

# Drexel University

# CATALOG 2011-2012

## Drexel University Policies

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## **ABSENCE FROM CLASS**

Policy effective date: December 1, 2008

Responsibility: Office of the Provost

### Absences due to University Sponsored Activities

Many students participate in University-sponsored activities in which they represent the University or their academic college or department. Such activities may cause a student to be absent from class. In many instances, such absences qualify as “excused absences” which means that the absence, with proper prior arrangement, is not subject to penalty and coursework may be satisfied through agreement between the instructor and the student. Some examples of events that may qualify for excused absence include: athletic competition; research or presentation in which the student is an integral member of the presenting team, musical or performing arts events. In order to determine if an event qualifies for excused absence, students are encouraged to discuss the activity with their instructor(s) and academic advisor.

Students seeking approval for an approved absence are responsible for notifying their instructor(s) at least two (2) weeks in advance of such absences. If the activity is at the beginning of the term, students should notify their instructor(s) as soon as possible. Instructors are expected to make reasonable accommodations for these class absences including administration of make-up assignments and exams whenever possible. Please note, however, that the requirements of some courses or programs may preclude such accommodations.

It is expected that students seeking an excused absence will develop a plan and timetable to make up the missed coursework with their instructor(s).

### Other Absences

Unforeseen events or circumstances may occur that cause a student to be absent from class. These could include illness, bereavement, accident, or a catastrophic event such as fire. If such issues arise, students are encouraged to notify their instructors as soon as possible in order to apprise them of the circumstances leading to their absence from classes and to develop a plan, with a timetable, to make up missed coursework. Students may be asked to provide documentation to provide perspective that the class absence is warranted. Instructors are expected to make reasonable accommodations for these class absences including

administration of make-up assignments and exams whenever possible.

The cases of absence due to illness and extended absences are described more fully below. It is strongly recommended that students alert their academic advisor as well to notify them of the circumstances and discuss potential next steps with them.

### Religious Observances

Students should review the Religious Observances Statement in the event they are seeking an excused absence for a religious observance.

### Medical Illnesses

In the event of absence due to a medical illness, students should review the syllabi for their courses with regard to the instructor’s policy on absence. In cases of serious illness or medical conditions which impact a student’s ability to participate in courses for an extended period, faculty may request that students provide a note from a physician or documentation indicating that the absence from class is warranted. General guidance regarding requests for such medical documentation can be found in the Health Center Notes Policy.

Documentation is not necessarily warranted for shorter term illnesses which may legitimately prevent a student from attending classes but which require self care, such as cold, viral infection or uncomplicated flu. Should absence due to illness impact a student’s ability to participate in examinations or presentations, the student is strongly advised to coordinate with his or her instructors prior to the examination or presentation in order to explore the impact of the missed assignments and options. Based on this information, the student can make a decision regarding participation in the course.

Students should note that the Drexel Health Center will not provide notes to excuse absences for students missing class due to common illnesses. The Health Center will also not provide notes to excuse absences for students for medical conditions that were not treated at the Health Center. If, in the judgment of a health care professional of the Health Center, the student will be out of class for an extended period of time due to a serious illness or medical condition, the Health Center will provide an appropriate note. Examples of serious illnesses or medical conditions may include but are not limited to:

Mononucleosis, which requires bed rest and/or removal from campus

Hospitalization and/or surgery

Severe injury requiring bed rest

Severe flu and/or dehydration requiring bed rest

Highly contagious diseases (chicken pox, measles)

#### Extended Absences

In the event of extended absence where several classes have been missed, students should explore options other than those described above, such as incomplete grade (please reference the Grades policy) or withdrawal (please reference the Course Withdrawal policy).

In the event of an extended absence due to a chronic medical condition or disability, students are strongly advised to contact the Office of Disability Services to explore potential accommodation and their academic advisor to explore academic options available to them. A student's academic advisor can review policy governing such options as medical withdrawal or incomplete and any potential results of electing in these options. Documentation will be required by the Office of Disability Services in order to enact incomplete grade or withdrawal from courses after the course adjustment period but before the end of the quarter. Confidentiality is maintained by the Office of Disability Services.

### **ACADEMIC DISHONESTY**

- Academic Misconduct
- Cheating
- Fabrication
- Plagiarism
- Withdrawal of a Degree

#### **ACADEMIC MISCONDUCT**

Academic misconduct includes other academically dishonest acts such as tampering with grades or taking part in obtaining or distributing any part of an administered or unadministered test. Examples include, but are not limited to:

- Stealing, buying, or otherwise obtaining all or part of an administered or unadministered test
- Selling or giving away all or part of an administered or unadministered test including questions and/or answers
- Bribing any other person to obtain an administered or unadministered test or any information about the test;

- Entering a building or office for the purpose of changing a grade in a grade book, on a test, or on other work for which a grade is given
- Changing, altering, or being an accessory to the changing and/or altering of a grade in a grade book, on a test, a "change of grade" form, or other official academic records of the University that relate to grades
- Entering a building or office for the purpose of obtaining an administered or unadministered test
- Continuing to work on an examination or project 52 Drexel University Official Student Handbook 2005-2006 after the specified allotted time has elapsed
- Any buying or otherwise acquiring any theme report, term paper, essay, computer software, other written work, painting, drawing, sculpture, or other scholastic art work, and handing it in as your own to fulfill academic requirements
- Any selling, giving, or otherwise supplying to another student for use in fulfilling academic requirements, any theme, report, term paper, essay, computer software, other written work, painting, drawing, sculpture, or other scholastic art work

#### **CHEATING**

Cheating is an act or an attempted act of deception by which a student seeks to misrepresent that he or she has mastered information on an academic exercise that he/she has not mastered. Examples include, but are not limited to:

- Copying from another student's test paper
- Allowing another student to copy from a test paper
- Unauthorized use of course textbook or other materials, such as a notebook to complete a test or other assignment from the faculty member
- Collaborating on a test, quiz, or other project with any other person(s) without authorization
- Using or processing specifically prepared materials during a test such as notes, formula lists, notes written on the students clothing, etc. that are not authorized
- Taking a test for someone else or permitting someone else to take a test

for you

### FABRICATION

Fabrication is the use of invented information or the falsification of research or other findings.

Examples include, but are not limited to:

- Citation of information not taken from the source indicated. This may include the incorrect documentation of secondary source materials
- Listing sources in a bibliography not used in the academic exercise
- Submission in a paper, thesis, lab report, or other academic exercise of falsified, invented, or fictitious data or evidence, or deliberate and knowing concealment or distortion of the true nature, origin, or function of such data or evidence
- Submitting as your own written work, printing, sculpture, etc. prepared totally or in part by another

### PLAGIARISM

Plagiarism is the inclusion of someone else's words, ideas, or data as one's own work. When a student submits work for credit that includes the words, ideas, or data of others, the source of that information must be acknowledged through complete, accurate, and specific references, and, if verbatim statements are included, through quotation marks as well. By placing his/her name on work submitted for credit, the student certifies the originality of all work not otherwise identified by appropriate acknowledgments. Plagiarism covers unpublished as well as published sources. Examples of plagiarism include, but are not limited to:

- Quoting another person's actual words, complete sentences or paragraphs, or an entire piece of written work without acknowledgment of the source
- Using another person's ideas, opinions, or theory, even if it is completely paraphrased in one's own words without acknowledgment of the source
- Borrowing facts, statistics, or other illustrative materials that are not clearly common knowledge without acknowledgment of the source
- Copying another student's essay test answers
- Copying, or allowing another student to copy, a computer file that contains

another student's assignment, and submitting it, in part or in its entirety, as one's own

- Working together on an assignment, sharing the computer files and programs involved, and then submitting individual copies of the assignment as one's own individual work

Students are urged to consult with individual faculty members, academic departments, or recognized handbooks in their field if in doubt regarding issues of plagiarism.

### WITHDRAWAL OF A DEGREE

The University reserves the right to withdraw a degree even though it has been granted should there be discovery that the work upon which it was based or the academic records in support of it had been falsified. In such a case the degree will be withdrawn promptly upon discovery of the falsification.

### **ACADEMIC EVALUATION**

Students are evaluated at the end of each term, based on the grades received by the deadline noted on the grade sheets. The rules for determining whether a student is in good academic standing are printed in the University catalog (see Academic Standards).

College Review Committees Listings are generated by the Student Administrative Services Center to show which students are to receive warning letters, to be continued on, placed on, or removed from probation according to the rules governing academic evaluation. Each college has a committee that reviews these cases, arranges for interviews with students when appropriate, considers petitions for readmission of students who have been dropped, and recommends appropriate action.

### **ACADEMIC FREEDOM**

The teacher is entitled to full freedom in research and in publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

The teacher is entitled to freedom in the classroom in discussing his/her subject, but s/he should be careful not to introduce into his/her teaching controversial matters which have no relation to his/her subject. Limitations of



academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When s/he speaks or writes as a citizen, s/he should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a people of learning and an educational officer, s/he should remember that the public may judge his/her profession and his/her institution by his/her utterances. Hence, s/he should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that s/he is not an institutional spokesperson.

## **ACADEMIC STANDING AND PROBATION POLICY (UNDERGRADUATE)**

Policy revision date: 07.27.06

Policy effective date: 09.25.06

### **ACADEMIC STANDING**

There are three (3) distinct classifications of academic standing reflected on the academic record or transcript:

Good Standing

On Academic Probation

Dismissed

Student academic standing is determined on a term basis at the close of each term, to be effective the first day of the subsequent term of study.

The conditions associated with each of these classifications are described below and are intended to be used to guide the student in his/her academic planning. In particular, a student placed on academic probation must meet with his/her academic advisor to develop an academic strategy for success that will also allow him/her to be removed from academic probation.

### **GOOD STANDING**

*Good standing* status is assigned to the term record of any undergraduate student with a term and cumulative grade point average (GPA) above the standard of 2.00 at the close of the term.

### **Academic Probation**

An undergraduate student will be placed on academic probation when either the term or cumulative GPA falls below 2.00.

Students on probation must meet with their academic advisor to develop a written academic plan and establish GPA goals using the Veigel GPA calculator [1].

While on probation, a student must adhere to the conditions of the program of study in which he/she is enrolled [2]. For example, a student enrolled in a full-time program of study must complete a minimum of twelve (12) credits but not exceed fifteen (15) credits during probationary term(s) of study. A student in a part-time program of study can enroll in no more than eleven (11) credits in the probationary term(s).

Removal from probationary status requires that the student achieve both a term *and* cumulative GPA of 2.00 or higher in a subsequent term.

### ***A student can remain on probation for three consecutive terms before being dismissed.***

[1] The Veigel GPA calculator enables an advisor to quickly determine the grades required to achieve a 2.00 cumulative GPA – based on the number of credits completed and classification.

[2] The Undergraduate Academic Standing and Probation policy is but one of many policies that support each other. Policies regarding Change of Program are supported by the probation program. University program standards – with the exception of the Exploratory Studies program – prohibit program or major changes during the probationary period.

### **Dismissal**

#### **Term Grade Point Average**

An undergraduate student will be dismissed from the University when his/her term GPA falls below the 2.00 standard for three (3) consecutive terms.

Students who earn a term GPA below 1.00, *not including their first term at Drexel*, may be automatically *dismissed* from the University. That is, they are subject to dismissal without the benefit of a probationary period. Such students have the opportunity to appeal the dismissal decision, as described below.

First term students that obtain a term GPA below 1.00 will be placed on probation and held to the standards established by the conditions of academic probation.

#### **Cumulative Grade Point Average**

An undergraduate student will be dismissed from the University when his/her cumulative GPA remains below the 2.00 standard for the probationary period of three consecutive terms unless an extended period is approved by his/her College/School Dean/Director.

Students who earn a cumulative GPA below 1.00, *not including their first term at Drexel*, may be automatically dismissed from the University. That is, these students are subject to dismissal, without benefit of a probationary period. Such students have the opportunity to appeal the dismissal decision, as described below.

First term students that obtain a GPA of or below 1.00 will be placed on probation and held to the standards established by the conditions of academic probation.

### **Subject to Dismissal**

At the end of the probationary period (three consecutive terms), a student is subject to dismissal. The decision to dismiss a student who is *subject to dismissal* rests with the College or School and entails a thorough review of the student's academic record, progress and plan. Students whose academic standing is classified as *subject to dismissal* must meet with their academic advisor to discuss their academic standing, progress and plans.

### **Right to Appeal a Dismissal Decision**

A student has the right to appeal a dismissal decision. He/she may do so by submitting a petition to the Office of the Dean/Director of the respective academic College or School [3]. The form must be completed and filed by the student within seven (7) days of having been notified in writing that he or she is being dismissed from the University and in no case later than the first day of classes in the term in which the dismissal is to take effect.

Upon submitting the petition to appeal the dismissal decision, the student will be scheduled to meet with the Academic Standing Committee of his/her college or school in order to discuss his or her academic progress and plan. A final decision regarding the outcome of the student's appeal will be communicated at this meeting.

If a student seeks to be reinstated for the term into which the dismissal is to take effect, he/she must meet with the Academic Standing Committee before the Wednesday of the second week of the term. After that date, appeals will be considered for the subsequent term.

[3] A form for completing the petition is available from the Office of the Dean of the student's respective College/School.

### **Terms of Reinstatement after Dismissal**

Reinstatement to the University through the Academic Standing Committee of the College or School is subject to the following conditions:

### **For full-time students:**

- The student is expected to meet the Academic Standard of the University by the time he/she is to graduate, that is, a cumulative GPA of 2.00.
- The student must enroll in and complete no fewer than twelve (12) and no more than fifteen (15) credits unless otherwise approved by the Academic Standing Committee.
- During the period of reinstatement, a student cannot change his/her program of study or status. Inter-college transfer requires that a student is in good standing that is, above a GPA of 2.00 for such transfer to be considered unless the transfer is approved by the Deans/Directors of both units.
- A student must obtain a minimum term GPA of at least a 2.00 during the readmitted term and may not earn grades of F or INC in any given course during this term. If the student does not meet the GPA standard as established under the conditions of reinstatement (nominally 2.00), he/she will be dismissed from the University.

### **For part-time students:**

- The student is expected to meet the Academic Standard of the University by the time he/she is to graduate, that is, a cumulative GPA of 2.00.
- The student can enroll in and complete no more than eleven (11) credits during the readmitted term.
- The student must obtain a minimum term GPA of at least a 2.00 during the readmitted term and may not earn grades of *F or INC* in any given course during this term. If the student does not meet the 2.00 GPA standard as established under the conditions of reinstatement, he/she will be dismissed from the University.

Failure to meet the above conditions will result in dismissal from the University. Such dismissal is considered final unless overturned by the Dean/Director of the College/School. A final dismissal decision may not be appealed.

A College/School may implement additional conditions for reinstatement at the discretion of the Dean/Director; but such conditions shall be in writing and provided to the student at the time the Academic Standing Committee issues its judgment.



## **Final Dismissal**

Students (a) who do not appeal the initial dismissal decision, (b) who receive a negative decision from the Academic Standing Committee, or (c) who fail to meet the conditions of reinstatement, are severed from the University. Such students may apply to Drexel for reinstatement, but must complete twenty-four (24) transferable credits at another institution with a minimum GPA of 2.50 to be considered for reinstatement. Reinstatement to specific Colleges/Schools at Drexel will be subject to approval by the respective Dean/Director, and such rules or conditions as the College/School may maintain for such cases.

## **ACADEMIC TRANSACTIONS**

1. Add
2. Drop
3. Withdraw
4. Credit Limitation

### **ADD**

During the pre-enrollment period through the end of the second week of classes for the term, all students, with the exception of 1st term freshmen, may add courses that are free from restrictions/permissions, by using BANNER Web for Students. Instructor or academic unit approval is conditional on class size limitations. Regardless of when a student adds a course, the student is responsible for meeting all course requirements as mandated by the specific course syllabus.

Recommendations to Students:

Meet with your academic advisor if:

You encounter a course restriction/permission—contact your academic advisor to resolve the restriction;

You have a course enrollment request beginning with week two of the term—meet with your academic advisor for review;

You are a freshmen—you need to meet with your academic advisor for any/all course schedule adjustments;

You are a new undergraduate transfer student;

You have newly been readmitted.

### **DROP**

Please note that "dropping" a course and "withdrawing" from a course are distinct actions and are governed by different policies. (See "Course Withdrawal Policy" below.)

For both graduate and undergraduate students, courses may only be dropped during the "drop period" lasting from the beginning of the enrollment period through the end of the second week of the quarter. Dropping a course results in the course being removed from the student's academic record without a "W" appearing on the transcript—specifically, neither the course nor the grade of "W" appears on the student's transcript. Freshmen and new first-term transfer students must meet with their academic advisors to drop courses during the first quarter. Undergraduate upper-class and graduate students may use BannerWeb to drop courses; no approvals are required for upper-class and graduate students.

Students drop a course for the term in which they are enrolled by using BannerWeb for students. Approval of the instructor is not required to drop a course (but is required to withdraw from a course).

For "accelerated courses," which normally last five weeks, the drop period is limited to the first week of the course. Thus, for accelerated courses given during weeks one through five of the regular term, the drop period is week one; for accelerated courses given during weeks six through ten of the regular term, the drop period is week six (of the regular term).

### **Withdrawal**

Undergraduate students may withdraw from a course during the "withdrawal period" lasting from the beginning of the third week through the end of the sixth week of the quarter. Specifically, the last day to withdraw from a course is the Friday of the sixth week of the quarter. For undergraduates enrolled in accelerated courses (which normally last five weeks), students may withdraw from the second through the third week.

Graduate students may withdraw from a course during the "withdrawal period" lasting from the beginning of the third week through the end of the sixth week of the quarter. For graduates enrolled in accelerated courses (which normally last five weeks), students may withdraw from the second through the fifth week, prior to the final examination.

Withdrawing from a course causes both the name of the course and the grade of "W" to appear on the student's transcript.

Before withdrawing from a course, students should consult with the instructor. All students must obtain their advisor's written authorization before withdrawing from courses. Written authorization is obtained once the instructor has signed the "ENROLL/WITHDRAW" form available from Student Administrative Services' web page: <http://www.drexel.edu/SRC/forms.asp>.

Where extenuating circumstances obtain, students may petition the Dean of their college to withdraw from classes from the sixth week through the tenth week of the term. If the petition is persuasive, the Dean sends a recommendation to the Vice Provost, with an explanation of the circumstances. The Vice Provost will review the recommendation and make the final decision supporting or not supporting the recommendation. Course withdrawals relating to previous terms require that the same procedure be followed.

Dropping or withdrawing from courses can have serious financial and academic implications, possibly affecting billing, financial aid, VA benefits, eligibility to participate in NCAA athletic events and, for foreign students, immigration status. Students are strongly encouraged to consult with their academic advisor and financial aid counselor before withdrawing. Students are considered the responsible parties for any/all transactions processed against their academic records.

#### **CREDIT LIMITATION**

Undergraduate day students may not schedule more than 20 credits in a term without written approval from their academic dean or school director.

There are billing implications for those students who register for more than 20 credits per term. Please refer to the Frequently Asked Questions page on the website for the Office of Student Account/Bursar.

## **ACADEMIC YEAR**

The academic year at Drexel is based on four three-month terms, which run approximately as follows:

Fall term runs from late September to mid-December.

Winter term runs from early January to the end of March.

Spring term runs from early April to mid-June.

Summer term runs from late June to mid-September.

The regular weekly schedule of classes includes Saturday sessions.

## **ACCELERATED PROGRAMS**

Effective Fall 2008

Students can be admitted to an accelerated degree program in one of two ways:

Provisional admission can be granted through Undergraduate Admissions based on an application to an accelerated program by December 1 prior to fall of anticipated matriculation. Confirmation to continue in the program must be sought from the Graduate Studies Office once a student has accumulated at least 90 credits but no more than 120 credits.

Admission to some accelerated programs can also be granted by the Graduate Studies Office once a student has completed at least 90 credits but no more than 120 credits

Students seeking continuation and students applying for admission at this stage must file a completed Application for Admission/Continuation into the Accelerated Program. Applications can be submitted after a student has completed at least 90 credits, but no more than 120 credits toward degree requirements. Students should obtain the required signatures and submit the appropriate form directly to the Graduate Studies Office.

#### **Undergraduate vs. Graduate Level:**

Please refer to the grid below and the individual plan of study to determine the eligible status for the program in question.

#### ***Option A (undergraduate level changing to graduate or professional level)***

Students completing BS/MS programs in the College of Arts and Sciences, Westphal College of Media Arts and Design, College of Nursing and Health Professions, School of Education, College of Arts and Sciences (Biology, Chemistry, and Psychology majors), and all accelerated programs leading to an MBA from the LeBow College of Business will be coded as undergraduate students during the first four years of the accelerated program. Once these students have completed four years of study (minimum of 180 credits) they will be moved to graduate level as a new graduate student.

Students in the joint programs associated with Medicine, Physical Therapy, and Physician Assistant, or Law will be admitted to Drexel in a 4 year undergraduate program and move to graduate/professional level as a new graduate/professional student, based on their plan

of study, at the end of 3 years of undergraduate studies (for plans of study with no co-op or one co-op) or at the end of 4 years of undergraduate studies (for plans of study with one or two co-ops).

Subject to program approval and satisfactory progress, students in BS/PhD programs in the College of Engineering will be moved to graduate level as a new graduate student at the end of five years of study.

### **Option B (undergraduate level only)**

Students completing an accelerated program in the College of Engineering, School of Biomedical Engineering, Science, & Health Systems, College of Information Science and Technology, or the College of Arts and Sciences (Math and Physics majors) will be coded at the undergraduate level for the entire five years required for the program.

### **Option A or B**

Students completing an accelerated program in the College of Arts and Sciences (Culture and Communication) will be coded in a manner appropriate to their specific discipline and plan of study as determined at the time of admission.

Students who enter Drexel as a transfer student will be reviewed by the appropriate academic unit and the Office of Graduate Studies to determine level of placement in one of the above programs based on transfer credits and an approved plan of study will be formulated.

### **Billing and Financial Aid**

Students will be billed at the appropriate undergraduate or graduate rate for their program.

During the undergraduate portion of any program, students will be eligible for undergraduate need-based and merit-based financial aid.

During the graduate portion of any program students will be reviewed for graduate merit aid including Dean's Fellowships or Scholarships that are available for students enrolled in graduate studies in that College/School, and be eligible for graduate federal financial aid.

A 4 credit undergraduate course can be taken without additional charge during each co-op term as indicated by University policy. Graduate courses taken while on co-op will be charged at the appropriate credit hour rate.

No additional university funding will be provided to reduce the cost of graduate courses taken while on co-op, or for additional undergraduate courses taken beyond the allowed credits without additional charge.

### *Additional stipulations*

### **Course registration and Plan of Study**

Programs should be designed to limit the number of undergraduate courses completed during the graduate portion of an accelerated program. During this portion of a program, courses not at the senior level will require permission of the Graduate Studies Office.

### **Transcripts**

Courses completed while a student is coded as an undergraduate student, irrespective of course level, will appear on an undergraduate transcript and be computed in an undergraduate grade point average.

Courses completed while student is coded as a graduate student, irrespective of course level, will appear on a graduate transcript and be computed in a graduate grade point average.

### **Degree conferral**

Where required by the graduate or professional degree program, bachelor's degrees can be conferred when student ascend to graduate/professional level before the end of their accelerated programs provided all requirements for the appropriate undergraduate program have been satisfied. In all other cases, both degrees will be conferred upon completion of the entire accelerated program and completion of requirement for both programs.

Students who do not complete the entire accelerated program are required to complete all requirements for the appropriate undergraduate program before the bachelor's degree will be awarded.

### **BS/MS ACCELERATED PROGRAMS**

BA/BS/MD (M.D. is through Drexel University College of Medicine)

BS/DPT Physical Therapy

BS/MHS Master of Health Sciences Physician

Assistant

### ADVANCED PLACEMENT CREDIT

Last modified: 03.28.06

Drexel University recognizes the significance of superior scores earned by incoming freshmen on Advanced Placement (AP) examinations administered by the Educational Testing Service. Consideration of AP performance may accelerate a student's progress in his/her respective degree program.

BS(HSAD)/MPH (Master of Public Health)

HBS/PhD Engineering

BS/MS Engineering

Incoming freshmen who have received a score of 5 on any AP examination may elect, with the approval of their academic advisor, (1) to be placed in an advanced course in that AP subject, (2) substitute another course or credit-bearing activity in its place, or (3) waive the course and apply the course credit to meet graduation requirements. Students enrolled in a Drexel accelerated degree program - BS/MS, BS/PhD, or BS/MD, BA/JD - may, with the approval of their academic advisor, waive selected courses in which AP scores of 4 and 5 have been earned and apply the course credits to meet graduation requirements. Students enrolled in a Drexel accelerated degree program - BS/MS, BS/PhD, or BS/MD, BA/JD - may, with the approval of their academic advisor, waive selected courses in which AP scores of 4 and 5 have been earned and apply the course credits to meet graduation requirements.

BS/MS Biomedical Engineering

BS/MS COAS (Biology, Chemistry, Psychology)

BS/MS COAS (Math, Physics)

BS/MS COAS (Culture & Communication)

BS/MS IST

### ANNUAL REPORT FORMS

Each full-time faculty member is required to complete the Faculty Annual Report Form available from the academic affairs Office. This form collects data on the faculty member regarding his/her teaching, research, scholarly, administrative and other activities. The information is used for many purposes including salary and tenure review.

BS/MBA

BS-COMAD/MBA (Design & Merchandising, Music Industry)

### ANNUAL REVIEW

BS (Hospitality Management)/MBA

Vj g'tgetwko gpv'f g'xgnr o gpv'tg'v'k'p'cpf 'cf x'cpego gpv'qh' h'cewm' 'ctg'qh'r ctco q'p'v'lo r qt'cpeg'v'q'c'eqngi g'qt'W'p'k'gtuk'f'0''

BS/MS COMAD (Digital Media)

Vj k'u'ge'v'k'p'y k'm'eq'p'g't'p'k'ug'h'y k'j 'f g'xgnr o gpv'tg'v'k'p'cpf " 'cf x'cpego gpv'qh'h'cewm' 'j' t'q'w' j 'cp'c'p'p'w'c'n't'g'x'k'y' 0'G'c'ej 'f g'c'p' 'uj c'n'l't'g's'w'k't'g'y c'v'g'c'ej 'f g'r c't'o g'p'v'j g'c'f 'e'q'p'f w'e'v'c'p'c'p'p'w'c'n't'g'x'k'y " 'y k'j 'g'c'ej 'o g'o d'g't'q'h'y' g'f g'r c't'o g'p'v'u'h'm'v'k'o g'h'cewm'f'0'V'j g't'g'x'k'y " 'uj c'n'l'eq'x'g't.'d'w'p'q'v'd'g'h'o k'g'f 'q'<"

BS/MS Education

E'j g'eq'o o w'p'k'c'v'k'p'q'h'W'p'k'gtuk'f.'e'q'ngi g'g'c'p'f 'f g'r c't'o g'p'v'c'n' 'i q'c'n'i'c'p'f 'k'p'k'k'f w'e'n'g'z'r g'e'v'k'p'u'="

BS/JD

- evaluation of the faculty member's past year's performance;
- the basis for determining the individual faculty member's yearly salary increase, and;
- a written summary signed by the department head and the faculty member in order to ascertain that the faculty member has been made aware of the report. It is understood that the faculty member has the right to submit a statement.

It is expected that within the parameters stated above, each department will develop its individual guidelines and procedures for the annual faculty review.

## **AUDIT OPTION**

Policy revision date: December 1, 2008

Responsibility: Office of the Provost / Office of the University Registrar

### **THE AUDIT OPTION**

The Audit Option provides undergraduate and graduate students the opportunity of attending a course, but carries no credit and no standard letter grade.

Participation in the course will be evidenced by the "AUD" grade designation on the transcript. The "AUD" grade designation does not affect a student's GPA.

Credits for courses taken using the Audit Option are not counted in clearance for graduation (please reference the Granting of Degrees policy); thus major requirements cannot be taken using the Audit Option.

1. The credits for courses taken using this option count toward the maximum term credits allotted to full-time students for their program of study. Full-time undergraduate students who audit a course that raises their term credits above the maximum are billed on a per-credit basis for the term credits above 20. Full time graduate students will be billed for the audited course on a per-credit basis. Part-time graduate students will be billed for the audited course on a per-credit basis.
2. Part time students who choose to audit a course will be charged on a per-credit basis.
3. Due to pedagogical or other considerations, some courses may not be audited.
4. In order to take a course using the Audit Option students must secure approval from both the instructor and their Academic Advisor before the close of the course adjustment period.

5. Students may not change the option to Audit courses or petition to take these courses for credit after the close of the course adjustment period.
6. Students are not eligible to register for online courses using the Audit Option.
7. Instructors will not be able to assign a grade during grade submission for students electing this option.
8. Students electing this option will receive an automatic grade of "AUD".

### **REGISTERING FOR A COURSE USING THE AUDIT OPTION**

Students may register for courses using the Audit Option during the course adjustment period. Registration is subject to the approval of the course instructor and the student's Academic Advisor. The Academic Advisor will assist the student in determining whether the Audit Option is an appropriate option for the student.

1. Registration is subject to course availability within established enrollment limits. No new course sections will be added.
2. Students wishing to add a course using the Audit Option are required to check the "Add Audit" box found at the bottom of the course add/drop grid on the Add/Drop/Withdraw form.

The form must be submitted to the Student Resource Center (SRC) by the end of the course adjustment period.

## **CALCULATION OF HONORS**

### **DEAN'S LIST**

Dean's List will be computed each term. Full-time students carrying 12 credits or more who earn a cumulative GPA of 3.6 or higher at the end of the grading period will achieve Dean's List. Valid grades used for computation of Dean's List are A through F or Credit/No Credit (when that option applies).

### **GRADUATION HONORS**

Graduation honors are calculated at the end of each term so students graduating in any term may have their honors placed on their transcripts.

The GPA used to determine honors is based upon the student's entire academic career at Drexel University. Transfer students must have a minimum of 75 credits at Drexel University. GPA requirements for honors by categories are:

Cum Laude 3.500-3.699



Magna Cum Laude 3.700-3.899

Summa Cum Laude 3.900-4.000

## **CANCELLATION OF COURSES**

Last modified: 07.08.05

The Provost's Office determines which courses will be cancelled two weeks prior to the beginning of a term. The University Registrar's Office will be notified of these cancellations and instructed to remove the course from the term master schedule. (the Registrar will notify the College and Department offering the course, as well as the students enrolled in the course, of the cancellation.)

Criteria for cancellation will be determined by the Provost's Office and communicated to the Deans.

## **CHANGING YOUR PROGRAM OF STUDY - UNDERGRADUATE STUDENTS**

Full-time students must declare a major by the end of the fifth quarter of the term in which he or she is enrolled.

Undergraduate students who transfer from one program to another, when such transfer does not represent a change in career objective, will not be allowed further transfer for one year unless a change in career objective is documented. Students who wish to transfer from a co-op to a non-co-op program, or vice versa, should consult the "Student Transfer Policy" as documented in the Co-operative Education section of the University Catalog.

### **Procedure**

A 'Change of Program' Form may be obtained in the student's Program College and must be submitted, as the form specifies, to either the SRC Office or the Student Receivables Office (located on the first floor of the Main building) when the appropriate signatures have been obtained.

### **Deadline**

The 'Change of Major Program' must be submitted by the end of the first week of the term in which the change is to be effective. Any program change submitted after the first week of the current term will be effective the following term.

## **CHANGING YOUR PROGRAM OF STUDY - GRADUATE STUDENTS**

Graduate students may transfer from one graduate program to another with the written approval of both departmental graduate advisors and the Graduate Studies Office. Students should obtain the "Graduate Transfer Form" from the Graduate Studies Office.

In order to gain approval to transfer into a new program, graduate students must meet with the program's graduate advisor who will review their current transcript and possibly their original admissions information. If admissible to the new program, the graduate advisor will sign the transfer form. The student must then be released from the original program by meeting with that department's graduate advisor, who will sign the transfer form if the release is approved. Students must receive written approval from both graduate advisors before submitting the form to the Graduate Studies Office for final approval.

If final approval is granted to transfer into a new graduate program, the student should meet with the graduate advisor of the new program to establish a plan of study for that program.

## **CHANGING OR CORRECTING YOUR SOCIAL SECURITY NUMBER**

In order for a student to change his or her student identification number to a social security number, or to correct an error in a social security number, they must come in person to the Student Administrative Services Center.

At the office, the student will be asked to present picture I.D. and their social security card with the new or correct number.

## **CHANGING YOUR VISA STATUS**

All students wishing to change their visa status should go to the International Students Office, which is located in the Creese Student Center, Room 210 (phone: 215-895-2502).

## **CLASS ATTENDANCE**

Class lists are provided to each instructor whose name is indicated as the instructor of record on the Instructional Delivery System at the time they are produced.

Preliminary class lists are electronically mailed approximately two weeks prior to the start of each term. Official class lists are electronically mailed at the beginning of the second week of the term. Each set of class lists reflects the students who are officially enrolled at the time the class lists are produced.

Full-time and part-time undergraduate students and graduate students whose names do not appear on the official class list are not officially enrolled in the course and should be referred to the Student Resource Center (first floor of the Main Building). Students in the Richard C. Goodwin College of Professional Studies should contact their Academic Advisement Center at One Drexel Plaza for assistance in determining why they do not appear on the class list.

## **CLASS CANCELLATION DUE TO UNEXPECTED INSTRUCTOR LATENESS OR ABSENCE**

Policy effective date: December 1, 2008

Responsibility: Office of the Provost

On rare occasions, instructors may be delayed or unable to attend a class due to unforeseen circumstances. In the event that an instructor does not appear in class due to an unexpected delay and has not notified class of his/her expected arrival time, class is cancelled after 15 minutes of the scheduled start of class.

## **CO-OP, CLASSES DURING**

Effective Fall 2007

In an effort to better couple academics with a student's cooperative education experience, undergraduate students enrolled in a co-op education program may register for one course (up to four (4) credits) during each term for which they are on a co-op assignment without additional charge.

This policy is subject to the following guidelines:

- \* A maximum of one (1) undergraduate course (up to four (4) credits) may be taken without additional charge; if this course carries more than (4) credits, the additional credits are billed on a per-credit basis.
- \* If a student registers for a second course, the second course is billed on a per-credit basis.
- \* According to existing policy, students on co-op are permitted to register for a maximum of six (6) credits per co-op term.
- \* Students are not eligible to register for online courses

without charge. A student who registers for an online course will be charged at a per credit rate.

\* Registration is subject to the approval of both the student's Academic Advisor and Co-op Advisor. The Co-op Advisor will ensure that the requested course does not interfere with the student's co-op assignment. In some cases, the co-op employer may be contacted.

\* Registration is subject to course availability within established enrollment limits. No new course sections will be added.

\* Registration for these courses opens one week prior to the beginning of the respective term.

\* The Enrichment Course Policy remains in place. Credits earned in an Enrichment Course count towards the six (6) credit per co-op term maximum.

## **CLOSED SECTION OVERRIDE PROCEDURE**

(Effective Fall, 2005)

Last modified: 11.08.05

A request for a Closed Section Override is made by a student when a course section has reached its maximum capacity that is, when room, regulatory or pedagogical limits established by the College or School in conjunction with the Office of the Registrar have been met and the course section is closed. Consideration of an override request by the College/School and the Office of the University Registrar must balance the needs of the individual student against the well-being and vitality of the class. The following provides the criteria by which student requests are evaluated as well as the step-by-step process for enacting a course override.

### **Roles**

The Collegiate Advisor/Office of the Dean (hereafter the Advisor) is responsible for evaluating the student request in order to determine whether an override is warranted. Criteria for a Closed Section Override have been established to guide this decision.

The Instructor is responsible to comply with the maximum capacities for the course section established by the Department.

The Department Scheduler is responsible to manage pedagogical, seating, and/or regulatory maximums established by Departments in conjunction with the Office of the University Registrar.

The Office of the University Registrar will ensure that the Criteria for Closed Section Override are being met and will process the request.



### **Criteria for a Closed Section Override**

The following Criteria for a Closed Section Override are to be considered by the Advisor in shaping the decision to advance an override request to the Office of the University Registrar.

The student meets all of the course prerequisite, co-requisite and registration restrictions.

The student is a graduating senior in his or her last term and must complete the specified course in order to graduate or,

The student is a graduating senior not in his or her last term of study but needs the specified course as a prerequisite in order not to delay graduation. In order to qualify as a graduating senior, the student must have applied for graduation and have AP status.

The student is a student-athlete or an ROTC member and cannot take the open section of the course in question because that section conflicts with required university commitments.

The student cannot attend the open section of the course because of access issues due to a disability. The student has such disability documented in the Office of Disability Services.

The Advisor has determined that the student requires the course in question in order to meet term-by-term requirements; that is, the course in question is required for the student to stay on track in his or her program of study.

### **Procedure**

The request for override is evaluated according to the procedure outlined below. Final approval of an override assumes all criteria are met and signatures are obtained.

The Advisor determines whether the student meets the Criteria. If the student does not meet the Criteria for Closed Section Override, the Advisor informs the student that the request is denied and works with the student to identify an alternate course that will meet program requirements, particularly if the student is registered for less than 12 credits for the term. If the student meets the Criteria, he or she must then complete an Add/Drop/Withdraw form one, and obtain the instructor's signature for the course. The instructor's signature on this form is provided as an indication that the addition of the student will not negatively impact his/her ability to achieve pedagogical goals for the course and that the seating capacity of the room has not been exceeded.

Once the instructor's signature is obtained, the student must return the Add/Drop/Withdraw form to his/her Advisor. The Advisor will advance a Request for Closed Section Override on behalf of the student, signifying that the Advisor has evaluated the appeal on the basis of the established Criteria.

The Request for Closed Section Override will be processed by the Office of the University Registrar within one business day following confirmation that the seating and/or regulatory capacity limits are not exceeded.

Upon notification from the Office of the University Registrar, the Advisor will contact the student via email to notify him or her of the outcome of the override request and registration status.

## **CODE OF CONDUCT**

Policy Number: OGC-5

Effective Date: November 11, 2004

Revisions: February, 2007, September 2007, July 2008, November 2009

Responsible Officer: Vice President and General Counsel

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#### **I. PREAMBLE**

All members of the Drexel University community – this includes students, faculty, staff, trustees, directors, and others who act for or on behalf of the University - share responsibility for the welfare of the University. That obligation extends to all components of the University enterprise. Unique in our society, university communities depend in significant measure upon the integrity, honesty, good citizenship and professional conduct of their members.

Universities are also unique in requiring for their success a spirit of open and free inquiry, of pluralism, of creativity, and of appreciation and respect for difference.

Just as all citizens enjoy certain freedoms and owe certain responsibilities to society at large, those who benefit from their relationship with Drexel University owe obligations to it. Those obligations can be broadly

summarized as follows:

**Legal Compliance:** The University and its members will strive to ensure that all activity conducted by, at, or on behalf of the University is in full compliance with local, state and federal laws, applicable professional standards, and the official policies of the University.

**Confidentiality:** The University and its members shall strive to ensure the confidentiality of any information given to it in trust, in accordance with applicable ethical and legal, professional and legal standards.

**Respect for Difference:** The University and its members will maintain an atmosphere welcoming to individual and social diversity in which ideological, intellectual, economic, gender, ability, sexual identity, religious, age, racial, cultural, ethnic, national and all differences are respected by others and treated as a valuable addition to and part of the intellectual and cultural life of the University.

**Intellectual Integrity:** The University shares a commitment to all others, and to society at large, to engage in the educational mission of the University in the spirit of free and open inquiry and with both personal and intellectual honesty and integrity.

**Administrative Integrity:** Those who are charged with responsibility for conducting the affairs of the University and administering its policies, programs, and divisions must perform their duties in a fair, honest, and consistent fashion, without regard to their personal preferences, biases or prejudices.

**Business and Professional Ethics:** Those who are part of the University community are representatives of the University, whether or not intending to be so. As such, they must conduct themselves in accordance with the ethical standards of their business or profession, and must not engage in any activity or scheme intended to deprive anyone unfairly of money, property, or services.

**Business Relationships:** The University and any of its members who are in a position of conducting business transactions with vendors, contractors and other third parties on behalf of the University shall not accept gifts or favors, or solicit such gifts or favors, or other improper inducements in exchange for exercising influence or providing assistance in a business transaction affecting the University.

**Conflicts of Interest:** The University and its members will

not use their position at the University for the purpose of personal profit or to profit others at the expense of the University.

**Protection of Assets:** The University and its members will strive to preserve, protect, and enhance the University's assets by making prudent and effective use of University resources and property and by accurately reporting its financial condition.

These obligations, owed by each of us to each of us, are more fully described in the following Code of Conduct, which was created by a University Advisory Committee comprised of faculty, staff, and administrators in May 2003, submitted to the University community for comment, and approved by the Board of Trustees in December 2003.

This Code of Conduct contains Principles articulating the policies of the University and Standards which are intended to provide additional guidance to all members of the Drexel University community.

## **II. APPLICABILITY; COMPLIANCE OBLIGATIONS; REPORTING**

This Code of Conduct applies to all members of the Drexel University community: this includes faculty, staff, undergraduate and graduate students, trustees, contractors, and volunteers.

As used in this Code of Conduct, the term the "University" is meant to include the whole of Drexel University: each of its colleges, schools, divisions, subsidiaries, operating and business units, its administration, its boards of advisors, and any Boards of Trustees or Directors of the University.

The terms "faculty," "staff," "student," "trustee," "contractor," "volunteer," "employee," "director," "officer" and "agent" include any person who fills such a role or provides services for or on behalf of any part of that whole University, whether full-time, part-time, per hour or per diem, employed or not employed, paid or unpaid.

