governing of the University. The Committee on Governance shall also consult with the Executive Committee of the Board of Trustees regarding the filling of vacancies among the Charter Trustees and the Term Trustee presenting to the Executive Committee of the Board its views with respect to the qualifications to be sought in nominees to such positions, suggesting names of persons that should be considered as nominees, and commenting upon the qualifications persons suggested as nominees. Further, the Committee on Governance shall meet with the Committee on Honorary Degree of the Board of Trustees, to consult with it concerning the awarding of honorary degrees.

- 5.3.2 The Committee on Governance shall consist of the President, the University, three members of the Faculty, two undergraduate students, one graduate student, and one member from one the other groups represented on the Council.

5.4 The Committee on Priorities

- 5.4.1 The Committee on Priorities shall review the current budget early in the academic year as may be practicable. It shall also consider issues that have arisen in the course of the preparation of the budget and shall review plans for the development of the University in advance of any final decisions with respect to such plans. The Committee on Priorities may advise the President with respects to all these matters and shall from time to time report to the Council on the issues before it.
- 5.4.2 The Committee on Priorities shall consist of the Provost, who shall be its Chair; the Dean of the Faculty; the Financial Vice-President and Treasurer; six members of the Faculty, among whom each division must be represented by at least one member and the nontenured Faculty by at least one member; four undergraduate students and two graduate students, chosen with due consideration to the variety of interests represented in the student body; and one member from one of the other groups represented on the Council. The Vice-President for Development shall meet with the Committee, but shall be without vote. The Provost shall designate an Executive Secretary for the Committee.
- 5.4.3 The Committee on Priorities shall normally meet with the President of the University, to whom it is advisory.

5.4.4 Members of the Faculty who are appointed to membership on the Committee on Priorities shall be appointed to a term of three years, with the terms of two such members to be completed each year. Other members of the Committee on Priorities shall also be appointed with a regard to the continuity of the Committee's membership.

5.5 The Committee on Resources

5.5.1 The Committee on Resources shall consider, on behalf of the Council, questions of general policy concerning the procurer and management of the University's financial resources, and at least once annually and more often if so requested by the Council or by its Executive Committee, shall report its activities to Council, submitting any proposals it may have for changes in the general policies of the University with respect to the procurement, and management of financial resources.

5.5.2 The Committee on Resources shall consist of the Financial President; three members of the Faculty; two undergraduate students; one graduate student; and one member from one of the other groups represented on the Council.

5.6 The Judicial Committee

5.6.1 The Judicial Committee shall hear and decide, in the first instance or on referral by another judicial body of the University, cases involving alleged violations of those established rules and regulations of conduct that apply, in at least substantially the same form to all resident members of the University community and whose violation constitutes a serious infringement of the recognized rights of members of the University community, a serious offense against the University's mission, a threat to the ability of the University to carry on its essential operations, or a substantial impairment of the common and legitimate interests of the University community. The Judicial Committee may also decide to hear appeals persons found guilty of violating established rules and regulations when it has been alleged by such persons that the proceed against them have not been fair and reasonable.

5.6.2 The Judicial Committee shall consist of three members of the Faculty, two undergraduate students, one graduate student, one me from one of the other groups represented on the Council, and a Chair, all to be appointed as provided in Section 4.I above, and

Appendix A: Charter

with yard to continuity in the membership of the Committee. The Chair of the Judicial Committee shall be without vote, except in the case of a tie vote among the members present and voting.

