

UNIVERSITY OF MARY WASHINGTON

Faculty Handbook

APPROVED BY THE BOARD OF VISITORS

April 9, 2010

For the 2010 – 2011 Academic Year

This *Handbook* applies to all instructional faculty of the University of Mary Washington. It does not apply to administrative and professional faculty, who have a separate handbook applying only to them.

PREFACE TO THE UNIVERSITY OF MARY WASHINGTON *FACULTY HANDBOOK*

The current version of the *Faculty Handbook* supersedes all previous versions, and its terms replace those contained in previous versions. The Office of the Provost will maintain the official version of the *Faculty Handbook*, which may be amended as necessary according to the procedures outlined within (§1.11). The Office of the Provost shall notify the faculty of any changes by appropriate and expeditious means, and the official version of the *Faculty Handbook* shall be updated to reflect such changes. Persons with questions about the *Faculty Handbook* should contact the Office of the Provost.

When a *Handbook*-specified date or deadline falls on a weekend, a holiday, or during a University recess, the operational date or deadline in all instances will be the first University business day after that weekend, holiday, or recess.

While this *Handbook* contains much useful information, other official publications (such as the *Academic Catalog*) also contain information about institutional policies and procedures that faculty members are expected to follow in their various roles. Additionally, other offices will from time to time distribute information about policies and procedures that apply generally to all employees.

Finally, each of the colleges of the university has and/or is developing additional policies, procedures, and regulations that are (or will be) contained in separate documents (some of which appear as appendices in this *Handbook*). These apply to the faculty of a particular college, as opposed to material in the *UMW Faculty Handbook*, which applies generally to all instructional faculty. Wherever possible, the *UMW Faculty Handbook* refers either by name or URL to these individual college documents, policies, and procedures.

TABLE OF CONTENTS

SECTION 1

MISSION, HISTORY, AND GENERAL ORGANIZATION..... 1

1.1 Statement of Mission.....	1
1.2 History and Development of the Institution	1
1.3 Statement of Community Values and Behavioral Expectations.....	2
1.4 Statement of Rights and Responsibilities	3
1.5 The Board of Visitors.....	3
1.6 Administrative Structure	4
1.6.1 President.....	4
1.6.2 Provost	4
1.6.3 Executive Vice President.....	4
1.6.4 Vice President for Advancement and University Relations	4
1.6.5 Vice President for Student Affairs	4
1.6.6 Vice President for Information Technology and Institutional Research and Chief Information Officer	4
1.7 Role of College Deans.....	5
1.8 Role of Department Chairs.....	5
1.8.1 Appointments, terms, and compensation.....	5
1.8.2 Duties.....	5
1.8.3 Evaluation	6
1.9 Departmental Structure.....	6
1.9.1 Department Meetings	6
1.9.2 Department Committees	6
1.10 Applicability of the Faculty Handbook.....	6
1.10.1 Current Version	6
1.10.2 Official Version.....	6
1.10.3 The Faculty Handbook and Terms of Employment	6
1.11 Amending the Faculty Handbook	7
1.11.1 Amending sections 1 – 6 of the Faculty Handbook	7
1.11.2 Changes to section 7 of the Faculty Handbook.....	7
1.11.3 Enacting Amendments.....	7
1.12 Organization Chart.....	8

SECTION 2

GOVERNANCE..... 9

2.1 The General Faculty.....	9
2.1.1 Definition of the General Faculty.....	9
2.1.2 Regular Meetings of the General Faculty	9
2.1.3 Special Meetings of the General Faculty	9
2.1.4 Voting Privileges at Meetings of the General Faculty	9

2.1.5	General Procedures for Meetings of the General Faculty.....	9
2.1.6	Meeting Rules	10
2.1.7	Committee of the Whole.....	10
2.1.8	Quorum	10
2.2	Role of the Faculty in University Governance	10
2.2.1	Authority and Responsibility of the Faculty	10
2.2.2	Final Authority of Faculty Action	11
2.2.3	Constraints on Faculty Action.....	11
2.2.4	Action by the President in Areas of Authority Delegated to the Faculty	11
2.3	The University Faculty Council (UFC).....	11
2.3.1	Purpose of the (UFC).....	11
2.3.2	UFC Duties	11
2.3.3	Authority of the UFC for 2010-2011.....	12
2.3.4	Membership of the UFC	12
2.3.5	UFC Officers.....	13
2.4	College Governance.....	13
2.4.1	Structure.....	13
2.4.2	Principles of College Governance.....	13
2.5	Conduct of Business and Motions for General Faculty Meetings.....	14

SECTION 3

FACULTY CONTRACTS, RANKS, SEARCH PROCEDURES, AND BENEFITS..... 17

3.1	Types of Contracts	17
3.1.1	Tenured	17
3.1.2	Tenure-Track (Probationary)	17
3.1.3	Renewable Term Appointments.....	18
3.1.4	Limited Term Appointments.....	18
3.2	Definition of Tenured or Tenure-Track Faculty Ranks.....	19
3.2.1	Instructor	19
3.2.2	Assistant Professor	19
3.2.3	Associate Professor	19
3.2.4	Professor	19
3.3	Renewable Term Faculty Ranks	20
3.3.1	Lecturer	20
3.3.2	Senior Lecturer.....	20
3.3.3	Policies and Procedures Applying Specifically to Renewable Term Appointments ..	20
3.4	Visiting Ranks.....	20
3.5	Rank of Adjunct Instructor	21
3.6	Description of Faculty Status for Persons in Other Positions.....	21
3.6.1	Administrators with Faculty Rank	21
3.6.2	Administrative and Professional Faculty.....	21
3.6.3	Classified and Hourly Employees	21
3.6.4	Professional Development Adjunct.....	21
3.7	Special Faculty Appointments	21