The University expects each person to whom this Code of Conduct applies to abide by the Principles and Standards set forth herein and to conduct the business and affairs of and with the University in a manner consistent with the statement of principles set forth herein, and the standards thereunder. All members of the University community are responsible for ensuring that their behavior and activities are consistent with the Code of Conduct as well as University policies and procedures, and applicable federal, state and local laws

and regulations and professional standards (hereinafter collectively referred to as "Applicable Rules").

The University encourages members of the Drexel community to consult this policy whenever they believe that they are, or might find themselves to be, in a situation where their actions might reflect poorly on the University, its integrity, mission, responsibilities to its students and patients, standing, or reputation. Because the obligation to act in a manner consistent with the Applicable Rules is owed by every member of the University community to every member, all members of the University Community are expected to report any activity or practice that may violate any Applicable Rule to their supervisor, the Chief Compliance Officer, the General Counsel, or the confidential Whistleblower Hotline available by phone or by web:

866-358-1010 (toll free) or  
[https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=14030](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=14030)

Reports so made to the confidential Whistleblower Hotline will be kept confidential, and the reporter acting in good faith will be protected from any retaliation.

Failure to abide by this Code of Conduct or the guidelines for behavior which the Code of Conduct represents may lead to disciplinary action, up to and including termination, tenure revocation, expulsion or cessation of working relationship. Appeals from any adverse personnel action taken under this Code shall be taken in accordance with the Grievance/Complaint Resolution process set forth in Human Resources Policy No. HR-14 (below). In the event that an employee or agent is covered by the terms of a collective bargaining agreement, discipline shall be in accordance with the provisions of the collective bargaining agreement.

For departures from this Code of Conduct, the University will consider relevant facts and circumstances, including, but not limited to, the extent to which the behavior was contrary to the express language or general intent of this Code, the egregiousness of the behavior, the employee's history with the University, and other factors which the University deems relevant; and the University will recognize that those in positions of greater responsibility for the University owe a greater obligation, not a lesser one, to observance of the Code.

Nothing in this Code of Conduct is intended to or shall be construed as providing any additional employment or contract rights to any member of the University

community. While the University will generally attempt to communicate changes concurrent with or prior to the implementation of such changes, the University has the right to modify, amend or alter this Code of Conduct without notice to any member of the University community.

See:

Whistleblower Policy

Grievance/Complaint Resolution Policy

### **III. CODE OF CONDUCT**

#### **Principle 1 - Legal Compliance**

The University will strive to ensure that all activities conducted by or on behalf of the organization are in compliance with Applicable Rules.

The following Standards are intended to provide guidance to members of the University community to assist them in their obligation to comply with Applicable Rules. These standards are neither exclusive nor complete. Members of the University community are required to comply with all Applicable Rules, whether or not specifically addressed in these policies. If questions arise regarding the existence, interpretation, or application of any Applicable Rule, they should be directed to the General Counsel or the Chief Compliance Officer.

#### **Standard 1.1 – Public Purpose/Non-Profit Status**

As a non-profit entity, the University has a legal and ethical obligation to act in compliance with applicable laws, to engage in activities in furtherance of its charitable purpose, and to ensure that its resources are used in a manner which furthers the public good rather than the private or personal interests of any entity or individual. Consequently, the University and members of the University community will avoid compensation arrangements in excess of fair market value, will accurately report financial matters to appropriate taxing authorities, and will file all tax and information returns in a manner consistent with applicable laws. All members of the University community will use their best efforts not to waste University resources, and to use them to their most efficient purposes.

#### **Standard 1.2 – Lobbying/Political Activity**

Federal, state and local laws require that Drexel University and its employees report to the respective government agencies any activity on the University's behalf that constitutes lobbying. Because federal law restricts the amount of lobbying that a non-profit may do, it is essential that the University be aware of all activity which might be construed as lobbying. While the University encourages its members to be engaged in civic life, the University expects each member of the University community to refrain from engaging in activity which may result in fines or penalties or jeopardize the tax-exempt status of the organization, including lobbying

and political activities which are not permitted by the Applicable Rules.

#### **Standard 1.2.1 – Contacts with Government Officials, Staff, Agencies and Other Political and Governmental Bodies**

The primary purpose of this policy is to ensure that the University is aware of all contacts with publicly elected officials as well as representatives of various government offices, departments and agencies, so that the University may comply with the Applicable Rules relating to lobbying by properly reporting said activities. There are substantial penalties for violations of the applicable federal and state laws applicable to lobbying activities and the disclosure requirements associated with such activities. For these reasons, the following principles and guidelines have been established.

A secondary, but no less important, purpose of this policy is to make sure that the University's lobbying activities are consistent and effective, which can only occur if they are coordinated. For this reason, it is necessary to keep the President and Vice President for Government and Community Relations ("OGCR") as well as other chief administrative officers informed about the nature of such contacts with representatives of federal, state and local governments.

This policy is also designed to help members of the University Community understand the importance of lobbying laws as well to differentiate between official actions on behalf of the University and personal actions. Members of the University Community are expected to confirm at all appropriate times that they are acting as individuals rather than in an official capacity on behalf of the University. On occasions when duties as an official member of the University community call upon an individual to contact governmental officials, agencies, or other political and governmental bodies, the following procedures are designed to aid the individual and the University to more effectively present an authorized, accurate, and persuasive presentation.

#### **Lobbying**

The United States government, the Commonwealth of Pennsylvania, and certain localities have laws requiring registration and reporting by lobbyists and, in some cases, by the lobbyist's employer. The definition of what constitutes "lobbying" varies according to jurisdiction, but can be generally defined as any effort, whether direct or indirect, to influence legislative or administrative action.

"Lobbying," more broadly defined, is the attempt to influence federal, state, or local officials involved in the preparation, research, drafting, introduction, consideration, modification, amendment, approval, passage, enactment, tabling, postponement defeat or rejection of legislation, legislative motions, rules, regulations, funding or other forms of governmental (agency) directives through direct or indirect communications, use of office resources (expenditures)

and/or providing gifts, hospitality or transportation or lodging for the purpose of advancing the interest of the lobbyists or principal.

To ensure that Drexel University and the Members of the University Community are in compliance with these laws, the only agent of the University authorized to retain third party lobbyists is the OGCR, without exception.

### **Guidelines**

Where its experience may be helpful, the University, through its authorized agents, may publicly offer recommendations concerning legislation or regulations being considered. In addition, it may analyze and take public positions on issues that have a relationship to the operations of the University when the University's experience contributes to the understanding of such issues. Such activities further the purpose of the University and demonstrate its commitment to the public good.

If the University takes an institutional position on an issue, however, this must be approved by the applicable Departmental Dean or Departmental Vice President. The President and the Vice President for Government and Community Relations, or their respective designees, are the only University representatives authorized to express University positions to elected officials, congressional and senate staff, political appointees, and representatives of government agencies.

The University has many contacts and dealings with governmental bodies and officials. All such contacts and transactions must be conducted in an honest and ethical manner in accordance with all Applicable Rules. Any attempt to influence the decision-making process of governmental bodies or officials by an offer of any benefit is absolutely prohibited. Any requests or demands by any governmental representative for any benefit should be immediately reported to the Office of the General Counsel.

Personal and professional contacts with governmental groups, in person or in writing, should be done in the name of the individual or professional group, and should not make reference to Drexel University or any of its affiliates or subsidiaries, including without limitation the Drexel University College of Medicine. University letterhead, title, personnel or any other resources of the University may not ever be used with respect to such personal or professional contacts, and it should be made clear that the request is not being made on behalf of the University.

When an individual wishes to make an appearance before a legislative body to request support, or wishes to issue invitations to elected officials or agency officials to make official visits to the University, such action requires prior authorization under the following procedures:

Appearances on behalf of the University before federal or state, or local bodies require prior approval from both

the appropriate Departmental Dean/Vice President and the Vice President for Government and Community Relations. When University employees appear before such bodies as representatives of other agencies, such as professional societies, the employee must give prior notice to the appropriate Departmental Dean/Vice President and the Vice President for Government and Community Relations.

A request to an elected official for support of grant proposals and other University interests requires knowledge of existing and/or past relationships between the University and the official or the relevant granting agency. In order to present requests at the federal, state and local levels most effectively, approval must be obtained from both the applicable Departmental Dean/Vice President and the Vice President for Government and Community Relations prior to submission.

The University welcomes visits by elected officials, whether they visit as private citizens or in their capacities as government officials. Invitations to elected officials to visit the campus of the University in their official capacity are to be approved in advance by the Dean of the sponsoring College in consultation with the Vice President of Government and Community Relations.

Responses to requests for information, reports, and statistics from elected officials and their staffs are to be promptly shared with and coordinated through the Vice President for Governmental and Community Relations and the applicable Departmental Dean/Vice President.

After approved contacts or visits have been made with federal, state, or local officials by a person on behalf of Drexel University or any of its affiliates or subsidiaries, including the Drexel University College of Medicine, a written report on the contact and its outcome(s) is to be provided to the Vice President for Government and Community Relations.

### **Standard 1.2.2 – Political and Campaign Activities**

The University and its affiliates and subsidiaries, including without limitation the Drexel University College of Medicine, are required to comply with a variety of legal requirements, including those applicable to organizations that have tax-exempt status under Section 501(c)(3) of the Internal Revenue Code. Among those legal requirements are the laws that prohibit 501(c)(3) tax-exempt organizations from participating in certain political fundraising or campaign activities. Institutions that are found to have engaged in impermissible political campaign activity are subject to fines, loss of federal grants and loss of their tax-exempt status. Moreover, the institution can be put at risk by the activities of individuals with real or perceived authority to bind the institution, if their activities do not comply with the Applicable Rules. Therefore, it is extremely important that the Principles and Guidelines of this policy be followed.

Although all members of the Drexel community are encouraged to take part in civic activities, including voting and participation in the electoral process, individuals must be mindful not to engage in activities that could jeopardize the tax-exempt status of the University or its affiliates or subsidiaries. A 501(c)(3) organization is viewed as participating in political fundraising or campaign activities whenever the reasonable consequences of the activity have the potential to influence voter opinion or to provide financial or volunteer aid to a candidate.

#### Guidelines

As private citizens, members of the University community are entitled to participate in and contribute to political organizations or campaigns, but they must do so as individuals, not as representatives of the University, and they must use their own funds, without reimbursement. Accordingly, no member of the University community at the University's expense may make any agreement to contribute any money, property or services of any other member of the University community to any political candidate, party, organization, committee, or individual in violation of any Applicable Rule.

Individuals on their own time, and not as representatives of the University, may engage in political fundraising activities and support political candidates. They are not permitted, however, to utilize their University position or title, or the names, logos, symbols, websites, email accounts, letterhead, assets, equipment, personnel, mailing lists, owned or leased facilities, or other resources of the University or any of its colleges or schools; to ask others in the University to do so; or to otherwise engage in such activities in a way that might give the impression they are acting as a representative of, or on behalf of, the University. In determining whether an individual has acted in an individual capacity or as a representative of the institution, the Internal Revenue Service looks at a variety of factors including the use of the institution's assets, personnel or resources; whether the political campaign activity occurred on the premises of the institution; whether political views were expressed in the institution's publications; and whether political views were expressed at functions sponsored by the institution.

Employed personnel of the University, its affiliates or subsidiaries, including without limitation the Drexel University College of Medicine, shall be free to participate in political activities on the national, state, or local level such as running for political office, managing political campaigns, and assuming leadership roles in political organizations, provided that the participation does not prevent the full discharge of their obligations to the University. In any such activities the individual must make clear that he or she is acting as a private citizen and is in no way representing the University.

Any appearances by individuals seeking elective office at University-sponsored functions or at University owned or leased facilities must be approved by and coordinated under the direction of the President or the Vice President of Government and Community Relations. While such appearances are allowed by law, the law also requires that equal opportunities be given to others seeking the same office, the University or its representatives cannot show support for a particular candidate, and no political fundraising may occur at the appearance.

Retaliation by any member of the University Community who engages in political activities against any other member of the University Community who makes a good faith complaint of having been coerced or asked improperly to support or participate in such activities, or having been subject to adverse employment, academic or other consequences or decisions as a result of not supporting or participating in such political activities, is a violation of this policy and will not be tolerated by the University.

#### **Standard 1.3 – Environmental**

It is the policy of the University to manage and operate its business in the manner which respects our environment and conserves natural resources. Members of the University community will strive to utilize resources appropriately and efficiently, recycle when possible, handle all hazardous materials and dispose of all waste in accordance with applicable laws and regulations, and work cooperatively with the appropriate authorities to remedy any environmental contamination for which the University may be responsible.

#### **Standard 1.4 – Discrimination**

The University believes that the fair and equitable treatment of members of the University community, patients, and all persons who come in contact with the University is essential to fulfilling its mission, vision and goals.

It is a policy of the University to provide its services and to recruit, hire, train, promote, assign, transfer, lay off, recall, and terminate without regard to the race, color, religion, gender, sexual orientation, identity or expression, national origin, age, disability, veteran status or any other classification prohibited by law.

The University welcomes diversity, and honors its Founders' vision through its policies of inclusion and respect for differences. All forms of harassment are prohibited. Any allegation of discrimination or harassment will be promptly investigated in accordance with applicable University policies.

See:

OED-1 Equality and Non-Discrimination Policy and Procedures

#### **Standard 1.5 – Criminal Laws**

The University expects that members of the University community shall not violate any criminal laws.

## **Principle 2 – Personal Relationships**

A core principle of any university is respect for personal dignity. While the University respects the privacy of its members, it recognizes that there exists the opportunity for the inappropriate use of power, trust or authority, for example, of a teacher over a student, of a supervisor or administrator over an employee, or of a physician over a patient. Abuse of such power will not be tolerated, and the appearance of impropriety must be avoided.

### **Standard 2.1 – Relationships with Students**

Students of all ages and maturity levels come to the University to learn. The special relationships they are able to form with members of the faculty are the best of what a university can offer. Such close academic relationships, however, are susceptible to being misconstrued as inviting social or sexual relationships, or may suggest to others that such a relationship exists. It is prohibited for any employee of the University (faculty or staff) to have a romantic or sexual relationship with any student who is subject to that employee's direct or indirect authority or control (that is, anywhere within the chain of academic responsibility for that student, from advisor or teacher, through department head, college/school director or dean, and provost). In the event a relationship of this nature develops and there is direct or indirect reporting between the employee and student, it is the responsibility of the employee to disclose the relationship immediately to his/her immediate supervisor, in the manner described in this Code of Conduct, or through the Conflict of Interest Program, so that any and all steps are taken to eliminate any real or perceived authority or control the employee has over the student. Failure of an employee to report such a relationship is grounds for disciplinary action.

### **Standard 2.2 – Relationships between Employees**

It is prohibited for any employee of the University to have a familial, romantic or sexual relationship with any other employee who is subject to that employee's direct or indirect authority or control (that is, anywhere within the chain of responsibility for that employee), including financial control affecting a department, division or office for which the other employee has responsibility. In the event a relationship of this nature develops and there is direct or indirect reporting between the two employees, it is the responsibility of both employees to disclose the relationship immediately to University officials, either through the employees' supervisors, in the manner described in this Code of Conduct, or through the Conflict of Interest Program, so that any and all steps are taken to eliminate any real or potential authority or control one employee has over the other. Such steps must be set forth in writing by the applicable senior administrator and filed in both employees' personnel files. Failure to report these relationships is grounds for disciplinary action for both employees involved.

HR-5 Personal Relationships

HR-46 Nepotism/Employment of Relatives

## **Standard 2.3 – Relationships with Patients**

Romantic and sexual relationships between health care providers and current patients are prohibited. Romantic or sexual relationships with former patients are strongly discouraged because they may be unduly influenced by the previous health care provider - patient relationship. Such relationships should be entered into only with extreme caution and sensitivity. Before embarking upon such a relationship, the health care professional must ensure that the professional/patient relationship has ceased, that the patient has an alternate health care provider, and that the applicable ethics and codes of conduct of the profession are fully observed.

## **Principle 3 – Business Ethics**

In furtherance of the University's commitment to the highest standards of business ethics and integrity, members of the University community will accurately and honestly represent the University and will not engage in any activity or scheme intended to defraud or unfairly deprive anyone of money, property, or services.

The Standards set forth below are designed to provide guidance to ensure that the University's business activities reflect the highest standards of business ethics and integrity. The conduct of members of the University community not specifically addressed by these standards must still be consistent with Principle 3.

### **Standard 3.1 – Honest Communication**

The University requires candor, honesty, and cooperation from individuals in the performance of their responsibilities and in communication with our attorneys, auditors and consultants. No member of the University community shall make false or misleading statements to any patient, student, employee, law enforcement official, or person or entity doing business (or seeking to do business) with the University.

### **Standard 3.2 – Proper Use of Proprietary Information**

Members of the University community shall not misappropriate confidential or proprietary information belonging to another person or entity or utilize any publication, document, computer program, information, idea or product in violation of another person's or entity's interest in or rights to such property. All members of the University community are responsible to ensure they do not improperly copy or use documents or computer programs in violation of applicable copyright laws or licensing agreements.

Members of the University community shall not utilize confidential business or scientific information obtained from competitors or other parties, including customer lists, price lists, contracts or other information, in violation of prior employment agreements, nondisclosure or confidentiality agreements, or in any other manner likely to provide an unfair competitive advantage to the University.

See:



Conduct of Research Policy, Part VI, Peer Review and Privileged Information  
Acceptable Use Policy

### **Standard 3.3 – Ethical Dealings**

In addition to this Code of Conduct, professional employees of the University are obligated to perform their duties in full compliance with the codes of conduct that apply to their profession. In addition, certain departments (e.g., Finance/Treasurer's Office and Institutional Advancement) have adopted detailed codes of conduct that apply more particularly to the functions they perform; and those codes also must be followed. See: Principle 5 – Business and Professional Relationships – below.

### **Principle 4 – Confidentiality**

All members of the University community shall strive to maintain the confidentiality of all proprietary information (electronic or hard copies) in accordance with applicable legal and ethical standards.

Members of the University community are in possession of and have access to a wide variety of confidential, sensitive and proprietary information. The inappropriate release of such information could be injurious to individuals, affiliated institutions and parties with which the University does business, and the University itself. Each member of the University community has an obligation to actively protect and safeguard confidential, sensitive and proprietary information in a manner designed to prevent the unauthorized disclosure of information.

See: HR-50 Confidentiality

### **Standard 4.1 – Educational Records**

Student educational records will be maintained in accordance with all Applicable Rules. Students of the University who have reached the age of 18 have the right to inspect and review their own educational records. Generally, the University may not disclose information contained in education records without the student's written consent or legal process. If questions arise regarding an obligation to maintain the confidentiality of information or the appropriateness of releasing information, members of the University community should seek guidance from business unit management, the Registrar (who serves as the University's Family Educational Rights and Privacy Act Officer ("FERPA Officer")), or the General Counsel.

See:  
Family Educational Rights and Privacy Act Policy  
Family Educational Rights and Privacy Act Guidelines

### **Standard 4.2 – Personnel Actions/Decisions**

Salary, benefit and other information relating to the employment of members of the University community shall be treated as private and confidential. Personnel files, payroll information, disciplinary matters, and similar information shall be maintained in a manner designed to ensure confidentiality in accordance with Applicable Rules. Members of the University community will exercise due care to prevent the release or sharing of information beyond those persons who need such information to fulfill their job function, and shall give notice to the employee if any confidential information is required to be given to third parties.

### **Standard 4.3 – Proprietary Information**

Information, ideas and intellectual property assets of the University are important to organizational success. Information pertaining to the University's competitive position or business strategies, payment and reimbursement information, trade secrets, research, inventions, and information relating to negotiations with members of the University community or third parties should be protected and shared only with members of the University community having a need to know such information in order to perform their job responsibilities. Members of the University community should exercise care to ensure that intellectual property rights, including patents, trademarks, copyrights, and software, are carefully maintained, preserved and protected.

See:  
Copyright Policy  
Patent Policy  
Conduct of Research Policy

### **Standard 4.4 – Patient Information**

All members of the University community have an obligation to conduct themselves in accordance with the principle of maintaining the confidentiality of patient information in accordance with all Applicable Rules, and especially the Healthcare Information Portability and Accountability Act ("HIPAA"). Members of the University community shall refrain from revealing any personal or confidential information concerning patients unless supported by legitimate business or patient care purposes. If questions arise regarding an obligation to maintain the confidentiality of information or the appropriateness of releasing information, members of the University community should seek guidance from business unit management, the Chief Privacy Officer, or the General Counsel. See: Drexel University College of Medicine Notice on Patient Privacy

#### **Standard 4.5 – Financial Information**

The risk of “identity theft” is real. All members of the University community must ensure that personally identifying information provided to the University by employees, students, potential students, and their families (especially parents and spouses) be kept confidential. This includes social security numbers, birth dates, credit card numbers, drivers license numbers, location of bank accounts, and any other personal financial information (including but not limited to such information which is provided in connection with financial aid applications or alumni fund gifts). Protecting the confidentiality of that information from unauthorized access is a matter of state and federal law.

See:

Security of Enterprise Systems Policy  
Information Security Plan Policy

#### **Principle 5 – Conflicts of Interest**

All members of the University community are expected to carry out their responsibilities with the highest level of integrity and ethical behavior and to discharge their duties in the best interests of the University, and may not use their position to profit personally, or to assist others in profiting, in any way at the expense of the University.

The University relies on employees (both faculty and staff) to safeguard the University's assets in dealings with third parties. Before any transaction occurs, every member of the University community is required to disclose personal relationships and business activities with contractor personnel who may be construed by an impartial observer as influencing the member's performance or duties. Employees are expected to regulate their activities so as to avoid actual impropriety and/or the appearance of impropriety which might arise from the influence of those activities on business decisions of the University, or from disclosure or private use of business affairs or plans of the University.

Employees must disclose any and all actual or perceived conflicts of interest whenever they arise pursuant to the Conflict of Interest and Commitment Policy. If any person is in doubt about whether a situation constitutes a conflict of interest, the matter should be fully disclosed to that person's supervisor or the Chief Compliance Officer so that a determination can be made. Employees may also contact the General Counsel, Director of Internal Audit, Vice President for Research, or the Ombudsman regarding a question in this area. Failure to disclose actual or perceived conflicts will result in

appropriate disciplinary action up to and including, termination of employment, cessation of business with a vendor, and other appropriate remedies. The University will not represent or defend employees from any claim arising out of a matter not disclosed pursuant to the Conflict of Interest and Commitment Policy. See: Conflict of Interest and Commitment Policy

#### **Standard 5.1 – Outside Financial and Ownership Interests**

While not all inclusive, the following will serve as a guide to the types of activities by an employee, or member of an employee's immediate family member (e.g., spouse, parents, children, siblings), which might cause actual or perceived conflicts of interest:

1. Financial and ownership interests in or employment by any outside concern which does business with the University. “Ownership interests” include interests in a partnership or closely held corporation in which the employee has more than a 5% ownership interest (including spouse and children) in a partnership or closely held corporation. The University may, following a review of the relevant facts, permit ownership interests which exceed these amounts if management concludes such ownership interests will not adversely impact the University's business interest or the judgment of an employee.

The University considers a significant financial interest to be anything of monetary value, including an equity interest. An equity interest creates a conflict of interest when, aggregated for the applicable employee, spouse and dependent children, it either exceeds \$10,000 in value and represents more than a 5% ownership interest in a single entity, or generates salary, royalties, or other payments in a twelve-month period.

2. Conduct of any business not on behalf of the University, with any of the University's vendors, suppliers, contractors, or agencies, or any of their officers or agents.
3. Representation of the University by an employee in any transaction in which the employee or immediate family member has a substantial personal interest.
4. Disclosure or use of confidential, special or inside information of or about the University, particularly for the personal profit or advantage of the employee or his/her family member.

5. Competition with the University by employee, directly or indirectly, in the purchase, sale or ownership of property or property rights or interests, or business investment opportunities.
6. Any personal activity or business opportunity which is within the scope of the activities of the University and exploitation of such opportunity.
7. Participation in a transaction with the University for personal profit. See: Conflict of Interest and Commitment Policy

**Standard 5.2 – Services for Competitors/Vendors**

No employee shall perform work or render services for any competitor of the University or for any organization with which the University does business or which seeks to do business with the University outside of the normal course of his/her employment with the University, without the approval of the employee’s supervisor. Nor shall any such employee be a trustee, officer, or consultant of such an organization, nor permit his/her name to be used in any fashion that would tend to indicate a business connection with such organization.

**Standard 5.3 – Participation on Boards of Directors or Trustees**

Employees must obtain approval from their supervisor prior to serving as a member of the Board of Directors or Trustees of any organization whose interests may conflict with those of the University. The University retains the right to prohibit membership on any Board of Directors or Trustees where such membership might conflict with the best interest of the University.

An employee who is asked, or who seeks, to serve on the Board of Directors or Trustees of any organization whose interest would not reasonably be expected to affect the University (for example, religious, civic, charitable or fraternal organizations) will not be required to obtain such approval.

**Standard 5.4 – Honoraria**

Employees, with the permission of their supervisor, are encouraged to participate as faculty and speakers at educational programs and functions. However, any honoraria in excess of One Thousand Dollars (\$1,000.00) shall be turned over to the University unless the employee used approved personal time to attend the program or that portion of the program for which the honoraria is paid.

**Principle 6 – Business and Professional Relationships**

Business with vendors, contractors and other third parties shall be transacted free from offers or solicitation of gifts and favors or other improper inducements in exchange for influence or assistance in a transaction.

The Standards set forth below are intended to guide members of the University community in determining the appropriateness of the listed activities or behaviors within the context of the University's business relationships, including relationships with vendors, providers, contractors, third party payors, and government entities. It is the intent of the University that this Principle be construed broadly to avoid even the appearance of improper activity. If there is any doubt or concern about whether specific conduct or activities are ethical or otherwise appropriate, you should contact the Chief Compliance Officer or the General Counsel.

See: Conflict of Interest and Commitment Policy

**Standard 6.1 – Gifts and Gratuities**

It is the University's desire to at all times preserve and protect its reputation for fair and ethical dealing, and to avoid the appearance of impropriety, through implementation of the following standards:

1. Gifts Influencing Decision Making. It is in the nature of people to be nice, and to give gifts or provide courtesies as part of human interaction. Even so, the gift or courtesy might be misinterpreted, and give the appearance that it is intended to influence decisions by the person or organization. To avoid this possibility, members of the University community shall not accept gifts, favors, services, entertainment, or other things of value in any situation where decision-making or actions affecting the University might be influenced. Similarly, the offer or giving of money, services or other things of value with the expectation of influencing the judgment or decision-making process of any purchaser, supplier, customer, government official or other person by the University is absolutely prohibited and should be reported to the employee's supervisor or Chief Compliance Officer. For the same reasons, administrators shall not accept gifts from faculty and staff beyond those of a nominal value. Nominal value shall be defined as less than one hundred dollars (\$100).

Guidance as to what constitutes an acceptable gift, or one that should be disclosed, may be sought from the Chief Compliance Officer or the

General Counsel.

2. Gifts From Existing Vendors. Members of the University community may accept gifts from vendors which have a nominal value. Examples of nominal valued gifts include meals or refreshments, occasional attendance at a local theater, outing or sporting event or similar event at the vendor's expenses. If a member of the University community has any concern as to whether a gift should be accepted, that person should consult with his/her supervisor. To the extent possible, these gifts should be shared with the employee's co-workers.

Subject to the foregoing, members of the University community shall not accept excessive gifts, meals, expensive entertainment, or offers of other goods or services which have more than a nominal value nor may they solicit gifts from vendors, suppliers, contractors, or other persons.

Nothing in this Standard shall prohibit a University department, business unit or supervisor from establishing stricter rules relating to the acceptance of gifts, gratuities or other things of value from vendors.

3. Gifts from Patients and Students. Members of the University community are prohibited from soliciting tips, personal gratuities, or gifts from patients and students and are further prohibited from accepting gifts of money. Members of the University community may accept gifts of a nominal value from patients and students, but, in the case of students, faculty should not accept gifts of more than a nominal value while the student is enrolled in their class or while the faculty member has (or may appear to have) influence or control over the student's grades or academic career. If a patient or another individual wishes to present a monetary gift, (s)he should be referred to the appropriate business unit development office or the Office of Institutional Advancement.

#### **Standard 6.2 – Workshops, Seminars and Training Sessions**

Attendance at local, vendor-sponsored workshops, seminars, and training sessions is permitted.

Attendance, at vendor expense, at out-of-town seminars, workshops, and training sessions is permitted only with the written approval of an employee's supervisor.

Employees should be wary of signing any forms while attending such events to the extent that they seek to impose confidentiality requirements on the visitor/attendee; third parties seeking to enter into confidential relationships with the University must follow the University's procedures.

#### **Standard 6.3 – Business Inducements**

Members of the University community shall not seek to gain any advantage through the improper use of payments, business courtesies, or other inducements. Offering, giving, soliciting, or receiving any form of bribe or other improper payment is prohibited.

Appropriate commissions, rebates, discounts, and allowances are customary and acceptable business inducements provided that they are approved by the University management and that they do not constitute illegal or unethical payments. Any such payments must be reasonable in value, competitively justified, fully disclosed, properly documented, and made to the business entity to which the original agreement or invoice was made or issued. Such payments may not be made to individual members of the University community or agents of business entities.

In addition, members of the University community may provide gifts, entertainment, and meals of nominal value to University customers, current and prospective business partners, and other persons when such activities have a legitimate business purpose, are approved by the appropriate supervisor, are reasonable under the circumstances, and are consistent with all Applicable Rules.

#### **Standard 6.4 – Alumni/ae and Other Supporters of the University**

The University is privileged to have the financial support of its alumni, alumnae, and of businesses that recognize the value and importance of the University and its various programs.

It is the policy of Drexel University to enter into contracts for the purchase of goods and services solely on the merits of each transaction. In doing so, the University will consider several factors, including the experience, reputation and credentials of the seller; the suitability and "fit" of the good or service to the specific need and requirements of the University; and the commercial reasonableness of the terms. Among those suppliers who meet these objective criteria, it is also the policy of the University to do business whenever possible with those who have established themselves as supportive of the University and its mission. The fact that a graduate of the University, or a vendor or potential vendor, has not given a gift to the University shall not be used as a factor to preclude or burden the opportunity to do business with that person or vendor. See Drexel University Board of Trustees Reaffirmation of Procurement Policy

#### **Principle 7 - Protection of Assets**

All members of the University community should strive to

preserve and protect the University's assets by making prudent and effective use of University resources and properly and accurately reporting its financial condition.

The Standards set forth below are intended to guide members of the University community by articulating the University's expectations as they relate to activities or behaviors which may impact the University's financial health or which reflect a reasonable and appropriate use of the assets of a nonprofit entity. In connection with this Principle, the University has adopted certain best practices which are consistent with the Sarbanes-Oxley Act of 2002.

#### **Standard 7.1 – Internal Controls**

The University has established control standards and procedures to ensure that assets are protected and properly used and that financial records and reports are accurate and reliable. All members of the University community share the responsibility for maintaining and complying with required internal controls.

#### **Standard 7.2 – Financial Reporting**

All financial reports, accounting records, research reports, expense accounts, time sheets, and other documents must accurately and clearly represent the relevant facts or the true nature of a transaction. Improper or fraudulent accounting, documentation, or financial reporting, or reporting that is intended to hide, obfuscate or mislead, is contrary to the policy of the University and may be in violation of Applicable Rules.

#### **Standard 7.3 – Travel and Entertainment**

Travel and entertainment expenses should be consistent with each member of the University community's job responsibility and the University's needs and resources. It is the University's policy that a member of the University community should not suffer a financial loss or a financial gain as a result of business travel and entertainment conducted on behalf of the University. Members of the University community are expected to exercise reasonable judgment in the use of the University's assets and to spend the University's assets as carefully as they would spend their own. Members of the University community must also comply with University policies relating to travel and entertainment expenses.

#### **Standard 7.4 – Personal Use of University Assets**

No member of the University community shall convert assets of the University to private business or personal gain. All University property shall be used and business shall be conducted in a manner designed to further the University's interest rather than the personal interest of individual Members. Members of the University community are prohibited from the unauthorized use, possession or control of the University's equipment, supplies, materials, or services. Prior to engaging in any activity during working hours, or the use of the University's equipment, supplies, materials, or services,

which will result in remuneration to a member of the University community, the Member must obtain the approval of the supervisor, appropriate business unit or other management of the University.

### **IV. DIRECTORY OF OFFICERS**

Chief Compliance Officer

Laure Bachich Ergin

215-895-2427

laure@drexel.edu

Chief Privacy Officer

Edward G. Longazel

215-762-2023

Edward.Longazel@drexelmed.edu

FERPA Officer

Joseph J. Salomone

215-895-4948

Registrar@drexel.edu

General Counsel

Michael J. Exler

215-895-6488

exler@drexel.edu

Interim Vice Provost for Research

Kenny J. Simansky, Ph.D.

215-895-6091

kenny.simansky@drexelmed.edu

Ombudsman

Richard L. Rosen, Ph.D.

215-895-6697 or 2465

rosenrl@drexel.edu

Vice President for Internal Audit

James K. Seaman

215-895-6012

jks35@drexel.edu

### **V. RELATED POLICIES & NOTICES**

Acceptable Use Policy

Conduct of Research Policy

Conflict of Interest and Commitment Policy

Copyright Policy

Drexel University Board of Trustees Reaffirmation of

Procurement Policy

Drexel University College of Medicine Notice on Patient Privacy

Family Educational Rights and Privacy Act Policy

Family Educational Rights and Privacy Act Guidelines

Affirmative Action and Equal Opportunity Policy

Non-Discrimination/Reasonable Accommodation of  
Individuals with Disabilities  
Harassment Policy  
Equality and Non-Discrimination Policy  
Personal Relationships  
Grievance and Complaint Resolution Policy  
Performance Improvement Process  
Nepotism/Employment of Relatives  
Confidentiality  
Information Security Plan Policy  
Whistleblower Policy  
Patent Policy  
Security of Enterprise Systems Policy

## CONDUCT OF RESEARCH POLICY

These guidelines and expectations are designed to help new and experienced investigators manage their work so as to safeguard the integrity of the research process. The policy provides a framework for the fair and open conduct of research, assures scientific freedom, and supports creativity. In addition, the policy reflects the institutional commitment to quality in the search for new knowledge.

By its design and nature, this policy addresses broad aspects of research conduct. Additional information is contained in the Drexel Policy and Procedures for Responding to Allegations of Scientific Misconduct. Also, additional sources of information regarding standards of research conduct are contained in relevant federal, state, and local regulations, and similar guidelines developed by other research organizations. These sources of information are listed at the end of this policy and are available upon request from the Drexel Office of Research and Graduate Studies.

The Drexel Policy for the Conduct of Research applies to any person paid by, under the control of, or affiliated with Drexel, such as employed or volunteer faculty, trainees, technicians, and other staff members, students, fellows, guest researchers, or collaborators at affiliated institutions.

### II. Scientific Misconduct

For the purposes of this policy, scientific misconduct is defined as fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data. In addition, the institution reserves the right to require adherence to other definitions of scientific misconduct as required by

contractual obligations with external sponsors of research.

Rather than focusing on issues or examples of misconduct, the following guidelines specify desirable behaviors and make explicit patterns of scientific practice that have been developed over many years and are followed by the vast majority of scientists. These guidelines state general expectations with regard to data management, publication practices, authorship, peer review, use of privileged information, use of research funds, supervision of trainees, and lab practice guidelines.

### III. Data Management

As stated in the Guidelines for the Conduct of Research at the National Institutes of Health, "research data, including detailed experimental protocols, primary data from laboratory instruments, and procedures of reduction and analysis of primary data, are the essential components of scientific progress. Scientific integrity is inseparable from meticulous attention to the acquisition and maintenance of these research data" (p.5). In addition, other guidelines (see ref. 2, page 2) specify that "a scientist must have access to his/her original results in order to respond to questions including, but not limited to, those that may arise without any implication of impropriety. Moreover, errors may be mistaken for misconduct when the primary experimental results are unavailable." It is, therefore, expected that original experimental results should be recorded, when possible, in bound notebooks with numbered pages. An index should be maintained to facilitate access to data. Machine printouts should be affixed to or referenced from the laboratory notebook. All data, even from observations and experiments not directly leading to publication, should be treated comparably.

Primary data should be retained for a sufficient period to allow analysis and repetition by others of published material from those data. In some fields, five to seven years are specified as the minimum period of retention but this may vary under different circumstances. The director of each research unit must decide whether to preserve primary data for a given number of years or for the life of the unit.

Research data and supporting materials, such as unique reagents, belong to the institution where the research is conducted (i.e., Drexel) and should be maintained in the laboratory in which they were developed. Departing investigators may take copies of notebooks or other materials for further work. If the investigator departs the laboratory, it is the responsibility of the Drexel

department chairperson (or Center director, if applicable) to provide for the appropriate maintenance and accessibility of the data and unique reagents.

#### IV. Publication Practices

Publication of experimental results is an integral and essential component of research. Other than presentation at scientific meetings or other considerations related to intellectual property matters, publication in a scientific journal should usually be the mechanism of first disclosure of new findings.

Each paper should contain sufficient information for the reader to assess its validity and to replicate the experiments. All cases registered in a clinical trial or records reviewed in a retrospective study must be accounted for. The number of cases not used in the analysis of outcome data should be identified and the reasons for exclusion noted in the manuscript. In addition, each paper should acknowledge all sponsors of the research and disclose any financial interests that the authors have in these sponsors.

Although the timely publication of research findings is important, haste in disseminating results without adequate tests of reproducibility or assessment of significance or by submitting multiple manuscripts differing only slightly in content should be avoided. In such circumstances, if any of the work is questioned, it is difficult to determine whether the research was done inaccurately, the methods were described imperfectly, the statistical analyses were flawed, or inappropriate conclusions were drawn.

Given these publication principles, it follows that professional staff appointment and promotion decisions should be based more on the importance of the scientific accomplishments and less on the number of publications in which those accomplishments were reported.

#### V. Authorship

The Guidelines for the Conduct of Research at the National Institutes of Health define authorship as “the listing of names of participants in all communications, oral and written, of experimental results and their interpretation to scientific colleagues...(it is) also the primary mechanism for determining the allocation of credit for scientific advances and thus the primary basis for assessing a scientist’s contributions to developing new knowledge” (p. 8). Authorship should be based on whether the individual made a significant contribution, such as conceptualization, design, execution, and/or interpretation of the research study, as well as a

willingness to take responsibility for the defense of the study should the need arise. In contrast, other individuals who participate in part of the study may be more appropriately acknowledged as having contributed certain advice, reagents, analyses, patient material, space, support, etc., but not listed as authors.

It is expected that each research group or laboratory will freely discuss and resolve questions of authorship before and during the course of a study. Each author should review fully material that is to be presented in public forums or submitted (originally or in revised form) for publication. The submitting author has the additional responsibility of coordinating the completion and submission of the work, satisfying pertinent rules of submission, and coordinating responses of the group to inquiries or challenges. The submitting author should assure that the contributions of all collaborators are appropriately recognized and must be able to certify that each author has reviewed and authorized the submission of the manuscript.

#### VI. Peer Review and Privileged Information

Peer review can be defined as expert evaluation of a scientific treatise, such as a manuscript prepared or submitted for publication, a research grant proposal, a clinical research protocol, or an investigator’s research program, as in a site visit. Peer review is an essential component of the conduct of science. Decisions on the funding of research proposals and on the publication of experimental results must be based on thorough, fair and objective evaluations by recognized experts. Therefore, although it is often difficult and time-consuming, scientists have an obligation to participate in the peer review process, and in doing so, they make an important contribution to science.

A peer reviewer should avoid any real or perceived conflict of interest that might result from a direct competitive, collaborative or other close relationship with one or more of the authors. To prevent opportunities for conflict of interest, it is advisable to keep the identities of the primary peer reviewers unknown to the authors (particularly in the case of a manuscript or a grant proposal) or at the very least prohibit author-initiated contact with the peer reviewers. When serving as a peer reviewer, investigators are expected to follow the policies of the reviewing entity. Normally, a conflict of interest on the part of a peer reviewer would require a decision not to participate in the review process and to return any material unread.

All material under review is privileged information and should be maintained in a secured location at all times. It



should not be shared with anyone unless necessary to the review process, in which case, the names of those with whom the information is shared should be made known to those managing the review process. Material under review should not be copied and retained or used in any manner by the reviewer unless specifically permitted by the journal or reviewing organization and the author.

#### VII. Use of Research Funds

Drexel has the responsibility for monitoring grant/contract-related expenditures. Generally, it is expected that investigators pursue the research for which the funds, whether intramural or extramural, have been reasonably allocated. This does not preclude pilot or preliminary studies related to or deriving from a project's major purpose or changes in methods as a result of preliminary findings. Nevertheless, disregard for the intent or purpose of a defined project by using funds or resources for an unrelated purpose is contrary to well-accepted standards of research conduct.

#### VIII. Supervision of Trainees

The following statement from the Guidelines for the Conduct of Research at the National Institutes of Health summarizes the research training process:

Research training is a complex process, the central aspect of which is an extended period of research carried out under the supervision of an experienced scientific mentor. This supervised research experience represents not merely performance of tasks assigned by the supervisor, but rather a process wherein the trainee takes on an increasingly independent role in the choice of research projects, development of hypotheses, and the performance of the work. Indeed, if training is to prepare a young scientist for a successful career as a research investigator, it must be geared toward providing the trainee with the aforementioned skills and experiences. It is particularly critical that the mentor recognize that the trainee is not simply an additional laboratory worker.