- 5.6.3 Appointment to a position on the Judicial Committee shall be contingent on the appointee's recognition of the Committee's judicial role and a commitment on his or her part to apply established rules and regulations impartially to the facts of individual cases. Prior to acceptance of an appointment to the Judicial Committee, each appointee shall have examined such rules and regulations and shall have certified his or her willingness to apply them impartially. Should a case arise in which a member of the Judicial Committee finds that he or she cannot in good conscience apply established rules and standards, he or she shall be replaced on the Committee for that case only by a member of a panel of alternate members, which shall have been appointed by the Executive Committee of the Council, with the Council's consent. If this procedure does not provide a complete committee to hear the case, additional alternate members shall be appointed by the Executive Committee of the Council, with the consent of the Council.
- 5.6.4 No one holding a position on the Judicial Committee shall be a member of the Administration directly responsible for enforcing rules of conduct or for keeping order on the campus, or a member of the Council or a candidate for a position on the Council, or a member of the Undergraduate Caucus, or a candidate for a position on the Undergraduate Caucus, or a member of any other judicial body of the University; and no member of the Judicial Committee shall be a judge of his or her own case.
- 5.6.5 The President of the University may review decisions of the Judicial Committee, and may reduce any penalties imposed but may not increase them.
- 5.6.6 The Judicial Committee shall submit written reports on its disposition of cases to the Council, the Faculty, and the Undergraduate Caucus, and to other bodies as may be appropriate.

VI

Amendments to this Charter may be proposed by any five members of the Council, by any of the bodies that elect representatives to the Council, or by any Charter Committee of the Council. To be adopted such amendments must be introduced at a regular meeting of the Council and discussed and voted at a second meeting of the Council held no sooner than twenty-one days after the meeting at which the amendment was introduced. If the number of Council members present at the second meeting exceeds two-thirds of the membership, a vote of two-thirds of the membership of the Council shall be required to adopt any amendment. If the number of Council members present at the second meeting is equal to or fewer than two-thirds of the membership, a unanimous vote of those present shall be required to adopt any amendment but in no event shall an amendment be adopted with fewer than twenty-five members present.

VII

The Council shall be deemed established, and shall have its full authority as prescribed in this Charter, when at least two-thirds of its members shall have been chosen.

VIII

The Council of the Princeton University Community and the rule-making bodies under its oversight shall make no rule abridging freedom of inquiry, freedom of expression, freedom of publication, or freedom of association.

IX

The Council of the Princeton University Community shall have authority to obtain and to hold a club liquor license and oversee management of a social facility operated for the benefit of the resident University community.

APPENDIX B

CORPORATE OFFICERS

EXECUTIVE VICE PRESIDENT

The Executive Vice President shall have responsibility for coordinating and developing policies and plans for the administrative operations of the University and shall have administrative oversight of the Office of the Vice President for Campus Life, the Office of the Vice President for Facilities, the Office of the Vice President for Human Resources, the Office of Audit and Compliance, the Office of Public Safety, the Office of the Vice President for University Services, and such other administrative offices as the President shall from time to time determine.

THE VICE PRESIDENT AND SECRETARY

The Vice President and Secretary shall have the duties and responsibilities stated in Chapter 9 of the *Bylaws*, and shall, with the assistance of the Archivist, have custody of the Charter of the University and of the minute books and papers relating to the records of the University. The Vice President and Secretary shall be assisted in carrying out the responsibilities of the Office of the Secretary by such Associate and Assistant Secretaries as the Board may appoint by resolution.

THE VICE PRESIDENT FOR FINANCE AND TREASURER

The Vice President for Finance and Treasurer shall exercise the responsibilities set forth in Chapter 8 of the *Bylaws*. The Vice President for Finance and Treasurer shall be assisted in carrying out these responsibilities by such Associate and Assistant Treasurers, and Controller, as the Board may appoint by resolution.

Appendix B: Corporate Officers

THE VICE PRESIDENT FOR ADVANCEMENT

The Vice President for Advancement shall have administrative responsibility for programs designed to enlist financial support for the University and for programs designed to encourage and support alumni engagement in the life of the University. The Vice President for Advancement shall have administrative responsibility for the Office of Development and the Office of Alumni Affairs.

THE VICE PRESIDENT FOR COMMUNICATIONS AND PUBLIC AFFAIRS

The Vice President for Communications and Public Affairs, reporting to the President, shall have administrative oversight of the presentation of the objectives and activities of the University to all its various publics and, as required, shall serve as a spokesperson for the University. The Vice President for Communications and Public Affairs shall have administrative responsibility for the Office of Public Affairs, the Office of Communications, the Office of Trademark Licensing, and the offices of federal, state and community affairs.