3.7.1 Graduate Faculty	21
3.7.2 Affiliate Faculty	22
3.8 Search Procedures	22
3.8.1 For Full-Time Faculty Positions	22
3.9 Faculty Appointment Procedures	22
3.9.1 Letter of First Appointment	23
3.9.2 Establishment of the Personnel File	23
3.9.3 Statement of Principles Regarding Salaries for Newly Hired Faculty	23
3.10 Orientation for New Full-Time Faculty	23
3.11 Conflict of Interest	23
3.12 Personnel Records	24
3.12.1 Pre-employment Dossiers	24
3.12.2 Personnel Files	24
3.12.3 State Personnel File	24
3.12.4 University Personnel File	24
3.12.5 Review of Personnel Files	25
3.12.6 Grievance File	25
3.12.7 Promotion and Tenure Files	25
3.12.8 Personal Files	25
3.12.9 Working Papers of the President and Other Confidential Files	25
3.13 Faculty Leave Policies	25
3.13.1 Sick Leave	25
3.13.2 Disability Leave	26
3.13.3 Infant-Care Leave	27
3.13.4 Sick Leave Due to Family Emergency and Bereavement Leave	28
3.13.5 Sabbatical Leave	28
3.13.6 Civil Leave	28
3.13.7 Annual Leave	28
3.13.8 Leave of Absence Without Pay	28
3.14 Extension of Probationary Period	29
3.15 Fringe and Other Benefits	29
3.16 Separation	30
3.16.1 Faculty Exit Procedures	30
3.16.2 Resignation	30
3.16.3 Retirement	31
3.17 Non-reappointment (Notice, Reasons, Appeal)	32
3.17.1 Notice of Nonreappointment	32
3.17.2 Layoff (Program Redirection, Whole or Part; Financial and/or Enrollment Emergency; Financial Exigency)	32
3.18 Discharge for Cause	32
3.18.1 Determination of the Need for Immediate Action	32
3.18.2 Bases for Termination of Employment for Cause	33
3.18.3 Procedures for Termination of Employment for Cause	33

SECTION 4

FACULTY RIGHTS, RESPONSIBILITIES, AND POLICIES	35
4.1 Academic Freedom	35
4.1.1 AAUP Statements of Faculty Rights.....	35
4.1.2 Political Activities of Faculty.....	35
4.1.3 First Amendment Rights.....	35
4.2 The Honor Code.....	35
4.2.1 Student/Faculty Interactions and Honor Code.....	35
4.2.2 Faculty Actions Related to the Honor Code	35
4.2.3 Faculty Response to Suspected Violations of the Honor Code	36
4.3 Sexual Harassment.....	36
4.4 Non-discrimination	36
4.5 Academic Policies and Regulations.....	36
4.5.1 The Academic Year	36
4.5.2 Classroom Teaching	36
4.5.3 Schedule of Class Meetings.....	36
4.5.4 Student and Faculty Absences from Classes.....	37
4.5.5 Course Plans and the Syllabus	37
4.5.6 Office Hours.....	37
4.5.7 Final Examination	37
4.5.8 Reporting Grades.....	37
4.5.9 Student Advising	38
4.5.10 Advising Assistance Offered by Faculty to Students	38
4.5.11 Student Recommendations.....	38
4.5.12 Approval of Candidates for Degrees	38
4.5.13 Required Participation	38
4.6 Faculty Development	38
4.6.1 UMW Grants	38
4.6.2 Professional Travel.....	38
4.6.3 Jepson Fellowships.....	39
4.6.4 UMW Center for Teaching.....	39
4.6.5 Division of Teaching and Learning Technologies	39
4.6.6 Taking Courses	39
4.6.7 External Grants.....	39
4.7 Professional Issues	40
4.7.1 Institutional Review Board	40
4.7.2 Outside Employment and Consulting.....	40
4.7.3 Amorous Relationships.....	41
4.8 Working Conditions and Related Policies.....	42
4.8.1 Academic Regalia.....	42
4.8.2 Intellectual Property	42
4.8.3 Protection of Persons and Property	44
4.8.4 Policy on Use of Computers and Networks and Network.....	44
4.8.5 Virginia Freedom of Information Act	44

4.8.6 Access to Resources	44
4.9 Faculty Grievance Policy and Procedure	45
4.9.1 Definitions.....	45
4.9.2 Coverage	45
4.9.3 Non-grievable Actions.....	45
4.9.4 Bias Offense and Incident Reporting.....	45
4.9.5 Pre-panel Procedure.....	45
4.9.6 Filing of First Grievance.....	45
4.9.7 Attempt at Informal Resolution.....	46
4.9.8 Creation of a Formal Panel to Hear the Grievance	46
4.9.9 Formal Request for a Panel.....	46
4.9.10 Statement of Charges, Preparation and Distribution	46
4.9.11 Method of Selecting Panel Members.....	47
4.9.12 Procedure of the Panel Hearing and Distribution of Results	47
4.9.13 Pre-Hearing Conference.....	48
4.9.14 Procedure for Final Hearing.....	48

SECTION 5

FACULTY EVALUATION PROCEDURES 51

5.1 Annual Evaluation Principles for Full-Time Faculty.....	51
5.2 Annual Evaluation Procedures.....	51
5.2.1 Role of the Department.....	51
5.2.2 Role of the Dean and the Provost.....	53
5.2.3 Appeals Process.....	54
5.3 Minimal Performance Criteria and Annual Evaluations	54
5.3.1 Evaluation Criteria.....	54
5.3.2 Teaching.....	55
5.3.3 Professional Activity	56
5.3.4 Service	57
5.4 Annual Evaluation Documents	58
5.4.1 The Faculty Annual Activities Report (FAAR)	58
5.4.2 <i>The Curriculum Vitae</i>	58
5.4.3 The Department Chair Evaluation Commentary.....	58
5.4.4 Annual Performance Review (APR)	58
5.4.5 Special Assignments Performance Review (SAPR)	59
5.4.6 Annual Performance Weighting Form (APWF)	59
5.5 Guidelines for Completing the FAAR	59
5.5.1 Teaching.....	59
5.5.2 Scholarly, Creative, Professional Activity.....	60
5.5.3 Service	61
5.6 The Schedule for Annual Evaluation	61
5.6.1 Principles.....	61
5.6.2 Dates	61
5.6.3 Late Documents.....	64

5.7 Faculty Salaries	64
5.8 Annual Salary Adjustments	64
5.8.1 Annual Salary Adjustments	64
5.8.2 Salary Adjustment Process	64
5.8.3 Pay Dates	64
5.8.4 Salary Checks	65
5.8.5 Salary Advances	65
5.9 Addressing Unsatisfactory Performance	65
5.9.1 Unsatisfactory Performance Rating for Untenured Faculty	65
5.9.2 Unsatisfactory Performance Rating for Tenured Faculty	65
5.9.3 Unsatisfactory Performance Review	65
5.9.4 Action on Unsatisfactory Performance Review Recommendation	66
5.9.5 Commitment to Academic Freedom and Tenure	66
5.10 Evaluation of Adjunct Instructors	66