Each trainee should have a designated primary scientific mentor. The mentor should provide an environment whereby the trainee has the opportunity to acquire the requisite skills, both technical and conceptual, and to undertake a significant research project, which has the potential to yield new knowledge of importance to the field. The mentor should supervise the design of experiments and the processes of acquiring, recording, examining, interpreting and storing data. The mentor should interact personally with the trainee on a regular

basis. Finally, the mentor should provide frequent feedback on performance and impart appropriate standards of scientific conduct (e.g. by example and through dissemination of applicable governmental and institutional regulations/policies).

#### IX. Laboratory Guidelines

Each research unit addresses different scientific problems with different methods. Therefore, each unit should develop its own specific guidelines to identify practices that seem most likely to enhance the quality of research conducted by its members. These guidelines should be provided to each new investigator when he/she joins the unit.

### **CONFLICT OF INTEREST AND COMMITMENT**

Policy Number: OGC-1

Responsible Officer: General Counsel

The University occupies a position of trust and responsibility in the community. It has obligations to external organizations, government, donors, parents and students to use its resources responsibly and, where required, for designated purposes. In meeting its obligations, the University expects all of its personnel to carry out their responsibilities with the highest level of integrity and ethical behavior, and without any conflict of interest or commitment to the University.

In conducting its affairs, the University is subject to many laws, regulations, and contractual obligations that are often complex. For faculty, whose broad activities are essential to the success of the University, it is important that there is cognizance of all legal and regulatory requirements associated with activities undertaken.

The University's policy is to comply with all laws and regulations affecting its activities. The policy on conflict of interest and commitment is intended to satisfy compliance requirements and guide University personnel in avoiding those situations that can result in a conflict of interest or commitment.

The key to avoiding these situations is awareness of what constitutes such conflicts, disclosure of potential situations before activity is undertaken, and a review of the situation. For example, the University encourages its faculty to engage in consulting up to one day each week; this Policy requires only that the agreement or arrangement be disclosed so that it is known to and appreciated by the University. After review, a determination may be made in certain cases to permit an

activity, which may otherwise be considered a conflict, if it is (1) purely personal to the individual or beneficial to the University and (2) performed in full compliance with all legal, regulatory and other requirements. Issues of actual or possible conflict, once disclosed to the Senior Vice President, will typically be resolved by the supervisor with approval by the Senior Vice President and the General Counsel.

This policy should be considered as supplementary to existing policies in the Code of Conduct which govern faculty workload and supplementary incomes, including consulting. It is expressly subject to University policies relating to patents and copyright, such that compliance with those policies will be regarded as compliance with this policy.

A Conflict of Interest Statement will be presented once each year, by December 1, to all applicable employees (as defined in Note 3). Vice presidents and department heads are to assure that all applicable employees receive the Statements.

### **POLICY**

It is the policy of Drexel University that employees must discharge their duties in the best interests of the University, to the extent permitted by law. (See Note 1) Therefore, each employee must:

1. Refrain from putting the interests of any individual, agency, organization, or association above the best interests of the University.
2. Refrain from any activity or transaction that could influence or cause an employee not to act in the best interests of the University, including, without limitation, any personal business transaction or private arrangement for personal profit which arises out of or relates to a position of authority with the University or upon confidential information which is obtained by reason of such position of authority. For purposes of this policy "personal" means the employee, any member of his or her immediate family (spouse, parents, children, siblings) and any entity with which he or she may be associated.
3. Disclose any financial, ownership, or management interest in any entity engaged either in the delivery of educational services, or in the delivery of goods or services of any kind to the University.
4. Refrain from participation in a transaction with the University which could result in personal profit except upon the written approval of the

President. Such approval should be disclosed in the Conflict of Interest Statement.

5. Disclose any personal activity or business opportunity which is within the scope of the activities of the University and refrain from pursuing or exploiting such opportunity except upon written approval of the President.
6. Refrain from accepting any gift, favor, service, compensation, or benefit of any kind from any person who can influence the exercise of the employee's professional judgment on behalf of the University. This includes any person with whom the employee may transact business on behalf of the University, or whom the employee knows to be transacting, or seeking to transact, business with the University. Items of minimal value (e.g., \$100 or less) are not included within this Policy, and need not be reported, unless they occur more than twice per calendar year.
7. Refrain from making or tendering payments, gifts or services to or for the benefit of any government or accrediting agency official, employee or designee who is in a position to influence directly or indirectly, any government or accrediting agency action or decision.
8. Refrain from making or soliciting contributions in the name or on behalf of the University or with University funds, services or facilities in any form to, or in aid of, any political party, group, candidate or cause.
9. Refrain from participating in any employment, salary, or other important decision regarding an immediate family member or person with whom you are in a personal relationship (reference the University's Policy on Sexual Harassment). Members of the same family may not be employed in a situation where one member of the family works under the administrative supervision of another. Any exceptions shall go through the appeals process outlined below and be resolved at the senior vice president level or above.
  - Violation of this policy will result in appropriate disciplinary action up to and including suspension without pay, transfer, demotion, termination of employment, cessation or prohibition of business with a vendor, and other appropriate remedies.
  - If there is any doubt about a situation, employees should disclose it to their Supervisors, using the following forms, so that they can determine what action, if any, needs to

be taken. Employees may also contact the General Counsel, Director of Internal Audit, Vice President for Research, or the Ombudsman regarding a question in this area.

## **DISCLOSURES**

A conflict or a potential conflict of interest or commitment can arise at any time. It is therefore required that such a situation be disclosed before occurrence if that is possible, and in any event as quickly as possible after the situation is appreciated.

If any employee is in doubt about a situation, it should be fully disclosed so that a determination can be made by the appropriate University official. There is no harm in over-reporting; by contrast, failures to report are sanctionable.

If management determines that the situation disclosed does not constitute a conflict of interest, that determination, with appropriate explanation, must be forwarded to the General Counsel.

## Notes

1. For purposes of this policy, " Drexel University " refers to the University and its related entities such as API and Drexel e-Learning, Inc. A separate policy applies to the College of Medicine.
2. This policy applies to wherever Drexel related activities are conducted, both in the United States and abroad.
3. Employees to whom this Policy applies, and who are required to make annual disclosures, include:
  - a. All Full Time and Part Time (exempt and non-exempt) benefit eligible employees;
  - b. Researchers (including, as appropriate, graduate students)
  - c. Any other employees for whom disclosure is required by legal, contractual, University Policy or other requirements.
4. Employees accepting grants or contracts must be knowledgeable of the granting and contracting organization's conflict of interest policy and agree to abide by it. For example, the National Science Foundation (NSF) and the Public Health Service (PHS) have published very specific policies regarding conflict of interest in research. Subawardees must also agree to abide by the organization's policy. A

statement to this effect must be provided to the Vice President for Research.

5. If the granting or contracting organization's conflict of interest policy requires less than the University, the University's Policy must still be followed.
6. The Vice President for Research will assure the University's compliance with the granting and contracting organization's policy and will certify, where required, that the University meets the requirements of the granting or contracting organization's conflict of interest policy. The Vice President for Research is responsible for notifying the granting or contracting organization if the University cannot comply with its conflict of interest policy and resolving the situation with the organization.
7. Financial, Ownership, and Management Issues
  - a. You must disclose financial and ownership interests in, or executive officer or director positions with any entity engaged in the delivery of educational services or the delivery of other goods and services to Drexel University, its related entities, or any of its employees. You must disclose any significant financial or beneficial interest held by yourself or your immediate family in any entity engaged in the delivery of goods and services to Drexel University , its related entities or employees.
  - b. "Ownership interests" include interests in a partnership or limited liability company if you have more that 5% ownership interest (including spouse and children) in a partnership. For purposes of this policy, you are not deemed to hold any ownership interest in a publicly-held corporation if your only interest in that corporation is an equity (stock) ownership of 5% or less (including spouse and children) of any class of that corporation's securities.
8. The National Science Foundation (NSF) considers a significant financial interest to be anything of monetary value including equity interest. An equity interest when aggregated for the investigator and the investigator's spouse and dependent children must not exceed \$10,000 in value and not represent more than a 5% ownership interest in a single entity. Salary, royalties, or other payments when aggregated

for the investigator and the investigator's spouse and dependent children are not to exceed \$10,000 in a twelve-month period.

### **EXAMPLES**

The following are common situations involving a conflict of interest or of commitment and as such must immediately be disclosed and a determination made as to their permissibility:

Providing consulting or managerial services to any organization doing business with the University, seeking to do business with the University, or which is or could become a competitor of the University. Activities which are permitted in the Drexel Handbook under the section "Contract Policy, Full Time Faculty - Supplementary Income" are not conflicts, but must be disclosed. Any exceptions that would be beneficial to the University require the written approval of the President.

Using University resources, facilities, and personnel (including your own time) for non-University related activities without written approval by the dean, provost or vice president. Please note that violation of this prohibition may result in breach of the University's financial obligations to its bonding agencies, which preclude the private or for-profit utilization of space, facilities, or equipment (including infrastructure like computers and internet services) obtained, built or renovated with tax-exempt bonds.

Participating in any activities or transactions that would cause the relationship with a vendor to be other than "arms length".

Accepting gifts for an employee's own use, entertainment, money, services, or other favors from any organization or individual doing business with the University, seeking to do business with the University, or which is a competitor of the University. This does not include books and other educational materials that faculty may receive to review for classroom adoption. This does not include acceptance of items of a nominal value intended as a good will gesture and not to influence decisions or actions affecting the University. Examples are calendars, paperweights, and pens used in advertisements by an organization. The purpose is to avoid accepting anything offered with the appearance, intent, or effect of influencing the exercise of the employee's professional judgment. For example, under the proper circumstances, a business lunch would not be a conflict of interest.

- Providing University assets to for-profit entities without receiving fair compensation.
- Using University facilities to engage in lobbying activities or fundraising for political purposes.
- All gifts over \$100 (or totaling more than \$100 if more than one gift is involved) given or received in the course of University business must be disclosed. Not all such gifts will create actual or potential conflicts of interest or commitment, but they must be reviewed in accordance with this Policy.
- Any organization or individual desiring to make a gift to the University should be asked to contact Institutional Advancement.

### **CONTRACT POLICY, FULL-TIME FACULTY**

The Provost administers Drexel's contract policy, as described in the general rules stated below. No other administrative officer may authorize exceptions to the general rules. In a rare instance, where special circumstances need to be taken into account, the provost should be advised by memorandum of details of the case. After appropriate review and consultation, s/he will then authorize whatever action is consistent with the best interests of the University.

Drexel's full-time faculty are expected to devote full-time effort on Drexel's behalf. Therefore, faculty members will not simultaneously teach courses at other institutions during the regular academic year. Full-time academic personnel may, of course, serve as visiting professors at other institutions while on leave of absence from Drexel during a summer term in which they have no academic load at Drexel.

It is also assumed that persons under contract as full-time academic staff members at Drexel will not simultaneously engage in business or professional enterprises independently or in the service of others, except within the scope of professional consulting as it is stated herein (5a). Persons who elect to manage their own private enterprises, or serve in enterprises managed by others, may affiliate with Drexel on a part-time basis at the convenience of the University and without the normal academic priorities.

Drexel offers a single, comprehensive salary contract for each full-time teacher which covers his/her normal activities at Drexel during the fall, winter, and spring quarters. An illustrative, but not comprehensive, list of the activities covered by the contract include

- Instruction, undergraduate and graduate

- Supervision of undergraduate research proposals
- Research, including preparation of research proposals
- Supervision of graduate research and theses
- Advisory assignments to individual students and student groups
- Continuing education programs (with the exception of those covered under Special Educational Services, described in 5b).
- Service on Drexel committees and study groups
- Curriculum development
- Special lectures for courses at Drexel
- Attendance at faculty meetings, commencement and other official functions.

Supplementary income for any of the above noted or similar activities, unless specifically permitted below, will not be authorized.

The comprehensive salary will take cognizance of the versatility and competence of individual faculty members in teaching and research. Time spent on other duties, such as administrative assignments or other special assignments, will not be compensated by extra pay, but by adjusting to an appropriate total load of the individual teacher.

The special combinations of activities which will constitute the total load to be carried by the individual teacher will be at the administrative discretion of the deans of the several colleges in conformance with general University policy.

### 1. Attendance at Convocations

Currently, commencement and convocation are the only events at which academic regalia are worn. There may be other affairs on occasion and they will be announced. Commencement attendance is required of all professional ranks. Requests for an excuse from commencement must be made to the provost. Academic regalia may be rented or purchased through the University Store. The store requires at least one week's prior notice to fulfill orders.

### 2. Service as a Student Adviser

The student advisory system is intended to give each student personal contact with a faculty member in his/her own field of interest who will be concerned not only with his/her academic progress, but also with his/her life in college. Students generally meet their advisers at the time of registration. In follow-up meetings, the adviser has the opportunity to stimulate

the good students, to locate the source of difficulty with poor students, and to refer special problems to the appropriate office.

### 3. Office Hours – Faculty

An important part of teaching is consultation with students during office hours or by appointment. Faculty members should select and openly post adequate office hours at various times convenient for the students and encourage students to make use of them.

### 4. Supplementary Income

After having obtained approval in advance from the dean of his/her college, a full-time day faculty member may supplement his/her basic Drexel contract salary by income from the following sources:

Professional Consulting in his/her field of competence, on assignments commensurate with his/her abilities, and which will contribute to the improvement of his/her teaching or scholarship, providing that such consulting does not exceed, on the average, one day per week.

A full-time faculty appointment assumes a five-day week at Drexel. After having obtained approval in advance from the department head and/or dean of his/her college, a full-time day faculty member may supplement his/her basic Drexel contract salary by income from professional consulting in his/her field of competence and on assignments commensurate with his/her abilities and which will make him/her a better scholar or teacher, provided that such consulting does not exceed, on the average, the equivalent of one day per week. The foregoing has occasionally been misinterpreted to mean that all teaching loads must be arranged on a four-day week. There can be no guarantee that this will occur.

Special Educational Services provided for non-educational organizations and companies under contract with Drexel, in lieu of the one day allotment for consulting activities, with the following limitations:

- A member of the faculty spending less than half of his/her time in instruction, or having a reduced teaching load allocation, may not undertake contracted educational services on an overtime basis. For example, a member of the faculty committed to a full-time research program during the summer is not eligible to undertake additional activities.
- A dean or senior administrative officer may not participate in any Drexel sponsored service for extra compensation.

- A member of the faculty undertaking any contracted educational service (in lieu of consulting activity) must obtain written consent of his/her dean and the provost.

Instruction or Specified and Limited Administrative Assignments (e.g. counseling) in the College of Evening and Professional Studies with the provision that such activity will not involve more than two nights per week and that two nights shall be equated with, and elected by the teacher in lieu of, one full day of professional consultation.

### 5. Supplementary Income Prohibitions

A member of the Drexel faculty may not obtain supplementary income from a consultation fee for services rendered in connection with a Drexel administered research project unless this fee is paid through a Drexel account from project funds (i.e., the fee cannot be paid through a private arrangement between the contractor and the consultant.)

Members of the full-time administrative staff, in any part of the University, while encouraged to participate in academic activities commensurate with their abilities, may not receive supplementary income for work in a day-college classroom or in the conduct or supervision of research. However, such personnel may, with appropriate advance administrative approval, teach one evening per week in the College of Evening and Professional Studies for additional compensation.

The Provost is authorized: a) to conduct a periodic review of compliance with the above stated single contract policy; and b) to assemble annually, as a basis for future salary adjustments, appropriate data regarding the quality of performance of members of the faculty in the classroom, in the affairs of the University, in research, and in related professional and scholarly activities.

## COPYRIGHT POLICY

It is the general policy of Drexel University to encourage its faculty, staff and students to write research papers and books, to produce artistic works, instructional material and computer software, and to create other scholarly works. Dissemination of such works of authorship contribute to the professional development and advancement of the creators or such works; enhance the reputation of the University; benefit the academic programs of the University; and add to the body of knowledge for the good of the society. Recognizing the potential commercial value of such

original works of authorship when fixed in any medium of expression, and for which statutory copyright protection exists, it is important that policy guides be established by the University to define and protect the respective rights and obligations of the University, its personnel and sponsors of scholarly pursuits relative to copyrightable material produced at or for the University, and to do so while preserving traditional University practices and privileges with respect to the publication of scholarly, instructional and artistic works.

### Objectives

The principal objectives of the University copyright policy are:

1. To encourage the creation and production of scholarly and artistic works by the faculty, students and staff of the University;
2. To protect the rights in copyright of works created by University faculty, students and staff;
3. To facilitate the early and most productive dissemination of such original works produced by the University personnel;
4. To establish guiding principles for determining the rights of ownership of copyrightable works produced by the faculty, students and staff of the University at or for the University;
5. To recognize and reward the creative efforts of faculty, students and staff of the University through the realization of tangible benefits from royalties generated by works copyrighted by the University, and
6. To afford faculty, students and staff of the University the opportunity to further their scholarly and artistic objectives, and that of the University, by disseminating the results of their work to provide maximum benefit to the public, while safeguarding the rights in copyright for the University, author(s), and sponsor(s).

### Definitions

In order to provide a general level of understanding of this complex and legal area the following general information is provided:

1. Under the Copyright Act of 1976, 17 U.S.C. section 101 et. seq., federal statutory copyright exists in "original works of authorship fixed in any tangible medium of expression, now known or later developed, from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device." Such works include but are not limited to the following:

- Written or printed works such as books, journal articles, poems, manuals, tests, memoranda, syllabi, bibliographies, computer programs, computer-driven displays, programmed instructional material (courseware), simulations and databases;
  - Musical works, including any accompanying words;
  - Dramatic works, including accompanying music;
  - Lectures, presentations and live video or audio broadcasts;
  - Choreographic works, including pantomimes, if such works are fixed in notation or on videotape;
  - Pictorial, graphic and sculptural works including photographs, diagrams, sketches and architectural plans;
  - Films, filmstrips, charts, transparencies and other visual aids;
  - Motion pictures and other audio visual works such as videotapes, audio tapes, videodiscs and cassettes; and
  - Sound recordings;
2. A “derivative work” is a work based upon one or more preexisting works, such as a translation, musical arrangement, dramatization, fictionalization, motion picture version, sound recording, art reproduction, abridgement, condensation, or any other form in which a work may be recast, transformed, or adapted. A work consisting of editorial revisions, annotations, elaborations, or other modifications that, as a whole, represent an original work of authorship, is a “derivative work.”
  3. Copyright protection does not extend to any idea, process, concept, discovery or the like, but extends only to the expression in which it is embodied, illustrated or explained, which constitutes the work.

### Policy Statement

1. All works that have traditionally belonged to the faculty such as books, articles, artistic works, lectures and performances will continue to belong to the faculty and Drexel makes no claim to them.
2. A “work made for hire” is a work created or developed by University faculty, staff or other employee within the scope of his/her

or her employment, or a work specially ordered or commissioned for use as a contribution to a collective work, and is the property of the University. The Copyright Act of 1976 provides that all “works made for hire” are the property of the employer - the University - and that the employer (1) is considered the author of such works, and (2) is the owner of the associated copyright unless both the employer and the employee have signed a written agreement specifying otherwise. Faculty scholarly works, as described in paragraph 1 of this section, are not considered by this policy as “works made for hire.”

3. All works created or developed by the University faculty, students or staff with support from an outside sponsor shall be governed by the provisions covering copyright ownership in the sponsorship agreement, grant or contract. In the absence of such terms, the ownership of copyright in such work shall be determined by reference to paragraphs 2, 4, and 5 of this section.
4. All works, except as noted in paragraph 1 of this section, created or developed by faculty, students and staff, with significant University support and/or resources such as use of funds, facilities, space, equipment, materials or other resources of, or administered by, the University shall be the property of the University. The creator of that work will execute such documents as are required by the University to assure University ownership of the copyright therein.

a. Significant University support and/or resources shall include:

- i. Use of University funds designated for a specific project, e.g. a “commissioned work;”
- ii. Use of University release time designated for a specific project or task, except as noted in paragraph 1 of this section;
- iii. Use of University owned, administered or leased computer facilities, and/or associated equipment;
- iv. Use of prior University developments as part of a “derivative work;”



v. Use of and/or the assistance of one or more University faculty, programmers, or equivalent support staff who are assigned to a project specifically to assist in the creation of a work.

b. The university shall not construe the provision of office or library facilities as constituting significant University support and/or resources.

c. All faculty, students, or staff shall disclose in writing to the Senior Vice President for Research and Graduate Studies all copyrightable works defined in paragraphs 2,3, or 4 of this section. Such disclosure shall be made within a reasonable time following authorship of the material on forms provided by the Office of Research and Graduate Studies for the purpose of evaluating the commercial value of the work.

d. As copyright owner, the University shall have all the rights of copyright ownership provided by statute. The University will exercise ownership of copyright in ways that benefit both the author and the University. The University's rights shall include, but shall not be limited to the following:

i. The exclusive right to reproduce the copyrighted work;

ii. The exclusive right to prepare derivative works based on the copyrighted work;

iii. The exclusive right to distribute copies of the copyrighted work by sale or otherwise, e.g. license, rental, lease or lending;

iv. The exclusive right to perform and/or display the copyrighted work publicly in the case of literary, musical, dramatic, and choreographic works, pantomimes, and motion pictures and other audiovisual works;

v. The exclusive right to distribute the copyrighted work to its faculty, students and staff for internal use in its instructional programs;

vi. The University shall in good faith advise the author(s) of copyrightable works of any business arrangements concerning

the copyrightable works and will from time to time seek the author's advice on such matters. However the University shall initiate a plan for commercialization of the copyrightable work(s) within one year following receipt of the work. The University will assign copyright ownership to the author if the University does not demonstrate its intent to commercially exploit the work within the specified time except where such transfer is not authorized under paragraph 3 of this section.

5. In the case of a thesis generated by a research performed in whole or in part by a student in the course of or pursuant to a sponsored research agreement or other written agreement, including an agreement between an author(s) and the University, or using equipment or facilities made available to the University under conditions that impose copyright restrictions, ownership of copyright or control shall be determined in accordance with such agreement or restrictions. In the absence of such agreement or restrictions, copyright ownership in such a thesis shall reside with the student. However, the University shall retain a royalty-free right to use the thesis in whole or in part in publications and in derivative works, with due recognition given to the student, and to reproduce and publicly distribute copies of the thesis for limited and noncommercial purposes.
6. To secure to the university ownership of copyright in accordance with paragraphs 2,3, and 4 of this section, all faculty, staff, employees, students, consultants and others authoring works for or producing works on behalf of the University shall sign an agreement assigning such person's rights of copyright. Reproduction and distribution of copyrighted works are proprietary and shall not be reproduced, copied, leased or sold commercially.

#### **Distribution of Income**

In the case of works described in "Policy Statement" in which the University owns the copyright, revenues



received by the University through fees, royalties or other considerations for the use of such works as a commercial property will be shared with the creator(s) of such works in accordance with the following schedule:

#### Schedule of Net Income Distribution

The first \$5,000 of net income: 100% creator

The next \$500,000 in cumulative net income: 60% creator, 20% Office of Research and Graduate Studies, 20% creator's institutional unit(s)

The next \$1,000,000 in cumulative net income: 40% creator, 35% Office of Research and Graduate Studies, 25% creator's institutional unit(s)

In excess of \$1,505,000 cumulative net income: 25% creator, 50% Office of Research and Graduate Studies, 25% creator's institutional unit(s)

For the purposes of this policy, net income is defined as the gross income generated by the sale, licensing, or distribution of the work, less out-of-pocket expenses incurred by the University for (1) the sale or licensing the copyrightable work and for the collection of royalties, (2) for production, development, maintenance, and distribution of the work, and (3) for litigation and other steps to enforce or defend the copyright. Out-of-pocket expenses incurred by the University shall not include development costs for the original work. The term Institutional Unit(s) shall include, without limitation, college, department, administrative unit, group or institute, functions of which are separately budgeted by the University. The royalty distribution shall be divided equally among or between the units, unless the University is provided with an alternative royalty distribution schedule agreed upon by the heads of the respective units and the Senior Vice President for Research and Graduate Studies or his/her or her designee. In the event a unit ceases to exist, the distribution of the unit's funds shall be determined by the Senior Vice President for Research and Graduate Studies or his/her or her designee.

The right of the creator of a work to receive income hereunder shall extend for the term of the copyright in the work created and said right may be assigned or bequeathed by the creator. The term of the copyright of works authored by an individual(s) is the life of the author(s) plus fifty (50) years.

When royalty income is in the form of equity interest, distribution of equity will be made between inventor(s) and the Senior Vice President for Research and Graduate Studies at the time equity is transferred to the University, and in equal shares. The Senior Vice President for Research and Graduate Studies will share with the inventor's institutional unit(s) the income generated by its equity interest at the time said shares, or portion thereof, is liquidated.

Creators of copyrightable works may be faculty, students, staff, consultants and other employees of the University, or any combination thereof. When more than one creator is involved, the responsibility for determining the relative royalty distribution among them rests solely with the creators. Unless they provide the University with an agreed-upon alternative royalty distribution schedule, royalty distribution shall be divided equally between or among the creators. In any event, the University assumes no-responsibility or liability in disputes among authors concerning the sharing of royalties among the authors.

In the case of a derivative work, developed at or for the University, and based on another University creator's work, the University authors must negotiate an arrangement for royalty sharing with the author(s) of the original work. If they fail to do so before the receipt of royalties, all such royalties due the creators shall be placed in escrow until such arrangement for royalty sharing is reached.

#### Administration

The Senior Vice President for Research and Graduate Studies shall be responsible for the administration of the Drexel University Copyright Policy. The Intellectual Property Committee shall make recommendations to the Senior Vice President for Research and Graduate Studies on all matters regarding University intellectual property.

The Intellectual Property Committee shall consist of two members appointed by the Faculty Senate and two members appointed by the Senior Vice President for Research and Graduate Studies. In addition, a chairperson of the committee shall be appointed by the president. At least three members of the committee shall be selected from the full-time, tenure-track faculty.

Members of the Intellectual Property Committee shall serve for no more than two successive terms of two years each. The members appointed by the Faculty Senate shall be appointed in alternate years, as will the members appointed by the Senior Vice President for Research and Graduate Studies. The chairperson of the

committee shall serve in that position at the pleasure of the president.

All appeals and disputes shall be forwarded in writing to the Senior Vice President for Research and Graduate Studies through the Intellectual Property Committee. These appeals and disputes shall be initially reviewed by the Intellectual Property Committee, which shall make its recommendations to the Senior Vice President for Research and Graduate Studies within 60 days after receiving the dispute. The Senior Vice President for Research and Graduate Studies shall make a determination of the dispute within a period of 30 days after receiving the committee's recommendation.

An appeal from the determination of the Senior Vice President for Research and Graduate Studies shall be made within 30 days to an arbitration panel consisting of three members, including a member of the American Arbitration Association ("AAA") to be agreed on by the parties in accordance with the rules of the AAA. The other members shall be selected by the opposing parties. The arbitration proceeding shall be conducted in accordance with the rules of the AAA then in effect as interpreted by the AAA member who shall serve as the chairperson of the panel. The sole basis for the panel's decision will be the provisions of this copyright policy. Submission to arbitration before this panel shall be the final means of resolving disputes hereunder. The decision of the panel shall be final and unappealable and may be enforced in any court of competent jurisdiction. The award of the arbitration panel shall be made in writing and need not present the panel's vote on each issue, but merely the resolution of each issue. Costs incurred in arbitration shall be borne equally by creator(s) and university in an amount up to but not exceeding \$5,000 costs in excess of \$5,000 shall be borne by the University and credited against current and/or future royalties received by the University for the subject work held in dispute.

No assignment of rights, transfer of ownership, license or other arrangements concerning the disposition of University owned copyrights may be entered into except by authorized officials of the University.

All creative works covered by this policy must have the copyright notice properly affixed to the works. In those cases where Drexel University is the copyright owner, all copies and reproductions of the copyrighted work shall clearly display: © (year of creation of work) Drexel University.

## **COST TRANSFER POLICY AND PROCEDURES**

Last modified: 11.15.2006 - 10:16 a.m.

### **I. Overview**

The University has a stewardship responsibility for all sponsored funds and proper management of sponsored project expenditures is essential to meet this obligation. Therefore, the following policy and procedures will be consistently applied to all sponsored agreements.

The University recognizes that cost transfers are sometimes necessary to correct bookkeeping or clerical errors in the original charges and to allocate closely related work that may support more than one project.

However, frequent, late, and inadequately explained transfers, especially those involving projects with cost overruns or unexpended balances, raise serious questions about the propriety of the transfers and call internal fiduciary controls into question. This may result in audit disallowances and monetary paybacks including penalties and fines.

Auditors and sponsors will flag as suspicious cost transfers with the following characteristics:

Costs transferred long after the original charges were recorded.

Transfers supported by inadequate documentation or justification.

Transfers made at the end of a project that relieve cost overruns or spend out a project.

### **II. Definitions**

A. Original Charge - the first posting of a cost to the general ledger, initiated by payroll charges, purchase orders or check requests and the purchasing card.)

B. Cost Transfer - any subsequent transfer of the original charge to another cost center.

### **III. Policy**

Original charges should be directed to the appropriate benefiting sponsored project. If it is necessary to request a cost transfer that involves a sponsored project, requests should be made promptly and contain sufficient documentation and justification to support the cost transfer that would stand the test of a formal audit.

Under no circumstances may costs that benefit one sponsored project be charged temporarily on another sponsored project. Sponsored project costs that may not

be charged to the appropriate project for any reason may be charged to a non-sponsored cost center and transferred to the appropriate sponsored project at the earliest opportunity. Failure to adhere to this policy will result in improper financial reporting and inappropriate reimbursement from the sponsor.

#### **IV. Procedure**

The Principal Investigator (PI) should review expenditure activity regularly for allowability under the terms of a sponsored agreement. Allowable costs are defined in OMB-Circular A-21, in the sponsor's published guidelines and in the sponsored agreement itself.

If it is determined that a transaction has been charged to a sponsored project in error, the PI should prepare and sign a Cost Transfer Journal Entry and submit it to the Office of Research Compliance and Administration (ORCA) for review. All transfer requests must contain sufficient documentation and explain why the error was made and why this expenditure is appropriate for the project. **It is unacceptable to transfer expenses solely based on budget availability.**

The allowability of cost transfers is dependent upon the following factors:

##### **Timeliness**

Non-labor cost transfers must be processed within 120 days of the date of the original transaction. Requests to transfer expenditures to a sponsored project after this time will be subject to additional verification and documentation.

Salary cost transfers must also be timely. Principal Investigator's must monitor salaries to be sure the effort is allowable and reasonable and falls within the sponsored project period. The PI should establish salary charges proactively.

Retroactive salary transfer requests must be thoroughly documented. Salary charges will be removed from a sponsored project as soon as the error is discovered. However, a salary charge that is older than 90 days will not be moved to a sponsored project without sufficient explanation and documentation to address the late change and the reason for the change. Proposed salary changes that are older than 90 days are reviewed and approved by the Associate Vice Provost for Research. The Salary Distribution Change Form may be found at: <http://www.drexel.edu/hris/posbud/index.html><http://www.drexel.edu/hr/deptadmin/forms.html>.

A compliant federal time certification process (also known as effort reporting) is dependent upon timely

salary distributions. Drexel's effort reporting policies may be found at <http://www.research.drexel.edu/research/spm/subrev/procedures.asp>.

##### **Appropriate Circumstances**

OMB Circular A-21, Section D.1, and the University's Direct and Indirect Cost Policy, specify that "direct costs are those costs that can be identified specifically with a particular sponsored project--or that can be directly assigned to such (a project) with a high degree of accuracy." Typically, cost transfers are appropriate when the purpose is to correct posting or bookkeeping errors in the original charges, or to reallocate shared costs among cost centers.

##### **Explanation/Justification and Documentation Requirements**

All cost transfer requests, including salary transfers, must be supported by a written justification and signed by the PI. The reason for each cost transfer must be clearly explained with supporting documentation when appropriate. The ORCA has primary responsibility for approving cost transfers and maintaining the related records. ORCA may request copies of additional supporting documentation if questions arise during review.

#### **V. Cost Transfer Request Documentation Requirements and Examples**

All non-salary cost transfers involving a sponsored project are subject to the following documentation requirements. The Cost Transfer Journal Entry [located at [www.research.drexel.edu/orca/policy/costtrfform](http://www.research.drexel.edu/orca/policy/costtrfform)] that is submitted to ORCA must contain:

WebFinance print screen documentation that shows the original charge.

An explanation of the reason the original charge was not made to the appropriate cost center.

A justification for why this charge is appropriate for the project.

An explanation for the lateness of the request if the request is made more than 120 days after the original charge posted.

The signature of the PI or his designee authorizing the transfer.

One form may be used to document several transfers if they are part of one journal and if the circumstances surrounding them are identical.

All salary transfer requests will use the appropriate HR form [<http://www.drexel.edu/hris/posbud/index.html>] and contain all of the above documentation with the exception of the Web Finance print screen. Principal Investigators are required to sign all salary and wage paperwork for employees charging to their projects. Labor related cost transfers are completed through the Personnel Activity Form.

If a cost benefits two or more projects or activities in proportions that cannot be easily determined because of the interrelationship of the work involved, the cost may be allocated to projects on any reasonable basis, provided that the allocation procedure (1) meets the standards of the sponsor and OMB Circular A-21, Section C.4.d.3., (2) is fully and clearly documented, and (3) is auditable by means of supporting documentation substantiating the allocation (e.g. usage log for an equipment maintenance contract).

Expenses must be reallocated for reasons other than covering an over-expenditure or under-expenditure and must fall within the 120-day rule. The costs must be allowable and should be allocated to the projects based on the proportional benefit of the cost to the project (See [Direct and Indirect Cost Policy](#)).

Examples of Acceptable and Unacceptable Cost Transfers:

*Usually acceptable transfers requiring little justification include:*

Transfers with written approval from the sponsor

Transfers between linked funds

Typing error in entering the fund number

*Unacceptable stand-alone explanations include:*

To correct coding

To transfer expense

Administrative error or oversight

Change made on operating budget

Should be charged to grant

To correct an error

To correct charge to wrong fund

To correct salary distribution

Administrator on vacation

Charged to another fund to expedite order

Late because principal investigator was out of town

*Questionable transfers that will raise an audit flag:*

Transferring expenses from an overspent sponsored project

Transfers to spend out a project

Transfer of an expense that was previously transferred

Unallowable transfers:

Moving money from one project to another

Transfer to a project of expenses incurred after the project end date

Transfers which do not explain why the error occurred and how the expense is appropriate to the project to which it is being moved

***Examples of transfers that do not need detailed explanations:***

Transfers to correct a data entry or transposition error. The explanation should identify the transposition error and the correcting entry.

Transfers of expenditures from a prior year cost center to the continuation center. (Continuation is defined as the same project that has the same agency award number.)

Transfers from a departmental core cost center used as a "master" account for certain purchases. (i.e. a single cost center set up with an outside vendor to allow for direct billing through Accounts Payable or a University-approved recharge center). A log that fully substantiates the transfer must accompany the journal.

**Transfers not meeting the above criteria will be rejected and returned to the department with the reason for the rejection, even if such costs were expected as part of the project closeout.**

## **COURSE ADD POLICY**

During the pre-enrollment period through the end of the second week of classes for the term, all students, with the exception of 1st term freshmen, may add courses that are free from restrictions/permissions, by using BANNER Web for Students. Instructor or academic unit

approval is conditional on class size limitations. Regardless of when a student adds a course, the student is responsible for meeting all course requirements as mandated by the specific course syllabus.

Recommendations to Students:

Meet with your academic advisor if:

You encounter a course restriction/permission—contact your academic advisor to resolve the restriction;

You have a course enrollment request beginning with week two of the term—meet with your academic advisor for review;

You are a freshmen—you need to meet with your academic advisor for any/all course schedule adjustments;

You are a new undergraduate transfer student;

You have newly been readmitted.

## **COURSE DROP POLICY**

Please note that “dropping” a course and “withdrawing” from a course are distinct actions and are governed by different policies. (See “Course Withdrawal Policy” below.)

For both graduate and undergraduate students, courses may only be dropped during the “drop period” lasting from the beginning of the enrollment period through the end of the second week of the quarter. Dropping a course results in the course being removed from the student’s academic record without a “W” appearing on the transcript—specifically, neither the course nor the grade of “W” appears on the student’s transcript. Freshmen and new first-term transfer students must meet with their academic advisors to drop courses during the first quarter. Undergraduate upper-class and graduate students may use BannerWeb to drop courses; no approvals are required for upper-class and graduate students.

Students drop a course for the term in which they are enrolled by using BannerWeb for students. Approval of the instructor is not required to drop a course (but is required to withdraw from a course).

For “accelerated courses,” which normally last five weeks, the drop period is limited to the first week of the course. Thus, for accelerated courses given during weeks one through five of the regular term, the drop period is week one; for accelerated courses given during

weeks six through ten of the regular term, the drop period is week six (of the regular term).

## **COURSE MEETING TIME BLOCKS**

Official course meeting time blocks are 1-hour segments Monday/Wednesday/Friday and 1.5-hour segments Tuesday/Thursday beginning at 8:00 a.m. All classes begin at 8:00 a.m. and end at 10:00 p.m. Departments must make every effort to schedule their course offerings to conform to the time segments, i.e., a course can meet M/W/F from 8:00 a.m. to 8:50 a.m. or T/Th 8:00 a.m. to 9:20 a.m.; studio or lab course sections may meet any day starting and ending on the hour.

Extenuation circumstances regarding this policy should be addressed to the Provost’s Office.

## **COURSE OFFERING DISTRIBUTION POLICY**

Departments offering courses are required to distribute their courses as equally as possible across the days of the week (Monday -Friday) and hours of the day (8 a.m. to 10 p.m.)

## **COURSE REPEAT POLICY**

Drexel University computes a single, unified grade point average for courses taken at the University. All grades from original and repeated course enrollments are averaged into both the term GPA and the Cumulative GPA. Only the credits earned from the first time a course is completed with a passing grade will be included in the student’s earned and passed hours.

## **COURSE WITHDRAWAL POLICY**

Undergraduate students may withdraw from a course during the “withdrawal period” lasting from the beginning of the third week through the end of the sixth week of the quarter. Specifically, the last day to withdraw from a course is the Friday of the sixth week of the quarter. For undergraduates enrolled in accelerated courses (which normally last five weeks), students may withdraw from the second through the third week.

Graduate students may withdraw from a course during the “withdrawal period” lasting from the beginning of the third week through the end of the sixth week of the quarter. For graduates enrolled in accelerated courses (which normally last five weeks), students may withdraw from the second through the fifth week, prior to the final examination.



Withdrawing from a course causes both the name of the course and the grade of “W” to appear on the student’s transcript.

Before withdrawing from a course, students should consult with the instructor. All students must obtain their advisor’s written authorization before withdrawing from courses. Written authorization is obtained once the instructor has signed the “ENROLL/WITHDRAW” form available from Student Administrative Services’ web page: <<http://www.drexel.edu/SRC/forms.asp>>.

Where extenuating circumstances obtain, students may petition the Dean of their college to withdraw from classes from the sixth week through the tenth week of the term. If the petition is persuasive, the Dean sends a recommendation to the Vice Provost, with an explanation of the circumstances. The Vice Provost will review the recommendation and make the final decision supporting or not supporting the recommendation. Course withdrawals relating to previous terms require that the same procedure be followed.

Dropping or withdrawing from courses can have serious financial and academic implications, possibly affecting billing, financial aid, VA benefits, eligibility to participate in NCAA athletic events and, for foreign students, immigration status. Students are strongly encouraged to consult with their academic advisor and financial aid counselor before withdrawing. Students are considered the responsible parties for any/all transactions processed against their academic records.

## **COURSES DELIVERED ON THE INTERNET**

This official policy of Drexel University (“Drexel” or “University”) concerns educational course development and delivery where delivery is through the internet. It also considers the ownership of intellectual property comprising the concept, content, expression and mode of delivery of a course of instruction delivered through the internet (“e-Course”). As such, it modifies the University’s Copyright Policy.

The University recognizes and respects the intellectual effort and work of its employees (“Employee/Creator”) who develop e-Courses. Two types of Employee/Creator developed e-Courses are considered in this policy:

1. A “University-Owned e-Course” is conceived and developed by an Employee/Creator through a documented work assignment (“Commission”) and is owned by the University.

2. An “Employee-Owned e-Course” is conceived and developed, with or without the use of university facilities, during or not during customary work hours, independent of a documented work assignment (“Employee-Owned e-Course”) and is owned by the Employee/Creator.

Beginning immediately, the Provost will maintain an official Catalog of e-Courses (“e-Catalog”). The e-Catalog will always be a subset of the official General Catalog of Courses of the University. Because the e-Catalog is a subset of the official General Catalog, all e-Courses will have been approved through the standard course review and approval processes of the University. The e-Catalog will contain the official description of all courses that are offered and delivered entirely through the internet. Some courses may be simultaneously delivered both using the internet and without using the internet. If a course is offered during a given term by both means of delivery, both will be shown in the schedule of offerings published for that term.

Senior management of the University may elect to contract with Drexel e-Learning, Inc., or with some other corporation (“e-Firm”), to market and deliver any or all e-Courses to students of the University. In such cases, the Provost will coordinate interaction between the academic deans and directors who are responsible for the academic content and supervision of instruction of e-Courses with the e-Firm(s) contracted to market and deliver the e-Courses.