THE VICE PRESIDENT FOR CAMPUS LIFE

The Vice President for Campus Life shall have administrative oversight of the Office of the Dean of Undergraduate Students, the Department of Athletics and Campus Recreation, the Office of University Health Services, the Office of the Dean of Religious Life and Dean of the Chapel, the Office of Career Services, and the Pace Center for Civil Engagement, and such other administrative offices as the President shall from time to time determine. The Vice President for Campus Life shall have special responsibility for creating and fostering a resident University community whose members can participate in and contribute fully to the broad educational mission of the University.

THE VICE PRESIDENT FOR FACILITIES

The Vice President for Facilities shall be responsible for and have administrative oversight of the development and stewardship of the physical space of the University, including its operation and maintenance.

**THE VICE PRESIDENT FOR
COMPUTING AND INFORMATION TECHNOLOGY**

The Vice President for Computing and Information Technology shall serve as the Corporation's chief information officer and be responsible for the planning and oversight of all University activities and services in computing and related technologies.

THE VICE PRESIDENT FOR HUMAN RESOURCES

The Vice President for Human Resources shall have administrative oversight of the Office of Human Resources and of all such matters as pertain to the effectiveness and well-being of nonacademic employees. The Vice President for Human Resources shall be responsible for making authorized administrative and staff appointments not made by the Board of Trustees.

THE VICE PRESIDENT FOR UNIVERSITY SERVICES

The Vice President for University Services shall be responsible for the provision of services to the University's students, faculty members, and staff, including but not limited to services related to housing, dining, conferences and events, printing and mailing, transportation and parking, scheduling and ticketing, and the Frist Campus Center.

THE VICE PRESIDENT AND GENERAL COUNSEL

The Vice President and General Counsel shall serve as the chief legal officer of the Corporation, with all University matters requiring legal advice, action, or representation being referred to the Office of the General Counsel.

**THE PRESIDENT OF THE
PRINCETON UNIVERSITY INVESTMENT COMPANY**

Subject to the control of the Directors of the Princeton University Investment Company, who are subject to the general control of the Board and the Committee on Finance, and to the control of the President of the University, the President of the Princeton University Investment Company shall have the general charge and supervision of the business

Appendix B: Corporate Officers

of the Company. The President of the Princeton University Investment Company shall have power to sign, in the name and on behalf of the Corporation, all duly authorized contracts, deeds and other instruments relating to the investments of the Corporation.

THE VICE PRESIDENT AND CHIEF AUDIT AND COMPLIANCE OFFICER

The Vice President and Chief Audit and Compliance Officer shall serve as the chief audit and compliance officer of the Corporation and have administrative responsibility for the audit and compliance operations of the University.

APPENDIX C

GUIDELINES FOR THE CONDUCT OF INQUIRIES BY THE COMMITTEE ON CONFERENCE AND FACULTY APPEAL¹

The Committee on Conference and Faculty Appeal (“CCFA” of “Committee”) is elected through the University faculty election process, and its obligation is to protect the rights and privileges of individual members of the Faculty on behalf of the entire Faculty. The Faculty Advisory Committee on Policy (“FACP”) selects one member as Chair. See Rules and Procedures of the Faculty, II.D.2.f. It serves principally as a board of review, and considers complaints from members of the Faculty who believe they have been unfairly treated, and after a review of the matter, makes a report giving its opinion with a statement of reasons.

A. THE COMMITTEE’S ROLE

The CCFA serves to safeguard against unfair treatment of individual members of the Faculty. When a member of the Faculty appeals to the CCFA a decision made by another committee, an academic unit, an office, or an officer of the University, the CCFA conducts a review to assess the fairness of the procedures followed, the appropriateness of the criteria used,ⁱⁱ and the reasonableness of the decision reached.