SECTION 6

PROMOTION AND TENURE PROCEDURES

6.1 Promotion Policy	67
6.2 General Minimum Promotion Requirements	67
6.2.1 General Minimum Requirements for Promotion to Senior Lecturer	67
6.2.2 General Minimum Requirements for Promotion to Assistant Professor	67
6.2.3 General Minimum Requirements for Promotion to Associate Professor	68
6.2.4 General Minimum Requirements for Promotion to Professor	68
6.3 Individual Criteria for Promotion	68
6.3.1 Individual Criteria for Promotion to the Rank of Senior Lecturer	68
6.3.2 Individual Criteria for Promotion to the Rank of Associate Professor	69
6.3.3 Individual Criteria for Promotion to the Rank of Professor	70
6.3.4 Institutional Rank Structure Policy	70
6.4 Promotion Procedure	70
6.5 Tenure Policy	73
6.5.1 Authority to Grant or Withhold Tenure	74
6.6 Tenure Requirements	74
6.6.1 General Requirements	74
6.6.2 Specific Eligibility Requirements	74
6.7 Criteria for Tenure	74
6.7.1 Institutional Criteria	75
6.7.2 Individual Qualifications	75
6.7.3 Performance Criteria	75
6.8 Tenure Procedure	76
6.9 Sample Promotion And Tenure Calendar	79
6.10 Contents of the Tenure and Promotion File	80
6.11 Expectations for the Constituents in the Promotion and Tenure Process	81
6.11.1 Department Colleagues	81

6.11.2 Department Chair	81
6.11.3 Institutional Colleagues	82
6.11.4 Colleagues in the Discipline.....	82
6.11.5 Dean.....	82
6.11.6 Provost	82

SECTION 7

FACULTY TITLES, AWARDS, AND OTHER POLICIES AND SERVICES OF INTEREST TO THE FACULTY

7.1 Distinguished Professor.....	83
7.1.1 Criteria for Distinguished Professor Nominees	83
7.1.2 Procedure for Determining Distinguished Professor Nominees	83
7.2 <i>Emeriti</i> Faculty.....	84
7.2.1 Distinguished Professor <i>Emeritus/Emerita</i>	84
7.2.2 Professor <i>Emeritus/Emerita</i>	84
7.2.3 Associate Professor <i>Emeritus/Emerita</i>	84
7.3 Faculty Awards	85
7.3.1 The Grellet C. Simpson Award for Excellence in Undergraduate Teaching.....	85
7.3.2 The Alumni Association Outstanding Young Faculty Member Award.....	85
7.3.3 The Mary Pinschmidt Award.....	85
7.3.4 The J. Christopher Bill Service Award.....	85
7.3.5 Outstanding Faculty Awards (SCHEV).....	85
7.4 Assorted Administrative Services, Procedures, and Policies	85
7.4.1 Campus Closings.....	85
7.4.2 Keys	86
7.4.3 Mail	86
7.4.4 Posters/Signs	86
7.4.5 Telephone Use	86
7.4.6 Purchasing and Disbursing Procedures	86
7.4.7 Travel Regulations.....	86
7.4.8 Accident Reporting.....	87
7.4.9 Smoking Policy	87
7.4.10 Alcohol Policy.....	87
7.4.11 Drug-Free Certification.....	87
7.5 Academic Support Services.....	87
7.5.1 University Libraries.....	87
7.5.2 Teaching and Learning Technologies.....	87
7.5.3 University Teaching Center	88
7.5.4 Printing and Copying Services.....	88
7.5.5 University Bookstore.....	88
7.6 Academic Services and Support for Students.....	88
7.6.1 Advising Services.....	88
7.6.2 Office of the Registrar	89
7.6.3 Office of Disability Services.....	89

7.6.4 Writing Centers	89
7.6.5 Speaking Center	89
7.6.6 Multicultural Center	90
7.6.7 International Academic Services.....	90
7.6.8 Career Services.....	90
7.7 Respectful Workplace Policies	90
7.7.1 Equal Employment Opportunity	90
7.7.2 Statement of Nondiscrimination.....	91
7.7.3 Workplace Harassment Policy	91
7.7.4 Sexual Harassment and Consensual Relations Policy.....	91
7.7.5 Workplace Violence Policy	91
7.7.6 Retaliation	91

APPENDIX A

FACULTY PERFORMANCE EVALUATION FORMS.....	93
Faculty Annual Activities Report (FAAR)	94
<i>Curriculum Vitae</i> (CV)	95
Department Chair Evaluation Commentary.....	96
Annual Performance Review (APR).....	99
Special Assignments Performance Review (SAPR).....	100
Annual Performance Weighting Form (APWF).....	101

APPENDIX B

HONOR CONSTITUTION	103
---------------------------------	------------

APPENDIX C

POLICY AND STATEMENTS ON ACADEMIC FREEDOM	121
--	------------

APPENDIX D

PROCEDURE FOR STUDENT GRIEVANCE AGAINST A FACULTY MEMBER	125
---	------------

APPENDIX E

<i>FACULTY HANDBOOK</i> STYLE SHEET	127
--	------------

APPENDIX F

RULES OF ORDER FOR THE COLLEGE OF ARTS AND SCIENCES (CAS) FACULTY SENATE AND CAS FACULTY COMMITTEES.....	131
---	------------

APPENDIX G

RULES OF ORDER FOR THE COLLEGE OF BUSINESS (COB)

AND FOR COB FACULTY COMMITTEESunder construction

APPENDIX H

RULES OF ORDER FOR THE COLLEGE OF EDUCATION (COE)

AND FOR COE FACULTY COMMITTEESunder construction

SECTION 1

MISSION, HISTORY, AND GENERAL ORGANIZATION

1.1 STATEMENT OF UNIVERSITY MISSION

[Adopted on November 20, 2009 by the Rector and Visitors of the University of Mary Washington.]

The University of Mary Washington is one of Virginia's outstanding public liberal arts Universities, providing a superior education that inspires and enables our students to make positive changes in the world.

The University is a place where faculty, students, and staff share in the creation and exploration of knowledge through freedom of inquiry, personal responsibility, and service. UMW offers a wide range of undergraduate, graduate, and professional programs, with opportunities for students to engage in disciplinary and interdisciplinary studies, to conduct research, to integrate and apply their knowledge within broad educational experiences, to develop their professional interests, and practice the habits of mind necessary for life-long learning.

UMW's size, dedicated faculty, and historical commitment to fine teaching create an institutional culture where both undergraduate and graduate students benefit from strong connections with their faculty and multiple opportunities for active learning.

Located in Fredericksburg between our nation's capital and the capital of the Commonwealth of Virginia, the University of Mary Washington is a nexus for engagement among diverse communities and is dedicated to improving the regional quality of life.

We fulfill our mission by immersing students, faculty, and staff in local, regional, national, and international communities, and by inculcating the values of honor and integrity. UMW graduates are models of adaptive learning, personal achievement, responsible leadership, service to others, and engaged citizenship in a global and diverse society.

1.2 HISTORY AND DEVELOPMENT OF THE INSTITUTION

The institution was founded in 1908 as the State Normal and Industrial School for Women in Fredericksburg. The name was changed in 1924 to the State Teachers College at Fredericksburg, and again in 1938 to Mary Washington College, having transformed over the years to Virginia's public liberal arts college for women. Then in 1944, Mary Washington College became affiliated with the University of Virginia as its women's undergraduate arts and sciences division. In 1970 the entire University became coeducational and in 1972, by action of the General Assembly of Virginia, the College became an independent, state-supported institution for women and men, with its own governing board. In 1999, responding to accelerating

demographic changes that increased the demand for educational services within the region, a new campus was opened in nearby Stafford County. On July 1, 2004, the General Assembly named the institution the University of Mary Washington.