At the inception of the e-Catalog, all courses listed therein represent intellectual property owned by the University. In time, there will be three possible origins of courses contained in the e-Catalog:

1. those included from the inception of the e-Catalog;
2. University-owned e-Courses; and
3. Employee-Owned e-Course(s) owned by other individuals or entities but for which the University holds a license(s) for use. The Provost will be solely authorized to make changes (additions or deletions) to the e-Catalog.

Commissions for the development of University-Owned e-Courses can include the conversion of a conventional course to an e-Course as well as development of a “New e-Course”. If the Commission is for a New e-Course, the

Provost will determine prior to the Commissioning that the course has been approved according to the University's regular procedure for the approval of a new course. Prior to Commissioning the development of a New e-Course, the Provost will confer with the authorized officials of the e-Firm(s) to determine the market potential for the New e-Course and with the Dean of the appropriate college to determine the suitability of the New e-Course for inclusion into the e-Catalog. If the faculty and the dean consider its inclusion appropriate, the faculty will formally submit the e-Course for consideration and approval according to standard procedure for adoption of a course. If the New e-Course is entered into the General Catalog of the University, the Provost may grant permission in writing for the e-Firm(s) to market the New e-Course.

## **CREDIT BY EXAMINATION**

Drexel University's policy on "credit by examination" allows undergraduate students a one-time opportunity to gain course credit toward graduation by taking a comprehensive examination in a course, that is, without registering for the course or attending any classes—in fact, the student must never have attended (or currently be enrolled in) the course in which credit by examination is being sought. The grade earned in the examination is included in calculating the student's cumulative grade point average.

Students on co-op may apply for credit by examination; however, approval will be granted only if the exam does not interfere with the student's co-op experience. Students on academic probation are not permitted to pursue credit by examination.

Students have 30 days in which to take the examination once permission has been granted. Permission is considered granted once the "Credit by Examination" application form, available in the Student Administrative Services (SRC) Center, has been completed and returned to the SRC. It is the student's responsibility to obtain all necessary signatures. The charge for Credit by Examination is the current year's Special Examination Fee and is payable in the Office of the Comptroller prior to the examination date. Once paid, the fee is nonrefundable.

### **Credit/No Credit Option—Undergraduates Only**

The purpose of the Credit/No Credit grading option is to offer undergraduate students a broadened educational experience with additional flexibility in their elective choices; in particular, to encourage enrollment in elective courses not in the student's area of expertise.

- Students can elect to choose the Credit/No Credit grading option only for those courses identified by their Academic Advisor in each department for their specific major.
- A total of six courses may be scheduled with this option during the undergraduate program at the rate of one course per term.
- Students on academic probation are not eligible for this option.

The instructor will report a letter grade in the course. If a grade of "C" or better is reported, the student's grade report will indicate a "CR" (credit) for the course and the credits will count toward graduation requirements. If a grade of "D" or "F" is reported, the student's grade report will indicate "NCR" (no credit), and the credits will not count toward graduation requirements. A "CR" or "NCR" will be included on the student's academic record with a special notation indicating the course was taken under this option. Because no letter grade is recorded, courses taken under this option are not included in calculating the student's cumulative GPA.

### **Requesting the Credit/No Credit Option**

Undergraduate students have until the end of the second week of the term to select or delete the credit/no credit option for a course for which they are registered. All students should add the Credit/No Credit option to the respective course they choose in their college via the Credit/No Credit Application Form. This form is available in SRC.

## **CREDIT/NO CREDIT OPTION - UNDERGRADUATES ONLY**

The purpose of the Credit/No Credit grading option is to offer undergraduate students a broadened educational experience with additional flexibility in their elective choices; in particular, to encourage enrollment in elective courses not in the student's area of expertise.

- Students can elect to choose the Credit/No Credit grading option only for those courses identified by their Academic Advisor in each department for their specific major.
- A total of six courses may be scheduled with this option during the undergraduate program at the rate of one course per term.
- Students on academic probation are not eligible for this option.



- Instructors will see either a CR or NCR as valid grades to assign during grade submission for students who have elected this option.

The instructor will report a grade as either CR or NCR. If the earned grade is "C" or better the instructor should report a grade of "CR" (credit) for the course and the credits will count toward graduation requirements. If the earned grade is "C-", "D" or "F" the instructor should report a grade of "NCR" (no credit) for the course, and the credits will not count toward graduation requirements. A grade of "CR" or "NCR" will be included on the student's academic record and transcript with a special notation indicating that the course was taken under this option. Because no letter grade is recorded, courses taken under this option are not included in calculating the student's cumulative GPA.

### Requesting the Credit/No Credit Option

Undergraduate students have until the end of the second week of the term to select or delete the credit/no credit option for a course for which they are registered. All students should add the Credit/No Credit option to the respective course they choose in their college via the Credit/No Credit Application Form. This form is available in SRC.

## CRITERIA FOR APPOINTMENT AND PROMOTION

The criteria for appointment and promotion described in the following paragraphs for the University as a whole should be supplemented by additional criteria to be furnished by the colleges and departments.

To encourage fairness and objectivity of evaluation in the review of candidates with a wide range of interests and abilities, the following three traditional criteria for academic competence are affirmed by the University and are suggested as guidelines. Though no single individual is expected to be accomplished in all categories, it is expected that a successful candidate will qualify in all categories, demonstrating particular excellence either in teaching or in research, scholarship, or artistic investigation.

### Teaching

1. Effectiveness in the undergraduate and/or graduate classroom laboratory.
2. Revision of existing and development of new courses and technology.

3. Publications related to teaching, such as textbooks, aids, manuals, etc.
4. Effectiveness as an undergraduate and/or graduate adviser, including service as an adviser for a dissertation, thesis, or independent study.

### Research, Artistic Investigation, and/or Scholarship

1. Quality of research, artistic investigation, or scholarship, as evidenced by publications, presentations of papers, research reports, exhibitions, etc. Particular notice will be given to papers, which are invited or subject to peer review.
2. Effectiveness in directing research of students.
3. Originating, participating in, and/or directing research projects.
4. Evaluation of scholarly and/or artistic accomplishment by recognized authorities outside of Drexel where appropriate.

### Service to the University to the Profession, and to Society in General

1. Leadership and/or participation in faculty elective bodies and service on committees at department, college and University levels.
2. Service to individual students and/or student organizations.
3. Promotion of the University through extramural activities, such as lecturers, the visiting professor program, alumni affairs, etc.
4. Recognition outside Drexel as evidenced by service on professional committees, councils, boards, review panels, etc.
5. Appropriate industrial, governmental, or consultant experience.

Decisions regarding appointment and promotion will be affected by the evolving needs and objectives of the department, college and University. However, individuals will be expected to perform at a level comparable to corresponding ranks at similar institutions. N.B. Exceptional candidates of outstanding achievement and reputation may occasionally be appointed to any level without fulfilling the established criteria, the appointment being determined by the special circumstances involved.

### 1. Professor

Appointment or promotion to this level presupposes demonstrated high achievement as measured by the

basic criteria, as well as continuing evidence of future growth.

## **2. Assistant Professor**

Appointment or promotion at this level will usually involve completion of the Ph.D. degree or equivalent, a candidate being expected to show greater academic potential than at the lecturer level.

## **3. Associate Professor**

Appointment or promotion to this level will presuppose that the candidate has demonstrated substantial achievement as measured by the basic criteria, as well as potential for further and continuing growth.

### **Part-Time and Temporary Full Time Appointments**

The following appointments usually have a limited duration and possibly limited duties. Appointments are made for periods of less than a full academic year, and by appointment letters for periods of a full academic year. The letter will specify whether the position is full-time or part-time. None are eligible for tenure. Staff benefits for each employment category are limited to the period of time for which the appointment is effective and are subject to restrictions and limitations as established by the Personnel Office. (See Appendix A and/or the Personnel Office for specifics.)

## **1. University Lecturer and Lecturer**

These appointments are made under a variety of situations, such as, but not limited to the following:

- a. Potential candidates for annual contracts, usually as assistant professor, who have not yet received their terminal degree but expect it within a short period (less than a year).
- b. Academic specialists hired to teach a particular course, or part of a course, on a temporary basis.
- c. Academic specialists who are beyond ordinary retirement age but who teach full-time from quarter to quarter while a qualified regular staff member is sought.
- d. The term University Lecturer refers to academic specialists with a minimum of twenty years relevant professional experience, who teach and participate in other departmental activities. With the exception of multidisciplinary centers, no college may have more than 5% of its regular faculty designated as University

lecturers. Appointment for University lecturers are made for a full academic year.

## **2. Adjunct Faculty**

The term adjunct instructor, or adjunct assistant professor, adjunct associate professor or adjunct professor, should be used instead of lecturer whenever appropriate. Appointments to the various adjunct ranks should be based on the consideration of qualifications that are consistent with similar ranks used for full-time personnel. The rates of pay for adjuncts must be approved in advance by the Provost. Initial appointments for these employees must be accompanied by adequate resumes to justify the particular level involved. Reappointment is handled routinely by submitting Form D-15 designating the new term of appointment and rate of pay. Evening and University college faculty are considered adjunct faculty, but reappointment is not required since salary is paid and benefits are provided only during the actual time worked. Time worked by Evening and University College adjunct faculty is reported monthly for the actual number of class contracts.

## **3. Visiting Professor**

This appointment may be at the level of full, associate or assistant professor level, usually for a one-year, maximum two years, made by appointment letter to fill the temporary vacancy of a regular faculty member on leave. Occasionally a one-year appointment is made to fill an authorized but unfilled faculty vacancy. Time served in the visiting rank at Drexel University does not count toward the probationary tenure period.

## **4. Teaching Assistants (students)**

Assuming adequate budgetary funds have been authorized, the dean or authorized department head, having decided to make an offer to a graduate student, writes a letter offering such appointment and specifying details of the offer in accordance with a standard letter prepared by the graduate dean. The student signifies his/her acceptance by signing and returning this letter. The dean or department head then initiates an "Award of Support" D-108 form which results in the student being placed on the payroll. The form will include the amount of salary or stipend as well as the applicable percentage for remission of tuition and fees. The aforementioned form is available from the research administrator in the comptroller's office. No other staff benefits are provided in conjunction with appointment to these positions.

## **5. Research Associates and Post-Doctoral Fellow (Non student)**

In the event the adequate graduate student help is not available for participation in a research contract or grant, the appointment of a research associate or a post-doctoral fellow may be considered. The project director shall obtain the written concurrence of his/her department head and dean prior to seeking the approval of the Provost, whenever the appointment of a research associate or post-doctoral fellow is being considered. A resume should accompany the recommendation. The appointment of research associate and post-doctoral fellow will be made by appointment letter, which will be signed by the Provost. It is, of course, necessary that funds be available in the research contract or grant for which the work is proposed.

Appointment letters for research associates and post-doctoral fellows should include a statement of the duties to be performed, the maximum duration of the appointment (one year of the duration of the research contract, whichever is the lesser), and the annual salary rate on which the monthly payments will be calculated. The annual salary rate shall be within the limits of the research contract or grant but shall not be greater than the salaries of the faculty with comparable qualifications.

Salary review and/or reappointment shall be annual at the renewal dates of the research contract or grant except that if the initial appointment does not occur at the start of the research contract or grant, or within the first six months thereof, the original rate shall continue until the second renewal of the research contract.

Salary adjustments shall not exceed the most recent average percentage of the comparable faculty positions and shall be forwarded through the department head and dean to the Provost for final approval.

#### **6. Instructors Post-Doctoral**

This is a one-year appointment made by appointment letter to fill an authorized but unfilled faculty vacancy. This appointment is usually a twelve-month position (September through August).

#### **7. Drexel Fellow**

This position provides opportunities for teaching and research. Appointment is made by appointment letter for a twelve month period. The appointment letter will state the specific details of responsibilities, salary, and term of appointment. Drexel fellow appointments are made on an annual basis but can be renewed up to a maximum of three years. Time served in this rank does not count toward academic tenure.

## **DEAN'S LIST**

### **Full-Time Undergraduate Students**

Dean's List will be computed each term in which a student is scheduled to be enrolled for courses. Full-time students carrying 12 credits or more and who earn a Term Grade Point Average of 3.6 (at the end of the grading period) or higher will achieve Dean's List. Valid grades used for computation of Dean's List are A through F or Credit/No Credit (when that option applies).

### **Part-Time Undergraduate Students**

Dean's List will be computed at the end of the Spring Term for the previous four terms (i.e. Summer, Fall Winter, Spring). Part-time students who have accumulated 12 credits or more and who earn a 3.600 cumulative Grade Point Average or higher for these four terms will achieve Dean's List.

### **Graduate Students**

There is no Dean's List for Graduate students.

## **DEAN/DIRECTOR, SELECTION OF, DURATION OF TERM AND REVIEW**

Revised October 8th, 2010

The successful conduct of the offices of Dean/Director is vital to the achievement of the purposes of the University and the professional growth of its faculty. Through the following procedures, faculty and other members of the University community help determine the selection of the Dean/Director and participate in the review of his/her conduct of the office.

## **DEPARTMENT HEAD'S SELECTION, DURATION OF TERM, AND REVIEW\***

Revised: 08.13.04

The successful conduct of the office of department head is vital to the achievement of the purposes of the university and the professional growth of its faculty. Through the following procedures faculty may play a part in the selection of the department head and the review of his or her conduct of the office.

Each college will have a set of written guidelines detailing procedures and criteria commensurate with the broader statement of university policy detailed herein.

The review of performance described herein will not preclude any administrative review as described elsewhere in the body of academic policy.

I. Procedures to be followed in the selection of a department head.

A. When a vacancy occurs, or is anticipated, in the headship of an academic department, the dean of the college will appoint an acting head, or otherwise assign the department's interim executive functions, until a permanent head is selected.

B. The dean will appoint a search committee of faculty members reflecting the department's composition. In the typical instance no candidate for the headship will be appointed to the committee.

C. The dean will call the first meeting of the search committee. He will give the committee its charge and will preside while the committee chooses its chairman. He will then retire from the committee.

D. In the course of its deliberations, and before reporting to the dean, the committee will hold at least one meeting of the department's faculty to discuss the candidates being considered

E. The committee will recommend at least two candidates to the dean. If none of these candidates is acceptable to those officials of the university whose approval is required, the dean will appoint a new committee. The procedure will be repeated until an acceptable candidate is selected.

## II. Duration:

The department head serves an indefinite term at the pleasure of the president.

## III. Procedures to be followed in the review of a department head's performance:

A. A departmental committee will review the administrative performance of the department head at least once every four years. Such a review may be conducted at an earlier time if the dean, by his or her prerogative or in response to faculty petition, directs that it be done.

B. The dean will appoint the review committee after consulting with the department head. The committee's membership, however, should reflect the department's composition.

C. The dean will call the first meeting of the review committee. He or she will charge the committee and preside while the committee

chooses its chairperson. The dean will then withdraw from the committee, but will be available for consultation during its deliberations.

D. The committee will determine its mode of operation and criteria for evaluation in conformity with individual college guidelines. However, the duration of the review process must not exceed 60 days from the day of the Committee's first meeting; all reviews must be completed during the quarter (or semester) in which they are initiated.

E. Before preparing its final report the committee chairperson will review the findings with the department head, taking all necessary safeguards to protect the confidentiality of its sources of information.

F. At the conclusion of its review the committee will submit a final written report to the dean, and a copy of the report (omitting any confidential material) to the department head. This report will include a description of the committee's mode of operation and the criteria used in making its evaluation.

G. The department head will have seven working days in which to submit to the dean any written comments on the report.

H. The committee's report, together with the department head's comments and those of the dean, will be forwarded by the dean to the provost and to the president. Since the department head serves at the pleasure of the president, the final decision on the continuation of the appointment will be made by the president.

IV. Each dean shall conduct an annual review with each department head to cover both the progress of the individual and the department. As part of the review, the dean shall interview a representative group of senior faculty in the department, including at least half of the full professors, in order that the Dean shall have a good understanding of affairs within the department including teaching quality, research quality, professional activities, service to the University and morale.

*\*Adopted by the University Faculty at their meeting of 9 October 1979; revised 15 March 1983, reprinted August 1990.*

## DOCTORAL CANDIDACY AND DISSERTATION COMMITTEES

Last modified: 12.14.05

Doctoral candidacy and dissertation committees must consist of at least five members, at least three of whom must be tenured or tenure-track Drexel University faculty members. At least two of the committee members must be from outside the student's major area. At least one of the committee members must be from outside the student's department. The committee must be recommended by the supervising professor and department to the Vice Provost for Research and Dean of Graduate Policy for final approval.

## DOCTORAL DEGREE CLEARANCE

Last modified: 12.14.05

The Vice Provost for Research and Dean of Graduate Policy will be the responsible officer to grant final approval to award doctoral degrees upon the recommendation of the doctoral committee, supervising professor and department.

## DUAL UNDERGRADUATE DEGREES

Two bachelor's degrees may be earned simultaneously. All students should be counseled regarding this decision and possibly encouraged to consider instead a bachelor's/master's program. The student must satisfy the academic and the co-op work experience requirements of each degree program; some course work and co-op periods may be applied toward satisfying the requirements of both degrees. An Application for Degree form must be on file with the SRC for each degree expected.

A student-created plan of study must have signatures from the department head of each program involved. A copy of the approved plan must be filed in the academic dean or school director's office for each program. Enrollment for at least one term in each of the departments and/or colleges or schools for which the degree is expected must be completed.

Students whose plan of study requires more terms than a single degree program will be billed additional tuition accordingly.

## EARNED COURSE CREDIT (STATUTE OF LIMITATIONS ON)

No earned course credit completed ten years or more

before the intended graduation date may be applied to a degree program at Drexel University, unless reviewed by and approved of by the academic dean.

## ENRICHMENT COURSES: HOW TO ENROLL Scheduling Policy

Enrichment courses may be taken during a term in which an undergraduate student is not normally scheduled to be in college. Cooperative education students may enroll in courses for enrichment purposes during terms in which they are placed in a co-op experience. Non-cooperative education students may enroll in courses for enrichment during summer terms. This program does not provide for taking courses regularly required for graduation.

Enrichment courses elected by the student are made available either during normal class hours or by individual instruction. Course availability is at the discretion of the academic dean, department head, or adviser, or the department head or dean of the academic unit offering the course.

Students may take up to nine credit hours of coursework at the rate of no more than one enrichment course per non-college term with the understanding that no additional charges or graduation credit will result. This program does not permit acceleration of course requirements toward graduation.

Students requesting this option must have a grade point average of at least 2.0. This requirement may be waived by the student's academic dean. Since this program is intended for enrichment purposes only courses listed as required for graduation for the student's major are prohibited from being scheduled. It should be noted that failures in existing coursework may not be made up under this program.

## How Do Enrichment Courses Affect a Student's Record?

Grades earned under the enrichment program are counted in the student's grade point average; however, the credit/no credit option may be used for these courses.

A student will not receive earned credit for an enrichment course. The credits taken **will not** be included in either the student's term or overall **earned** hours. The credits will be part of the **attempted** credits for the scheduled term.



Coursework will be entered on the student's academic record by the Office of the Registrar.

### How Do Students Apply to Enrichment Courses?

The Application to Schedule Enrichment Courses form is available in the SRC and must be submitted to the student's academic department after the specified signatures have been obtained.

**\*Please note** that a student will be billed for courses he or she scheduled during the pre-enrollment and course change periods of a term **unless they submit the enrichment application.**

## EMERITUS FACULTY POLICY

Last modified: 09.01.09

### Introduction

The rank of Professor Emeritus or Associate Professor Emeritus is an honor, designating a retired faculty member as having demonstrated a distinguished professional career and as having made significant contributions to Drexel University.

### Criteria for Candidacy

Successful candidates for consideration to the rank of Professor Emeritus or Associate Professor Emeritus, determined by the faculty rank at retirement, will have:

1. At least ten years of full-time employment at Drexel University prior to retirement and be a tenured Professor or Associate Professor at retirement. A tenured Professor or Associate Professor with less than ten years of employment at Drexel may be considered for Emeritus status at the discretion of the Provost.
2. A consistent record of quality performance as demonstrated by one or more of the following:
  - a. A substantive record of scholarly achievement commensurate with national and international standards within the specific discipline.
  - b. A recognized record of outstanding teaching and educational contributions.
  - c. Clear evidence of service to the University beyond normal expectations.

### Emeritus Privileges

The privileges associated with having been granted the rank of [Associate] Professor Emeritus are as follows:

1. Lifetime listing indicating the rank of [Associate] Professor Emeritus in University catalogues and directories.
2. Regular and on-line library privileges.
3. Lifetime e-mail address and support including listing in Drexel directories.
4. One year continuation of phone number and voicemail.
5. Lifetime eligibility for membership to the Daskalakis Athletic Center. Membership fees will be assessed at the faculty rate.
6. Participation in University public ceremonies.
7. Based on availability and the recommendations of the Department Head and the Dean, and with the concurrence of the Provost, use of office and/or lab space, equipment, and other campus facilities to support scholarly work and/or educational activities.
8. With permission of the Department Head and Dean of the College, authorization to serve on thesis and dissertation committees or engage in other research or educational activities within the University.

### Procedure

Application for Emeritus status is initiated by the candidate by September 15th in the year of consideration with a letter to the Department Head and supporting documentation that includes a current, comprehensive Curriculum Vitae. The Department Head then notifies the Vice Provost for Academic Affairs in writing that the process has been initiated. The Department Head forwards her/his recommendation, with the necessary supporting materials, to the Dean and the Dean forwards her/his recommendation, with the necessary supporting materials, to the Vice Provost for Academic Affairs by December 15th.

Early in Winter Quarter, the Vice Provost for Academic Affairs convenes the Emeritus Review Committee, which operates under the jurisdiction of the Senate Committee on Faculty Affairs in which recommendations are considered. The Committee deliberates and delivers its recommendations to the Vice Provost for Academic Affairs by February 1st who then forwards the Committee's recommendations and his/her own to the Provost by February 15th. After review, the Provost forwards his/her recommendations as well as the

recommendations of the various levels of review to the President. Upon approval of the President, the Provost will present the candidate to the Academic Affairs Committee of the Board and, upon favorable review, to the Board of Trustees for consideration at their May meeting.

Candidates whose rank of Associate Professor or Professor Emeritus has been approved by the Board of Trustees at their May meeting are notified promptly and the rank is conferred by the President during the June annual meeting of the University Assembly.

The Provost may, at his/her sole discretion, approve the submission of a candidate's application for Emeritus status in accordance with the above procedures on a modified or accelerated schedule.

### **Emeritus Review Committee Operations**

The Emeritus Review Committee has one representative from each college or school having been appointed or elected by each college or school for a term of three years. The Emeritus Review Committee operates under the jurisdiction of the Senate Committee on Faculty Affairs who will appoint a representative from its membership to be Chair of the Committee. The function of this Committee is solely to provide recommendations to the Provost. After its deliberations, the Chair will report briefly to the Senate Committee on Faculty Affairs on the operations and the recommendations of the Committee.

### **Amendments**

This Policy may be amended and the privileges changed from time to time at the discretion of the University. Such amendments shall be promptly communicated to all Emeritus faculty. No provision of this policy may be waived or modified by any officer, faculty member, employee or agent of the College without the prior written approval of the Provost.

*Approved: 6 April 2006*

## **EXAMINATIONS**

### **FINAL EXAMINATIONS**

Except for laboratory classes, a formal final evaluation, which can be in the form of a final exam is required in all courses and must be given during the final examination week. Take home exams approved in advance by the department head may be used and are due at the officially scheduled examination time.

Courses with four or more sections may be grouped for a common exam if the department so wishes. There are several common exam periods during the week, and one will be assigned for a particular course.

Students may occasionally have three or more exams in one day. If this is the case, students may request relief by having special examinations assigned according to the following policy. This request may be made to the Provost's Office at least three days before the examination date.

- In the fall and spring terms, the courses with higher course numbers will be asked to give a special exam (MKTG 346 is higher than ACCT 111).
- In the winter and summer terms, the courses with lower course numbers will be asked to give the special exam (ACCT 111 is lower than MKTG346).

To request relief, please download the appeal form and submit it to the Office of the Provost in Main 308 at least three (3) days before the examination(s) in conflict are scheduled.

### **FINAL EXAMINATIONS FOR SENIORS IN THE SPRING QUARTER**

In the Spring Quarter ONLY, senior undergraduate students in their last quarter of academic work who have applied for a degree may arrange to be exempted from a final examination if the student's estimated grade for the entire term, as indicated by the instructor on the last day of the term, is passing and is sufficiently high so that his/her cumulative average will meet the grade point average required for graduation. (This is 2.0.)

NOTE: Under this policy the only reasons for not granting the exemption from a final examination are:

- I. that the student's final grade is not passing,
- II. that the student's cumulative average will not meet the grade point average required for graduation or,
- III. that the course normally does not require a final examination.

Final exams for graduating seniors will be given the first day of the final examination period, regardless of the final examination schedule. Grades reflecting final examinations taken under these conditions are due at the end of the first scheduled day of final examinations in the Spring quarter.



### **SENIOR PRIVILEGE**

Does not exempt students from attending class and/or taking final exams

Senior Privilege affords seniors a one-time opportunity to take an additional final exam to make up a failing grade in a course required for graduation. The following criteria apply:

- I. Senior Privilege may be invoked only once during an undergraduate career;
- II. The failing grade must have been incurred during the period in which a student is classified as a senior, and the failing grade must not have been assigned as the result of any academic dishonesty;
- III. The student must have been in college during the term in which the course was taken (i.e. not on Co-op);
- IV. The make-up exam used for Senior Privilege must be taken during the second day of exam week in the student's final term;
- V. The grade for the exam must be reported to the Office of the University Registrar by the fourth day of the exam period;
- VI. The student's permanent record will record the fact that the student took the course two different times; the grade earned in each will appear on the record and both grades will be included in the GPA calculation.

Interpretation: Students are required to adhere to class attendance requirements for all other courses as specified by university policy. Senior Privilege does not exempt students from attending class and/or taking final exams in courses for which they are enrolled during the last term of their senior year.

If the student meets the requirements indicated above, the following procedure should be followed:

- I. The student obtains a Senior Privilege application form from the Office of the University Registrar in 261 Curtis and fills in the required information;
- II. The student has the appropriate SRC staff member verify his/her eligibility and sign the approval line;
- III. The student takes the completed form to the Student Financial Services Office (SFS) where he/she will pay the required special examination fee; the Comptroller's office must stamp the form to verify payment;

- IV. The student schedules an appointment with the instructor to establish the time for the exam;
- V. After the exam is administered, the student will submit the Senior Privilege form to the instructor so that the instructor may record the grade received and sign the form to indicate that the student completed the exam. The instructor shall make certain that the academic unit's seal, or the Dean or Director's signature, appears on the form.
- VI. By the fourth day of exam week, the instructor submits the form to Office of the University Registrar for recording the grade.

### **CREDIT BY EXAMINATION**

Drexel University's policy on "credit by examination" allows undergraduate students a one-time opportunity to gain course credit toward graduation by taking a comprehensive examination in a course, that is, without registering for the course or attending any classes-in fact, the student must never have attended (or currently be enrolled in) the course in which credit by examination is being sought. The grade earned in the examination is included in calculating the student's cumulative grade point average.

Students on co-op may apply for credit by examination; however, approval will be granted only if the exam does not interfere with the student's co-op experience. Students on academic probation are not permitted to pursue credit by examination.

Students have 30 days in which to take the examination once permission has been granted. Permission is considered granted once the "Credit by Examination" application form, available in the Office of the University Registrar, has been completed and returned to the SRC. It is the student's responsibility to obtain all necessary signatures. The charge for Credit by Examination is the current year's Special Examination Fee and is payable in the Student Financial Services prior to the examination date. Once paid, the fee is nonrefundable.

### **CREDIT/NO CREDIT OPTION-UNDERGRADUATES ONLY**

The purpose of the Credit/No Credit grading option is to offer undergraduate students a broadened educational experience with additional flexibility in their elective choices; in particular, to encourage enrollment in elective courses not in the student's area of expertise.

- Students can elect to choose the Credit/No Credit grading option only for those courses identified by their Academic Advisor in each department for their specific major.

- A total of six courses may be scheduled with this option during the undergraduate program at the rate of one course per term.
- Students on academic probation are not eligible for this option.

The instructor will report a letter grade in the course. If a grade of "C" or better is reported, the student's grade report will indicate a "CR" (credit) for the course and the credits will count toward graduation requirements. If a grade of "D" or "F" is reported, the student's grade report will indicate "NCR" (no credit), and the credits will not count toward graduation requirements. A "CR" or "NCR" will be included on the student's academic record with a special notation indicating the course was taken under this option. Because no letter grade is recorded, courses taken under this option are not included in calculating the student's cumulative GPA.

#### **REQUESTING THE CREDIT/NO CREDIT OPTION**

Undergraduate students have until the end of the second week of the term to select or delete the credit/no credit option for a course for which they are registered. All students should add the Credit/No Credit option to the respective course they choose in their college via the Credit/No Credit Application Form.

### **EXCEPTIONS TO ACADEMIC POLICIES**

All exceptions to academic policies are administrated through the Office of the Provost.

### **FACULTY, TEACHING POLICY**

Posted – 5 May 2008

Revision Date – 15 April 2009

#### **1. OVERVIEW**

This document provides guidelines regarding the appointment, promotion, and evaluation of full-time non-tenure track faculty (hereafter, "Teaching Faculty") at Drexel University. Teaching Faculty are appointed to positions for which their primary responsibilities are focused on teaching. These appointments are made without any expectation of tenure, and years of service in these positions do not apply toward tenure or any probationary period should a Teaching Faculty member transition to a tenure-track position.

Teaching Faculty can be appointed at one of the following ranks:

Assistant Teaching or Assistant Clinical Professor

Associate Teaching or Associate Clinical Professor

Teaching or Clinical Professor

The "Clinical" title is intended for faculty in those academic units, e.g., the College of Nursing and Health Professions, in which faculty have specialized training and experience in a professional field and for which the primary responsibility is teaching.

Academic units may also appoint teaching faculty with the title of Instructor and a contract length of one year. Teaching faculty appointed as Instructor following the policies for appointment, reappointment, evaluation, early termination, and faculty governance contained herein.

#### **2. APPOINTMENT, EVALUATION AND PROMOTION**

These criteria for appointment and promotion of Teaching Faculty are to be used in conjunction with established procedures for Drexel University as set forth in University Human Resources and Academic Policies as well as any policies or procedures established by individual departments, colleges, schools and/or accreditation organizations.

Teaching Faculty are typically expected to teach 36 credits per academic year if on a 9-month appointment (48 credits on a 12-month appointment) or to complete other duties as assigned by the Department Head (or equivalent). Such other duties may include service or other academic or administrative responsibilities as assigned.

Teaching Faculty are offered at the following ranks with the following descriptions:

*Assistant Teaching or Assistant Clinical Professor*  
Appointment as an Assistant Teaching or Assistant Clinical Professor requires appropriate credentials as determined by the Department Head (or equivalent). These credentials should include, as appropriate, academic preparation and degrees, professional experience, professional development, teaching experience, clinical experience, or some combination of these factors. The candidate should display a commitment to, and espouse a philosophy of, education compatible with the goals and objectives of the University.

*Associate Teaching or Associate Clinical Professor*  
Basic criteria for appointment as an Associate Teaching or Associate Clinical Professor are the same as for the

Assistant Teaching or Assistant Clinical Professor level. In addition, candidates should have demonstrated excellence in teaching over time or have extensive professional and/or academic expertise.

#### *Teaching or Clinical Professor*

Basic criteria for appointment as a Teaching or Clinical Professor are the same as for the Associate Teaching or Associate Clinical Professor. In addition, candidates should have outstanding credentials, academic and/or professional, and a record of leadership in the area in which they teach.

#### 2.1 Appointment

Appointments of Teaching Faculty are made upon approval of the Department Head (or equivalent), the Dean/Director, and the Provost.

In their application, candidates must submit a curriculum vitae including a statement of their teaching philosophy and reflections on delivery, assessment, and development of instruction, and teaching achievement. Materials to support teaching achievement should include, as appropriate, copies of the candidate's course materials including course descriptions, syllabi and indication of class size; student evaluations; samples of presentation methods; and examples of curriculum development. Other supporting materials may include samples of continuing education activities; publications/creative scholarship/research on pedagogy; teaching awards; and other professional activities.

#### 2.2 Reappointment

Reappointments of Teaching Faculty are made upon approval and at the discretion of the Department Head (or equivalent), the Dean/Director, and the Provost. All appointments of Teaching Faculty automatically expire at the conclusion of their term with no right of automatic renewal. A Dean will notify a Teaching Faculty member as early as possible in the case that a reappointment will not be offered.

#### 2.3 Evaluation

The Department Head (or equivalent) will review the performance of Teaching Faculty as part of the annual review process. The review is intended to determine the fulfillment of teaching duties, caliber of teaching, service to the hiring unit and/or other units, and continued professional activities and development. Publications/creative scholarship/research may be taken into consideration for the review.

#### 2.4 Promotion

Teaching Faculty are eligible to apply for promotion after

having served five years in a given Teaching Faculty rank. For promotion, Teaching Faculty shall undergo a formal review as set forth below.

### **I. Promotion to the Rank of Associate Teaching Professor or Associate Clinical Professor**

Candidates for promotion to the rank of Associate Teaching Professor should have:

- Demonstrated excellence in teaching and applied visible and durable initiatives in improving their teaching skills, teaching materials, and in curriculum development. There should be evidence that class work is well organized, that assignments are clear and varied according to the nature of the course content, and that effective modes of presentation are commonly employed. Course objectives, learning outcomes, and methods of assessment must be clearly addressed on all syllabi. A candidate should have revised existing courses and/or developed new courses. A candidate should have displayed a commitment to, and philosophy of, education compatible with the goals and objectives of the University;
- Been involved in service responsibilities within the Department, the College/School, the University, and/or related civic organizations, as appropriate, and have worked successfully and collegially with other colleagues within the College/School and University;
- Clearly demonstrated an ability to keep abreast of new professional developments and to communicate ideas to students and colleagues so that their own performance is improved. They should be actively participating with colleagues and students in a community that focuses on intellectual and professional matters.

### **II. Promotion to the Rank of Teaching Professor or Clinical Professor**

Candidates for promotion to the rank of Teaching Professor should have:

- Demonstrated continued excellence in classroom teaching. There should be evidence of substantial new course development in the candidate's area of expertise. Work with students individually and in groups should be effective with commitment to outcomes-based learning

and assessment. Candidates for promotion to the rank of Teaching Professor or Clinical Professor should demonstrate outstanding expertise in one or more aspects of teaching and educational scholarship;

- Demonstrated leadership in service responsibilities within the Department, the College/School, the University, and/or related civic organizations, as appropriate, demonstrating collegiality across the University;
- Demonstrated continued professional development and leadership in matters of curriculum development, methodological innovation, or appropriate scholarly or artistic contributions beyond that expected of Associate Teaching Professors or Associate Clinical Professors;
- Demonstrated commitment to inspire colleagues and students to greater achievement and identify new developments and best practices. Insofar as possible, candidates should have demonstrated mentorship to junior faculty colleagues.

### **III. Procedures for Promotion**

#### **Application for Promotion**

Teaching Faculty shall submit their written application for promotion with all supporting documentation to the Department Head (or equivalent) in accordance with the timetable for promotion of Teaching Faculty established by the Provost. The Department Head (or equivalent) will forward the documentation to the Teaching Faculty Promotions Committee of the Department (or equivalent) as set forth in the procedure for the respective College/School. Although the Department Head (or equivalent) may encourage faculty to apply for promotion when he/she thinks that is appropriate, a candidate may take the initiative and present himself/herself for promotion without the initiative of the Department Head (or equivalent). Teaching Faculty who are considering applying for promotion should have informal discussions with the Department Head (or equivalent) and with faculty who have previously gone through the promotion process. Teaching Faculty may apply for promotion no more than once every two years (i.e., an unsuccessful candidate may be evaluated again after serving one post-review year).

#### **Composition of the College/School Promotions Committee**

The College/School Promotions Committee must consist

of at least three faculty, including at least one tenured or tenure-track and one Teaching Faculty member at a rank equal to or higher than the rank sought. If there are no eligible Teaching Faculty, the Department Head (or equivalent) shall nominate additional tenure-track faculty. The Committee shall be appointed in accordance with the timetable for promotion of Teaching Faculty established by the Provost.

#### **Candidate Documentation**

These categories are intended as guidelines. Each academic unit may establish more specific guidelines that relate to its expectations. In addition to the following sources, Teaching Faculty promotion committees may also consider higher degrees completed by the candidate after the initial appointment.

- **Teaching**  
Candidates must submit a statement of their teaching philosophy and reflections on delivery, evaluation, assessment, and revision of instruction, and a resume or curriculum vitae presenting evidence of teaching achievement with any materials to support evidence of teaching achievement. Materials to support teaching achievements may include: 1) copies of course materials used by a candidate; 2) course descriptions, syllabi and class size; 3) student evaluations; 4) samples of presentation methods used by candidate; 5) samples of continuing education activities; 6) samples of curriculum development; 7) publications/creative scholarship/research on pedagogy; 8) teaching awards; and 9) professional background information.
- **Service**  
Sources of evidence that may be used regarding this criterion include service to the College/School, University and the profession in administrative roles such as Program Directors or Associate Directors, or membership on University or professional committees.
- **Academic and Professional Activities**  
Sources of evidence that may be used regarding this criterion may include new course development, presentation of research or creative scholarship, participation as an invited expert in seminars and lectures at other departments and universities or at national

conferences, or program leadership.

#### **IV. Promotion Recommendations**

For each application for promotion, the Teaching Faculty Promotion Committee will make a written recommendation to the Department Head (or equivalent). The Department Head will forward the Committee recommendation, with his/her written recommendation to the Dean/Director of the academic unit. The Dean/Director will forward these recommendations with his/her written recommendation to the Provost. Candidates will receive a copy of each written recommendation at each stage; in the event of a recommendation against promotion, the candidate will be allowed to respond in writing within two weeks of receipt of the copy of the recommendation. The response will become a part of the promotion application.

#### **3. LENGTH OF APPOINTMENT**

##### *Assistant Teaching Professor or Assistant Clinical Professor*

Initial appointment shall be for one year. This appointment may be renewed annually.

##### *Associate Teaching Professor or Associate Clinical Professor*

Initial appointment is normally made for one year, but in some circumstances, and with appropriate justification, may be made for up to two years with approval of the Dean/Director and the Provost. After the initial appointment, and upon review and approval of the Dean/Director and the Provost, this appointment may be renewed for terms of up to three years.

Promotion to this rank may include an appointment with a term of up to three years.

##### *Teaching Professor or Clinical Professor*

Initial appointment is normally made for one year, but in some circumstances, and with appropriate justification, may be made for up to three years with approval of the Dean/Director and the Provost. After the initial appointment, and upon review and approval of the Dean/Director and Provost, this appointment may be renewed for terms of up to three years.

Promotion to this rank may include an appointment with a term of up to three years.

#### **4. EARLY TERMINATION OF APPOINTMENT**

An appointment can be terminated during a term for any of the following reasons:

1. Discontinuance of or reduction in program;
2. Financial exigency;
3. Adequate cause. Adequate cause includes grave or gross misconduct, incompetence, neglect of duty, insubordination, incapacitation, and/or immoral or unethical conduct.

Any decision to terminate an appointment during a term under this Section shall be at the discretion of the Provost.

In the event of termination for adequate cause, no notice is required. In the event of termination resulting from discontinuance of or reduction in program or financial exigency, Teaching Faculty with more than five years of full-time faculty service to Drexel University will be given six months written notice of termination. Teaching Faculty with less than five years of full-time faculty service to Drexel University will be given written notice of termination equal to one month for each year of full-time faculty service.

#### **5. FACULTY GOVERNANCE**

Teaching Faculty are considered voting faculty as established in the Charter on Faculty Governance. Voting rights in individual Departments, Schools, and Colleges are governed by that unit's by-laws.

## **FACULTY MEDIATION AND GRIEVANCE POLICY**

Posted – 5 May 2008

#### **A. SCOPE OF THE FACULTY MEDIATION AND GRIEVANCE POLICY**

A Grievance is a charge that a faculty member ("Grievant") has been adversely affected in a direct, personal, and material way by a decision or action of another individual. Such a dispute may involve a faculty colleague, an administrator, or a staff member ("Respondent").

Disputes are best resolved amicably and informally through effective communication within and between academic units, and it is expected that any Grievant shall have attempted to resolve any dispute with another individual with the assistance of the Department Head, Dean/Director, Provost, and/or Ombudsman before invoking the grievance process set forth in this Policy. Only those disputes that have not been resolved through good faith effort may be submitted to the Grievance Panel according to the policy and process described herein.

This procedure attempts to provide guidance for resolving grievances in a timely, consistent, and simple manner.

## 1. Jurisdiction

a. *Grievant*. This Faculty Mediation and Grievance Policy and process may be invoked by any active member of the Drexel University faculty (including all full time and part time faculty).

b. *Grievable Matters*. The procedures outlined in this document are available when there is a charge that a decision or action of another individual has adversely affected the terms and conditions of a Grievant's employment, including academic freedom, that is illegal or manifestly unfair.

c. *Non-grievable Matters*.

i. Actions or decisions resulting from or subject to other established appeal policies of processes are not grievable. These include, but are not limited to, (a) tenure; (b) discrimination; or (c) sexual harassment complaints.

ii. Actions or decisions that are the result of policies or changes in policies that affect the entire faculty or academic unit are not grievable. Such disputes should be handled through the Office of the Provost.

iii. Broad areas of fiscal management, staffing, or organizational structure within the University or the faculty member's academic unit are not grievable.

iv. Compensation disputes relating to the setting of salaries through established University processes are not grievable.

d. *Standing*. This Policy is intended for and limited to grievances in which the Grievant personally has been directly, materially and adversely affected by a decision or action of the Respondent.

e. *Resolution of Grievance*. If a grievance involves a Department Head or administrator/staff member reporting directly to that Department Head, final considerations, as described below, are made by the Dean/Director. If a grievance involves a Dean/Director or administrator/staff member reporting directly to that Dean/Director, final considerations, as described below, are made by the Provost. If a grievance involves the Provost or administrator/staff member reporting directly to the Provost, final considerations, as described below, are made by the President.