B. PROCEDURE FOR APPEAL

I. INITIATION

At the request of a Faculty member considering an appeal to the CCFA, the Chair of the committee will normally conduct an informal meeting with the Faculty member, advising them about procedures and requirements. A person bringing an appeal (the “Grievant”) to the

Appendix C: Guidelines for the Conduct of Inquiries by the CCFA

CCFA should submit a timely written complaint to the Chair of the Committee (see section on timeliness, below). Unless the complaint is untimely (see Section B.4 below), the CCFA will review the complaint and send a copy of the complaint to the University official or office that made the decision or recommendation being challenged in the appeal (“the Respondent”) and to the Dean of the Faculty. The CCFA’s procedures as set forth in the most recent Guidelines at the time the appeal is filed with the Chair of the Committee shall remain valid for the duration of it.

2. CONDUCT OF REVIEWS

Quorum for purposes of CCFA reviews, including hearings, shall be at least six CCFA members, at least four of whom are tenured, and at least one of whom is non-tenured. If a member of the CCFA has a conflict of interest with respect to an inquiry brought before the CCFA, the member shall notify the CCFA Chair and recuse themselves from all proceedings relating to the inquiry. If the Chair has a conflict of interest, the FACP will name an alternative Chair for the matter in question. The CCFA members constituting a quorum at the outset of a matter before the CCFA shall be the CCFA members who conduct the review and render an opinion on the matter on behalf of the CCFA. At the outset, the CCFA review begins with consideration of whether the grounds for an appeal have been met. If not, the Chair of the CCFA will notify the faculty member and respondent(s) and will conclude the review. In cases involving a proposed suspension or dismissal, the Faculty member is entitled to a hearing before the Committee if requested by the Faculty member.

Hearings are conducted in a manner providing an orderly and careful presentation of each point of view. The CCFA Chair, when present, presides and works out procedural plans in consultation with the members of the CCFA, the Grievant, and the Respondent.

Hearings normally begin with the appearance of the Grievant before the CCFA to discuss and clarify the formal statement of grievance. The Grievant and Respondent should indicate to the CCFA what files and which persons they would like the committee to consult and on what subjects. The CCFA members, after examining the files, may also identify additional individuals to be interviewed and/or documents to be reviewed. The CCFA shall determine the individuals to be interviewed, if any, taking into full and fair account the requests of the interested parties. If the CCFA determines that the number of individuals from whom information is desired is too large to make their appearance before

Appendix C: Guidelines for the Conduct of Inquiries by the CCFA

the CCFA practical, individuals may be interviewed by two or more members of the CCFA who will then report to the CCFA. Normally, no observers are permitted during the interviews. If, however, the CCFA concludes that it would be useful for the two sides to appear before the CCFA together, the CCFA will seek such a meeting.

In no case will those who appear before the CCFA in any capacity be permitted to make recordings of its proceedings or discussions.

3. ADVISOR TO THE GRIEVANT

A member of the Faculty bringing a grievance before the CCFA is entitled to be accompanied by a member of the Princeton University community serving as an advisor. That advisory may not serve as legal representation.

Proceedings of the CCFA are not those of a court of law. A Grievant who is dissatisfied with the proceedings of the CCFA can proceed to a court of law. The CCFA cannot prevent and would not seek to prevent a grievant from consulting his or her own counsel who may advise the Grievant privately. The CCFA may privately seek legal advice from the University's Office of the General Counsel. Except when explicitly authorized by a University policy approved by the Faculty, legal counsel may not be involved in CCFA proceedings.

4. TIMELINESS

In cases where the grievance is precipitated by a specific decision or action, the Grievant must notify the CCFA of his or her intent to appeal within one (1) week of such decision or action and submit his or her complaint and other supporting documents to the CCFA within three (3) weeks following such notice, unless a different period is prescribed by University policy. The CCFA owes both the Grievant and the Respondent reasonable promptness in conducting the review. Matters that are brought to the CCFA after May 1 may, but need not be, held over for consideration by the committee the following September. The CCFA may conduct its proceedings by video conference, teleconference, or other electronic means. The prohibition against recordings articulated in Paragraph 3 above applies to such proceedings.