Through an emphasis on quality, the University attracts students from all areas of Virginia, particularly the urban areas of Northern Virginia, Richmond, and Tidewater. Approximately twenty-five percent of its on-campus resident students are from other states and foreign countries, with the largest population coming from Southern, Middle Atlantic, and New England states. Located in the middle of a rapidly growing Washington-Richmond “urban corridor,” the University serves the educational needs of both full-time and part-time commuting students.

To meet the diverse academic needs of today’s students, the University is organized into three colleges. The College of Arts and Sciences is organized into twenty academic departments of one or more disciplines and offers more than thirty undergraduate programs in the liberal arts and sciences. An emphasis upon excellence in the pursuit of liberal learning has traditionally been at the core of the University’s educational philosophy, and commitment to this concept will continue even as new organizational units are developed. In 2010, the College of Business and the College of Education were established to unify and enhance the programs offered in those subject areas. By organizing business and education curricula into separate colleges, UMW provides high quality graduate and professional programs that respond effectively to local and regional professional community needs, and offer students enhanced opportunities within the regions UMW serves. The University is also planning construction of a third campus at Dahlgren to support specialized programs and training for military and contract personnel as well as community members in that area.

The University of Mary Washington is accredited by the Southern Association of Colleges and Schools to award Bachelor’s and Master’s degrees. The institution was initially accredited in 1930, was last reviewed and reaffirmed in 2003, and will undergo its next reaffirmation of accreditation review in 2013.

1.3 STATEMENT OF COMMUNITY VALUES AND BEHAVIORAL EXPECTATIONS

[Adopted as policy by the Rector and Visitors, May 1991.]

The University of Mary Washington is an academic community dedicated to the highest standards of scholarship, personal integrity, responsible conduct, and respect for the individual. We hold among our foremost common values:

- The importance of personal integrity as reflected in adherence to the Honor Code;
- The right of every individual to be treated with dignity and respect at all times;
- The acceptance of and respect for diversity in our community and adherence to the University’s Statement of Non-Discrimination; and
- The freedom of intellectual inquiry in the pursuit of truth.

As members of the University community, we refuse to tolerate behavior that in any way compromises or threatens these values.

1.4 STATEMENT OF RIGHTS AND RESPONSIBILITIES

[Adopted by the Student Association, Faculty, and the Rector and Visitors, 1973.]

- Members of the University community have responsibilities incumbent upon all citizens, as well as the responsibilities of their particular roles within the academic community.
- All members share the obligation to respect the right to freedom of inquiry, of religion, of speech, of press, of peaceful assemblage, of association, and of petition to the institution for a redress of grievances.
- The rights of members of the University community shall not be denied or abridged on account of race, color, creed, or sex.
- The members of the University community have the right to due process in matters concerning discipline or status as members of the University community.
- All members of the University community have other responsibilities and rights incident to the educational process and to the requirements of the search for truth and its free presentation.
- The enumeration of the rights and responsibilities outlined in this statement shall not be construed to deny or disparage others retained by the members of the University community.
- The term “member of the University community” embraces the University as an institution, the faculty as a body, and all members of the administration, faculty, staff, and student body in their official and individual capacities.

1.5 THE BOARD OF VISITORS Chapter 9.2, §§23-91.34 through 91.44, Code of Virginia, established Mary Washington College as an independent institution effective July 1, 1972, with a twelve-member Board of Visitors to serve as the governing and policy-making body for the institution. On July 1, 2004, the name of the institution was changed to the University of Mary Washington. The legal title of the Corporation of the University is “The Rector and Visitors of the University of Mary Washington.” Members of the Board are appointed by the Governor of Virginia for a term of four years. A visitor may serve two four-year terms, in addition to completing an unexpired term. The Rector of the Board is elected by the Visitors from its membership for a two-year term. Consistent with the powers vested in it by statute, the Board enacts policies to guide the operation of the University and employs the President of the University of Mary Washington to serve as the Chief Executive Officer of the University with the responsibility for implementing Board policy.

1.6 ADMINISTRATIVE STRUCTURE See also the organization chart, §1.10.

1.6.1 President The President is the Chief Executive Officer of the University of Mary Washington. Appointed by and responsible to the Board of Visitors of the University, the President performs those services and duties that are required of the President under the laws of Virginia, the Bylaws of the Board of Visitors, the University's Policy and Procedures manual, or which may be assigned or delegated to him or her by the Board of Visitors. These vice presidents report directly to the President: the Provost and Chief Academic Officer (CAO); the Executive Vice President, Vice President for Administration and Finance, and Chief Financial Officer (CFO); Vice President for Advancement and University Relations; Vice President for Student Affairs and Chief Student Affairs Officer (CASO); and Vice President for Information Technology and Institutional Research, and Chief Information Officer (CIO).

1.6.2 Provost and Chief Academic Officer Serves as the chief academic officer (CAO) of the university and is responsible for oversight of all academic programs, academic planning and budgets, and faculty matters. The following report directly to the Provost: Dean, College of Arts and Sciences; Dean, College of Business; Dean, College of Education; Dean, Enrollment and Student Services; Associate Provost; Assistant Provost for Assessment; and University Librarian.

1.6.3 Executive Vice President, Vice President for Administration and Finance and Chief Financial Officer Serves as the University's chief financial officer (CFO) and chief operations officer in all areas related to administration, business and finance, facilities, personnel, public safety and security, and legislative, community, and government relations.

1.6.4 Vice President for Advancement and University Relations Provides leadership in all areas related to University advancement and development, fund raising, alumni relationships and programming, and events management. Also oversees the areas of news and public information, university marketing, and publications.

1.6.5 Vice President for Student Affairs and Chief Student Affairs Officer Serves as chief student affairs officer (CSAO) and provides leadership in all areas of student services and student life, such as student activities, residence life, the James Farmer Multicultural Center, judicial affairs, the Health Center, counseling and psychological services, athletics, campus recreation, and career services.

1.6.6 Vice President for Information Technology and Institutional Research and Chief Information Officer Serves as the chief information officer (CIO) of the University. Supervises and coordinates the management and security of all University information and technology resources. Provides leadership for information technology user services for faculty, students, and staff. Oversee the management of the institutional information infrastructure and enterprise data. Supervises the Office of Institutional Research and Reporting.