## 2. Confidentiality

All oral and/or written materials prepared for mediation or grievance under this Policy, and all statements and communications made as part of the processes described herein, are confidential. All involved parties and participants are obligated to hold all matters related to a mediation or grievance in confidence, to the extent permitted by law. Failure to comply may result in disciplinary action.

## 3. Roles and Responsibilities

The Grievant and Respondent and all other participants are expected to abide by all procedures outlined in this Policy, participate in good faith, and ensure confidentiality before, during, and after the process.

## B. DREXEL FACULTY GRIEVANCE PANEL

**1. Membership.** The Drexel Faculty Grievance Panel ("Grievance Panel") shall be composed of members elected by the voting faculties of the Schools and Colleges of Drexel University. Each College/School shall be represented by a single member. Members of the Grievance Panel shall serve three-year terms. If a member's term expires or if a member resigns, that member shall continue to serve as a member on any Grievance then pending before a Grievance Panel to which that member has been appointed. A member of the Grievance Panel may be elected for a single successive term. Elections shall be held at Spring meetings of the faculty of each College and School, and terms shall begin and end on the date the Drexel University Faculty Senate holds its May meeting.

For the first election of the members of the Grievance Panel, the terms of the members shall be adjusted by the Chair of the Senate Committee on Nominations so that one-third of the members of the Grievance Panel shall be elected in each successive year. In this interim period, a member of the Grievance Panel may be elected for a second successive term.

**2. Duties.** The Grievance Panel shall meet annually and within thirty days of the election provided in Section C-1. At this annual meeting, the Grievance Panel shall:

- Elect a Chair-elect who shall succeed the Chair of the Grievance Panel (“Chair”) at the next annual meeting and fulfill all powers of the Chair in the event of absence or inability of the Chair. Initially both a Chair and Chair-elect shall be elected.
- Adopt or modify procedures the Grievance Panel deems necessary to implement and conduct the mediation and grievance processes in an orderly and fair manner. Such procedures must be consistent with this Policy.

### **C. DREXEL FACULTY MEDIATION BOARD**

**1. Membership.** The Drexel Faculty Mediation Board (“Mediation Board”) shall be composed of two to five faculty members selected from among the members of the Grievance Panel who are acceptable to the Provost, who have agreed to serve as mediators during their term, and who shall be specially trained in mediation. Members of the Mediation Board shall serve three-year terms. A member of the Mediation Board may be appointed for a second successive term. Once appointed to a grievance, a mediator shall continue to serve in that capacity until the mediation is ended, even if the term of the Mediator shall expire in the meantime.

**2. Duties .** Mediators shall perform their duties in accordance with the Model Standards of Conduct for Mediators [see: <http://www.abanet.org/dispute/news/ModelStandardsofConductforMediatorsfinal05.pdf>]. In particular, they shall have no interest in the dispute and no real or perceived conflict of interest with any party, but shall seek to promote the best interests of the University; and they shall use their best efforts to effectuate an amicable resolution of any grievance submitted to them

### **D. GRIEVANCE SUBMISSION PROCESS**

A Grievant initiates the required Mediation and Grievance Process by submitting a Grievance in writing to the Chair. The Grievance must be filed within sixty (60) calendar days after the grievant knew or should have known of the events giving rise to the Grievance. Where a pattern or practice is claimed to be illegal or unfair, the Grievance must be filed within sixty (60) calendar days after the grievant knew or should have known of events constituting such a pattern or practice.

In the formal written Grievance, the Grievant must provide (a) the basis for the grievance; (b) the Grievant’s

standing to assert the grievance, i.e., how the Grievant has been directly and adversely affected; (c) all steps that have already been taken to resolve the grievance; (d) the Respondent’s involvement or decision and (e) the Grievant’s desired remedy or outcome. Issues not raised in the written grievance shall not be considered. Upon receipt, the Chair shall ask three members of the Grievance Panel (without interest or conflict in the matter) separately and confidentially to review the Grievance to determine (a) if the Grievant has satisfied all requirements for there to be jurisdiction under Section A.1 above, (b) whether the Grievant has made a good faith effort to resolve the matter, (c) whether there is an actual case or controversy currently presented, and (d) whether the grievance is specific enough and has sufficient grounds upon which to proceed. Two of the three reviewers must agree to accept the grievance. In the absence of such agreement, the Chair shall decline to accept the grievance without further review or consideration.

### **E. MEDIATION PROCESS**

1. The Chair shall ask the Grievant, and shall consider, whether the grievance is appropriate for mediation. If the grievance is deemed appropriate for mediation, the Chair shall appoint a mediator from the Mediation Board. The Mediator may not have an appointment in the College/School of the Grievant or Respondent or have any other actual or apparent conflict of interest. The Mediator does not represent either party. Any party may object to the Mediator on grounds of actual or apparent bias or conflict of interest, and shall submit such objections to the Chair in writing. The Chair shall review such objections and may replace the Mediator as appropriate. Assignments of Mediators are expected to rotate through the members of the Mediation Board.

2. The Office of the Provost, the Office of Human Resources, the Office of Equality and Diversity, and/or the Office of General Counsel may be consulted by the Mediator on mediation procedures or other matters involved in the dispute, as appropriate, including maintaining confidentiality, conducting a hearing, interpretation of policies, regulations or rules, handling of documents and preparing recommendations.

3. The Mediator shall use best efforts to resolve the Grievance within thirty (30) calendar days of formal submission to the Chair. With the consent of both parties, the period for mediation may be extended for a short period of time for good cause. Upon conclusion, or at the end of this period (whichever comes first), the Mediator shall advise the Chair in writing if the matter has or has not been resolved, but may not communicate



anything further about the matter except with the agreement of all parties. If a mutually-acceptable resolution is reached, the details of that resolution shall be included in the Mediator's report to the Chair.

#### **F. GRIEVANCE PROCESS**

1. Grievances not appropriate for mediation, or grievances not resolved through mediation, shall be referred to a Grievance Panel for consideration.
2. The Chair shall propose three (3) members from the Grievance Panel ("Panel Subcommittee") to consider the Grievance. No proposed Panel Subcommittee member shall participate in any grievance in which he/she may have a conflict of interest. Each party shall be given one opportunity to object to any proposed Panel Subcommittee member on grounds of actual or apparent bias or conflict of interest, and shall submit such objections to the Chair. The Chair shall review such objections and may replace the challenged member(s) of the proposed Panel Subcommittee as deemed necessary. The Chair shall then officially appoint the Panel Subcommittee.
3. The members of the Panel Subcommittee shall select a Representative of the Panel Subcommittee ("Representative") who is responsible to convey findings to the Chair in writing.
4. The Panel Subcommittee is empowered to gather information and documents specific to the case of the Grievant, conduct interviews, hold a hearing and take such actions as are necessary to investigate the grievance to the extent that the law and University policies permit. The Panel Subcommittee shall issue its recommendations in writing within thirty (30) calendar days from the date of its official appointment.
5. All hearings are closed to anyone other than the parties and their advisors (see Section F.6), members of the Panel Subcommittee, and any witnesses invited to testify by the Panel Subcommittee. Hearings shall not be audio-recorded or videotaped. A hearing is not a legal proceeding. At the beginning of the hearing, the Representative will: 1) Introduce the members of the Panel Subcommittee; 2) Explain the hearing procedure to the parties including: a) the official record of the hearing; b) the order of presentation; and, c) the requirement of confidentiality; and, 3) Read the Grievance.
6. Each party to the grievance may have one advisor present during a hearing. The advisor's role is limited to advising the Grievant or Respondent. An advisor may not participate in a hearing, question any witnesses or

Grievance Panel member, or in any way interfere with the proceedings.

7. The Office of the Provost, the Office of Human Resources, the Office of Equality and Diversity, and/or the Office of General Counsel may be consulted by the Grievance Panel Subcommittee on procedures or other matters involved in the dispute, as appropriate, including maintaining confidentiality, conducting a hearing, handling of documents and preparing recommendations.

#### **G. FINDINGS / REMEDY**

1. At the conclusion of the grievance process, the Representative shall submit a formal written report to the Chair, to the parties of the grievance and the supervisor(s) of the Grievant and Respondent, including the Dean/Director, Provost and President, as applicable from Section A.1.e. This report should include a description of the investigation, a summary of the findings of the Grievance Panel, its recommendations and the basis for those recommendations.
2. The Dean/Director, Provost or President, as applicable from Section A.1.e, may adopt or reject the report and recommendations of the Panel Subcommittee, in whole or in part. The Dean/Director, Provost, or President, as applicable, shall notify the parties to the grievance of the decision in writing within fifteen (15) business days from the date of the report of the Grievance Panel Subcommittee. The report of the Dean/Director, Provost or President shall include an explanation of her/his decision.
3. Findings must be based upon the standard of whether the faculty member experienced a remediable injury attributable to the alleged violation of a right or privilege as listed in Section A.1.b. The burden is on the Grievant to establish by a preponderance of the evidence that the faculty member has experienced such an injury

#### **H. APPEALS PROCESS**

1. The parties to a grievance have the right to appeal the final decision of the applicable Dean/Director or Provost following a completed grievance proceeding. The appeal must be documented with specific details. An appeal must be in writing and delivered to the Chair within ten (10) business days after issuance of the final decision as set forth in Section G.2. If an appeal is filed, the Panel Subcommittee shall provide all evidence it obtained in its investigation and records of the Subcommittee's proceedings to the Dean/Director, Provost or President as appropriate.
2. The Provost or President, as applicable from Section A.1.e, shall consider only the issues specified in the

appeal, and shall notify all parties to the grievance of his/her decision in writing, within thirty (30) calendar days from the date the appeal was received from the Chair.

3. The appeal decision as set forth in Section H.2 is final.

#### **I. ACCEPTANCE OF REMEDY BY GRIEVANT**

1. If it is found that the Grievance is justified and a remedy is recommended, the Grievant shall, before receiving any such remedy, execute a written agreement recognizing the remedy to be satisfactory and waiving any claims to causes of action arising out of the grievance.

#### **J. DOCUMENTATION**

The initial Grievance documents initiating mediation and grievance processes and appeals as well as final notification letters from the Chair, Provost, and/or President shall be filed in the Office of the Provost or the President, as appropriate, where they will be maintained. Upon completion of all phases of the mediation and grievance processes, any and all other documents, information, and records which have been collected or generated shall be destroyed.

## **FACULTY WORKLOAD PLANNING: A RATIONALE**

Over the course of the past two or three decades, the "accountability movement" in American higher education has led boards of regents and trustees to insist that colleges and universities develop faculty workload policies to insure that funds allocated to support teaching and research activities are used with maximum efficiency. Early efforts to develop faculty workload policies were often imposed rather arbitrarily, causing a great deal of concern among faculty who rightfully cherish a degree of independence in determining how they transact their various instructional and scholarly activities. More recently, however, workload planning has become more sophisticated, and, when properly conceived and implemented, can enhance rather than diminish productivity as well as provide valuable incentives to faculty that are realized in promotion and tenure deliberations as well as in annual performance reviews. That is the intent of the workload plan currently being developed at Drexel.

It is important that the idea of "load" includes scholarship/creative activity and service as well as teaching. Credit hour equivalencies are accordingly developed for research and service by deans and department heads in consultation with departmental

faculties. The department head needs to know how many classes need to be taught during a given year and what proportion of those courses need to be taught during a given year and what proportion of those courses need to be taught by professorial faculty, as well as by auxiliaries and by adjuncts. The task is then to deploy faculty resources in ways that fully satisfy the department's instructional obligations while also providing support for important research and service initiatives. Specific departmental missions play an important role in determining teaching and research loads. Departments with large graduate programs and research responsibilities will deploy resources differently than departments where undergraduate instruction is the predominant activity.

In assigning workloads, the overarching principle is that each individual faculty member should do what he/she does best. For example, a senior faculty member who is no longer active in research and scholarship should have the opportunity to teach more than highly active scholars whose research productivity is largely dependent on the amount of time he/she has to carry out his/her investigations. The critical point is that faculty are then rewarded for what they do well. By contrast, in departments in which all faculty (or all faculty at a particular rank) teach the same number of courses, those faculty who are active in research and in service will fare far better in performance evaluations and will get a far larger raise than faculty who are not active in research.

If, however, those faculty who are not research active willingly take on a heavier teaching responsibility and teach their courses well, they will be accorded more satisfactory evaluations and hence will be eligible to receive larger raises. In other words, properly conceived and administered, an intelligent workload policy can create situations in which everyone wins! Please note that significant activity is required for all tenure-track faculty, since the awarding of tenure requires a strong record in research as well as in teaching and service. The same is true for associate professors who wish to be promoted to the rank of full professor.

Now then, the idea of a twelve-hour load is based on the notion that a faculty member who is not expected to do research or to perform university service should teach 12 credit hours. For professorial faculty, however, one starts at 12 hours and works down, depending on the amount of one's service and research activity. Again, departmental mission is a critical determinant in assigning loads. Also, in cases where departments offer courses in which contact hours vastly exceed credit

hours, special consideration is required. Put simply, there is no set formula that can be applied evenly across the university or even within a large college. Rather, each department needs to develop its own workload system which is subject to approval by the dean and the provost.

### **Workload Guidelines**

The Drexel faculty workload policy is premised on the assumption that all faculty activities in teaching, research/creative activity (hereafter referred to simply as research), and service constitute the equivalent of twelve hours per term or thirty-six hours over three of the four terms in an academic year.

### **Workload Philosophy**

The assignment of faculty workloads is organized on the principle that each department meets its overall responsibilities in teaching, research and service in a fully satisfactory fashion within approved budgets by employing a variable workload program that provides each faculty member with the ability to do what she/he does best. Because specific departmental missions and instructional pedagogies differ, the responsibility for determining specific faculty workloads rests with the department head (and, where they exist, in consultation with department personnel committees), subject to review and approval by the dean/director and the provost.

#### *Step 1 - Determining unit responsibilities*

Each department or school will develop and have in place a normative model as a framework for workload assignments. Prior to developing departmental/school budgets, the department head or school director will review the unit's instructional, research and service responsibilities for the following academic year. It should be noted that modifications may occur in the workload assignments based on changes in the unit's needs. This is accomplished by identifying the number and type of students to be served, determining maximum and minimum class size requirements, reviewing unit requirements in research, scholarship and creative activity, and determining realistic service obligations for faculty in the department, the college and the university. Implicit in this review is that a unit's continuing salary budget is adequate to meet the above requirements unless significant changes in enrollment or in the department's research and service missions have occurred in the previous year. For 1999-2000, each unit will be zero-based budgeted and research and service requirements identified so that salary budgets are adequate to meet instructional, research and service needs.

#### *Step 2 - Assignment of loads to professional faculty*

Professional assignments will be made in a manner which maximizes unit productivity and which enables

faculty to fulfill their various instructional, research and service expectations. While no set formula for the assignment of loads will be prescribed because of differing departmental missions, the following is assumed: research-active faculty in departments with graduate programs will teach two courses (six hours), with the remainder of their assignments in research and service. In undergraduate departments, the instructional norm is nine hours of instruction, with the remaining hours designated to research and service. This does not mean that all faculty in graduate departments teach six hours per term or that all faculty in undergraduate departments teach nine hours. It simply means that departmental budgets are based upon this identification of instructional responsibilities. For example, in cases in which faculty teach very large classes without additional support from TA's, etc., it is not inappropriate for such a class to count as two sections. Also, special care must be taken to insure that tenure track faculty have workloads that enable them to meet their expectations in research as well as in instruction. It is, then, the responsibility of department heads to assign faculty loads in a manner that maximizes productivity within the existing salary budget. For example, in a graduate department, a faculty member who is very active in research may have her/his teaching load reduced to three hours only if another faculty member who is not research active (but who contributes to the unit's service mission) teaches nine hours.

#### *Step 3 - Assignment of loads to auxiliary and adjunct faculty and to teaching assistants*

The remaining instructional obligations in a department are fulfilled by auxiliary and adjunct faculty and by teaching assistants according to customary policies of the department/school and of the university.

#### *Step 4 - Loads and budgets*

Assuming the adequacy of a unit's faculty salary budget, the dollars available for instruction, research and service must fully cover the cost of the assigned loads. When this is not the case, the department head must recalculate loads so that the unit's salary budget is adequate. In cases where the faculty salary budget more than covers the faculty workload (assuming no significant changes in student enrollments or in departmental mission), loads must also be recalculated.

#### *Step 5 - Faculty performance reviews*

In the fall of each year, each department will conduct annual performance reviews for the purpose of determining faculty raises and to establish the basis for workload assignments for the following year. For example, a faculty member who has been assigned a

load based upon expectations in research and service well as in teaching must have fulfilled those expectations to receive a merit increase and to maintain the assigned load in the following academic year. As always, individual faculty members have the right to appeal an assigned load through appropriate academic channels.

#### *Step 6 - Assessment of Workload Policy*

Assessment of the workload policy will occur over the first two years to determine its effectiveness in helping units satisfy the workload policy requirements (e.g., variable assignments that reflect the unit's range of activities, mission, individual faculty goals, and the university mission. The Faculty Affairs Committee of the Senate, in consultation with the Administration, will develop a framework for assessment of the Workload Policy, and a mechanism for incorporating the results of that assessment into revisions in the Workload Policy. All such revisions are subject to Faculty Senate approval.

#### *Budget Implications*

It goes without saying that department budgets must be adequate to cover the cost of the unit's overall responsibilities in instruction, research and service. In addition, the budget must be returned to each unit in a timely manner. As we approach steady state in terms of our enrollments, and as we redefine departmental goals and missions, we must build budgets in a manner in which we deploy our limited resources equitably and consistent with actual needs. We can do that only if we have a workload policy that is based upon a unit's mission and function, and in which all faculty are assigned loads designed to achieve maximum productivity within acceptable norms.

#### *APPENDIX*

##### *Menu of Functions Related to Workload*

It is understood that specific activities in the three categories of Instruction, Research and Service may differ among our Schools and Colleges. This document is intended as a road map rather than a prescription, and, where appropriate, units should adjust activities from one category to another. This portion of the document helps to codify the proposed workload document.

##### *Fitness and Appropriateness*

The fitness and appropriateness of the workload functions are important concerns. Fitness and appropriateness emphasize the work that faculty are assigned and budgeted to do; in terms of workload these

two should be the same. Criteria for merit may be structured on these functions. The relative weight for tenure and promotion may not be the same as for merit. Connecting the criteria to faculty workload responsibilities requires performance at the University-wide level and at the college/school/department level. At the University-wide level, the general responsibilities of faculty are to engage in teaching, research or other creative scholarly activities, public service, University governance, and activities within one's discipline. At the college/school/ department level, units have differing missions and goals within the University-wide mission. In addition, faculty work assignments differ among and within the colleges, schools, and departments and therefore, workload responsibilities will differ based on their college/school/department level missions and goals.

##### *Fairness*

The fairness of how this menu of functions is applied also is important. Fairness means that the procedures for assigning and budgeting various functions of the total workload include safeguards against assignment of functions that are inappropriate to the individual's professional competence. In instances where there is a non-negotiable discrepancy regarding an assigned and budgeted function between a faculty member and his or her supervisor, the person is assured a just hearing.

##### *Criteria*

The need for fitness and appropriateness requires that the various functions be weighted and prioritized to meet the unit's mission and goals. In turn, these specific unit weightings of the workload functions can be used in evaluating faculty's performance of the duties assigned to them by the department heads or equivalent and approved by the deans or school directors. Evaluating faculty performance by workload function may result in the following evaluations:

- Distinguished: Demonstrates superior or outstanding performance.
- Proficient: Performs at a capable and competent level.
- Adequate: Performs to meet minimal requirements.
- Conditional: Does not meet minimal requirements.
- Menu of Workload Functions

The following functions are forms of scholarship that may be considered for the purpose of determining workload.

### *Instruction*

Faculty whose work assignments include instruction must demonstrate teaching excellence that draws upon the instructor's depth and breadth of scholarship. Following are examples of workload functions addressing instruction.

- Regular teaching assignment
- Preparation of innovative teaching materials or instructional techniques or design and development of new curricula
- Development of innovative courses
- Course coordination involving mentoring/teaching of other course instructors
- Contribution to a department's/program's instructional program
- Direction of individual student work, e.g., independent studies, theses or dissertations, special student projects, and informal student seminars
- Administration of teaching, e.g., multiple sections, team taught
- Academic advisement which is integrally related to the learning process and to course outcomes
- Publication of textbooks or articles that reflect the faculty member's teaching contributions and scholarship
- Presentation of papers on teaching before learned societies
- Selection for special teaching activities outside of the University, especially outside the United States e.g., Fulbright awards, special lectureships, panel presentations, seminar participations, and international study and development projects

Membership on special bodies concerned with teaching, e.g., accreditation teams and special commissions

- Receipt of competitive grants/contracts to fund innovative teaching activities or to fund stipends for students
- Membership on panels to judge proposals for teaching grants/contracts
- Invitation to testify before governmental groups concerned with educational programs
- Supervision of students being trained in clinical activities in practical and/or field sites

### *Research or Other Creative Scholarly Activities*

Faculty whose work assignments include research or other creative scholarly activities should clearly demonstrate excellence in these endeavors. Following are examples of workload functions addressing research or other creative scholarly activities.

- Publication of articles, books, monographs, bulletins, reviews, and other scholarly works by reputable journals, scholarly presses, and publishing houses that accept works based on rigorous review and approval by peers in the discipline
- Receipt of competitive grants and/or contracts to finance the development of ideas
- Refereed presentations (e.g., professional conferences)
- Supervision of publishable undergraduate research project(s),
- Supervision of graduate research
- Patents
- Consulting
- Juried exhibitions of art works
- Appointment as consultant to state, national, and/or international public and private groups engaged in scholarly and/or artistic endeavor
- Development of processes or instruments useful in solving problems relevant to the mission and needs of the faculty members unit
- Selection for tour of duty at special institutes for advanced study
- Presenting testimony before governmental groups concerned with research or other creative scholarly activities

### *Service*

These service listings are necessarily lengthy to accommodate the diverse activity that may be typical of a particular unit. The service workload functions are to be used for workload reporting and are intended to complement tenure and promotion criteria but not to extend or substitute for them. Refer to the tenure and promotion policy for tenure and promotion documentation. The lengthy number of the service functions should not be construed as having more weight than the instruction or research functions.

### *Public Service*

Public service is the application of knowledge through research, teaching, and technical assistance to the solution of societal problems. Faculty whose work

assignments are in public service must devise creative ways to serve the public. Following are examples of workload functions addressing public service.

- Providing information, advice, or assistance to governmental bodies, i.e., congress, State Legislature, City Council, committees or commissions of government, etc., or providing testimony at hearings of governmental bodies
- Provide educational needs assessment, program development, training, consultation, and technical assistance to local, state, national, and/or international organizations
- Identify, develop, and render service to individuals, communities, organizations, and public agencies in support of their own purposes and functions
- Furnish leaders and groups with objective research results and other resource information for decision-making
- Design and conduct feasibility studies, field-test basic knowledge, develop procedural and technical manuals, and provide group instruction on and off campus
- Development and application of effective ways to identify problems and assess needs in a service area
- Mentor people nationally and internationally to study the faculty member's work and innovations
- Disseminate in the appropriate media the faculty member's service work and innovations
- Development of instruments and/or processes useful in solving persistent problems in a service area
- Serve on special bodies concerned with service
- Receipt of grants and/or contracts to finance development and delivery of service innovations
- Serving on panels judging grant/contract proposals for service innovations

*Service - University Governance.* University governance includes activities required to study University needs, to decide procedures for meeting those needs, and to

implement those decisions. Faculty members are responsible for contributing to the myriad processes that move the University forward to carrying out its mission. Following are examples of workload functions addressing service as University Governance.

- Serve in membership and/or leadership roles in University level activities, e.g., the faculty senate, special ad hoc and standing committees, etc.
- Serve in membership and/or leadership roles in college/school level activities, e.g., special ad hoc and standing committees, etc.
- Serve in membership and/or leadership roles in departmental/program level activities, e.g., special ad hoc and standing committees, etc.
- Consistently displays collegiality and good departmental citizenship, including recruiting activities
- Carry out administrative responsibilities at the appropriate level(s)
- Serve in special assignments such as representing the University at national and/or international meetings
- Publish books, articles, and give speeches pertaining to governance in higher education; these works being rigorously reviewed and accepted by peers

*Service - Other Professional Activities.* Other professional activities include work within professional associations and learned societies and assistance to one's colleagues. Following are examples of workload functions addressing service as Other Professional Activities.

- Election to offices in professional associations and learned societies
- Serve on important state, national, and/or international committees in professional organizations
- Serve as editor or associate editor for professional journal
- Serve as consultant on problems appropriate to the disciplines

Membership on editorial boards reviewing publications, panels judging grant/contract proposals, juries judging artworks

Senate Faculty Affairs Committee Draft prepared by F. Reisman with references from University of Georgia documents and Drexel Faculty input.



# FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) POLICY

Effective Fall 2009

## I. Purpose

The Family Educational Rights and Privacy Act ("FERPA" - 20 U.S.C. § 1232g; 34 CFR Part 99) is a Federal law that protects the privacy of student education records. The law applies to students who are at least eighteen years old or who attend or attended a post-secondary institution, even if they have not reached the age of eighteen.

## II. Policy

It is the policy of Drexel University ("University") to comply with all provisions of FERPA.

## III. FERPA Summary

Below is a summary of the important rights granted to students under FERPA. To view the definitive set of regulations and for other helpful information, please visit: <http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>

### A. Definitions

#### 1. Education Record

Education Record means any record (1) directly related to a student and (2) maintained by the University or a party acting for the University. There are several important categories of records that are specifically exempted from the definition of an Education Record:

- a) Records of instructional, supervisory, administrative, and certain educational personnel which are in the sole possession of the maker of the records, and are not accessible or revealed to any other individual except a substitute who performs on a temporary basis the duties of the individual who made the records,
- b) Records maintained by a law enforcement unit of the University that were created by that law enforcement unit for the purpose of law enforcement,
- c) Records relating to individuals who are employed by the University, which are made and maintained in the normal course of business, relate exclusively to individuals in their capacity as employees, and are not available for use for any other purpose,

- d) Records relating to a student which are:
  - (1) created or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional, acting in his/her professional capacity or assisting in a paraprofessional capacity;
  - (2) used solely in connection with the provision of treatment to the student; and
  - (3) not disclosed to anyone other than individuals providing such treatment.
- e) Records that only contain information about an individual after he or she is no longer a student at the University.

#### 2. School Official

School Official means a person employed by the University in an administrative, supervisory, academic or research, or support staff position, including health or medical staff; a trustee, public safety officer, or outside contractor such as an attorney or auditor acting as an agent for the University; a student serving on an official committee, such as a disciplinary or grievance committee or who is assisting another School Official in performing his or her tasks; and any contractors, consultants, volunteers or other party to whom the University has outsourced institutional services or functions as long as the individual: (1) performs a service for which an institution would otherwise have to use its own employees; (2) is under the direct control of the University with respect to the use and maintenance of the education record; and (3) is subject to the same conditions on use and re-disclosure of education records that apply to other School Officials.

#### 3. Directory Information

Directory Information means the following student information:

- Student name
- Local address and telephone number
- Campus e-mail address
- Dates of attendance at the University
- Registration status
- Graduating Class
- College or school
- Major field of study
- Awards
- Honors
- Degree(s) conferred and date(s) received
- Past and present participation in officially recognized sports and activities

- Physical characteristics (height, weight) of NCAA athletes
- Previous educational institutions attended

#### 4. Legitimate Education Interest

Legitimate Education Interest means an interest that a School Official has in the protected records when the School Official is performing a task that is:

- Specified in his or her position description or contract agreement;
- Related to a student's education; or
- Related to the discipline of a student.

#### 5. Personally Identifiable Information

Personally Identifiable Information includes, but is not limited to:

- The student's name
- The name of the student's parent or other family members
- The address of the student or student's family
- A personal identifier, such as the student's social security number, student number, or biometric record
- Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name
- Other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty

Information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record relates.

## B. STUDENT RIGHTS UNDER FERPA

### 1. RIGHT OF INSPECTION AND REVIEW

- a) Current and former students have the right to inspect and review their Education Records within 45 days of the date that the University receives a request for access.
- b) A request that identifies the Education Record(s) to be reviewed or inspected must be submitted in writing by the student to the University Registrar, a Dean, a Chair, or other appropriate

University School Official. That School Official will make arrangements for access to the records with the University Registrar and will notify the student of the time and place where the records may be inspected. If the records are not maintained by the School Official to whom the request was made, that School Official shall advise the student of the correct individual to whom the request should be made.

### 2. Right to Request Amendment of Education Record

The University provides a student with an opportunity to request amendment to the contents of an Education Record which he/she considers to be inaccurate, misleading, or otherwise in violation of his/her privacy or other rights. A School Official who receives such a request will coordinate with the University Registrar and they will decide within a reasonable period of time whether corrective action consistent with the student's request will be taken. The student must be notified of the decision. If the decision is in agreement with the student's request, the appropriate record(s) must be amended. A student who is not provided full relief sought by his/her challenge must be informed by the appropriate School Official, in writing, of the decision and his/her right to a formal hearing on the matter.

### 3. Right to Consent to Disclosure of Education Records

The University will disclose information from a student's Education Records only with the written consent of the student, unless one of the following exceptions apply:

- a) Directory Information may be made available to anyone who makes a request for such information, without first notifying the student, unless a Request for Non-Disclosure of Directory Information form is completed by a student while he/she is enrolled and the form is submitted to the Office of the University Registrar.
- b) The disclosure is to authorized federal and state representatives for audit or evaluation or compliance activities.
- c) The disclosure is to School Officials that are in the process of carrying out their assigned educational or administrative responsibilities and have a Legitimate Educational Interest. The determination as to whether or not a Legitimate Educational Interest exists will be made by the University Registrar, who serves as the FERPA Officer for the University. When the FERPA Officer has any questions regarding the request, the FERPA Officer should withhold disclosure

unless he or she obtains consent from the student or the concurrence of a supervisor or other appropriate official that the record may be released.

- d) The disclosure is to provide a service or benefit relating to the student or student's family, such as health care, counseling, job placement, or financial aid.
- e) The disclosure is to maintain the health or safety of the student or others on or off campus. When the University discloses personally identifiable information under the health or safety emergency exception, the University must record the significant threat to the health or safety of a student or other individuals and the parties to whom the information was disclosed. This documentation must be done within a reasonable period of time after (but not necessarily prior to) the disclosure and must be maintained with the student's education records. This documentation should identify the underlying facts the University relied upon in determining there was a defined and significant threat.
- f) The disclosure is to officials of other institutions in which a student seeks or intends to enroll, as long as the disclosure relates solely to the purposes of the transfer, on the condition that the issuing institution makes a reasonable attempt to inform the student of the disclosure, unless the student initiates the transfer.
- g) The disclosure is in connection with financial aid for which a student has applied or received, if the information is necessary for the determination of eligibility, amount and conditions of aid or to enforce the terms and condition of aid.
- h) The disclosure is to organizations conducting studies for, or on behalf of, educational agencies or institutions to develop, validate, and administer predictive tests, to administer student aid programs or to improve instruction, provided that individual identity of students is not made and that the disclosure is restricted to the representatives of the organization that have a legitimate interest in the information. Information may only be disclosed per a written agreement between the University and the organization conducting the study on the University's behalf that:
  - Identifies the purpose, scope, and duration of the study; ii.) Requires the organization to use personally

identifiable information from education records only to meet the purpose of the study as noted in the agreement; iii.)

Requires that the organization conduct the study in a manner that does not permit personal identification of parents and students by anyone other than representatives of the organization with legitimate interests; and iv.) Requires the organization to destroy or return the personally identifiable information to the University when the information is no longer need and specifies the time period in which the destruction or return must occur.

- Requires the organization to use personally identifiable information from education records only to meet the purpose of the study as noted in the agreement;
  - Requires that the organization conduct the study in a manner that does not permit personal identification of parents and students by anyone other than representatives of the organization with legitimate interests; and
  - Requires the organization to destroy or return the personally identifiable information to the University when the information is no longer need and specifies the time period in which the destruction or return must occur.
- i) The disclosure is to accrediting organizations carrying out their accrediting functions. The disclosure is to comply with a judicial order or a lawfully-issued subpoena, provided that the University makes a reasonable attempt to notify the student in advance of compliance. If a contractor receives a subpoena for a student's information, the contractor is required to provide the appropriate notice. The University is not required to notify the student if a federal grand jury subpoena or any other subpoena issued for a law enforcement purpose orders the institution not to disclose the existence or contents of the subpoena. In addition, the University is not required to notify the student if disclosure is necessary to comply with an ex-parte court order obtained by the U.S. Attorney General or an Assistant Attorney General concerning certain criminal investigations and prosecutions.

- j) The disclosure is to a victim of an alleged crime of violence or a non-forcible sex offense, or to the alleged victim's next of kin (if the victim dies as a result of the crime or offense). The disclosure may only include the final results of the disciplinary proceeding conducted by the institution, regardless of whether the University concluded a violation was committed or not. The University may not require students who are sexual assault victims to sign confidentiality pledges to protect from further disclosure the disciplinary proceedings.
- k) The disclosure is to the parents of a student under 21 years of age who has been found responsible for a violation involving the use or possession of alcohol and/or drugs.
- l) The disclosure is related to a student registered sex offender and is information that was provided to the University pursuant to the Wetterling Act and other applicable federal guidelines. In addition, the University may make available to the campus community additional information about a student who is also a registered sex offender where the information is relevant to protecting the public.
- m) The disclosure is one where all Personally Identifiable Information has been removed. Written record of such a disclosure is not required.
- n) In the event that a student wants to provide ongoing access to their Education Records to an individual such as a parent or family member, they must first complete a FERPA Student Authorization to Release Records form. This will allow the individual named on the form by the student to have complete or limited access to the student's Education Record until such permission is revoked by the student.

#### 4. Right to File a Complaint

Students have the right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with FERPA. The name and address of the office that administers FERPA is:

Family Policy Compliance Office  
 U.S. Department of Education  
 400 Maryland Avenue  
 SW Washington, DC 20202-5920

#### IV. Contact Information

In the event of questions or concerns regarding this policy or other matters pertaining to FERPA, a student can contact the Office of the University Registrar at

215.895.1050 or email at [Ferpa@drexel.edu](mailto:Ferpa@drexel.edu). All FERPA policy related forms can be found at the following location: <http://www.drexel.edu/src/ferpa/default.html>.

### FORMS OF IDENTIFICATION

All students are expected to carry either their Drexel University I.D. card (DragonCard) or another form of picture identification, a driver's license, for example. Identification must be shown when requesting transcripts and certifications through the Student Administrative Services Center.

All Drexel University faculty and staff are expected to have available upon request, a Drexel University Faculty/Staff I.D. card. A faculty/staff identification card must be presented when requesting or submitting any materials to the Student Administrative Services Center.

SRC reserves the right to refuse service to anyone not presenting a valid form of identification.

### FULL-TIME/PART-TIME STATUS (UNDERGRADUATE STUDENT POLICY STATEMENT )

(originally posted 11.23.05)

Last modified: 01.19.06

#### Introduction

The assignment of status as full-time or part-time governs much of the student experience with regard to billing, financial aid, participation in the co-operative education experience and ability to progress in his or her academic program. This document provides students with detailed information on undergraduate status, other policies that constrain status changes and documentation requirements to enact a change in status.

#### Policy Statement

Student status as full-time or part-time is determined at the point of admission. Those students admitted into a full-time program of study will be classified as full-time; in the event that the program of study is both a full-time and part-time program of study, student declaration of status will be recorded in the student record.

- Those students enrolled as full-time in a full-time program of study will be required to **maintain** at least 12 credits per term.

- Those students enrolled as part-time will be required to carry **less than** 12 credits per term.

In order to change status, students are required to declare their intent by completing a Change of Curriculum and Status form. The student should consult with his or her academic advisor to determine if the change sought is allowable. For instance, the Industrial Engineering program is only offered as a part-time program of study in Goodwin College of Professional Studies. The signatures of the student's academic advisor, co-op coordinator (if enrolled in a co-op program) as well as that of a financial aid representative are required to enact this change.

There are some students for which status and status changes are governed by other policies. For instance

— Drexel University employees may not register for a full-time course load while employees of the University (Note 4)

— International students must comply with full-time registration requirements established by the United States Citizenship and Immigration Service (USCIS formally INS). International students on F-1 or J-1 student visas are strongly encouraged to meet with their International Students and Scholars Services (ISSS) advisor before making any decision to change their status change (Note 5).

### **Process to Enact a Change of Status**

There are many other policies and federal regulations governing a student's decision to change his or her status. In particular, Financial Aid, Cooperative Education and U.S. Citizenship and Immigration Service (for international students) policies and regulations should be considered when making a decision to change status as there are potential ramifications associated with falling below full-time status. Where relevant we have linked students to the appropriate policy to inform their final decision regarding drop and withdrawal (please see notes 3, 5, 6, and 7). We encourage students to seek out their academic advisors, financial aid counselors and coop coordinators when making any such decision.

A student may change his or her status by filing a *Change of Curriculum and Status form* with the Office of the University Registrar. By completing this form, the student is signifying that he or she will ascribe to the credit limits associated with the new status, and accept the changes in financial aid and billing that are incurred as an outcome of the status change. In order to change

status, students are required to declare their intent by completing the Change of Curriculum and Status form. The student should consult with his or her advisor to assess whether the change is allowable (see Policy Statement.)

The Change of Curriculum and Status form must be filed no later than the end of the adjustment period for the term in which the change is sought. That being said, it is recommended that the student indicate a change in status from either full-time to part-time or vice versa before the onset of his or her registration period for the next term in order to provide the advisor the information needed for sound academic planning.

Those students that fail to change their status during the specified time period will be billed according to their official status designation. Adjustments to the bill will be made at the end of the registration period to reflect students' enrollment status at that point in time; students' accounts will be reassessed throughout the adjustment period to accurately reflect their registration and account status.

### **Policy Impacts / FAQ's**

#### **Students That Fall Below Full-time Status**

In the event that a full-time student falls below the 12 credit minimum, he or she will be notified by the advisor at the end of the third week of the term to discuss the impact of such and confirm status as full-time or change status to part-time for the subsequent term. *If one does not change his or her full-time intent as prescribed by the above policy he or she will be billed at the full-time rate for the subsequent term, consistent with the official designation indicated in the student record.*

**Senior Year Exception** – Students entering into the senior year must file for degree by August 1st of their Senior Year. Full-time senior level students in the last term of their program of study will be allowed to fall below the 12 credit minimum. Even though they will be considered to have full-time status for all academic and institutional purposes, these students will be billed on a per credit basis and reported to the National Student Clearinghouse as less than Full-time for all enrollment reporting purposes.

#### **Change due to withdrawal from courses**

In the event that a student's schedule changes from full-time to part-time as a consequence of the withdrawal process, the student will not need to file a Change in Curriculum or Status form as he or she is still considered to be working within the guidelines established by the



program of study and official status designation. That is, a full-time student who falls below 12 credits because of a course withdrawal has attempted 12 credits and will maintain his or her status as full time. Such a student will have completed less than his or her attempted credits and will be encouraged to discuss the ramifications of completing less than the attempted credits with his or her academic advisor and a financial aid representative<sup>6</sup>. There will be no adjustment to the bill for such changes after the close of the 5th week. (Please refer to the Bursar's webpage for refund policies for withdrawal enacted during weeks 3, 4 and 5 [http://www.drexel.edu/depts/bursar/tuition\\_credits.asp](http://www.drexel.edu/depts/bursar/tuition_credits.asp)).

### **Change due to dropping a course**

In the event that a full-time student drops a course during the adjustment period, it is expected that he or she will add courses to maintain a full-time schedule i.e. at least 12 credits (Notes 7 and 8). Throughout the adjustment period the academic advisor will review the registration status of his or her students to ensure that the standards of status designation are met. If during the adjustment period, a full-time student falls below the full-time credit minimum of 12 credits and was not able to meet this standard, students' charges will be reassessed automatically and the bill will be adjusted. However, if in the subsequent term the student is again below 12 credits at the close of the registration period, he or she will be notified to confirm status with his or her academic advisor.

### **Change due to addition of course(s)**

In the event that a part-time student enrolls in 12 credits or more during the adjustment period, he or she will be charged as a full time student. However, if in the subsequent term the student again exceeds 12 credits or more he or she will be asked to confirm status with the academic advisor.

### **Associated Policies**

- Academic Standards
- Course Add Policy
- Course Drop Policy
- Course Withdrawal Policy
- Change of Program
- Satisfactory Academic Progress, Federal Financial Aid guidelines
- Course Enrollment Policy, Co-operative Education
- U.S. Citizenship and Immigration Service regulations, refer to ISSS webpage and Student Life Handbook
- HR Policy-22: Tuition Remission

### *Critical Definitions*

**Full-time Status** – A student is classified as full-time if he or she is enrolled in a full-time degree granting program. This is determined at the point of admission. Full-time status is maintained by enrolling in at least 12 credits for each term in which the student is enrolled.

**Part-time Status** – A student is classified as part-time either by applying to and being admitted to a part-time academic program (Note 1) or by applying for part-time status by changing his or her status from full-time to part-time by submitting a completed Change of Curriculum and Status (see Note 2) form. Such a request, for a change in status, must meet the approval of the student's academic advisor.