5. ACCESS TO INFORMATION AND CONFIDENTIALITY

In order to provide a full and fair review of a grievance, the CCFA may seek out additional information it deems relevant and will question those individuals the Committee determines may have relevant evidence

Appendix C: Guidelines for the Conduct of Inquiries by the CCFA

not otherwise available from the record. To maintain confidentiality, attendance at CCFA meetings is restricted to those: a) with a direct interest in the proceedings, and b) who have been invited to attend by the CCFA.

In order to provide relevant information to and protect the privacy of the Grievant and other involved parties in cases involving reappointments, tenure determinations, and similar issues, the CCFA will seek to protect the confidentiality of documents such as letters or recommendations written in accordance with University policy. The files relevant to the grievance will be deposited in the Office of the Dean of the Faculty for review by the CCFA. The Office of the Dean of the Faculty shall maintain files containing (1) materials which may be seen by the CCFA but not the Grievant or the Respondent; and (2) materials available to the CCFA, the Grievant, and the Respondent with a general description prepared by the CCFA of materials seen by the CCFA but not the Grievant or Respondent. The files will be secured in the Office of the Dean of the Faculty for reading by appropriate persons at the discretion of the Dean of the Faculty.

In all other types of cases, including faculty discipline matters, the CCFA will work to identify, obtain, and review relevant documents in a manner consistent with the reasonable privacy interests of those involved, applicable University policy, and the University's obligations under applicable law.

6. CCFA OPINION

After completion of its review, the CCFA will report its opinion to the Grievant and the Respondent(s). In cases involving suspension or dismissal, a draft report, summarizing information reviewed by the CCFA and the CCFA's opinion, will be presented in writing to the Grievant and the Respondent. They may have one week to submit a response to it before the report is finalized. The final report, including the CCFA's opinion with a statement of reasons, will be sent to the Grievant, the Respondent, the Dean of the Faculty, and to the President of the University.

When the case involves a suspension or dismissal of a member of the Faculty, the report of the CCFA and the written response of the Respondent may also be transmitted to a committee of the Board of Trustees, through the University's Secretary, for action as contemplated by Chapter IV, Section P (Procedures for Suspension and Dismissal) of the Rules and Procedures of the Faculty. Similarly, when the CCFA asks to meet with a committee of the Board of Trustees on any question of

Appendix C: Guidelines for the Conduct of Inquiries by the CCFA

unfair treatment in relation to the appointment, reappointment or academic duties or privileges of a member of the Faculty, its request for a meeting must be accompanied by a copy of its final report and the written response of the Respondent. See Rules and Procedures of the Faculty Section Iv.P.4. (Academic Status and Privileges). When the CCFA determines that a matter should be reconsidered by another committee, a department, or an officer of the University, the report and the written response of the Respondent shall also be sent to the Dean of the Faculty for such action as may be necessary, or permissible pursuant to the Rules and Procedures of the Faculty or other applicable University policy.

The CCFA itself is not obligated to inform any other person of its opinion and normally will not release its report to the public or to members of the University community who were not parties to the proceedings; nor will members of the CCFA discuss appeals outside of committee proceedings.

C. COMMITTEE RECORDS

In order to protect the confidentiality of information, the records of the CCFA are maintained in secured files by the Office of the Dean of the Faculty. They contain copies of the grievance, the committee report, and copies of any documents essential to that report. CCFA members are expected to destroy their personal files upon the resolution of each case unless advised otherwise by the Office of the General Counsel. CCFA records are available only to the Chair of the CCFA and individuals authorized by the Dean of the Faculty.

ⁱ The Committee's composition and responsibilities are specified in the Rules and Procedures of the Faculty, Section II.D.2.f.

ⁱⁱ A statement of appropriate criteria for appointments and advancements is found in Rules and Procedures of the Faculty, Chapter IV.