1.7 ROLE OF COLLEGE DEANS The deans of the colleges of Arts and Sciences, Business, and Education are responsible for the leadership of the academic activities of their respective colleges. Specific duties include: (1) development and implementation of the college's mission and ensuring it is in keeping with the mission of the University; (2) implementation of college and University strategic plans; (3) encouraging and supporting faculty development within the college; (4) managing faculty recruitment within the college; (5) ensuring the effective allocation and administration of resources within the college; (6) ensuring the integrity of procedures for the appointment and evaluation of faculty and support staff; (7) overseeing curriculum development and innovation.

The department chairs in each college report directly to their respective college deans on all matters related to the programs of the colleges, and the deans are responsible for the annual evaluation of department chairs within their college (following procedures outlined in §§1.8.3 and 5.1).

College deans report to the Provost, and are annually evaluated for their effectiveness in this capacity. As members of the university administration, college deans are recommended for the position by the Provost and appointed to the position by the President. Search procedures for college deans are outlined in §3.3.2.2.

1.8 ROLE OF DEPARTMENT CHAIRS

1.8.1 Appointments, Terms, and Compensation Chairs are nominated by their respective departments by means of a majority vote. The nominee must be tenured, unless the President makes a specific exception to this general rule. The nomination requires the concurrence of the dean and the Provost, and constitutes a recommendation to the President who shall make the final decision and formal appointment. The term of office is three years. Chairs are not usually appointed for more than two consecutive terms (six years); exceptions may be requested of the President by majority vote of the department. Chairs receive a reduced teaching load and a salary supplement, approved annually by the Board of Visitors. Both the release time and the salary supplement vary according to the size of the department.

1.8.2 Duties The implementation of academic programs is vested mainly in the academic departments, and the administration of these departments is the responsibility of the chairs. Major aspects of departmental administration include providing academic leadership; presiding over department meetings; scheduling classes and assigning faculty to them; allocating department space; administering the departmental operating budget; taking the lead in recruiting, hiring (or terminating), evaluating and rewarding the department's faculty; and recommending faculty reappointments, promotions, and tenure (see §5). As part of the shared responsibility for academic governance, faculty committees are often formed in departments to make recommendations and otherwise assist the chair and the department faculty in the conduct of business required to effectively carry out departmental administration. The size of the department, and the nature and complexity of its administration and organization, will influence the kinds of departmental committees constituted. All Department Chairs meet as a group with

the Dean at the beginning of each semester and at other times as the Dean deems appropriate for the purpose of discussing educational issues and advising the Dean on matters relevant to planning, implementation, evaluation, and improvement of the educational program. Chairs also meet individually with the Dean at least once per academic year.

1.8.3 Evaluation Chairs are evaluated annually by the dean, with written input from all departmental faculty members. These evaluations take place during the same period of time in the fall semester over which annual faculty evaluations are conducted (see §5.1).

1.9 DEPARTMENTAL STRUCTURE In addition to being members of the instructional faculty, faculty members, with few exceptions, are also members of academic departments. The administrative head of a department is the department chair. His or her administrative tasks are outlined in §1.8.2 of this *Handbook*.

1.9.1 Department Meetings Faculty attendance at department meetings is a professional obligation. Student representatives also have a specific role in these meetings, including voting on certain issues. Department meetings are convened and presided over by the department chair and are held according to a schedule established by the Dean of the College in which the department resides. Decisions affecting all members of a department are generally arrived at by vote.

1.9.2 Department Committees Where detailed work of the department is done by committees, those are determined by the department.

1.10 APPLICABILITY OF THE FACULTY HANDBOOK This *Handbook* applies exclusively to instructional faculty of the University of Mary Washington. *Instructional faculty* are individuals who hold either full-time or part-time teaching appointments in various academic departments and programs and who teach courses for credit toward University of Mary Washington degrees. *Administrative and professional faculty* are persons holding academic rank who are appointed by the President to perform the administrative and support functions. Administrative and professional faculty have a separate handbook applying only to them.

1.10.1 Current version The current version of this *Handbook* supersedes all previous versions, and its terms replace those contained in previous versions. This version will remain in effect until amended in accordance with the procedures outlined in §1.9.

1.10.2 Official version The official version of the *Faculty Handbook* is the electronic version published on the University web site. The Office of the Provost maintains the official version of the *Faculty Handbook*, found at: http://www.umw.edu/provost/faculty_handbook/default.php

1.10.3 The *Faculty Handbook* and terms of employment The faculty member's most recent employment letter contains the terms of the employment contract. Unless that letter contains terms that expressly supersede the information contained in this *Faculty Handbook*, the

Handbook should be considered as governing the faculty member's employment. It should not, however, be considered as part of the university's contractual agreement with individual faculty members. While this *Handbook* contains much useful information, other official publications also contain information about institutional policies and procedures that faculty members are expected to follow in their various roles. Additionally, other offices will from time to time distribute information about policies and procedures that apply generally to all employees. The *Handbook* is designed to serve as a guide to the relationship between the faculty members and the university, and it seeks to outline duties, rights and responsibilities of faculty members.

1.11 AMENDING THE *FACULTY HANDBOOK* When a policy change or procedural revision is adopted that needs to be reflected in this *Faculty Handbook*, it is incumbent upon the body adopting the change or approving the revision to provide the necessary amendment(s) in appropriate *Handbook* language at the time the action is taken. See Appendix E (*Faculty Handbook Style Sheet*) for guidance on preparing materials for inclusion in the *Handbook*.

1.11.1 Amending sections 1 – 6 of the *Faculty Handbook* Amendments to these sections are adopted by the Board of Visitors. Recommendations for such amendments may come either from the President or directly from the **University Faculty Council**. In the latter case, they must first be approved formally by a majority vote in a meeting of the **University Faculty Council**, except as provided in §§ 2.3.2.4 and 2.3.2.6.

1.11.2 Changes to section 7 of the *Faculty Handbook* Because this section contains information about a variety of university policies and services that faculty members need to know, and these policies and services are subject to change by the units in charge of them, corrections to the material contained in this section may be made when the *Faculty Handbook* is updated without necessarily having a formal vote of approval by the Board of Visitors.

1.11.3 Enacting amendments Approved changes to the *Faculty Handbook* go into effect at the beginning of the academic year following their adoption unless otherwise stated in the amendment itself. The Office of the Provost is responsible for annually updating the *Faculty Handbook* to incorporate any amendments approved through the procedures specified above. The Office of the Provost will annually notify the faculty of any changes made to the *Faculty Handbook*, and will ensure that those changes are appropriately published and distributed.