**Registration Period** – This is the period in which registration takes place for a given cohort of students as prescribed by the time ticket (Note 3). The beginning of the registration period varies according to the assignment of one's time ticket, and the registration period ends for all students at the conclusion of the time ticket schedule. The registration period lasts approximately five weeks after the onset of the first time ticket. During the registration period students are expected to enroll in a full-time course load if they are designated as full-time students.

**Adjustment Period** – This is the period during which students can make changes in their registration by adding or dropping courses. The adjustment period begins one week before classes start for a particular term and continues through the end of the second week of the term, concluding that Sunday at 11:00 pm.

### **Notes**

Note 1: For instance, students can only apply to Industrial Engineering on a part time basis.

Note 2: This form can be found at: <http://www.drexel.edu/SRC/forms.asp> .

Note 3: Time ticket schedules are available on the SRC website at: [http://www.drexel.edu/SRC/time\\_tickets.asp](http://www.drexel.edu/SRC/time_tickets.asp) .

Note 4: A full description of policy governing employee enrollment status may be found at <http://www.drexel.edu/hr/policies/DU-HR22.htm>.

Note 5: A full treatment of federal regulations governing the status of international students can be found at <http://www.drexel.edu/iss/maintainingstatus.htm> . This information is also available in the Student Handbook.

Note 6: This can potentially have financial aid consequences; students are encouraged to review the



Satisfactory Academic Progress (SAP) requirement for federal and institutional financial aid eligibility available at [http://www.drexel.edu/financialaid/academic\\_progress.asp](http://www.drexel.edu/financialaid/academic_progress.asp) and discuss the withdrawal decision with both the Academic Advisor and / or Financial Aid Office.

Note 7: This is particularly relevant for students enrolled in the Cooperative Education Program. In order to participate in coop, students are required to be registered as full-time in the two terms preceding the onset of their cooperative education assignment. A full description of this policy can be found at <http://www.drexel.edu/scdc/student-information/co-op-step-by-step/co-op-prerequisites.html>

Note 8: It is expected that students on either an F-1 or J-1 visas comply with the full-time registration requirements established by the United States Citizenship and Immigration Service (USCIS formally INS). In making a decision regarding the dropping of a course, international students on an F-1 or J-1 visa are strongly encouraged to meet with an ISSS advisor to explore the impact of such a change on their immigration status.

## GRADES

Scale

Grade Point Average (GPA)

Grade of Incomplete

Grade Not Reported

### Scale

Grade	Grade Points
A+	4.0
A	4.0
A-	3.67
B+	3.33
B	3.0
B-	.67
C+	2.33
C	2.0
C-	1.67

D+	1.33
D	1.0
F	0.0
AU	0.0
INC	0.0
W	0.0
CR	0.0
NCR	0.0

The letter grades are given for individual courses, and grade points are used to compute GPAs for each student at the end of each term, on both a term and a cumulative basis. Earned grades of F (not assigned administratively) are permanent and cannot be changed.

### Grade Point Average (GPA)

The term or cumulative GPA is calculated by using the following formula:

$$GP = \frac{\text{Grade Points}}{\text{Credits}} \quad | \quad \text{Credits} = \text{Credits}$$

Drexel University computes a single, cumulative undergraduate GPA that includes all coursework a student has taken at the University.

Only the credits earned from the first time a course is completed with a passing grade will be included in a student's earned and passed hours.

### Grade of Incomplete (INC)

At the discretion of an instructor, the grade of "INC" (Incomplete) may be reported in place of a letter grade for any course in which the instructor deems that the work has not been completed and that the student can complete the work within an agreed upon time (which must be in accordance with University policy and the statute of limitations governing grade changes). A grade of "INC" may be entered for a student at the time grades are submitted for the course. The conditions and terms for the completion of the course are at the discretion of the instructor and are to be mutually agreed upon by the instructor and the student. It is recommended that a written agreement be developed between the student and instructor to clarify expectations and process. If the grade is not submitted within one full academic year, the "INC" will turn into an "F" on the student's record and be reflected in the student's GPA. The grade of "F" will be considered a permanent grade.

## **Grade Not Reported (NGR)**

An NGR is recorded when an instructor does not report a grade normally. Typically, this should only be used if the student is known not to have attended the course.

This is not a grade, but a temporary indicator that requires prompt resolution leading either to the removal of the course from the student's record or the assignment of a grade.

## **GRADES, CHANGING (STATUTE OF LIMITATIONS FOR CHANGE TO GRADES OR THE ACADEMIC RECORD)**

If a final grade is not reported by the end of the following term, an administrative grade of F will be reported and recorded on the student's transcript. If the "NGR" notation is left unresolved by the last day of classes of the next term immediately following the term that the original NGR was reported, it will become an F. This grade will be calculated as a failure in the student's GPA and is considered a permanent grade.

Students are given one year from the time a final grade is assigned to contest a course grade.

Students are given one year from the time of separation from an academic program or change of program of study to contest any other actions or changes to their academic record or transcript. Separation from a program includes graduation, non-enrollment, withdrawal, or leave of absence. Approved leaves of absence, including those associated with medical leave or military service, will be handled on a case-by-case basis.

## **GRADE REPORTING POLICY**

Faculty members (full time & adjuncts) are responsible for reporting their grades each term via BANNERWEB (accessible from DrexelOne) in a timely manner according to class size:

- For classes with enrollment less than 50: grades will be due 48 hours after the final exam
- For classes with enrollment of 50 or more: grades will be due 72 hours after the final exam

Departments are responsible for facilitating the means by which faculty report grades via the Web. Accordingly, faculty must be in the Human Resource database and indicated as the primary faculty of record for a course(s) in the BANNER Faculty Load module. Departments must also facilitate Web access for their faculty members.

Once original grades have been reported for a course, grades may only be changed manually by completing a "Change of Grade" form. The form, with required signatures, should be submitted by the Office of the Dean to the Student Resource Center.

All exceptions to this policy are at the discretion of the Provost.

## **GRADUATE COURSES OPEN TO UNDERGRADUATE DAY STUDENTS**

All day colleges and schools except the College of Information, Science and Technology allow undergraduate seniors to take graduate courses with the approval of the department head under whom the courses are offered. No more than nine graduate credits taken as an undergraduate student at Drexel will be accepted toward an advanced degree. Only graduate credits that are in excess of undergraduate credit requirements can be counted toward an advanced degree.

## **GRADUATION REQUIREMENTS**

The following conditions must be met for a student to be considered a degree candidate:

- An application for degree form via DrexelOne no later than deadlines specified in the academic calendar
- The number of term credits required for the program or major in which the student is enrolled must be completed. The minimum number of term credits varies by program, but in no program is the minimum fewer than 180 credits
- The specific course requirements for the program or major in which the student is enrolled must be completed
- A GPA of 2.0 or higher for all coursework undertaken at Drexel University must have been earned
- The number of co-op units for the program or major in which the student is enrolled must be completed
- At least half the professional courses required for the student's specific program or major must be completed at Drexel. A minimum of 45 quarter credits must be completed at Drexel. The senior year must be spent at Drexel unless the academic dean of the college or director of

the school in which the student is enrolled waives this requirement

- A student must be matriculated in his or her college or school during the last term in which coursework is taken
- All grades for required courses must be submitted to the University Registrar. No student will be approved for a degree while a grade for a required course remains outstanding
- A student must receive final approval for graduation from the department representative 6 Drexel University Official Student Handbook 2005-2006
- A student must satisfy all financial obligations to the University
- If for any reason a student does not meet all requirements for graduation two days prior to commencement, that student cannot graduate until the term in which all requirements are met
- If a student completes all requirements for graduation in any term prior to the spring term, the degree will be awarded in the term in which the requirements are met

## **GRANTING OF DEGREES**

Recognizing that undergraduate and graduate students complete the requirements for their degree(s) at various times throughout the year, and that the date of completion of all requirements should be recognized at the earliest practical date on students' diplomas, the Board of Trustees, at their meeting on September 17, 1986 empowered the president to grant degrees at the end of each quarter. This is done upon the recommendation of the academic deans, with the approval of the faculty and certification by the Director of Student Information and Records.

A list of prospective degree candidates for each term is generated based on the application for degree forms submitted by students who expect to complete their degree requirements in a given term. This list is used by the colleges to clear students for graduation which is done at the end of each term's grading cycle. The timeliness of this process is imperative to avoid unnecessary billing and record-keeping functions.

## **HIGHER EDUCATION OPPORTUNITY ACT**

Posted: September 18, 2009

Effective: September 21, 2009

In August 2008, the Higher Education Opportunity Act ("HEOA") was enacted by Congress. The HEOA has extensive provisions affecting many areas of university operations, including financial aid, crime reporting, textbook pricing, and accreditation. In addition, the HEOA included provisions governing the readmission of veterans to institutions of higher education.

In general, students who notify an institution of their intent to return within three years of the end of their military service are entitled to readmission with the same academic standing and status as the student had when the student last attended the institution. With some exceptions, the readmission requirement does not apply if the length of military service exceeded five years.

A student who submits an application for readmission must provide the institution with evidence that the student has not exceeded the length of service requirement, as well as that the student left the service in good standing.

## **HIRING OF FOREIGN FACULTY AND STAFF**

Any department wishing to hire foreign faculty or staff should contact the International Students and Scholars Office (extension 2502) before making an offer of employment to be sure that the proposed employment is feasible under US Immigration and Naturalization Service (INS) regulations. Departments should be aware that hiring foreign faculty and staff on an H-1B visa takes several months. The ISSO website ([www.drexel.edu/isso](http://www.drexel.edu/isso)) describes the process for hiring foreign faculty and staff.

## **INSTITUTES AND CENTERS - INITIATION, OPERATION, REVIEW AND CLOSURE**

Last modified: 12.14.05

### *Administration*

Institutes and centers are under the general direction of the Vice Provost for Research and Dean of Graduate Policy. Directors will be designated to manage institutes and centers. Directors of institutes will report directly to the Vice Provost for Research and Dean of Graduate Policy. Directors of centers will report to the Vice Provost for Research and Dean of Graduate Policy when the center or institute is established at the level of a college or school or through their respective dean or institute director when located within a college or school.

*Process for Establishing New Institutes and Centers*

The process of establishment shall be under the general direction of the Vice Provost for Research and Dean of Graduate Policy. The establishment process involves the following steps:

The proposer of an institute or center must prepare a document that addresses the following topics:

- a. Definition of the research area: This should provide the educated lay reader with a clear grasp of the scope of research to be undertaken as well as a sense of its future directions.
- b. Intrinsic merit Whether scientific, engineering, artistic or public policy, is the research of high quality and is it of real significance to society?
- c. Feasibility: Does Drexel University have the competence, or should it hire the talent, to be involved in this area of research at a level where it can achieve national and international recognition?
- d. Impact: Does the research have direct relevance to the academic program and for coupling with other faculty research interests?
- e. Competition: Are others working on the topic to any great extent? If the field is already crowded, does Drexel have a better approach?
- f. Position: Is the University advantageously situated (or at least not disadvantageously) to undertake and conduct this research?
- g. Facilities and equipment: What facilities and equipment are available to house and support this research? What future needs are projected?
- h. Personnel: List Drexel faculty, staff, and students who will be involved with this research. List affiliated personnel expected from other institutions.
- i. Funding: Describe existing and expected funding by source for research, equipment and facilities. Project five year funding goals.

Deans and department heads of affected colleges as well as the Vice Provost for Research and Dean of Graduate Policy must review the document. In addition, Faculty Senate shall be provided with the document for comment. The Vice Provost for Research and Dean of Graduate Policy will transmit the written comments to the originator for consideration. The originator may make revisions. The Vice Provost for Research and Dean of Graduate Policy may invite a committee of individuals

external to the University to review the written document, meet with the individuals involved, and inspect facilities and equipment. They will be expected to make a report that gives their views on the topics addressed in the document. Final approval to establish a center or institute will be determined by the Vice Provost for Research and Dean of Graduate Policy after consultation with the above mentioned parties.

#### *Operation*

1. Directors, with faculty and staff input and review, will develop annual operating plans. The plans for the following academic year shall be submitted by May 15 to the Vice Provost for Research and Dean of Graduate Policy for his/her review, comment and approval. When an institute sponsors an educational program, the annual operating plan shall be concurrently submitted to the Vice Provost for Research and Dean of Graduate Policy for his/her review, comment and approval. The plan shall outline the goals for the year.
2. Research proposals submitted through the institute or center may originate from any faculty or staff member at the University, or from individuals in other affiliated institutions. Proposals will follow the standard University procedures for routing of proposals, with the exception that institute and center directors will sign the proposals after the appropriate department heads and deans.
3. Institutes and centers will be expected to operate largely from funds obtained from sponsors outside Drexel University.
4. Faculty will be appointed to institutes or centers by the Vice Provost for Research and Dean of Graduate Policy upon recommendation of the director and with the concurrence of the individual department heads and deans. Appointments will normally be for a period of three years and will expire automatically at the end of that time. Subsequently, reappointments may be made.
5. Staff and visiting researchers will be appointed to institutes and centers by the Vice Provost for Research and Dean of Graduate Policy upon recommendation of the director. Such appointments will normally be on an annual basis and subject to availability of support funds.
6. Directors will provide recommendations to the parent academic unit, dean, and Vice Provost for Research and Dean of Graduate Policy for merit raises, promotion and tenure on individuals

in tenure track positions holding appointments in the institute or center. Tenure for faculty will be held in the parent academic unit.

7. A portion of the indirect cost recovery on grants and contracts submitted through the institute will be distributed to the institute director to be used to further develop the research program. This portion will equal that distributed to a faculty member's department head.
8. Institutes and centers will submit an annual report to the Vice Provost for Research and Dean of Graduate Policy commenting on topics addressed in the proposal document and the annual operating plan. When an institute sponsors an educational program, the annual report shall be concurrently submitted to the Vice Provost for Research and Dean of Graduate Policy. The annual report should evaluate progress toward goals.

#### *Closure*

Institutes and centers will be evaluated annually, and may be closed at any time by the university president based on the lack of external support. Institutes and centers will automatically be disestablished at the end of three years. Should the director request a review prior to the end of this period, a document shall be prepared following the outline specified under the process of establishment described above. Based on an evaluation of this document by the Vice Provost for Research and Dean of Graduate Policy, the president may continue the institute or center for a successive three- year period.

## **INTELLECTUAL PROPERTY (PATENT POLICY)**

Last modified: 12.14.05

### I. General Policy Statement

The faculty, staff and students of Drexel University, as part of their normal assigned duties and scholarly activities, carry on research which may be supported in part, or in whole, by the University or by grants and contracts with outside sponsors. Recognizing that many new ideas, discoveries, and inventions inevitably flow from university research to practical, commercial application, it is in the interest of the University to encourage the development of such new ideas, discoveries and inventions resulting from University research; to reduce these inventions to practice and practical application where resources permit; and to give adequate recognition and incentive to the inventors by having them share in the proceeds from any invention. Accordingly, it is important that

University policy be established to define and protect the respective rights and obligations of the University, its personnel, its sponsors and the public, relative to inventions resulting from University research. It is also appropriate and desirable that the University share in the proceeds of any invention not only to pay the costs of the patent program, but also to support University research programs, facilities and personnel without which such inventions would not have been possible.

### II. Patent Policy Objectives

The principal objectives of the University Patent Policy are:

1. to encourage creative research, innovative scholarship, and a spirit of inquiry leading to the generation of new knowledge, ideas and inventions;
2. to facilitate the transfer of University-developed research results to commerce and industry;
3. to provide faculty, staff and students of the University assistance in assessing the patentability and commercial potential of their inventions;
4. to establish guiding principles for determining the obligations and property rights of the University, inventors and sponsors with respect to inventions;
5. to facilitate patent applications and licensing where patenting of inventions is determined by the University, or its designated agents to be desirable;
6. to recognize and reward the creative efforts of faculty, students and staff of the University through the realization of tangible benefits (royalties) derived from their inventions; and,
7. to afford faculty, staff and students of the University the opportunity to further their research objectives and those of the University, by disseminating the results of their work to provide maximum benefit to the public, while safeguarding the patent and property rights for the University, inventor and sponsor.

### III. Definitions

#### 1. Institutional Unit

Includes, without limitation, college, department, administrative unit, group or institute, functions of which are separately budgeted.

## 2. Inventions

Collectively refers to all technical contributions, including inventions, discoveries, processes, methods, uses, product/design improvements or modifications, or combinations thereof, conceived and/or reduced to practice during the course of research carried out for or at the University which are of a patentable nature.

## 3. Invention Assignment Agreement

An agreement between University personnel and the University which assigns to the University the entire title, ownership and rights to all inventions which result from research carried out for or at the University by the individual for monetary consideration as described in Section V.

## 4. Royalty

Monetary and/or equity consideration received by the University in exchange for a license to use patent rights.

## 5. University Intellectual Property Committee

A standing Committee of the University responsible for advising the Vice President of Research on all matters regarding University patents and other intellectual property (see Section VI).

## 6. University Personnel

Part-time and full-time members of the University faculty and staff, all other agents and employees, cooperative student employees, undergraduate and graduate students, and postdoctoral fellows of the University. Students on cooperative education assignment shall be subject to the patent policy of their employer. If the cooperative education employer does not have a patent policy, the student may elect to operate under this policy provided a written release is obtained from the employer of all rights in and to said inventions.

## IV. Patent Policy Guidelines

The rights and obligations of the University, its personnel and sponsors with relation to inventions resulting from research or other scholarly activities, and the ownership and disposition of the property rights to these inventions, are best defined in terms of the following categories of research support:

(a) research subject to a sponsored research or other agreement between the University and a third party (herein referred to as "sponsor");

(b) research supported either in part or in whole by University resources; and

(c) research carried out by University personnel wholly on their own time and at their own expense without the use of University facilities and resources.

### A. Externally Sponsored Programs

The rights of University personnel who are subject to the terms of a sponsored research project or other agreement are determined in accordance with the terms of the applicable project documents.

#### A.1 Government Sponsored Programs

It is the policy of the University to comply with all applicable regulations and requirements of any governmental body sponsoring work at the University. The Vice Provost for Research and Dean of Graduate Policy will be responsible for apprising the University personnel of the parameters of such requirements.

It is also the policy of the University that to the fullest extent allowed under such governmental parameters, the University will be the owner of any inventions conceived or actually reduced to practice in the performance of work sponsored by any governmental unit.

#### A.2 Private, Industrial, Foundation and Other Sponsored Programs

Except in unusual cases, it is the University's policy that all inventions (whether or not patentable) developed in the course of research supported by any non-governmental sponsor, are the property of the University, and the University will, consistent with this Policy, be responsible for securing any patents and for payment of costs incurred in securing those patents. To the extent that the sponsor pays all direct and indirect costs of the project, the sponsor will be given an option to obtain an exclusive, royalty-bearing license to practice any invention conceived or actually reduced to practice during the sponsored research project. Said option must be exercised within one year after the date of patent filing for the licensed invention. As part of any such license, the University will require of the licensee diligent performance for timely commercial development and early marketing of the invention.



It is the policy of the University that sponsored research grants or contracts contain no provisions inconsistent with this Patent Policy.

## B. University Sponsored Programs

Inventions involving the use of funds, space, personnel, equipment or facilities administered by the University, but without any University obligations to others in connection with such support, are the property of the University.

B.1 University personnel will disclose to the Vice Provost for Research and Dean of Graduate Policy all information relating to an invention, and will execute such assignments, waivers, or other documents as the University may require for expeditious patenting and commercial exploitation of said invention. When the University elects to undertake patenting and licensing of said invention, the inventor will share in the proceeds from the licensed patent in accordance with the Distribution of Income (see Section V). The term "inventor" may mean joint inventors, in which case the inventors' share of proceeds will be paid as though they were a single entity and divided equally unless there exists a prior agreement covering inventors' distribution.

B.2 The University shall make its decision to initiate a process of filing an application for patent within 120 days following receipt of an invention disclosure. In those cases in which the University elects not to file an application for a patent, and in which the University has no obligation to sponsors or patenting organization, the inventor may request transfer of the entire right and title to said invention after the 120 day period. This request must be in writing and made to the Vice Provost for Research and Dean of Graduate Policy who will refer the request to the University Intellectual Property Committee for their recommendation. The Vice Provost for Research and Dean of Graduate Policy will either grant the request or advise the inventor of the University's plan to file an application for patent.

B.3 In those cases in which the University has filed an application for a patent, and in which the University has obtained a patent without obligation to sponsors or third party patenting organization, and no arrangement has been made for commercial development within a three (3) year period after the issue date of the patent, the inventor may request transfer of the entire right and title to said invention. This request must be in writing and made to the Vice Provost for Research and Dean of Graduate Policy who will refer the request to the University Intellectual Property Committee for their

recommendation. The Vice Provost for Research and Dean of Graduate Policy will either grant the request or advise the inventor of the University's plans for commercial development of the subject invention. If the request is granted, the University shall retain a five percent (5%) interest in the issued patent.

B.4 University personnel involved in research sponsored by the University or an external sponsor, will sign an Invention Assignment Agreement.

B.5 Patent rights resulting from research carried on by a student in fulfillment of requirements for an academic degree, including the preparation of a thesis or dissertation, are construed as making use of University resources and are subject to the Patent Policy. Inventions made by students in sponsored projects or using University facilities and resources are the property of the University. Student inventors will sign an Invention Assignment Agreement evidencing the fact that the entire right and title to said invention belongs to the University for monetary consideration as stated in Section V. Disposition of said invention shall be in accord with this Patent Policy. Undergraduate students of the University are not subject to this portion of the Patent policy.

B.6 All original data, notebooks, laboratory records and other documents relating to University owned inventions shall be the property of the University.

## C. Inventor-Funded Research

Inventions which the inventor can demonstrate result from research or other work conducted on the inventor's own time without use of Drexel University resources such as University funds, space, personnel or facilities, are the property of the inventor. The University undertakes no responsibility with respect to such inventions. However, at the option of the inventor, such inventions may be assigned to the University and processed as University-sponsored inventions hereunder.

C.1 It shall be the responsibility of the inventor to demonstrate that substantial use of University resources was not involved in any inventor-retained invention. The University will not construe the payment of salary, nor the provision of office or library facilities as constituting use of University funds, space, personnel or facilities. However, substantial assistance given by one or more faculty or staff members to an inventor specifically pertaining to the invention will constitute substantial use of University resources.



C.2 University personnel engaged in consulting activities or in business must ensure that their agreements with other parties do not conflict with this Patent Policy or with the University's commitments to external sponsors. University personnel must make clear to those with whom they make such agreements their obligations to the University, and should apprise other parties of the terms of this Patent Policy. The University's rights, and the individual's obligations, will in no way be abrogated or limited by the terms of such third party agreements.

## V. Distribution of Income

A. In all cases where the entire right and title to an invention belong to the University, the net income from the invention shall be distributed according to the schedule shown below in Section A.1. For the purposes of this Patent Policy, net income will mean gross royalties actually received by the University less out-of-pocket expenses paid by the University for patent filing, prosecution, licensing, maintenance, enforcing or defending patents, and other related patenting, marketing and licensing expenses for said invention.

### A.1 Schedule of Net Income Distribution

For the first \$10,000 of net income: 100% to the inventor.

For the next \$500,000 in cumulative net income: 50% to the inventors, 25% to the Office of the Vice Provost for Research and Dean of Graduate Policy, 25% to the inventor's Institutional Unit(s)

For the next \$1,000,000 in cumulative net income: 40% to the inventors, 35% to the Office of Vice Provost for Research and Dean of Graduate Policy, 25% to the inventor's Institutional Unit(s)

For cumulative net income in excess of \$1,510,000: 25% to the inventors, 50% to the Office of Vice Provost for Research and Dean of Graduate Policy, 25% to the inventor's Institutional Unit(s)

A.2 For the purposes of this section V, the royalty distribution shall be divided equally among or between the institutional units, unless the University is provided with an alternative royalty distribution schedule agreed upon by the heads of the respective units and the Vice Provost for Research and Dean of Graduate Policy or his or her designee. In the event a unit ceases to exist, the distribution of the unit's funds shall be determined by the Vice Provost for Research and Dean of Graduate Policy or his or her designee.

A.3 When royalty income is in the form of equity interest, distribution of equity will be made between inventor(s)

and the Office of Vice Provost for Research and Dean of Graduate Policy at the time equity is transferred to the University, and in equal shares. The Office of Vice Provost for Research and Dean of Graduate Policy will share with the inventor's Institutional Unit(s) the income generated by its equity interest at the time said shares, or portion thereof, is liquidated.

A.4 Inventors may be faculty, students, staff, consultants and other employees of the University, or combinations thereof. When more than one inventor is involved, the responsibility for determining the relative royalty distribution among the inventors rests solely with the inventors. Unless the inventors provide the University with an alternative royalty distribution schedule agreed upon by them, royalty distribution shall be distributed equally between or among the inventors. In any event, the University assumes no responsibility or liability in disputes among inventors concerning the sharing of royalties among the inventors.

A.5 In cases where the inventor clearly owns the patent but where the inventor and the University agree to have it processed as a University-sponsored invention, the income distribution will be as defined above.

A.6 In cases where the inventor assigns the patent to the University as a gift, the inventor shall have the right to determine the distribution of the inventor's share and the remaining portion of income distribution shall be as defined above. In the case where the inventor does not wish to exercise the right to allocate his/her share, then the Vice Provost for Research and Dean of Graduate Policy shall determine the distribution of the inventor's share.

## B. Other Considerations

The right of an inventor to receive income hereunder shall extend for the term of the Patent and any renewals thereof and said right may be assigned or bequeathed by the inventor.

## VI. Administration

A. The Vice Provost for Research and Dean of Graduate Policy shall be responsible for the administration of the Drexel University Patent Policy.

B. A University Intellectual Property Committee shall make recommendations to the Vice Provost for Research and Dean of Graduate Policy on matters regarding University patents and other intellectual property.

B.1 The University Intellectual Property Committee shall consist of two (2) members appointed by the Faculty Council, one (1) member appointed by the Vice President for Academic Affairs, one (1) member appointed by the Vice Provost for Research and Dean of Graduate Policy. In addition, a Chairperson of the Committee shall be appointed by the President. At least 3 members of the Committee must be selected from the full-time, tenure track faculty.

B.2 Members of the University Intellectual Property Committee shall serve for no more than two successive terms of two years each. The members appointed by the Faculty Council shall be appointed in alternate years; the member appointed by the Vice President for Academic Affairs shall be appointed in an odd-numbered year, while, the member appointed by the Vice Provost for Research and Dean of Graduate Policy shall be appointed in an even-numbered year. The Chairperson of the Committee shall serve in that position at the pleasure of the President.

C. All appeals and disputes shall be forwarded in writing to the Vice Provost for Research and Dean of Graduate Policy through the Intellectual Property Committee. These appeals and disputes shall be initially reviewed by the University Intellectual Property Committee which shall make its recommendations to the Vice Provost for Research and Dean of Graduate Policy within 60 days after receiving the dispute. The Vice Provost for Research and Dean of Graduate Policy shall make a determination of the dispute within a period of 30 days after receiving the Committee's recommendation.

An appeal from the determination of the Vice Provost for Research and Dean of Graduate Policy shall be made within 30 days to an arbitration panel consisting of three members, including a member of American Arbitration Association (AAA) to be agreed on by the parties in accordance with the rules of the AAA. The other members shall be selected by the opposing parties. The arbitration proceeding shall be conducted in accordance with the rules of the AAA then in effect as interpreted by the AAA member who shall serve as the chairman of the panel. The basis for the panel's decision will be the provisions of this patent policy. Submission to arbitration before this panel shall be the sole means of resolving disputes hereunder. The decision of the panel will be final and unappealable and may be enforced in any court of competent jurisdiction. The award of the arbitration panel shall be made in writing and need not present the panel's vote on each issue, but merely the resolution of each issue. Costs incurred in arbitration shall be borne equally by inventor and university in an amount up to but

not exceeding \$5,000; costs in excess of \$5,000 shall be borne by the university and credited against current and/or future royalties received by the university for the subject invention held in dispute.

D. No assignment of rights, transfer of ownership, license or other arrangements concerning the disposition of University owned patents may be entered into except by authorized officials of the University.

## VII. Patent Development Procedures

1. Inventors shall transmit disclosures of inventions to the Vice Provost for Research and Dean of Graduate Policy on forms provided for that purpose. To safeguard the rights of the inventor and the University, timely reporting is required. University personnel shall make a timely disclosure to the Vice Provost for Research and Dean of Graduate Policy. Inventions should be reported as soon after conception as possible to permit prompt evaluation and to avoid unnecessary delays in publication. Failure to make a timely disclosure of an invention may compromise the patentability of an invention, loss of domestic and/or foreign rights or business opportunities to an invention. Upon receipt of disclosure the Senior Vice President for Research and Graduate Studies will evaluate the disclosure to determine ownership of the invention. If agreement on ownership cannot be reached between the Vice Provost for Research and Dean of Graduate Policy and the inventor, the Vice Provost for Research and Dean of Graduate Policy will forward the matter to the Intellectual Property Committee.

2. The Intellectual Property Committee will review the disclosure to determine ownership and commercial potential. When necessary, the Committee may request an oral presentation by the inventor supported by such visual material as may be required. The Committee may also solicit outside evaluation and interest from potential licensees through the distribution of a non-confidential disclosure prepared by the inventor. The Vice Provost for Research and Dean of Graduate Policy shall make available to the Intellectual Property Committee sufficient resources to support its evaluation of invention disclosures.

3. The Committee shall make a recommendation to the Vice Provost for Research and Dean of Graduate Policy as to whether the University should pursue patent development of said invention. The Vice Provost for Research and Dean of Graduate Policy shall then decide whether the University will pursue patent development of said invention. If a decision is made to pursue a patent, inventor shall provide additional information or material

as needed in this and subsequent stages of this procedure.

4. If the invention is accepted for patenting, the invention shall also be accepted for commercialization on a best efforts basis by the University or its designated agents.

5. The University will endeavor to complete the above described review procedure as expeditiously as feasible under the circumstances pertaining at the time the review is undertaken.

6. If the Vice Provost for Research and Dean of Graduate Policy decides the university will not pursue patent development of said invention, the University shall have waived its right to pursue development of the invention, and release all such rights to the inventor, except that the University will retain a non-exclusive, royalty-free license to practice the invention for its own purposes. In exploiting or developing any released invention, the inventor shall not use University facilities and resources, or the name of the University.

7. Only the Vice Provost for Research and Dean of Graduate Policy or his or her designee may commit University funds for patent development.

## **LEGAL DEFENSE AND INDEMNIFICATION OF UNIVERSITY EMPLOYEES (GENERAL COUNSEL)**

Except as prohibited by law, it is the policy of Drexel University to furnish University employees with legal defense and payment of judgments, fines, penalties, settlements and any other expenses actually and reasonably incurred in connection with an actual or threatened action, suit or proceeding, whether civil, criminal, administrative or investigative (such action, suit or proceeding hereinafter being referred to as an "Action"), brought against such employee by reason of being an employee of the University, or by reason of serving or having served the University as an authorized member of or representative to a University committee or board or as an authorized University representative to an entity outside the University. Any rights that accrue under this policy shall inure to the benefit of the employee's estate in the event of the employee's death.

### **ELIGIBILITY**

This policy applies to all University regular, contractual, full-time, part-time faculty and non-faculty employees who are not affiliated with a collective bargaining unit.

### **GENERAL INFORMATION**

Defense and/or indemnification hereunder shall be available only if all of the following conditions are met:

Such employee's actions or omissions were within the scope of his or her University duties and authority, which shall generally include teaching, research and administrative activities for which an employee is paid by the University.

Such employee's actions or omissions were in good faith, and in a manner reasonably believed to be lawful and in the best interests of the University as determined by the Office of General Counsel. The acts or omission did not constitute willful misconduct, gross negligence or recklessness.

The protection in this policy shall not, among other things, extend to consulting or other outside professional or business activities beyond the scope of the employee's University duties.

The protection in this policy shall extend only to Actions in which an employee is a defendant or proposed defendant, and shall not extend to Actions that an employee may affirmatively initiate or propose initiating against any other persons or entities.

The protection in this indemnification policy shall not extend to defense and/or indemnification of an employee in an internal University proceeding. Internal proceedings are those that are conducted by the University under University policies and procedures. As an exception to this provision, an employee may request defense and/or indemnification in an internal proceeding that arises from allegations made by an outside individual, agency, organization or interest group, if the outside party is already represented by legal counsel in the proceeding. The President may in his/her discretion, in consultation with the General Counsel, grant or deny such request, and if granted, may impose such conditions as the President deems appropriate.

## **MONITORING OF COURSE OFFERINGS**

The University Registrar is responsible for implementing the policies for course meeting time blocks and course offering distributions. In consultation with the department offering the course, the Provost has the authority to redistribute/change course offering meeting times and/or days.

With the policies listed above, students and faculty will experience:

- Less scheduling conflicts due to the reduction/elimination of overlapping course meeting times
- Improved utilization of instructional space

## NON-REAPPOINTMENT POLICY

Drexel subscribes to the standards for notice of non-reappointment of tenure track faculty approved by the American Association of University Professors (AAUP) as set forth in the AAUP Policy Documents and Reports, September 1969. The following is quoted from that document and states Drexel's policy:

Because a probationary appointment, even though for a fixed or stated term, carries an expectation of renewal, the faculty member should be explicitly informed of a decision not to renew his/her appointment in order that s/he may seek a position at another college or university. Such notice should be given at an early date, since a failure to secure another position for the ensuing academic year may deny the faculty member the opportunity to practice his/her profession. The purpose of this statement is to set forth in detail, for the use of the academic profession, those standards for notice of non-reappointment which the American Association of University Professors (AAUP) over a period of years has actively supported and which are expressed as a general principle in the 1940 *Statement of Principles on Academic Freedom and Tenure*.

Notice of non-reappointment, or of intention not to recommend reappointment to the governing board, should be given in writing in accordance with the following standards:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year, or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least 12 months before the expiration of an appointment after two or more years in the institution.

A new faculty member can be much assisted in his/her career if senior members of his/her department, the chairman of his/her department, or his/her dean will

counsel with him/her from time to time about the quality of his/her teaching. An occasional word of caution, advice, or encouragement from experienced colleagues can be very salutary. Such guidance and counsel of his/her faculty are among the responsibilities of a department head. It is expected that a recommendation of non-reappointment will not be made unless such effort has been made and unless the affected faculty member has been informed that the recommendation is being made.

## PERMANENT RESIDENCY APPLICATIONS

GUIDELINES FOR PERMANENT RESIDENCY APPLICATIONS:

FACULTY, RESEARCHERS, STAFF AND STUDENTS

Drexel University sponsors for U.S. permanent residence full-time, regular employees in certain academic positions. The University will not sponsor staff who are in non-academic positions, except when a special case is made for an exception to this policy. Drexel University will not sponsor students, part-time, or temporary employees for permanent residence.

If the University is able to sponsor a non-immigrant employee for permanent residence, International Students and Scholars Services ("ISSS") will authorize an attorney retained by the employee to initiate the permanent residence application. A University-sponsored permanent residence application CANNOT be initiated without the authorization of ISSS. Deans, Directors and Department Heads must consult ISSS to initiate the permanent residence process for any employee. Employees initiating the permanent residence process without prior written permission from ISSS risk having their application process delayed or terminated.

### 1. FOREIGN NATIONAL EMPLOYEES IN ACADEMIC POSITIONS AT THE UNIVERSITY

The University offers permanent residence sponsorship to full-time, regular foreign national employees in academic job classifications at the University. These positions include professor, associate professor, assistant professor and research associate. (A department must have funding for at least three years in the future for the University to sponsor a research associate). The University does not sponsor post-doctoral fellows, lecturers, auxiliary or adjunct faculty for permanent residence, since these positions are considered by the University to be temporary and do not always carry full University benefits. The University requires that individuals offered tenured appointments

must be U.S. workers as defined by the U.S. Department of Labor, before accepting the position.

#### A) Tenured Appointments

If a department is considering offering a tenured appointment to a foreign national who does not already have permanent residence status, the following points must be borne in mind:

- Since a tenured appointment is an appointment without limit of time, the only status appropriate for such an appointment is permanent residence or other indefinite U.S. worker status.
- Obtaining permanent residence takes considerable time, approximately 18-24 months at the time of this publication.
- A tenured appointment cannot be conferred by the University until the individual has obtained permanent residence or U.S. worker status.
- If an academic department is considering an offer of a tenured position and feels the delay is too lengthy, the department may wish to consider offering a temporary position, such as a visiting faculty appointment. This will enable the University to obtain H-1B visa status for the individual.
- If the scholar is already in the U.S. on a temporary visa, adjustment of status to permanent residence is sometimes possible. However, this process must be completed before the individual can take up the tenured appointment.

#### B) Tenure Probationary Appointments

An international scholar may be appointed to a faculty position that at the outset is not tenured. If the candidate does not have, at the time of appointment, the appropriate immigration status, the letter of offer should clearly state that the appointment is conditional upon obtaining the appropriate immigration status.

As with the appointment of a foreign national to a tenured faculty position, if the appointee does not have U.S. permanent residence status, or is not a U.S. worker, the University will normally sponsor the application for such status. If there is not sufficient time to obtain permanent residence status, the appointee may obtain H-1B status for the initial period of the appointment (i.e., the first three years in most instances). Immigration law permits "dual intent," for H-1B visa holders. This makes it possible for employers to use the H-1B status for tenure-track or lecturer appointments

while in the process of obtaining permanent residence status for the appointees.

#### C) Non-Tenure Accruing Academic Appointments

Occasionally, the University will sponsor for U.S. permanent residence certain individuals holding non-tenure accruing positions within the academic staff. In all instances, there must be evidence of on-going support (a minimum of three years) for the position and written approval by the Department Head and Dean/Director indicating the basis for their decision to sponsor the application. This policy will include some research associates and, in a few cases, the position of senior lecturer.

### 2. NONIMMIGRANT EMPLOYEES IN NON-ACADEMIC STAFF POSITIONS AT THE UNIVERSITY

The University does not sponsor foreign national employees in non-academic staff positions such as research specialist, programmer analyst, or laboratory technician for permanent residence. This policy is an expression of the University's desire to provide employment opportunities for U.S. workers in the Philadelphia area. The University can make an exception, however, if it can be demonstrated that there are no qualified U.S. workers available in the Philadelphia area for a given staff position.

A University department can request an exception to this policy on behalf of a foreign staff member by writing a letter (with an attached job description) to ISSS. The process includes placement of a newspaper advertisement and other procedures necessary for consideration of the exception request.

All employees sponsored by the University for permanent residence are required to commit to a minimum of three years full time employment at the University upon the granting of permanent residence by United States Citizenship and Immigration Services.

### 3. GENERAL APPLICATION PROCEDURES FOR FILING FOR U.S. PERMANENT RESIDENCE STATUS

There are normally three steps involved in obtaining U.S. permanent residence status on the basis of an offer of employment when an individual is in the U.S. and seeking to adjust to permanent residence status while remaining in the United States. The University's

authorized immigration attorney shall be responsible for taking the following steps:

- Application for Labor Certification filed with the Department of Labor. The purpose of the Labor Certification (for faculty positions only) is to demonstrate that the "employer selected the alien for the job opportunity pursuant to a competitive recruitment and selection process, through which the alien was found to be more qualified than any of the U.S. workers who applied for the job." The standard for non-faculty positions is more stringent. Non-faculty labor certifications will only be approved if it can be demonstrated that there are no qualified U.S. workers available for a position. This step is not necessary for an application filed under the outstanding researcher or national interest waiver category.

Please note that, while ISSS exception request process reflects some labor certification procedures, the exception process is completely separate from and usually has no bearing on an application for labor certification with the Department of Labor.

- Petition for immigrant classification filed with the Immigration Service (I-140). This is the first step in the application for classification as an outstanding professor/researcher.
- Application for adjustment of status to that of a U.S. permanent resident filed with the Immigration Service (I-485).

#### 4. COST AND FEES

It is within the discretion of the College or School to provide funding toward attorney and filing fees associated with the permanent residence process. If the College or School chooses not to provide the funding, but does agree to sponsor the employee's permanent residence process, it is the responsibility of the employee to pay all money and filing fees associated with the permanent residence process.

### **PERSONAL ENRICHMENT PROGRAM**

#### **Scheduling Policy:**

Enrichment courses may be taken during a term in which an undergraduate student is not normally scheduled to be in college. Cooperative education students may enroll in courses for enrichment purposes during terms in which they are placed in a co-op experience. Non-cooperative education students may enroll in courses for enrichment during summer terms. This program does

not provide for taking courses regularly required for graduation.

Enrichment courses elected by the student are made available either during normal class hours or by individual instruction. Course availability is at the discretion of the academic dean, department head, or adviser, or the department head or dean of the academic unit offering the course.

Students may take up to nine credit hours of coursework at the rate of no more than one enrichment course per non-college term with the understanding that no additional charges or graduation credit will result. This program does not permit acceleration of course requirements toward graduation.

Students requesting this option must have a grade point average of at least 2.0. This requirement may be waived by the student's academic dean. Since this program is intended for enrichment purposes only courses listed as required for graduation for the student's major are prohibited from being scheduled. It should be noted that failures in existing coursework may not be made up under this program.

#### **How Do Enrichment Courses Affect a Student's Record?**

Grades earned under the enrichment program are counted in the student's grade point average; however, the credit/no credit option may be used for these courses.

A student will not receive earned credit for an enrichment course. The credits taken will not be included in either the student's term or overall earned hours. The credits will be part of the attempted credits for the scheduled term.