1.12 ORGANIZATION CHART See page 8.

(to be added when revised in July 2010)

SECTION 2

GOVERNANCE

2.1 THE GENERAL FACULTY

2.1.1 Definition of the General Faculty The general faculty of the University of Mary Washington consists of all persons holding academic rank. Within the general faculty are two further groups of faculty: *Instructional faculty* (see §1.10) are individuals who hold teaching appointments in various academic departments and who teach courses for credit toward Mary Washington degrees. *Administrative and professional faculty* are those individuals holding academic rank who are appointed by the President to perform the administrative and support functions. This *Faculty Handbook* applies exclusively to instructional faculty (see Title Page), and all references in the *Handbook* to faculty are, in fact, to instructional faculty. (A separate handbook applies only to administrative and professional faculty.)

2.1.2 Regular Meetings of the General Faculty General faculty meetings will be held: (1) August – beginning of the academic year (2) April – end of the academic year. Attendance is a professional obligation of all members of the instructional faculty, and all members have the right to speak and vote in these meetings.

2.1.3 Special General Faculty Meetings Special General Faculty meetings may be called by the President of the University or the Provost; at least three days notice in writing shall always be given, except that the President or the Provost may call an emergency meeting at any time to deal with a specific issue. Such an emergency meeting shall have plenary powers but shall not be bound by the rules on order of business. Submission of a petition with the signatures of ten members of the faculty above the rank of instructor representing five or more departments shall be sufficient for a General meeting of the faculty to be called. Any action of the University Faculty Council may be debated at such meeting, subject to the requirements contained in §2.5. The rulings of the General Faculty at these meetings will be final, subject to approval by the Board of Visitors.

2.1.4 Voting Privileges at Meetings of the General Faculty Other members of the general faculty may attend faculty meetings and to them all is extended the privilege of the floor when recognized by the presiding officer. However, only members of the instructional faculty may vote in faculty meetings. Non-faculty members of the University community may attend faculty meetings. However, such persons may not vote and may speak only by specific invitation of the presiding officer or by request of a member of the instructional faculty.

2.1.5 General Procedures for Meetings of the General Faculty Meetings of the faculty are held according to the schedule set forth in the *rules of order* (see §2.1.1.6).

2.1.6 Meeting Rules Meetings of the General Faculty shall be conducted according to *Robert's Rules of Order*. The Provost shall normally preside at General Faculty meetings and will rule on the disposition of motions. In the absence of the Provost, the President of the University will designate the presiding officer. The President may also assume the chair at any time. The business of the general faculty is: (1) to debate and vote on University Faculty Council actions of concern; (2) to approve degree candidates for graduation; and (3) to overrule or reconsider UFC actions occurring during the academic year. With respect to this item of business, a motion to overrule or reconsider may occur at the April meeting or at any special meeting held between the August and April meetings of the General Faculty, at which a quorum is present. Actions during the year that were approved by the UFC, including those ratified by separate votes of the college faculties when so required, may be overturned by a simple majority vote of full-time, instructional faculty. Actions passed by the UFC but not approved by the separate college faculties may be brought up for reconsideration and approved by a simple majority vote of full-time, instructional faculty. (See also §1.11.1 and §2.3.2.6 and §2.3.3.) Notice of intent to overturn or reconsider actions of the University Faculty Council at a regularly scheduled or special meeting of the General Faculty must be set forth in a formal motion and set forth in the applicable agenda packet, in order to give all faculty members equal opportunity to attend the meeting and vote.

2.1.7 Committee of the Whole The entire body of the meeting of the General Faculty shall be a Committee of the Whole.

2.1.8 Quorum Seventy-five members of the *general faculty*, representing at least ten departments, shall be a quorum for the transaction of business. A smaller number may only adjourn.

2.2 Role of the Faculty in University Governance

2.2.1 Authority and Responsibility of the Faculty The Board of Visitors has designated the President as the chief executive, administrative, and academic officer of the University of Mary Washington, with responsibility for proposing policies and programs for the University, as well as responsibility for their effective implementation upon approval by the Board. Consistent with these responsibilities, the President has delegated the following authority to the faculty of the University:

- .1 to determine academic offerings consistent with the established mission of the University;
- .2 to determine the requirements for all degrees offered by the University;
- .3 to recommend types of degrees and candidates for all such degrees;
- .4 to formulate general admissions policies for the University;
- .5 to enact and to enforce academic regulations for students in matters of attendance, examinations, grading, scholastic standing, honors, and awards;
- .6 to design and to monitor the annual faculty evaluation system;
- .7 to recommend policies concerning faculty welfare; and

.8 to develop and to supervise a committee system for the orderly exercise of the authority that has been delegated to it.

2.2.2 Final Authority of Faculty Action Actions of the faculty may be binding or they may be advisory to the President, Provost, deans, or other administrative officials. Most actions of the faculty are advisory. However, where the President has delegated specific authority to the faculty as stipulated above, actions of the faculty are binding unless overridden by the President or the Board of Visitors.

2.2.3 Constraints on Faculty Action Financial constraints, the time element, and the policies of external groups, bodies, and agencies having jurisdiction over the University may set limits to the exercise of the above authority. In particular, such limitations may result from the provisions of state and federal law, Executive Orders of the Governor of the Commonwealth of Virginia, policies of the State Council of Higher Education for Virginia, accreditation standards of the Commission on Colleges of the Southern Association of Colleges and Schools, and policies of the Board of Visitors.

2.2.4 Action by the President in Areas of Authority Delegated to the Faculty Though the President can delegate authority, he or she cannot escape responsibility as the Board of Visitors holds him or her accountable for the total welfare of the University. The President therefore must reserve the right not only to initiate action affecting the above but also to veto any action taken by the faculty. Should the President, however, take final action in an area of faculty authority prior to a formal recommendation from the faculty, or exercise the veto prerogative, he or she will communicate the reasons for such action to the University Faculty Council either at the next University Faculty Council meeting or earlier by electronic mail. If the University Faculty Council is unpersuaded by the President's reasons, it may by majority vote at a subsequent meeting of the University Faculty Council represent and explain the faculty position to the Executive Committee of the Board of Visitors.

2.3 THE UNIVERSITY FACULTY COUNCIL

2.3.1 Purpose of the University Faculty Council (UFC) The UFC serves to promote effective communication and coordination among the different College governing bodies at UMW. It also serves to recognize and address matters of common concern to all instructional faculty, matters that transcend the issues of a specific College, matters affecting general faculty welfare, and curriculum matters affecting all colleges. The UFC also serves to promote effective coordination and interaction by providing a formal means of regular communication between the University Faculty, the President and the Provost, and the Board of Visitors.

2.3.2 UFC Duties

2.3.2.1 Serve as the policy-review body on University-level matters related to curriculum, faculty affairs and welfare, support services, and student affairs; discharge the responsibilities the

faculty in matters of university-wide concern, consistent with the authority of the faculty as stated in section 2.2.

2.3.2.2 Communicate regularly with all constituencies of the University Faculty in order to have a clear university-level perspective on issues of interest and significance to the University faculty.

2.3.2.3 Advise and communicate with the President, Provost, and Board of Visitors with regard to the interests of the University faculty and other matters of University-wide importance.

2.3.2.4 Monitor the development and approval of changes to the University *Faculty Handbook*, and work with the Office of the Provost to ensure that any changes are approved in accordance with the procedures set forth in section 1.11 and incorporated into the *Faculty Handbook* once all necessary approvals are obtained. Any changes to section 2.3 shall be approved by majority votes of the faculties of each college through procedures to be determined in each college.

2.3.2.5 Provide oversight to ensure that the policies and actions of each College are in accordance with the University *Faculty Handbook*, and consistent with University goals, values, and mission.

2.3.2.6 Oversee the development of university-level committees as needed to discharge the duties of the University Faculty Council and to exercise the authority delegated to the faculty at the university level under section 2.2.1. During the 2010-2011 academic year, the University Faculty Council shall establish a University-level committee structure by soliciting input and advice from each college's governing body and then crafting a proposal for said committee structure. This University-level committee structure will be submitted to the faculty and approved by majority votes of the faculties of each college, through procedures to be determined in each college, before being submitted for approval as revisions to the University *Faculty Handbook*. (See §1.11.1 and §2.1.6) At a minimum, the following University-level committees will be established: a University-level oversight committee for general education curricula (including program development and outcomes assessment of all programs), and a University-level oversight committee for faculty evaluation matters (including merit pay, promotion and/or tenure procedures). These two oversight committees will be expected to ensure that the general education curricula (and assessment of programs), merit pay procedures, and promotion/tenure procedures of each college (as approved by each college) adhere to the guidelines established in the University Faculty Handbook, ensure that general education curriculum and promotion/tenure standards are being upheld within each of the colleges, and ensure that a University-level appeals process exists for promotion and/or tenure considerations.

2.3.2.7 Represent the faculty to the public at times when such representation is desirable and appropriate.

2.3.3 UFC Authority for the 2010-2011 year The UFC has the authority to propose modifications to its membership and organization; such changes must first be approved by

majority votes of the faculties of each college before being incorporated in the Faculty Handbook. Proposals for new university-wide committees must be developed in consultation with each college's governing bodies and such proposals must be approved by a majority vote of the faculty in each college before taking effect. (See also §1.11.1 and §2.1.6.)

2.3.4 Membership of the UFC The UFC will be comprised of the following members: two (2) faculty elected from the College of Education; two (2) faculty elected from the College of Business; two (2) faculty elected from the College of Arts and Sciences; and four (4) faculty elected from the instructional faculty-at-large. In addition, the President, the Provost, and the deans of all three colleges will serve as *ex-officio* members.

2.3.4.1 Eligibility For the 2010-2011 year, membership in the UFC is limited to instructional faculty holding full-time appointments who have served at UMW for a minimum of three years at the time of election to the UFC.

2.3.4.2 Terms of service For the term beginning 2010-2011, members of the UFC will serve for a term of two years. In order to balance term expiration dates, half of the UFC members from each college and half of the at-large members will be elected to serve only one year.

2.3.4.3 Elections For term beginning 2010-2011 year, elections will be conducted during spring 2010 and run jointly by the Faculty Organization Committee of the College of Arts and Sciences and the Faculty Organization and Welfare Committee of the College of Graduate and Professional Studies. Candidates for the UFC will be required to present a brief written statement, introducing themselves and describing their preparation for service on the UFC. These will be made available in conjunction with the ballot.

2.3.5 UFC Officers From among its membership, the UFC annually elects these officers:

2.3.5.1 UFC Chair, responsible for preparing the agenda for UFC meetings and presiding over the meetings. The Chair will also serve as one of the two UMW representatives to the Faculty Senate of Virginia.

2.3.5.2 UFC Secretary, responsible for taking the minutes of each meeting, which are to be distributed to the University Faculty within two weeks after being approved by the UFC; serving as the other UMW representative to the Faculty Senate of Virginia; and serving as Chair in the absence of the Chair.

2.3.5.3 The UFC Chair, Secretary and one member elected from the Council will represent the faculty in meetings with the President's Cabinet and the Board of Visitors.

2.4 COLLEGE GOVERNANCE

2.4.1 Structure Each college of the university shall determine the specific structure and membership of its governance bodies. The college faculty and dean, and the Provost must

approve this structure. The governance structure shall include elected faculty representatives from each academic unit of the college. The governance bodies will have the function of advising the dean and making recommendations to the dean and other appropriate bodies on matters of curriculum, student academic policies, budget and planning, and personnel (including evaluation, promotion, and tenure). Each college will have bylaws that provide a statement of purpose and function, and an appropriate committee structure for discharging faculty responsibilities and making decisions pertinent to the governance of the college. The governing documents are included as appendices in the *Faculty Handbook*.

2.4.2 Principles of College Governance The faculties of the colleges define their own voting membership. Together with their deans, they determine the processes and procedures of governance they will employ. All colleges, and if so sub-divided, each of their departments, must observe these guidelines designed to ensure that they:

2.4.2.1 operate in a democratic manner and in accordance with the best traditions of the academic profession;

2.4.2.2 adopt bylaws or standing rules that are made available to all members and that undergo periodic review;

2.4.2.3 meet as frequently as necessary to ensure good communication and the timely conduct of business;

2.4.2.4 hold meetings that follow an agenda distributed in advance;

2.4.2.5 record the proceedings of the meetings in minutes that are distributed to and approved by the faculty of the college and/or department.

2.5 CONDUCT OF BUSINESS AND MOTIONS FOR GENERAL FACULTY MEETINGS

Except as otherwise provided herein, the following order of business shall be observed:

2.5.1 Order of Business (1) Call to Order; (2) Correcting and approval of minutes; (3) Unfinished business; (4) New business; (5) Announcements; (6) Adjournment.

2.5.2 Recognition by Chair Members shall speak only when recognized by the Chair and shall use the rostrums provided. When two or more members rise at once, the Chair shall decide who is entitled to the floor.

2.5.3 Main Motions and Initiating Business Individual members shall have the right to bring business before the General Faculty through a motion duly made and seconded from the floor and recorded in the meeting agenda. All members of the faculty intending to propose a motion must submit the motion[s] in writing to the Provost at least one week before the faculty meeting.

2.5.4 Committee of the Whole Any member may move to consider a motion before the Faculty as a committee of the whole. Such motion shall be appropriate at any time but must be approved by a vote of the majority of those present.

2.5.5 Initiating Business Individual members shall have the right to bring business before the Faculty through a motion duly made and seconded from the floor. All members of the faculty intending to propose a motion should submit the motion[s] to the Provost at least one week before the faculty meeting.