Coursework will be entered on the student's academic record by the Office of the Registrar.

#### **How Do Students Apply to Enrichment Courses?**

The Application to Schedule Enrichment Courses' is available in the SRC Center and must be submitted to the student's academic department after the specified signatures have been obtained.

\*Please note that a student will be billed for courses he or she scheduled during the pre-enrollment and course change periods of a term unless they submit the enrichment application.



## **PERSONAL IDENTIFICATION NUMBERS (PIN)**

PIN numbers are no longer required to log in to the information stored in Banner. Faculty, students and staff at Drexel should access the DrexelOne portal and logon to these applications by typing in the Drexel computer account userID and email password for that user's account. Depending on your role - student, faculty or staff - you will have different pages and tabs with different types of access in these applications.

How important is my login information?

Please treat your log in information as you would your ATM Card PIN. Students and faculty will have access to grades, schedule and personal data without having to relying on office hours maintained by SRC. Students and faculty will also be able to perform activities such as updating personal addresses and pre-enrolling for future terms.

What if I did not receive, lost, or forgot my login information?

If you did not activate your userID and password, if you lost it or forgot it, go to the Computer Accounts Management (CAMS) page at: <http://accounts.drexel.edu/> or contact the IRT Accounts Office by phone at 215.895.1958.

## **PROCEDURES FOR APPOINTMENT OF NEW FULL TIME FACULTY**

Early in the academic year, the department head will consult with the college's faculty to help determine the faculty needs for the following academic year. The department's recommendations for decreases or increases are forwarded to the dean along with justification in terms of work load, including teaching and research, for any requests for new faculty.

The academic dean will review the recommendations, add any pertinent information, give the dean's priorities, and forward them to the Provost.

The Provost will review the recommendations and with the approval of the president, authorize recruitment for those positions that provide the best satisfaction of the needs of the University.

### **Prospective Faculty**

The department head has direct responsibility for discovering prospective faculty members. Members of the faculty, administrators and students are encouraged to suggest possible prospects. The Provost must approve the invitation for a prospective faculty member

to visit Drexel. Normally his/her approval will be obtained after s/he has reviewed the resume and other information about the visitor.

A prospective faculty member visiting Drexel will be asked to present a review of his/her research activity or of some specific part of it in a colloquium or seminar to be attended by faculty members and students, both graduate and undergraduate, of the department concerned, and other interested faculty members. In addition, s/he will be interviewed by the department head and members of the departmental faculty and appropriate students and administrators. S/he will be interviewed by the President if the rank being considered for him/her is that of Professor. During these preliminary interviews, the tenure policy is discussed but rank and salary are generally not discussed.

### **Contract Preparation**

After the President's approval, the Provost's Office will prepare and send an original and one copy of the contract and forward these to the prospective faculty member. The contract letter must include the following.

Appointment of new faculty members usually are made for the academic year beginning September 1, covering the academic year to the completion of the following spring term. However, an appointment may begin at the beginning of any quarter, with adjusted salary and pay periods, if approved by the department head, dean and provost.

It must be stated clearly that summer employment is not guaranteed and is dependent on department teaching load.

The letter must state that tenure consideration will normally be made in the sixth year of eligibility, how much credit the faculty member brings toward the probationary period (if any), the year by which the tenure review will be made, and the granting of tenure will depend upon the existence of an available position (See Tenure Policy).

The Provost's Office has a set cost for moving, any other cost should come from the department head and/or dean.

It is understood that in accepting a contract, the prospective faculty member will participate in the Annuity Program when required by the University policy. New faculty members must contact the Human Resources



Office immediately after arriving on campus to set up an appointment for processing required papers.

All that is necessary to complete the contract is for the prospective faculty member to sign, date and return the copy of the contract. When it is received by the provost, copies are made and sent to the necessary offices at Drexel.

## **PROBATION POLICY (UNDERGRADUATE ACADEMIC STANDING)**

Policy revision date: 07.27.06

Policy effective date: 09.25.06

### **ACADEMIC STANDING**

There are three (3) distinct classifications of academic standing reflected on the academic record or transcript:

1. Good Standing
2. On Academic Probation
3. Dismissed

Student academic standing is determined on a term basis at the close of each term, to be effective the first day of the subsequent term of study.

The conditions associated with each of these classifications are described below and are intended to be used to guide the student in his/her academic planning. In particular, a student placed on academic probation must meet with his/her academic advisor to develop an academic strategy for success that will also allow him/her to be removed from academic probation.

### **GOOD STANDING**

*Good standing* status is assigned to the term record of any undergraduate student with a term and cumulative grade point average (GPA) above the standard of 2.00 at the close of the term.

### **ACADEMIC PROBATION**

An undergraduate student will be placed on academic probation when either the term or cumulative GPA falls below 2.00.

Students on probation must meet with their academic advisor to develop a written academic plan and establish GPA goals using the Veigel GPA calculator [1].

While on probation, a student must adhere to the conditions of the program of study in which he/she is enrolled [2]. For example, a student enrolled in a full-time program of study must complete a minimum of

twelve (12) credits but not exceed fifteen (15) credits during probationary term(s) of study. A student in a part-time program of study can enroll in no more than eleven (11) credits in the probationary term(s).

Removal from probationary status requires that the student achieve both a term *and* cumulative GPA of 2.00 or higher in a subsequent term.

A student can remain on probation for three consecutive terms before being dismissed.

[1] The Veigel GPA calculator enables an advisor to quickly determine the grades required to achieve a 2.00 cumulative GPA – based on the number of credits completed and classification.

[2] The Undergraduate Academic Standing and Probation policy is but one of many policies that support each other. Policies regarding Change of Program are supported by the probation program. University program standards – with the exception of the Exploratory Studies program – prohibit program or major changes during the probationary period.

### **DISMISSAL**

#### **Term Grade Point Average**

An undergraduate student will be dismissed from the University when his/her term GPA falls below the 2.00 standard for three (3) consecutive terms.

Students who earn a term GPA below 1.00, *not including their first term at Drexel*, may be automatically *dismissed* from the University. That is, they are subject to dismissal without the benefit of a probationary period. Such students have the opportunity to appeal the dismissal decision, as described below.

First term students that obtain a term GPA below 1.00 will be placed on probation and held to the standards established by the conditions of academic probation.

#### **Cumulative Grade Point Average**

An undergraduate student will be dismissed from the University when his/her cumulative GPA remains below the 2.00 standard for the probationary period of three consecutive terms unless an extended period is approved by his/her College/School Dean/Director.

Students who earn a cumulative GPA below 1.00, *not including their first term at Drexel*, may be automatically dismissed from the University. That is, these students are subject to dismissal, without benefit of a probationary

period. Such students have the opportunity to appeal the dismissal decision, as described below.

First term students that obtain a GPA of or below 1.00 will be placed on probation and held to the standards established by the conditions of academic probation.

### **Subject to Dismissal**

At the end of the probationary period (three consecutive terms), a student is subject to dismissal. The decision to dismiss a student who is *subject to dismissal* rests with the College or School and entails a thorough review of the student's academic record, progress and plan. Students whose academic standing is classified as *subject to dismissal* must meet with their academic advisor to discuss their academic standing, progress and plans.

### **RIGHT TO APPEAL A DISMISSAL DECISION**

A student has the right to appeal a dismissal decision. He/she may do so by submitting a petition to the Office of the Dean/Director of the respective academic College or School [3]. The form must be completed and filed by the student within seven (7) days of having been notified in writing that he or she is being dismissed from the University and in no case later than the first day of classes in the term in which the dismissal is to take effect.

Upon submitting the petition to appeal the dismissal decision, the student will be scheduled to meet with the Academic Standing Committee of his/her college or school in order to discuss his or her academic progress and plan. A final decision regarding the outcome of the student's appeal will be communicated at this meeting.

If a student seeks to be reinstated for the term into which the dismissal is to take effect, he/she must meet with the Academic Standing Committee before the Wednesday of the second week of the term. After that date, appeals will be considered for the subsequent term.

[3] A form for completing the petition is available from the Office of the Dean of the student's respective College/School.

### **TERMS OF REINSTATEMENT AFTER DISMISSAL**

Reinstatement to the University through the Academic Standing Committee of the College or School is subject to the following conditions:

#### **For full-time students:**

The student is expected to meet the Academic Standard of the University by the time he/she is to graduate, that is, a cumulative GPA of 2.00.

The student must enroll in and complete no fewer than twelve (12) and no more than fifteen (15) credits unless otherwise approved by the Academic Standing Committee.

During the period of reinstatement, a student cannot change his/her program of study or status. Inter-college transfer requires that a student is in good standing that is, above a GPA of 2.00 for such transfer to be considered unless the transfer is approved by the Deans/Directors of both units.

A student must obtain a minimum term GPA of at least a 2.00 during the readmitted term and may not earn grades of F or INC in any given course during this term. If the student does not meet the GPA standard as established under the conditions of reinstatement (nominally 2.00), he/she will be dismissed from the University.

#### **For part-time students:**

The student is expected to meet the Academic Standard of the University by the time he/she is to graduate, that is, a cumulative GPA of 2.00.

The student can enroll in and complete no more than eleven (11) credits during the readmitted term.

The student must obtain a minimum term GPA of at least a 2.00 during the readmitted term and may not earn grades of *F* or *INC* in any given course during this term. If the student does not meet the 2.00 GPA standard as established under the conditions of reinstatement, he/she will be dismissed from the University.

Failure to meet the above conditions will result in dismissal from the University. Such dismissal is considered final unless overturned by the Dean/Director of the College/School. A final dismissal decision may not be appealed.

A College/School may implement additional conditions for reinstatement at the discretion of the Dean/Director; but such conditions shall be in writing and provided to the student at the time the Academic Standing Committee issues its judgment.

### **FINAL DISMISSAL**

Students (a) who do not appeal the initial dismissal decision, (b) who receive a negative decision from the Academic Standing Committee, or (c) who fail to meet

the conditions of reinstatement, are severed from the University. Such students may apply to Drexel for reinstatement, but must complete twenty-four (24) transferable credits at another institution with a minimum GPA of 2.50 to be considered for reinstatement. Reinstatement to specific Colleges/Schools at Drexel will be subject to approval by the respective Dean/Director, and such rules or conditions as the College/School may maintain for such cases.

## **PRINCIPAL INVESTIGATOR STATUS**

### **Definition of a Principal Investigator**

A Principal Investigator has responsibility for the overall conduct of a sponsored project, including all technical, programmatic, financial, compliance and administrative aspects. The Principal Investigator is responsible for controlling the technical direction and academic quality of the project and ensures that a sponsored project is carried out in accordance with the terms, conditions, and policies of the Sponsor and the University.

### **Eligibility for Principal Investigator Status**

Principal Investigator status is granted to all regular full time faculty members, including those with emeritus status, and those holding the designation Research Professor. Employees of the University who hold director-level administrative positions are also eligible to be Principal Investigators.

Postdoctoral fellows, lecturers, adjunct faculty, instructors and other professional staff may be eligible for Principal Investigator status in certain circumstances as described below.

Principal Investigator status will not be granted to Visiting Scholars or students.

### **Process for a Petition to Grant Principal Investigator Status**

In certain circumstances, individuals who do not meet University eligibility requirements may be granted Principal Investigator status by the Vice Provost for Research based upon the applicant's experience, skills, research interests, and project plans. The petition for Principal Investigator status must be specifically approved on a case-by-case basis.

The applicant's review package must include:

- A letter of endorsement from a tenured faculty member
- A space utilization statement
- The applicant's curriculum vitae
- The applicant's research plans and the proposed sources for external support

- The approval of this package by the respective Chair/Head and the respective Dean, Director, or Vice President

The completed package should be sent to the attention of the Vice Provost for Research, Office of Research Compliance and Administration, 3201 Arch Street, Suite 100.

## **PROGRAM REVIEW**

### **A. Requirement and Schedule**

1. All academic programs will be subject to review by the Office of the Provost every five years.
2. The Provost will budget funds necessary to conduct periodic program reviews.
3. The Provost will prepare and revise annually a Review Calendar for the ensuing five year period, and will distribute the calendar to the Academic Deans of colleges, to the Directors of Schools, and to the Chair of the Senate Committee on Academic Affairs (SCAA).
4. Six months prior to any periodic review, the Provost will distribute a "Notice of Impending Review," with supporting documents, to the Academic Deans of colleges, to the Directors of Schools, and to the Chair of the SCAA regarding academic programs scheduled for periodic review in the following academic year.

### **B. The Process**

1. Upon notification by the Office of the Provost of the time for review, the Department Head or Program Director will write a proposal for continuation of his or her academic program. The academic unit's head or director shall have four weeks in which to complete the proposal; he or she may convene an academic program review committee, composed of faculty members and staff based in the academic unit for purposes of assistance in writing the proposal. The proposal shall contain all pertinent information to permit substantive review of the program. Such information must include:
  - a. The academic unit's mission statement;
  - b. A statement of the means by which the academic unit realizes its mission;
  - c. A statement indicating that the academic unit's mission is consistent with and supportive of the University's mission.

Additionally, the proposal shall include the following appendices:

- a. A complete listing of all degree and/or certificate programs offered by the academic unit;
- b. A complete listing of all courses (prefix, number, title and description) offered by the academic unit;\*
- c. For each degree or certificate program, a complete listing of required courses;\*
- d. A complete set of course syllabi, one representative syllabus (or the corresponding URL) for each course offered by the academic unit
- e. For each degree or certificate program, a complete listing of the course cycling plan;\*
- f. A complete listing of all faculty associated with the academic unit, including name, rank, courses most frequently taught, and evidence of recent scholarship;\*
- g. A report on the numbers of students enrolled in the academic unit, by major and by year;\*
- h. A listing of student placement for the last five years;
- i. A complete listing of all hires, tenure-track and auxiliary, in the last five years;\*
- j. A complete account of the faculty's teaching load for the last five years;\*

\*This information will be provided by the Office of the Provost. The academic unit head or director will review the information, and correct and supplement as appropriate.

- k. A complete set of financial statements (academic unit budgets) for the last five years;\*
- l. A complete record of faculty and staff salaries for the five year period.

The proposal and appendices "a" through "j", shall be evaluated by the unit's curriculum committee, if such exists, by the academic unit's faculty, and by the appropriate dean (or deans, as appropriate).

2. The SCAA shall receive the written proposal, and appendices "a" through "j". The proposal and appendices "a" through "j" will be kept filed in the office of the Senate and be open to faculty review in the Senate office. The SCAA shall compose a succinct report describing its review of the academic unit and offer one of three recommendations to the Provost, as follows:

- a. the program should be continued, without changes;
- b. the program should be continued, with changes;
- c. the program should be terminated. In that case, SCAA's report will recommend the termination review process called for in the policy document, 'Rules and Regulations for Program Initiation, Review, Change, and Termination'."

The criteria upon which the SCAA's recommendation is based shall be:

- a. The program's appropriateness to the University's goals and priorities;
- b. The necessity of the program to the University's goals and priorities;
- c. the degree of excellence exhibited by the program during the period under review;
- d. the fiscal soundness of the program.

The SCAA will have four weeks in which to complete its review and submit its report to the Provost. Its report must provide justification for the recommendation it makes and, if recommending continuance with change, an account of the changes it is recommending.

3. The Provost will render a final statement regarding the program.

1. If the recommendation is for continuance of the program without change, the Provost will direct the unit head or director to proceed as usual with the business of the unit.

2. If the recommendation is for continuation predicated on changes being made to the program, the Provost may order a subsequent review to be carried out in conformance with the "Rules and Regulations for Program Change," or he or she may direct the unit head or director to develop a plan of action for implementing the changes recommended by the SCAA and/or the Provost.

3. If the recommendation is for termination, the Provost may order a subsequent review to be carried out in conformance with the "Rules and Regulations for Program Termination," or he or she may direct the unit head or director to develop a plan of action for implementing closure as recommended by the SCAA and/or the Provost.

In all cases, the Provost shall issue a written account of the reasons for the action taken, and forward the account to the Chair of Faculty Senate.

## **PUBLIC SAFETY - NO SMOKING & TOBACCO USE**

### **I. . POLICY**

A. Consistent with our smoke-free University, cigarettes, cigars, and other tobacco products are not sold on

campus property. Use of all tobacco products is prohibited on campus property. Drexel University prohibits the smoking or carrying of lighted cigarettes, cigars, or pipes in all indoor facilities, including interior connections to buildings, covered walkways, all building stairwells, hallways, fire escapes, parking structures, University owned vehicles, indoor or outdoor athletic events, and during other University sponsored indoor or outdoor events.

B. Outdoor smoking areas should be located far enough away from doorways, open windows, covered walkways, and ventilation systems to prevent smoke from entering University buildings and facilities.

C. Each department chair and director is responsible for ensuring policy compliance within his or her areas. Anyone not adhering to the policy will be subject to progressive disciplinary action under the Corrective Action Policy.

## II. ELIGIBILITY

This policy applies to all students, faculty, staff and visitors.

## III. ENFORCEMENT

A. Public Safety personnel patrol and receive complaints regarding this policy.

B. When an employee's supervisor is informed of a violation of this policy by Public Safety, s/he will handle the situation directly using the Corrective Action Policy guidelines.

C. Under the Corrective Action Policy, a first warning would be verbal, the next written, with suspension and/or termination following, if necessary.

# **PUBLIC SAFETY - WORKPLACE ANTI-VIOLENCE**

## I. POLICY

All employees are entitled to perform their work, regardless of location, whether on the University's premises or elsewhere, free from violence. Workplace violence will not be tolerated. Any employee who commits an act of workplace violence at work against a person or property will face corrective action up to and including termination of employment. Where appropriate, the matter will be referred to legal authorities for prosecution.

## II. ELIGIBILITY

This policy applies to all faculty, professional, administrative, research and support staff.

## III. DEFINITIONS

Workplace violence is any act against the employer and employees that takes place on the Drexel campus, is committed by persons either who have or do not have an employment-related connection with the University, and involves:

physical acts against persons or University property, or

verbal threats, or vicious statements that are meant to harm or cause a hostile environment, or

written threats, vicious cartoons or notes, and other written conduct of intense distortion that is meant to threaten or create a hostile environment, or

visual acts that are threatening or intended to convey the threat of injury or hostility.

## IV. GUIDELINES

A. To eliminate workplace violence it is every employee's duty to:

Understand what violence is;

Understand themselves, including their attitudes, motivations, and decision-making styles so that they will not resort to violence;

Follow prescribed security measures;

Report to any supervisor or to the Director of Safety any person who threatens or commits workplace violence.

B. Employees are expected to report any act of violence or threat of violence, and should bring their concerns directly to the attention of their immediate supervisors or the Human Resources Department.

C. Any threat of workplace violence shall be investigated.

## V. NON-RETALIATION

Any employee who takes any reprisal, regardless of the magnitude of the reprisal, against a person who reports any threat of workplace violence shall be subject to immediate discipline, up to and including termination of employment.



## **PUBLIC SAFETY - WORKPLACE SAFETY**

### **I. POLICY**

Safe working conditions are to be continually monitored by all employees to ensure safe, efficient working environments to safeguard employees.

The University will not knowingly permit unsafe conditions to exist, nor will it permit employees to indulge in unsafe acts. Violations of University rules and regulations will result in disciplinary action. The University believes that the safety of employees and physical property can best be ensured by a meaningful program that includes participation by all.

Since employees on the job are frequently more aware of unsafe conditions than anyone else, they are encouraged to make recommendations, suggestions, and criticisms of unsafe conditions to their immediate supervisors so that they may be addressed and remedied. Supervisors are responsible for the working conditions within their department and the University.

Supervisors should remain alert at all times to dangerous and unsafe conditions, so that they may recommend corrective actions, discipline employees who habitually create or indulge in unsafe practices, assess new or changed situations for inherent dangers, and follow up on employee suggestions for corrective action so that unsafe conditions are not instituted or permitted to exist.

### **II. ELIGIBILITY**

This policy applies to all administrative, faculty, professional, and support staff employees.

## **PURSUING TWO DEGREES CONCURRENTLY**

### **Two Undergraduate Degrees**

A student enrolled at Drexel is permitted to earn two bachelor's degrees simultaneously. (All students should be counseled regarding this decision and possibly encouraged to consider instead a master's/bachelor's program). The student must satisfy the academic and the cooperative work experience requirements of each degree program; some course work and co-op periods may be applied toward satisfying the requirements of both degrees. The student whose plan of study requires more terms in school than a single degree program will be billed additional tuition accordingly.

A plan of study, created by the student, must have signatures of approval of the department head of each

program involved, and a copy of the approved plan must be filed in the office of the dean of each program. The student should have an officially declared major in each bachelor's degree program being pursued. The student must file an application for degree in the term that he/she expects to complete each degree. A student completing two different degrees will receive one diploma for each degree and have each degree and its affiliated major noted on the transcript.

### **Two Graduate Degrees**

#### **1. Dual Master's Degree**

Graduate students already enrolled in a master's degree program at Drexel have the opportunity, through the dual master's program, to work simultaneously on and to receive two master's degrees upon graduation. The following eligibility criteria apply:

- a) Graduate students must be currently working on their first degree when requesting admission to the second.
- b) They must obtain approval from the graduate advisers of both programs and work out a plan of study encompassing coursework and/or research (thesis) credits for both degrees.
- c) Students may transfer as many as 15 credits from one program to the other, usually in the form of electives, and are, therefore, required to complete 60 graduate credits in order to complete a dual master's degree program. (The actual credit total may be higher, depending on each department's requirements.)

The dual master's student must complete the appropriate form, available from the Graduate Studies Office, and obtain approvals from both graduate advisers. Final approval is granted by the Graduate Studies Office. The student is then registered in both majors simultaneously. Upon graduation, the student must file two "Application for Degree" forms with the Student Administrative Services Center.

#### **2. Second Master's Degree**

Students with a previously completed master's degree may pursue a second master's degree in a different major without the need to go through the admission process again or to complete another 45 credits of graduate coursework. Because the student has already completed a master's degree at Drexel, he or she may transfer up to 15 credits from the first into the second master's degree program, depending upon, departmental requirements in the new major, and may, therefore, complete the second master's degree with a minimum of 30 new graduate credits.

Readmission into the second master's degree program is requested through the new departmental graduate adviser, with final approval by the Graduate Studies Office. During the term in which the student expects to complete the second master's degree, he/she must file an application for degree form with the Student Administrative Services Center.

## **PURSUING TWO DEGREES OF THE SAME KIND SEQUENTIALLY**

Undergraduate and graduate students enrolled at Drexel University are permitted to earn two degrees of the same kind sequentially (e.g., two bachelor's degrees, or two master's degrees). To qualify under this policy, the student must complete all requirements of the first degree program before undertaking the second. Specific courses taken in completion of the requirements of the first degree may be applied to second degree only if those courses have been taken within ten years of the completion date of the first program, subject to the approval of the Department Head and Dean of the College in which the second program is housed. A student pursuing a second bachelor's degree must also meet the cooperative work experience requirements of the second program.

## **REGISTRATION PROCEDURE**

The student is considered the responsible party for any/all transactions process against his/her academic record. The transaction date (i.e., the date a drop, add or withdraw action occurs) will be the effective date by which refunds will be determined.

## **RELIGIOUS OBSERVANCE**

Embodying a culturally and spiritually diverse community, Drexel University recognizes that on the occasion of important or solemn religious days, certain of its members will observe practices that preclude them from attending to their regular duties whether as faculty members or students. On the occasion of such days, it is equally important for all who do not share in these same practices to accommodate their colleagues and peers.

Drexel University supports an environment that respects the religious observances of others and is committed to make every reasonable effort to accommodate the religious observances of instructors, students, and staff.

Instructors are asked to reasonably accommodate students' religious observances in course scheduling. Instructors should provide a syllabus at the beginning of the term that specifies the examination schedule for their

course and due dates for any written or oral assignments. With that information, students can then inform their instructors of any absences or conflicts with the examination / assignment schedule due to religious observances at the beginning of the quarter and well in advance of the anticipated absence. Students may be asked to provide information about their religious obligations and our hope is that they comply.

We encourage the student and his or her instructors to develop mutually agreed upon and reasonable accommodations. In the event that such accommodations cannot be developed, the student can appeal to the Dean of his or her College or School.

Instructors may request to reschedule a course meeting because it conflicts with their religious observance. Such a request should be coordinated with the Department Head and Registrar's office well in advance of the religious holiday so that accommodations can be explored. Please visit the Provost's website to access the religious calendars:  
[www.drexel.edu/provost/calendars](http://www.drexel.edu/provost/calendars)

## **REPEATING COURSES**

In order to retake a course, you simply schedule the same course again in a new term. There are no special forms to fill out or approvals to obtain. Each time and term you take the course, the course name and grade you earn for the course will appear on your transcript. For example, if you take a course three times, the name of the course will appear three times and you will receive a grade each of the three times. Drexel University computes a single, unified grade point average for all undergraduate courses taken at the university. All grades from original and repeated course enrollments are calculated into both the term grade point average and the cumulative grade point average with no exclusions or averages. The credits earned from the first time a course is completed with a passing grade will be included in your earned and passed hours.

## **RESEARCH PROPOSAL AND AWARD POLICY**

Last modified: 12.14.05

Since only Drexel University is authorized to submit proposals and accept awards and contracts from sponsors on behalf of university faculty, all submissions for funding support for research, training, instruction, service and other activities are made under the auspices of Drexel University. Proposals, at any stage of development (e.g., pre-proposals), must be submitted to



the Office of Research and Graduate Studies at least five days prior to the submission deadline. All grants and contracts accepted by Drexel University are the commitment and responsibility of Drexel University. All formal agreements must be approved and executed by the Vice Provost for Research and Dean of Graduate Policy who is officially designated by the university to approve and execute these agreements.

A contract is invalid if executed by an unauthorized individual. If a funded proposal has not been processed through the Office of Research and Graduate Studies, there is a risk that Drexel University will not accept the award or may have to renegotiate terms. Procedures for all submission and approval processes are posted on the Office of Research and Graduate Studies website: [www.research.drexel.edu](http://www.research.drexel.edu).

## **RESEARCH STAFF APPOINTMENT**

Last modified: 12.15.05

In order to increase the quality, quantity, and productivity of research grants and contracts, a category of professional employees entitled “research faculty” has been established by Drexel University. Individuals with outstanding research experience and credentials are appointed as research faculty by the Vice Provost for Research and Dean for Graduate Policy. The primary function of research staff is to acquire and conduct sponsored research. Institutes, centers, colleges, and departments may employ research staff. Generally, research faculty are supported entirely by externally funded grants or contracts, and only in rare cases will institutional funds be available for support. Research conducted by these individuals is to be of the highest quality to continue to advance Drexel University as a research focused institution. External funding provided through these grants and contracts provides stipends for graduate students, fund for the purchase of research equipment, and the addition of individuals of unique expertise. Research faculty are professional employees who hold non-tenure track positions. Research faculty appointments must be made in compliance with the university affirmative action and equal opportunity policies.

### **Appointments**

A department head or unit administrator may request through normal university channels to the Vice Provost for Research and Dean for Graduate Policy, the appointment of an individual to the research faculty. The request should contain an assessment of the individual’s capabilities of raising external support and identification of what unique expertise and/or capabilities this

individual brings to the department or unit.

In addition, the Vice Provost for Research and Dean of Graduate Policy can approve a qualified appointee the right to serve as advisor to graduate students.

The Vice Provost for Research and Dean of Graduate Policy will appoint the individual upon review using normal procedures for the appointment of soft money employees. Appointments can be made at the ranks shown below. All reference to these appointees, formal or informal, written or oral, shall use the term “research” in the title. Appointments will be made for a time period that reflects the contract period of the initial grant or contract from which the appointee is paid, but must be renewed annually.

Categories:

### **Research Professor/Senior Research Scientist/Senior Research Engineer**

Normally requires the equivalent of a Ph.D. in a related field with substantial experience, evidence of high quality research and productivity, as evidenced by books, patents, articles, published in refereed or comparable journals, listing in a citation index where appropriate, plus a national and international reputation as evidenced by active participation in prestigious advisory boards and professional societies.

### **Research Associate Professor/Associate Research Scientist/Associate Research Engineer**

Normally requires the equivalent of a Ph.D. in a related field with experience, plus a national reputation and evidence of quality and productivity, as evidenced by books, articles in refereed journals or patents that demonstrate a successful level of performance normally associated with a mid-level career.

### **Research Assistant Professor/Assistant Research Scientist/Assistant Research Engineer**

Normally requires the equivalent of a PhD. in a related field and demonstrates a successful the level of performance normally associated with the beginning of a career in research.

## **RESEARCH STAFF BENEFITS**

Research faculty shall have the fringe benefits package established by the University for professional employees with the following exceptions: 1) the University’s contribution to the annuity plan will be based on the exact salary actually paid over the appointment period, and 2) earned vacation must be taken during the period of appointment but will not accrue for payment at termination.

## RESEARCH STAFF PROMOTION

Last modified: 12.14.05

Promotion of research faculty whose qualifications meet the criteria for the higher rank may be initiated by a department head or unit administrator, subject to consultation with the appropriate dean and must be approved by the Vice Provost for Research and Dean of Graduate Policy. Performance evaluation of research staff shall be the responsibility of the Vice Provost for Research and Dean of Graduate Policy.

Since research appointments are contingent upon external funding, indefinite continuity of appointment, at any rank, should not be assumed. All appointment contracts shall specify the source of funding.

Members of the research faculty may move to positions as tenure track teaching faculty only by competing successfully in a normal search process. Research appointments may not be used to extend a tenure track faculty probationary period.

On occasion, a department head or unit administrator may request a research faculty member to teach. Compensation for this teaching is approved and provided through the Vice Provost for Research and Dean of Graduate Policy.

## RESEARCH STAFF TERMINATION

An appointment can be terminated whenever the external funding is not renewed. Even when continued funding may be available, reappointment may be denied for the following reasons: 1) lack of suitable facilities, 2) inconsistency with research priorities of the department or unit, 3) failure to maintain excellence in quality or productivity of research, 4) for cause. In such instances, the individual should be given one pay period notice in writing of termination.

## RESEARCH STAFF UNIVERSITY VOTING RIGHTS

The faculty of a department or unit may grant the research faculty voting rights in that department or unit, but research faculty are not voting members of the University faculty.

## RESIDENCY APPLICATIONS

### GUIDELINES FOR PERMANENT RESIDENCY

### APPLICATIONS: FACULTY, RESEARCHERS, STAFF AND STUDENTS

Drexel University sponsors for U.S. permanent residence full-time, regular employees in certain academic positions. The University will not sponsor staff who are in non-academic positions, except when a special case is made for an exception to this policy. Drexel University will not sponsor students, part-time, or temporary employees for permanent residence.

If the University is able to sponsor a non-immigrant employee for permanent residence, International Students and Scholars Services ("ISSS") will authorize an attorney retained by the employee to initiate the permanent residence application. A University-sponsored permanent residence application CANNOT be initiated without the authorization of ISSS. Deans, Directors and Department Heads must consult ISSS to initiate the permanent residence process for any employee. Employees initiating the permanent residence process without prior written permission from ISSS risk having their application process delayed or terminated.

### 1. FOREIGN NATIONAL EMPLOYEES IN ACADEMIC POSITIONS AT THE UNIVERSITY

The University offers permanent residence sponsorship to full-time, regular foreign national employees in academic job classifications at the University. These positions include professor, associate professor, assistant professor and research associate. (A department must have funding for at least three years in the future for the University to sponsor a research associate). The University does not sponsor post-doctoral fellows, lecturers, auxiliary or adjunct faculty for permanent residence, since these positions are considered by the University to be temporary and do not always carry full University benefits. The University requires that individuals offered tenured appointments must be U.S. workers as defined by the U.S. Department of Labor, before accepting the position.

#### A) Tenured Appointments

If a department is considering offering a tenured appointment to a foreign national who does not already have permanent residence status, the following points must be borne in mind:

- Since a tenured appointment is an appointment without limit of time, the only status appropriate for such an appointment is permanent residence or other indefinite U.S. worker status.

- Obtaining permanent residence takes considerable time, approximately 18-24 months at the time of this publication.
- A tenured appointment cannot be conferred by the University until the individual has obtained permanent residence or U.S. worker status.
- If an academic department is considering an offer of a tenured position and feels the delay is too lengthy, the department may wish to consider offering a temporary position, such as a visiting faculty appointment. This will enable the University to obtain H-1B visa status for the individual.
- If the scholar is already in the U.S. on a temporary visa, adjustment of status to permanent residence is sometimes possible. However, this process must be completed before the individual can take up the tenured appointment.

#### B) Tenure Probationary Appointments

An international scholar may be appointed to a faculty position that at the outset is not tenured. If the candidate does not have, at the time of appointment, the appropriate immigration status, the letter of offer should clearly state that the appointment is conditional upon obtaining the appropriate immigration status.

As with the appointment of a foreign national to a tenured faculty position, if the appointee does not have U.S. permanent residence status, or is not a U.S. worker, the University will normally sponsor the application for such status. If there is not sufficient time to obtain permanent residence status, the appointee may obtain H-1B status for the initial period of the appointment (i.e., the first three years in most instances). Immigration law permits "dual intent," for H-1B visa holders. This makes it possible for employers to use the H-1B status for tenure-track or lecturer appointments while in the process of obtaining permanent residence status for the appointees.

#### C) Non-Tenure Accruing Academic Appointments

Occasionally, the University will sponsor for U.S. permanent residence certain individuals holding non-tenure accruing positions within the academic staff. In all instances, there must be evidence of on-going support (a minimum of three years) for the position and written approval by the Department Head and Dean/Director indicating the basis for their decision to sponsor the application. This policy will include some research

associates and, in a few cases, the position of senior lecturer.

#### 2. NONIMMIGRANT EMPLOYEES IN NON-ACADEMIC STAFF POSITIONS AT THE UNIVERSITY

The University does not sponsor foreign national employees in non-academic staff positions such as research specialist, programmer analyst, or laboratory technician for permanent residence. This policy is an expression of the University's desire to provide employment opportunities for U.S. workers in the Philadelphia area. The University can make an exception, however, if it can be demonstrated that there are no qualified U.S. workers available in the Philadelphia area for a given staff position.

A University department can request an exception to this policy on behalf of a foreign staff member by writing a letter (with an attached job description) to ISSS. The process includes placement of a newspaper advertisement and other procedures necessary for consideration of the exception request.

All employees sponsored by the University for permanent residence are required to commit to a minimum of three years full time employment at the University upon the granting of permanent residence by United States Citizenship and Immigration Services.

#### 3. GENERAL APPLICATION PROCEDURES FOR FILING FOR U.S. PERMANENT RESIDENCE STATUS

There are normally three steps involved in obtaining U.S. permanent residence status on the basis of an offer of employment when an individual is in the U.S. and seeking to adjust to permanent residence status while remaining in the United States. The University's authorized immigration attorney shall be responsible for taking the following steps:

- Application for Labor Certification filed with the Department of Labor. The purpose of the Labor Certification (for faculty positions only) is to demonstrate that the "employer selected the alien for the job opportunity pursuant to a competitive recruitment and selection process, through which the alien was found to be more qualified than any of the U.S. workers who applied for the job." The standard for non-faculty positions is more stringent. Non-faculty labor certifications will only be approved if it can be demonstrated that there are no qualified U.S. workers available for a

position. This step is not necessary for an application filed under the outstanding researcher or national interest waiver category.

Please note that, while ISSS exception request process reflects some labor certification procedures, the exception process is completely separate from and usually has no bearing on an application for labor certification with the Department of Labor.

- Petition for immigrant classification filed with the Immigration Service (I-140). This is the first step in the application for classification as an outstanding professor/researcher.
- Application for adjustment of status to that of a U.S. permanent resident filed with the Immigration Service (I-485).

#### 4. COST AND FEES

It is within the discretion of the College or School to provide funding toward attorney and filing fees associated with the permanent residence process. If the College or School chooses not to provide the funding, but does agree to sponsor the employee's permanent residence process, it is the responsibility of the employee to pay all money and filing fees associated with the permanent residence process.

### **SABBATICAL LEAVE POLICY**

Last modified: 011.27.06

The Sabbatical Leave program provides an opportunity for Drexel University faculty to continue their professional development. Tenured faculty of Drexel University may be awarded Sabbatical Leaves in accordance with the following guidelines: |

a. Sabbatical Leaves are intended to encourage scholarly pursuits that reflect benefits to both the individual faculty member and the University. Such pursuits include research, production of scholarly works (such as papers, books, works of art) and improvement of teaching effectiveness. Such pursuits include research, production of scholarly works (such as papers, books, works of art) and improvement of teaching effectiveness.

b. Sabbatical Leaves shall be awarded by the Provost on the basis of recommendations made by the Sabbatical Leave Committee.

c. A tenured faculty member in a professorial rank who has been a full-time employee for six years becomes eligible to apply for a Sabbatical Leave in the seventh year of his/her appointment at Drexel or in the seventh year from his/her last Sabbatical Leave.

d. Eligible tenured faculty may apply for a Sabbatical Leave by submitting a written proposal that includes a statement of the purposes of the Sabbatical Leave, the recommendation of the Department Head and the academic Dean that includes a commentary on the benefits this Sabbatical Leave will bring to the academic unit as well as the costs, staffing concerns, and impact to the unit while the faculty member is on leave. The proposal package will then be submitted by the Dean to the Office of the Provost electronically for conveyance to the Sabbatical Leave Committee.

e. The proposal must specify whether the Sabbatical Leave will be for two or three consecutive quarters. A Sabbatical Leave will provide two-thirds salary based on the quarter rate for each of three quarters, or full salary based on quarter rate for each of two consecutive quarters. The quarter rate is defined as the amount of the annual nine-month contract salary divided by three. The full dollar contributions to any fringe benefits normally covered by Drexel University, including, but not limited to, medical insurance, life insurance, disability insurance, retirement and tuition benefits for family members, shall be continued during the period of leave, provided that those benefits are not duplicated by a temporary employer sponsoring the Sabbatical Leave, and provided that the faculty member continues his/her regular contributions.

f. The Sabbatical Leave recipient is relieved of all academic duties and responsibilities during the period of his/her leave. However, it is necessary for a Sabbatical Leave recipient to make suitable arrangements for the supervision of his/her graduate student advisees while on leave.

g. The Sabbatical Leave recipient agrees to return to the University for at least one full academic year following completion of his/her leave or else agrees to reimburse the University the amount paid to the recipient during their Sabbatical Leave.

h. Faculty members desiring to make an application for a Sabbatical Leave are encouraged to take advantage of opportunities for partial financial support from external funding agencies, other universities, industrial units, etc. Various offices of the University may assist in planning

such funding, where possible. However, the availability of external funds shall not prejudice the decision regarding granting a Sabbatical Leave.

i. A faculty member that has been awarded a Sabbatical Leave shall still be eligible for leaves of absence with or without pay under the existing policy of the University regarding leaves for research, illness, recovery of health or maternity. Such leave time taken by a faculty member may not be credited toward service time for sabbatical eligibility.

j. A Sabbatical Leave holder shall not be penalized by exclusion either from salary increases or from consideration for promotion to which s/he would normally be entitled had s/he remained on campus.

## **PROCEDURE**

### **Eligibility**

Tenured faculty of professorial rank (Assistant, Associate and Full Professors) are eligible for sabbatical leaves. Administrators holding professorial ranks, e.g. Department Heads, Deans, Associate Deans, Vice Provosts, etc. are also eligible for sabbatical leaves after they return to the ranks of faculty. Questions regarding length of service as it applies to previous service at other institutions, service in non-tenure track positions at Drexel, fellowships, administrative appointments and leaves without pay shall be settled by the Office of the Provost. Proposals for leave involving full-time paid employment by organizations other than Drexel or full-time paid consulting will not normally be considered as a Sabbatical Leave.

### **Calendar and Process**

- a. In every academic year, on or before June 1, the Office of the Provost shall announce the opening of the application process for the next academic year.
- b. Each applicant must submit a written proposal for a Sabbatical Leave to his/her Department Head electronically by October 31. The proposal will be submitted to the respective Dean/Director and then forwarded electronically by the Dean/Director with his/her comments to the Office of the Provost for Academic Affairs for conveyance to the Sabbatical Leave Committee by December 1.
- c. The Committee recommendations shall be made to the Provost by February 1.
- d. The Provost shall announce awards by March 1. Early or late consideration could be requested, with good reason as justified by the applicant, to meet planning

needs or to take advantage of special opportunities. Applications, however, should be expected to be processed within the normal cycle.

e. A faculty member who is awarded a Sabbatical Leave may, with good reason, defer the leave for up to twelve months with the concurrence of the Department Head, the Dean, and the Provost.

f. A faculty member who is awarded a Sabbatical Leave shall notify his/her Department Head and Dean of any changes in plans from those outlined in the original proposal. Any changes must be approved by the Office of the Provost.

### **The Proposal**

Cover Page

Name, rank and department

Dates of intended leave

Proposed affiliation and location(s) of any institution(s) where the project will be carried on, and the names of authorities or colleagues, if any, with whom it will be conducted.

Date(s) of previous Sabbatical Leave(s)

### **Body of the Proposal**

Regarding the description of the proposed project, it is understood that the Sabbatical Leave is an opportunity for pursuing new ideas. For instance, the proposal should include:

1. A brief history of the project from inception through progress to date and expected completion date
2. A statement indicating the potential value to the applicant and to the University
3. Significance of the project as a contribution to a body of knowledge and/or as expected contribution to the applicant's increased effectiveness as a teacher and scholar
4. Assurances of cooperation, or authorization to conduct the project, received from individuals, institutions, or agencies, preferably in writing
5. Description of all financial support expected during the Sabbatical Leave

#### *Additional Information to be Included*

A copy of any previous Sabbatical Leave reports that were submitted to the appropriate administrators.

A current curriculum vitae.

Other supporting documents related to the proposal may be attached.

### **Submission**

The proposal should be submitted to the Department Head electronically by October 31 in a format specified by the announcement.



### **THE SABBATICAL LEAVE COMMITTEE**

The Sabbatical Leave Committee is under the jurisdiction of the Faculty Affairs Committee of the Faculty Senate, which monitors its operation. The Sabbatical Leave Committee consists of one regular member from each College/School who are to be elected under the direction of the Faculty Senate. Each regular member shall be tenured, shall serve a two-year term and shall serve no more than four consecutive years. An additional member to serve as Committee Chair shall be elected by the Faculty Affairs Committee from its own membership and will act as liaison to the Faculty Affairs Committee. The Chair shall be selected annually and shall serve no more than two consecutive years. In addition, a designee of the Provost, shall serve as an ex-officio member of the Committee.

### **SABBATICAL LEAVE COMMITTEE OPERATION**

The Sabbatical Leave Committee is charged with the implementation of the Sabbatical Leave Plan. The principal activity of the Committee is to make recommendations to the Provost for awards for Sabbatical Leaves under the Plan. Modifications to the guidelines may be proposed from time to time.

Proposals for Sabbatical Leave shall be evaluated based on the criteria outlined in the introduction, specifically, on the basis of scholarly merit, value to the individual and value to the University. Further information and personal interviews with the applicants may be requested during the Committee's deliberations.

The Committee shall give particular consideration to applicants whose time of service extends beyond the minimum period for eligibility.

In making its recommendations to the Provost, the Committee shall group the proposals into three categories:

- Group A - those proposals worthy of an award in any case. The proposals in this group will be rank ordered.
- Group B - those proposals which are meritorious, but should be awarded only if sufficient funds are available. The proposals in this group will be rank ordered.
- Group C - those proposals not recommended for support.

Unsuccessful applications in a given year will be returned by the Committee to the applicant with written reasons for denial and recommendations for improvement to assist with future applications.

### **REPORTING**

Within 90 days after returning to Drexel, each Sabbatical Leave recipient shall forward electronically to the Department Head, the Dean, the Office of the Provost and the Chair of the Senate Committee on Faculty Affairs a report on his/her sabbatical leave, including a description of activities and achievements, any variation from the original plan and recommendations to the Committee. If such a report is not submitted by the deadline, the faculty member will not be considered for future Sabbatical Leaves.

### **SALARY POLICY**

There is every intention of keeping Drexel's salaries in line with those of similar universities, which implies some variation from one field of specialization to another. Salary adjustments are not made on an across-the-board basis, but rather on the basis of individual merit. Attention is given to the AAUP scale and recommendation in determining Drexel's adjustments in scale from year to year. Final adjustments must be approved by the board of trustees upon the recommendation of the president.

### **SCIENTIFIC MISCONDUCT - RESPONDING TO ALLEGATIONS OF SCIENTIFIC MISCONDUCT**

#### **I. Introduction**

The Department of Health and Human Services and the National Science Foundation (NSF) have proposed regulations which define the responsibilities of Public Health Service (PHS) and NSF research grant awardees for dealing with and reporting possible misconduct in research efforts (42CFR, Part 50, Subpart A and 45CFR, Part 689). The Public Health Service Act requires that each agreement for a grant, contract or cooperative arrangement for the conduct of biomedical or behavioral research must have, as part of it, assurances that the institution has established an administrative process to review reports of scientific misconduct in connection with biomedical and behavioral research conducted at or sponsored by the institution. In addition, The National Science Foundation has similar regulations governing the conduct of researchers supported by NSF grants. Implicit in these requirements is an understanding that the institution reports any investigation of scientific misconduct which appears to be substantiated.

The policy and associated procedures will normally be followed when an allegation of possible misconduct in



science is received by an institutional official. Particular circumstances in an individual case may dictate variation from the normal procedure deemed in the best interests of the institution and PHS or NSF. Any change from normal procedures also must provide for the fair treatment of the subject of the inquiry or investigation. Any significant variation should be approved in advanced by the Deciding Official (see definition below).

## II. Definitions

A number of important terms are used in this policy and shall be defined as follows:

A. **Allegation** means any written or oral statement or other indication of possible scientific misconduct made to an institutional official.

B. **Complainant** means a person who makes an allegation of scientific misconduct.

C. **Conflict of interest** means the real or apparent interference of one person's interests with the interests of another person, where potential bias may occur due to prior or existing personal or professional relationships.

D. **Deciding Official** means the institutional official (i.e., the Vice President for Research) who makes final determinations on allegations of scientific misconduct and any responsive institutional actions. The Deciding Official will not be the same individual as the Research Integrity Officer and should have no direct prior involvement in the institution's inquiry, investigation, or allegation assessment.

E. **Employee** means, for the purpose of this policy only, any person paid by, under the control of, or affiliated with the institution, including but not limited to scientists, physicians, trainees, students, fellows, technicians, nurses, support staff, and guest researchers.

F. **Good faith allegation** means an allegation made with the honest belief that scientific misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

G. **Inquiry** means gathering information and initial fact-finding to determine whether an allegation or apparent instance of scientific misconduct warrants an investigation.

H. **Investigation** means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred, and, if so, to determine the responsible person and the seriousness of the misconduct.

I. **ORI** means the Office of Research Integrity, the office with the Department of Health and Human Services (DHHS) that is responsible for the scientific misconduct and research integrity activities of the U.S. Public Health Service.

J. **PHS** means the U.S. Public Health Service, an

operating component of the DHHS.

K. **PHS regulation** means the Public Health Service regulation establishing standards for institutional inquiries and investigations into allegations of scientific misconduct, which is set forth at 42 C.F.R. Part 50, Subpart A, entitled "Responsibility of PHS Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science."

L. **PHS Support** means PHS grants, contracts, or cooperative agreements or applications therefor.

M. **Research Integrity Officer** means the institutional official, e.g., the Associate Vice President for Research or senior faculty member, responsible for assessing allegations of scientific misconduct and determining when such allegations warrant inquiries and for overseeing inquiries and investigations.

N. **Research record** means any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of scientific misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

O. **Respondent** means the person against whom an allegation of scientific misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

P. **Retaliation** means any action that adversely affects the employment or other institutional status of an individual that is taken by an institution or an employee because the individual has in good faith, made an allegation of scientific misconduct or of inadequate institutional response thereto, or has cooperated in good faith with an investigation of such allegation.

Q. **Scientific misconduct or misconduct in science** means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data. In addition, the

institution reserves the right to require adherence to other definitions of scientific misconduct as required by +contractual obligations with external sponsors of research.

### III. General Principles

1. The institution shall establish and keep current standards of research conduct policies and procedures intended to avoid or prevent the occurrence of scientific misconduct. The scientific and administrative staff shall be informed of these policies and procedures and apprised of the need to comply.

2. Immediate and appropriate action should be taken as soon as misconduct on the part of (an) investigator(s) is suspected or alleged. All employees or individuals associated with Drexel must report observed, suspected, or apparent misconduct in science to the Research Integrity Officer. If an individual is unsure whether a suspected incident falls within the definition of scientific misconduct, h/she may call the Research Integrity Officer to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of scientific misconduct, the Research Integrity Officer will refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

3. Drexel employees will cooperate with the Research Integrity Officer and other institutional officials in the review of allegations and the conduct of inquiries and investigations. Employees have an obligation to provide relevant evidence to the Research Integrity Officer or other institutional officials on misconduct allegations.

4. The institution, through the Research Integrity Officer, will monitor the treatment of individuals who bring allegations of misconduct or of inadequate institutional response thereto, and those who cooperate in inquiries or investigations. The Research Integrity Officer will protect these persons from retaliation with respect to the terms and conditions of their employment or other status at the institution and will review instances of alleged retaliation for appropriate action. Employees should immediately report any alleged or apparent retaliation to the Research Integrity Officer.

5. The institution will protect the privacy of those who report misconduct in good faith to the maximum extent possible. For example, if the complainant requests anonymity, the institution will make an effort to honor the request during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The complainant will be advised that if

the matter is referred to an investigation committee and the complainant's testimony is required, anonymity may no longer be guaranteed. Institutions are required to undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.

6. Inquiries and investigations will be conducted in a manner that will provide for the fair treatment of the respondent(s) in the inquiry or investigation and will maintain confidentiality to the extent possible without compromising public health and safety or the ability to thoroughly carry out the inquiry or investigation. Caution will be taken to avoid real or apparent conflicts of interest on the part of all involved in the investigation process. Institutional employees accused of scientific misconduct may consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice and may bring the legal counsel or non-lawyer personal adviser to interviews or meetings on the case, but these individuals may not participate in the proceedings.

7. The institution will comply with the reporting requirements of the funding agency, if applicable. If PHS funds are involved, immediate notification is provided to ORI if:

- a) there is an immediate health hazard involved;
- b) there is an immediate need to protect Federal funds or equipment;
- c) there is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;
- d) it is probable that the alleged incident is going to be reported publicly;
- e) the allegation involves a public health sensitive issue, e.g., a clinical trial;
- f) there is a reasonable indication of a possible Federal criminal violation. In this instance, the institution must inform ORI within 24 hours of obtaining that information.

8. When the institution's review of the allegation identifies non-scientific misconduct issues, the institution, through the Research Integrity Officer, should refer these matters to the proper institutional or Federal office for action. Issues requiring referral include potential violation of criminal law under DHHS grants and contracts, potential violation of human or animal subject regulations, potential violations of Food and Drug Administration regulated

research requirements, potential violations of cost principles or other fiscal irregularities.

#### **IV. Process**

The process for responding to an allegation of scientific misconduct is outlined below. The actual procedures to be followed when responding to an allegation of scientific misconduct are described in the document entitled "Drexel Procedures for Responding to an Allegation of Scientific Misconduct."

##### **A. Informal Phase:**

1. Initial perception of scientific misconduct.
2. Submission of allegation of scientific misconduct to Research Integrity Officer.
3. Determination by Research Integrity Officer as to whether an inquiry is warranted.

##### **B. Inquiry Phase:**

1. Where appropriate, secure relevant research records.
2. Notify appropriate institutional officials, the respondent, and the ORI (if the request to open the inquiry originated from ORI).
3. Appoint and charge the Inquiry Committee.
4. Notify ORI if any of the conditions listed above under Section III, part 7 are present.
5. Inquiry Committee conducts interviews with respondent, complainant and witnesses.
6. Inquiry Committee evaluates evidence and testimony and generates a written Inquiry Report.
7. Inquiry Committee provides respondent with copy of Inquiry Report for comment.
8. Inquiry Committee submits Inquiry Report to Deciding Official (within 60 calendar days of the inquiry's initiation).
9. Decision by Deciding Official as to whether an investigation of scientific misconduct is warranted.

##### **C. Investigation Phase:**

1. Begin investigation within 30 calendar days of the completion of the inquiry.
2. Notify ORI of investigation (if PHS funds involved).

3. Sequester additional research records (if appropriate or necessary).
4. Notify respondent of investigation.
5. Appoint and charge an Investigation Committee.
6. Investigation Committee develops an investigation plan.
7. Investigation Committee reviews evidence and conducts interviews with respondent, complainant, and witnesses.
8. Summaries of interviews provided to interviewed parties for comment.
9. Investigation Committee evaluates evidence and testimony and prepares an Investigation Report.
10. Investigation Report sent to respondent for comment.
11. Investigation Report sent to Deciding Official and ORI (if PHS funds involved) within 120 calendar days of the investigation's initiation.
12. Decision by Deciding Official as to whether scientific misconduct has occurred
13. Notify respondent and complainant of final decision in writing.

##### **D. Institutional Administrative Actions**

1. If, in the judgment of the Deciding Official, scientific misconduct has been substantiated by the findings, the Deciding Official, after consultation with the Research Integrity Officer, will decide on the appropriate actions.
2. If the institution finds no misconduct, (and, where applicable, ORI concurs) after consulting with the respondent, the Research Integrity Officer will undertake reasonable efforts to restore the respondent's reputation.
3. The Deciding Official will determine, after consulting with the complainant, what steps, if any, are needed to restore the position or reputation of the complainant (unless the allegations were not made in good faith, whereby the Deciding Official will determine whether any administrative action should be taken against the complainant).

## **SEXUAL HARASSMENT POLICY**

Drexel University is committed to providing a working and learning environment free from sexual harassment and it is the policy of the University that sexual

harassment in any form is unacceptable behavior and will not be tolerated.

Management and supervisory personnel, at all levels, are responsible for taking reasonable and necessary action to prevent sexual harassment. All members of the University community, faculty, staff and students, are required to promptly report any and all conduct which might be in violation of this policy.

The University will:

- respond to all complaints of sexual harassment pursuant to the published Discrimination and Harassment Complaint Resolution Procedure;
- take action to provide remedies when sexual harassment is discovered;
- impose appropriate sanctions upon individuals who have been found to be in violation of the University's policy; and
- protect the privacy of those involved in sexual harassment complaints, to the extent possible.

The above actions will apply to the extent permitted by law.

#### ELIGIBILITY

This policy applies equally to male and female faculty, staff and students, to all other persons on the premises subject to University control and to those engaged to further the interests of the University.

#### NON-RETALIATION

Retaliation against an individual who, in good faith, reports, complains about or participates in an investigation of an allegation of discrimination/harassment is prohibited by Drexel University policy and by federal law.

### SPECIAL TOPICS/INDEPENDENT STUDIES COURSES

Two years is the typical time span for a department to offer a "Special Topics" course. For exceptions to this policy, administrative approval from the Provost Office is required.

Courses identified as "Special Topics" can only be used as a degree requirement with approval from the Provost Office.

### SPRING TERM TERMINATIONS

A faculty member who terminates at the end of the spring term may have his/her unpaid earnings for the current academic year included in his/her June check if a "Termination of Faculty Contract" Form (D-57) is signed by the faculty member and approved by the Provost prior to June 7. The forms are available in the personnel office. Completion of this form amends the faculty member's existing employment contract by changing the date of termination. This action affects the termination of the employee's staff benefits, which would then be terminated on the new date of termination (health plan coverage, if the employee is a participant, terminates as of the end of the month following the new date of termination.) If s/he so desires, a deposit will be made at the end of June for the balance of his/her unpaid earnings for the current academic year to any bank account that s/he designates, by completing, prior to June 15th, the proper form available in the records and data section of the personnel department. For a terminating faculty member who requests any pay prior to June 30th, a salary advance in the amount of his/her regular June check can be arranged.

### STATUTE OF LIMITATIONS ON EARNED COURSE CREDIT

No earned course credit completed ten years or more before the intended graduation date may be applied to a degree program at Drexel University, unless reviewed by and approved of by the academic dean.

### STUDENTS WITHOUT CO-OP ASSIGNMENTS

**Affected Population:** Students who have not found a Co-op position and have not submitted a signed Student Co-op Agreement ("Blue Form") prior to the beginning of the Co-op term must be identified by the end of the second week of the first term of the Co-op period.

**Policy:** Students must submit a Blue Form (generated by the Banner system, or hand-written) by the start of the first term of the Co-op cycle.

**New practice:** Students can petition the SCDC for Co-op credit by the end of the second week of the first term of the Co-op cycle.

Rationale:

- To enforce submission of the Student Co-op Agreement (Blue Form) prior to the onset of the Co-op.

- To identify and award credit to students who are legitimately searching for Co-op jobs after the beginning of the term.
- To encourage communication between the student and his or her respective Co-op coordinator.

Consequence:

- Students who have petitioned and failed to produce a Blue Form by the end of the second week of the term of the Co-op period will receive an NF (not finalized) mark for that term. Credit for any future Co-op terms within that cycle will require submission of appropriate materials and approval. That is, job search journals must be submitted by week eight of the second term of Co-op (or week eight of term one if only completing 3-month Co-op).
- Students who do not submit a Blue Form by the end of the second week and do not petition for credit by the second week of the term of the Co-op period will receive a Failed Work Term for both Co-op terms (one term if 3-month Co-op)
- Students who have not secured a Co-op and have petitioned for credit will continue to search and receive a “Director Approved Job Search” for one or both terms if the documentation indicated is submitted. Students with inadequate journals (see Coordinator for standards of journals) will need to supply additional assignment as indicated in the evaluation criteria to receive DCU’s.

## **SUPERIOR STUDENT PROGRAM (SSP)**

Drexel University’s Superior Student Program (SSP) makes it possible for undergraduate students with a grade point average of 3.0 or higher to apply for a special examination to gain course credit toward graduation through unsupervised independent study. However, SSP examinations may only be taken in a term in which the student is not normally scheduled for college (namely, on a Cooperative Placement or a vacation term).

The application, available in the Student Administrative Services (SRC) Center, must be initiated in the student’s academic department in advance of the independent study. Approval must be gained from the following administrators: 1) the student’s Department or Program Head; 2) the student’s Academic Dean; 3) the Head of the department offering the course; and 4) the Instructor grading the exam. It is the student’s responsibility to

obtain all necessary signatures, and to arrange for an examination date with the department offering the course. Once all signatures have been obtained, the Office of the Comptroller shall affix its stamp upon payment of the current year’s Special Examination fee. The Special Examination fee is non-refundable. The completed form is then submitted to the SRC for processing.

Once the exam has been graded, the instructor reporting the grade uses the “Request for Change of Grade/Submission of Grade Not Previously Reported” form.

The grade earned in the examination is included in calculating the cumulative Grade Point Average, and will be included on the student’s academic record with a special notation indicating it was earned by special examination. Course credit hours earned by this examination count toward graduation requirement.

## **SUPERVISING PROFESSOR APPOINTMENTS FOR GRADUATE STUDENTS**

Last modified: 12.14.05

Along with the recommendation of the department graduate advisor, the appointment of supervising professors for both master and doctoral level students must have the approval of the Vice Provost for Research and Dean of Graduate Policy.

## **TEACHING FACULTY POLICY**

Posted – 5 May 2008

Revision Date – 15 April 2009

### **1. OVERVIEW**

This document provides guidelines regarding the appointment, promotion, and evaluation of full-time non-tenure track faculty (hereafter, “Teaching Faculty”) at Drexel University. Teaching Faculty are appointed to positions for which their primary responsibilities are focused on teaching. These appointments are made without any expectation of tenure, and years of service in these positions do not apply toward tenure or any probationary period should a Teaching Faculty member transition to a tenure-track position.

Teaching Faculty can be appointed at one of the following ranks:

- Assistant Teaching or Assistant Clinical Professor

- Associate Teaching or Associate Clinical Professor
- Teaching or Clinical Professor

The “Clinical” title is intended for faculty in those academic units, e.g., the College of Nursing and Health Professions, in which faculty have specialized training and experience in a professional field and for which the primary responsibility is teaching.

Academic units may also appoint teaching faculty with the title of Instructor and a contract length of one year. Teaching faculty appointed as Instructor following the policies for appointment, reappointment, evaluation, early termination, and faculty governance contained herein.

## **2. APPOINTMENT, EVALUATION AND PROMOTION**

These criteria for appointment and promotion of Teaching Faculty are to be used in conjunction with established procedures for Drexel University as set forth in University Human Resources and Academic Policies as well as any policies or procedures established by individual departments, colleges, schools and/or accreditation organizations.

Teaching Faculty are typically expected to teach 36 credits per academic year if on a 9-month appointment (48 credits on a 12-month appointment) or to complete other duties as assigned by the Department Head (or equivalent). Such other duties may include service or other academic or administrative responsibilities as assigned.

Teaching Faculty are offered at the following ranks with the following descriptions:

### **Assistant Teaching or Assistant Clinical Professor**

Appointment as an Assistant Teaching or Assistant Clinical Professor requires appropriate credentials as determined by the Department Head (or equivalent). These credentials should include, as appropriate, academic preparation and degrees, professional experience, professional development, teaching experience, clinical experience, or some combination of these factors. The candidate should display a commitment to, and espouse a philosophy of, education compatible with the goals and objectives of the University.

### **Associate Teaching or Associate Clinical Professor**

Basic criteria for appointment as an Associate Teaching or Associate Clinical Professor are the same as for the

Assistant Teaching or Assistant Clinical Professor level. In addition, candidates should have demonstrated excellence in teaching over time or have extensive professional and/or academic expertise.

### **Teaching or Clinical Professor**

Basic criteria for appointment as a Teaching or Clinical Professor are the same as for the Associate Teaching or Associate Clinical Professor. In addition, candidates should have outstanding credentials, academic and/or professional, and a record of leadership in the area in which they teach.

#### *2.1 Appointment*

Appointments of Teaching Faculty are made upon approval of the Department Head (or equivalent), the Dean/Director, and the Provost.

In their application, candidates must submit a curriculum vitae including a statement of their teaching philosophy and reflections on delivery, assessment, and development of instruction, and teaching achievement. Materials to support teaching achievement should include, as appropriate, copies of the candidate’s course materials including course descriptions, syllabi and indication of class size; student evaluations; samples of presentation methods; and examples of curriculum development. Other supporting materials may include samples of continuing education activities; publications/creative scholarship/research on pedagogy; teaching awards; and other professional activities.

#### *2.2 Reappointment*

Reappointments of Teaching Faculty are made upon approval and at the discretion of the Department Head (or equivalent), the Dean/Director, and the Provost. All appointments of Teaching Faculty automatically expire at the conclusion of their term with no right of automatic renewal. A Dean will notify a Teaching Faculty member as early as possible in the case that a reappointment will not be offered.

#### *2.3 Evaluation*

The Department Head (or equivalent) will review the performance of Teaching Faculty as part of the annual review process. The review is intended to determine the fulfillment of teaching duties, caliber of teaching, service to the hiring unit and/or other units, and continued professional activities and development. Publications/creative scholarship/research may be taken into consideration for the review.

#### *2.4 Promotion*

Teaching Faculty are eligible to apply for promotion after having served five years in a given Teaching Faculty



rank. For promotion, Teaching Faculty shall undergo a formal review as set forth below.

### **Promotion to the Rank of Associate Teaching Professor or Associate Clinical Professor**

I. Candidates for promotion to the rank of Associate Teaching Professor should have:

- Demonstrated excellence in teaching and applied visible and durable initiatives in improving their teaching skills, teaching materials, and in curriculum development. There should be evidence that class work is well organized, that assignments are clear and varied according to the nature of the course content, and that effective modes of presentation are commonly employed. Course objectives, learning outcomes, and methods of assessment must be clearly addressed on all syllabi. A candidate should have revised existing courses and/or developed new courses. A candidate should have displayed a commitment to, and philosophy of, education compatible with the goals and objectives of the University;
- Been involved in service responsibilities within the Department, the College/School, the University, and/or related civic organizations, as appropriate, and have worked successfully and collegially with other colleagues within the College/School and University;
- Clearly demonstrated an ability to keep abreast of new professional developments and to communicate ideas to students and colleagues so that their own performance is improved. They should be actively participating with colleagues and students in a community that focuses on intellectual and professional matters.

II. Promotion to the Rank of Teaching Professor or Clinical Professor

Candidates for promotion to the rank of Teaching Professor should have:

- Demonstrated continued excellence in classroom teaching. There should be evidence of substantial new course development in the candidate's area of expertise. Work with students individually and in groups should be effective with commitment to outcomes-based learning and assessment. Candidates for promotion to the rank of Teaching Professor or

Clinical Professor should demonstrate outstanding expertise in one or more aspects of teaching and educational scholarship;

- Demonstrated leadership in service responsibilities within the Department, the College/School, the University, and/or related civic organizations, as appropriate, demonstrating collegiality across the University;
- Demonstrated continued professional development and leadership in matters of curriculum development, methodological innovation, or appropriate scholarly or artistic contributions beyond that expected of Associate Teaching Professors or Associate Clinical Professors;
- Demonstrated commitment to inspire colleagues and students to greater achievement and identify new developments and best practices. Insofar as possible, candidates should have demonstrated mentorship to junior faculty colleagues.

III. Procedures for Promotion

#### *Application for Promotion*

Teaching Faculty shall submit their written application for promotion with all supporting documentation to the Department Head (or equivalent) in accordance with the timetable for promotion of Teaching Faculty established by the Provost. The Department Head (or equivalent) will forward the documentation to the Teaching Faculty Promotions Committee of the Department (or equivalent) as set forth in the procedure for the respective College/School. Although the Department Head (or equivalent) may encourage faculty to apply for promotion when he/she thinks that is appropriate, a candidate may take the initiative and present himself/herself for promotion without the initiative of the Department Head (or equivalent). Teaching Faculty who are considering applying for promotion should have informal discussions with the Department Head (or equivalent) and with faculty who have previously gone through the promotion process. Teaching Faculty may apply for promotion no more than once every two years (i.e., an unsuccessful candidate may be evaluated again after serving one post-review year).

#### *Composition of the College/School Promotions Committee*

The College/School Promotions Committee must consist of at least three faculty, including at least one tenured or tenure-track and one Teaching Faculty member at a rank equal to or higher than the rank sought. If there are no eligible Teaching Faculty, the Department Head (or

equivalent) shall nominate additional tenure-track faculty. The Committee shall be appointed in accordance with the timetable for promotion of Teaching Faculty established by the Provost.

#### *Candidate Documentation*

These categories are intended as guidelines. Each academic unit may establish more specific guidelines that relate to its expectations. In addition to the following sources, Teaching Faculty promotion committees may also consider higher degrees completed by the candidate after the initial appointment.

- **Teaching**  
Candidates must submit a statement of their teaching philosophy and reflections on delivery, evaluation, assessment, and revision of instruction, and a resume or curriculum vitae presenting evidence of teaching achievement with any materials to support evidence of teaching achievement. Materials to support teaching achievements may include: 1) copies of course materials used by a candidate; 2) course descriptions, syllabi and class size; 3) student evaluations; 4) samples of presentation methods used by candidate; 5) samples of continuing education activities; 6) samples of curriculum development; 7) publications/creative scholarship/research on pedagogy; 8) teaching awards; and 9) professional background information.
- **Service**  
Sources of evidence that may be used regarding this criterion include service to the College/School, University and the profession in administrative roles such as Program Directors or Associate Directors, or membership on University or professional committees.
- **Academic and Professional Activities**  
Sources of evidence that may be used regarding this criterion may include new course development, presentation of research or creative scholarship, participation as an invited expert in seminars and lectures at other departments and universities or at national conferences, or program leadership.

#### IV. Promotion Recommendations

For each application for promotion, the Teaching Faculty Promotion Committee will make a written recommendation to the Department Head (or equivalent). The Department Head will forward the Committee recommendation, with his/her written

recommendation to the Dean/Director of the academic unit. The Dean/Director will forward these recommendations with his/her written recommendation to the Provost. Candidates will receive a copy of each written recommendation at each stage; in the event of a recommendation against promotion, the candidate will be allowed to respond in writing within two weeks of receipt of the copy of the recommendation. The response will become a part of the promotion application.

### **3. LENGTH OF APPOINTMENT**

#### **Assistant Teaching Professor or Assistant Clinical Professor**

Initial appointment shall be for one year. This appointment may be renewed annually.

#### **Associate Teaching Professor or Associate Clinical Professor**

Initial appointment is normally made for one year, but in some circumstances, and with appropriate justification, may be made for up to two years with approval of the Dean/Director and the Provost. After the initial appointment, and upon review and approval of the Dean/Director and the Provost, this appointment may be renewed for terms of up to three years.

Promotion to this rank may include an appointment with a term of up to three years.

#### **Teaching Professor or Clinical Professor**

Initial appointment is normally made for one year, but in some circumstances, and with appropriate justification, may be made for up to three years with approval of the Dean/Director and the Provost. After the initial appointment, and upon review and approval of the Dean/Director and Provost, this appointment may be renewed for terms of up to three years.

Promotion to this rank may include an appointment with a term of up to three years.

### **4. EARLY TERMINATION OF APPOINTMENT**

An appointment can be terminated during a term for any of the following reasons:

- Discontinuance of or reduction in program;
- Financial exigency;
- Adequate cause. Adequate cause includes grave or gross misconduct, incompetence, neglect of duty, insubordination, incapacitation, and/or immoral or unethical conduct.

Any decision to terminate an appointment during a term under this Section shall be at the discretion of the Provost.

In the event of termination for adequate cause, no notice is required. In the event of termination resulting from discontinuance of or reduction in program or financial exigency, Teaching Faculty with more than five years of full-time faculty service to Drexel University will be given six months written notice of termination. Teaching Faculty with less than five years of full-time faculty service to Drexel University will be given written notice of termination equal to one month for each year of full-time faculty service.

## **5. FACULTY GOVERNANCE**

Teaching Faculty are considered voting faculty as established in the Charter on Faculty Governance. Voting rights in individual Departments, Schools, and Colleges are governed by that unit's by-laws.

## **TENURE APPEALS**

Last modified: 06.14.06

University procedures for appeals in the cases involving decisions of non-recommendation of a member of the faculty under consideration for tenure.

### **I. Preamble**

Members of the Drexel University faculty ("faculty") who have not been recommended for tenure may appeal the decision. Such appeals are heard by the Drexel University ("University") Tenure Appeals Committee ("Appeals Committee"). This process provides the Appellant the right of appeal outside of regular administrative channels and is conducive to the high morale necessary for the pursuit of educational objectives. A major responsibility of the University is to recruit and retain the most highly qualified faculty within its means, and in the pursuit of that excellence, the institution should be accorded the widest latitude in the discharge of these responsibilities consistent with the faculty rights of academic freedom and standards of fairness.

The policy and procedures described herein have been developed with the objectives of protecting the integrity of Departments and Colleges/Schools to determine their own goals and to choose their colleagues in order to promote the excellence of the University while at the

same time protecting individual faculty members from arbitrary decisions. Further, the policy and procedures recognize the rights and responsibilities of tenured faculty and the need to protect individuals in the University community and elsewhere whose comments were made confidentially and in good faith. Appeals should be resolved in the most expeditious manner consistent with the attainment of these objectives.

### **II. Definitions, Applications, Restrictions**

1. A formal appeal comprises a written statement by a member of the full-time tenure-track faculty regarding receipt of written notification from the Office of the Provost of a decision not to recommend the granting of tenure. A formal appeal must specify all bases and the remedy sought.
2. Before the filing of a formal written appeal, an oral appeal to the Provost may be pursued. Such an oral appeal does not preclude the right to present a formal written appeal. Any resolution forthcoming at any point in this procedure satisfactory to the Appellant and the administration shall be reduced to writing and signed by the Appellant and the Provost.
3. The granting of tenure is a right vested exclusively with the Board of Trustees. Therefore, all decisions involving tenure appointments made under this Policy shall constitute recommendations to appropriate administrative bodies. The burden of proof in the presentation of a tenure appeal at all stages rests with the Appellant. While the appeal is in progress, the Appellant is still on notice of termination of employment and the terminal contract remains in effect.
4. Retaliation against any individual who, in good faith, participates in an appeal proceeding is prohibited.
5. This Policy does not apply to appeals for (1) the dismissal of a tenured faculty member, (2) the dismissal of a non-tenured tenure track faculty member during the term of a current appointment, or (3) the non-reappointment of a non-tenured faculty member.

### **III. Initiation of the Tenure Appeals Process**

An appeal must be filed no later than four weeks after receipt of written notification from the Office of the Provost of a decision not to recommend tenure. Within this specified time, the Appellant must notify the University President in writing that s/he is appealing the decision, with a copy to the Provost, Dean (or equivalent), and Department Head (or equivalent). The

President will charge the Office of the Provost to convene the Appeals Committee.

The time periods set forth in this chapter may be extended for good cause by the person with whom the appeal is filed upon notification and consent of the Provost.

#### **IV. The Appeals Committee**

##### *A. Operation of the Appeals Committee*

1. The Office of the Provost shall convene the Appeals Committee by presenting a copy of the appeal to the Chair of the Appeals Committee.

2. Once convened, the Appeals Committee shall seek out the information it needs, consistent with University policies and procedures, to make its recommendation, and shall gather information specific to the case of the Appellant from the Appellant, the Department, the administration, and others, as appropriate. All persons contacted by the Appeals Committee as part of its investigation are encouraged to cooperate fully. Information requested by the Appeals Committee that is consistent with University policies and procedures shall be provided in a timely manner and shall be kept confidential.

3. Appeals that are not sufficiently specific will be denied without further review or consideration. Issues not raised in the appeal will not be considered by the Appeals Committee.

4. The Appellant shall have the right to discuss his/her appeal in person before the Appeals Committee.

5. The Appeals Committee shall not set or question University, College/School or Departmental policies or procedures, nor evaluate the decisions made by the various committees considering the case for tenure. Rather the Appeals Committee should focus on the propriety of the process that was followed and whether or not the policies and procedures were properly and fairly applied. In this connection, the Appeals Committee shall have wide latitude in what information specific to the case of the Appellant it wishes to consider.

6. The deliberations of the Appeals Committee are confidential and held in closed session. The privacy of the Appeals Committee, as well as the Appellant and others, shall be protected during hearings and deliberations and thereafter.

7. The Appeals Committee shall proceed under its own rules, not as a judicial proceeding. Formal rules of evidence shall not apply.

##### *B. Composition of the Appeals Committee*

1. The Appeals Committee shall consist of nine tenured members of the faculty.

2. Three faculty members shall be appointed by the University President, three selected or elected by the University Faculty Senate, and three elected at large by the Faculty. These faculty members serve staggered three-year terms (see Section IV-C-1). In addition to the faculty members elected at large, three additional faculty members shall be elected each year to serve as a pool of alternates for that year to provide for possible replacement(s).

3. The Appeals Committee shall elect a voting chair ("Chair") among their number. He/she shall be a distinguished member of the University faculty of professorial rank not serving in a deanship or other administrative post. In addition to his/her duties as Chair while the Appeals Committee is sitting, he/she shall make recommendations to the President and to the Senate calculated to improve the effectiveness of the Tenure Appeals Process, and shall be available to advise faculty and administration on procedures (see Section VII).

4. Any member of the University faculty may suggest names of qualified faculty members to appropriate parties for appointment to the Appeals Committee.

##### *C. Terms of Office*

1. Each of the nine Appeals Committee members shall have a three-year term of office, staggered so that each year one triad (one appointee of the University President, one appointee of the University Faculty Senate and one elected by the Faculty) shall be replaced.

2. An Appeals Committee member shall not be appointed to serve consecutive full terms. At least one year shall elapse before reappointment.

3. The Chair shall be elected by the Appeals Committee to serve for one year. He/she may succeed himself/herself without limit.

4. The Appeals Committee shall be selected by June 15th. Its members shall elect the Chair by July 1.

5. The Appeals Committee shall normally be ready to consider appeals beginning immediately.

6. Once an Appeals Committee has begun to consider an appeal, all members of the Committee remain on the Committee considering that appeal until that appeal is decided, even though a term of office may have expired, and no newly-elected or appointed member may participate in that appeal.

7. Unexpired vacancies on the Appeals Committee shall be filled by the same party that appointed the original member, except in the case of a faculty member elected at large. In that case, a replacement shall be chosen from the faculty pool of alternates.

#### *D. Disqualifications*

1. An Appeals Committee member from the same Department as the Appellant shall be disqualified.

2. An Appeals Committee member may also disqualify himself/herself from a particular case.

3. The Appellant may disqualify for cause up to two Appeals Committee members prior to the beginning of the deliberations.

4. An ad-hoc Appeals Committee member shall be appointed to replace the one(s) disqualified. S/he shall be appointed by the same party that appointed the disqualified member, except in the case of a faculty member elected at large. In this case, a replacement shall be chosen from the faculty pool of alternates by the Chair. In the event that the Chair is disqualified, an interim Chair shall be elected by the Appeals Committee members prior to the start of deliberations.

5. Once the deliberations have begun, no disqualifications shall be permitted.

#### *E. Recommendations of the Appeals Committee*

1. After consideration:

a. The Appeals Committee may find, after reviewing the appeal, that there are no sufficient bases for hearing the appeal.

b. The Appeals Committee may find that the Appellant's claim that University, College or Department policies or procedures were not properly applied is unsubstantiated and recommend that the appeal be denied.

c. The Appeals Committee may find that the Appellant's claim has merit. If so, the Appeals Committee shall recommend that the case be returned to the level at

which it considers the appeal merits reconsideration, together with guidelines as to what the Appeals Committee considers to have been defective.

An Appeals Committee recommendation requires an affirmative vote of two-thirds of the members of the Committee.

The recommendation of the Appeals Committee shall be forwarded with appropriate documentation to the University President and Provost. Every effort shall be made to review each case expeditiously.

2. After the Appeals Committee has delivered its recommendation to the President (with a copy to the Provost) the Chair shall advise the Appellant in writing:

a. that it has made its recommendation, and

b. what its recommendation is, and

c. the date the recommendation was delivered to the President and the Provost.

The Appeals Committee shall not provide its full report to the Appellant, at this time, and the contents of the report and recommendations to the President shall remain confidential until the President makes a final decision in the appeal.

#### **V. Final Decision**

1. The President shall consider the recommendation of the Appeals Committee and the record as a whole, and may take any action that s/he deems appropriate, including, but not limited to, accepting the recommendation, rejecting the recommendation, investigating the matter, or returning the matter to the Appeals Committee for further consideration, in accordance with Section IV-A.

2. Once a final decision has been made in the matter, the President shall:

a. Deliver the decision, as well as a copy of the Appeals Committee's full report, to the Appellant; and

b. Deliver the decision to the Chair, who shall then communicate the decision to the other members of the Appeals Committee.

The decision of the University President constitutes the last step of the appeal process and is final within the University community.

#### **VI. Time Specifications**

Every attempt shall be made to address and resolve tenure appeals in the most expeditious manner. Time periods specified in this Policy may be adjusted in the interest of reaching a final decision that is in accord with the purposes of this Policy

#### VII. Appeals Committee Annual Report

Annually, the Chair shall submit to the Senate, the Provost and the President a final report summarizing its decisions (but preserving the confidentiality of its proceedings) and making suggestions, if any, for improvement of the appeals process.

## TEXTBOOK ORDERING

Approximately eight weeks prior to the beginning of every term, the University Store sends to each department head a textbook ordering reminder, a set of instructions, and an adoption form.

The department head is requested to verify and/or add each textbook (by course) that will be required or recommended for students taking courses to be taught by the department in the coming term. Student textbook requirements must be approved by the department head.

Completed orders are due back the University Store by the date indicated on the adoption form. The University Store uses the completed adoption form to order for the coming term and also establish the student book lists.

If these dates are not adhered to, the store cannot be held responsible to late receipt of required texts.

## TRANSFER CREDITS

Acceptance of transfer credit from approved institutions is often dependent on the pertinence of the work to the degree program being pursued. Coursework that lies outside the scope of the degree program is not necessarily applicable for degree credit. Transfer students should confer with their program of study departments at an early date to insure that no misunderstanding occurs with regard to the use of transfer credits in their degree plans.

Graduate transfer credits must be approved by the Vice Provost for Research and Graduate Studies and may be subject to the following restrictions:

1. At least 30 graduate term credits (equivalent to 20 semester credits) of any master's degree program must be taken at Drexel.
2. All transfer credits must have a grade of B or higher, and the student's overall average in all prior graduate work must be a minimum of B.
3. Transfer graduate credit will not be taken unless it is within the general time limit of seven years prior to the receipt of a degree.

Students who take a course off-campus and who would like to have it approved should submit a syllabus to their Drexel advisor. If the course can be included in the plan of study, the student may take the course off-campus, and submit a copy of the transcript to the advisor once again for final approval. No credit will be allowed for correspondence or extension work.

## UNDER-ENROLLED COURSES – CLASS SIZE POLICY

In order for a course to be offered in any term, minimum enrollment criteria must be met or the course will be cancelled. The following minimums have been established for each of the following categories:

Undergraduate lower division (000-199) -- 16

Undergraduate upper division (200-499) -- 12

Graduate lower division (Master's) (500-699) -- 10

Graduate upper division (Doctoral) (700-999) -- 6

Procedure for requesting exemption:

When pre-term registration data shows that a class is unlikely to make the approved minimum, the class should either be cancelled (by the department) or written requests for the continuation (with reasons stated) should be sent to the Provost PRIOR to the beginning of the term in which the course is to be offered.

## WITHDRAW FROM THE UNIVERSITY

To withdraw voluntarily from the University, a full-time undergraduate student must personally report to the college or school in which he or she is enrolled to begin the withdraw process. In circumstances where in-person withdraw is not feasible, the student may initiate withdraw action by writing to his or her college or school.



Verbal or written notice to any University faculty, administrator, or staff person other than the designated person in the college or school is not sufficient for official withdraw or the determining of an effective date of withdraw. It is not possible to withdraw by telephone contact.

When setting the withdraw date, consideration will be given by the college or school for medical issues that may cause delay in a student's filing for withdraw, such as hospitalization or psychological/emotional impairment. Official and appropriate documents will need to be presented.

The effective date of withdraw, which is normally no earlier than the date of initial contact with the college or school, determines the amount of refund and/or credit. The last day to withdraw from the University is the end of the sixth week of the respective term.

All full-time undergraduate students, whether assigned to school or industry, are considered to be active students and, accordingly, are responsible for satisfying all financial obligations accumulated until the time when they officially withdraw as explained above, or the University declares them inactive.

The following are the accepted reasons for withdraw from the University:

Academic

Career change

Financial

Medical

Transfer

Other/personal

Refunds of tuition and fees are processed by the Office of Student Accounts/Bursar in accordance with the University's official tuition refund policy, which is available at <http://www.drexel.edu/bursar>.

## **WITHDRAWAL OF DEGREE**

The University reserves the right to withdraw a degree even though it has been granted should there be discovery that the work upon which it was based or the academic records in support of it had been falsified. In such a case the degree will be withdrawn promptly upon discovery of the falsification.