2.5.6 Amending a Motion

2.5.6.1 An amendment or a substitute motion may be withdrawn by the mover with the consent of his or her seconder before amendment thereof or before decision is had thereon.

2.5.6.2 The amendment or the substitute shall be debatable only when the main question is debatable.

2.5.6.3 The adoption of an amendment by way of substitute or otherwise shall not displace the main resolution, which, after being amended, shall be the question before the meeting.

2.5.6.4 The following questions cannot be amended:

- the call for the Order of the Day
- an appeal from the decision of the Chair
- an objection to consideration of any question or of the following motions: (1) to adjourn (undebatable); (2) to lay on the table (undebatable); (3) take from the table; (4) for leave to continue speaking; (5) to postpone indefinitely; (6) to suspend; (7) to take up business out of order; (8) for leave to withdraw a motion.

2.5.6.5 Order for Voting on Amendments and Substitute Motions Amendments to the main motion shall be voted first, in order of last-made amendment to first-made amendment. After all amendments have been voted, the substitute motion shall be voted; if the substitute fails, debate returns to the main question as it may or may not have been amended.

2.5.6.6 Privileged Motions Motions to adjourn or to lay on the table are privileged motions. They shall always be in order and shall be decided without debate. In addition, when a question is under debate and business is pending, the following motions are also privileged. The motions shall have precedence in the order enumerated and be settled by a majority vote of those present. They shall be debatable or undebatable as indicated in the accompanying parentheses.

- to take a recess (undebatable)
- to take a vote at a certain time (undebatable)
- to call for the previous question (undebatable)
- to commit or recommit (limited debate: on wisdom of motion)
- to postpone to a certain time (limited debate: on wisdom of motion)
- to amend or substitute (debatable)
- to postpone indefinitely (debatable)

2.5.6.7 Other Motions Motions designed to alter or cancel previously adopted action, e.g., to rescind, to amend something previously adopted, to reconsider, shall be introduced only as new business.

2.5.6.8 A Motion to Call the Question A motion for the previous question shall be in this form: "I move that the question (or questions) now be put." If this motion is carried, then all questions at the moment before the meeting shall be put to the vote, in order of precedence, without debate. If a member or members call for the question without moving the previous question formally, the Chair is not obliged to close debate, and other members may properly be recognized. Any member may call for a division of the question where the sense will admit of it, but a motion to strike out and insert shall be deemed indivisible.

2.5.6.9 Voting

2.5.6.9.1 Once a vote has begun on any question, no members shall be recognized for any purpose whatever until the voting is completed and the Chair declares the voting closed.

2.5.6.9.2 Unless otherwise indicated in the rules of order, motions may be passed by a simple majority of those voting.

2.5.6.9.3 The following motions may be approved only when two-thirds of the members present favor the action: (1) to change the rules of order; (2) to suspend the rules; (3) to object to consideration; (4) to limit debate; (5) to vote immediately.

2.5.6.9.4 Any member may call for the number of abstentions after the taking of any vote.

2.5.6.9.5 Secret balloting shall apply upon request.

2.5.6.10 The Chair and Appeal from Its Ruling The duty of ruling on questions of parliamentary procedure in the meeting shall rest with the Chair, but any ruling may be appealed, by a motion and a second, immediately after the ruling. In this event the appeal must be submitted to a vote of the meeting. Except as it refers to indecorum, the rules of debate, or priority of business, such an appeal is fully debatable. After the vote on the motion is announced, the business of the meeting will be resumed according to the action of the appeal.

SECTION 3

FACULTY CONTRACTS, RANKS, SEARCH PROCEDURES, AND BENEFITS

3.1 TYPES OF CONTRACTS Members of the faculty are reappointed annually by the Board of Visitors upon recommendation of the President. The contract year for full-time instructional faculty extends from August 16 to May 15 for continuing 9-month appointments and extends from August 16 to August 15 for continuing 12-month appointments. Initial contracts for full-time new faculty begin on August 16 and extend to May 15 for 9-month faculty and begin on August 16 and extend to August 15 of the following year for 12-month appointments. Each year, letters are sent by the President, near the end of the spring semester, to all continuing faculty, confirming their appointments for the upcoming year. By signing, dating, and returning the annual letter to the Human Resources Office (HRO), a faculty member finalizes his or her employment contract with the University for the ensuing academic year.

3.1.1 Tenured Tenured persons have attained that status as the result of appropriate action by the Board of Visitors upon the recommendation of the President. Tenured faculty are assured continued reappointment by the Board of Visitors, year after year, without benefit of any specific individual contract with the University. Tenured faculty are notified each year, in writing, of their reappointment by the Board, and are asked formally to acknowledge that reappointment by signing the appointment letter. In so doing, they reaffirm their contract with the University for the following year. Tenured persons cannot be dismissed for cause without the due-process provisions of §3.18.

3.1.2 Tenure-track A tenure-track appointment carries a probationary period leading to tenure. In the time period prior to the awarding of tenure, regular, tenure-track faculty are appointed or reappointed for one, two, or three academic years. Ordinarily, a newly-appointed faculty member will receive an initial one-year contract. Renewal of that contract (the second contract) is normally for two years, and the subsequent renewal (the third contract) for three years or for whatever period of time remains of the probationary period prior to the tenure decision. If an extension of the probationary period is approved, at the conclusion of the existing contract period a new contract will be issued for the appropriate period until the next scheduled review(see §3.14). Contract renewal is always preceded by a careful and thorough performance evaluation carried out by the department chair and reviewed by the dean and Provost (see §5.1). If, in the judgment of the chair and the dean, normal reappointment is not warranted (see §3.16), reappointment for less than the normal period may be recommended to the Provost; the Provost will make recommendations on all faculty appointments to the President, and the President makes final recommendations to the Board of Visitors; a one-year reappointment may be specified by the Board as terminal.

3.1.3 Renewable Term Appointments (RTA) RTAs are nontenure-track appointments that may be renewed for an indefinite period of time. These appointments are at the rank of lecturer or senior lecturer. With the exceptions spelled out in §3.3.3, faculty at these ranks enjoy the same rights, privileges, and responsibilities as tenure-track members. All faculty/coaching appointments in the Department of Health and Physical Education made after August 16, 1998, are at these ranks. Appointments at these ranks elsewhere are made at the request of the department in which the appointment will be made, and they require the concurrence of the dean and the Provost. No person appointed to a tenured or tenure-track position may be moved to a renewable term faculty appointment. Individuals appointed to tenure-track faculty positions who are denied tenure are not eligible for appointment at these ranks. Further, no person in a renewable term faculty appointment may be moved to the tenure-track without a competitive, national search. Numbers of faculty appointed at these ranks outside the Health and Physical Education Department will not exceed a total of ten percent of the number of all tenured faculty appointments in the college. In addition, no more than twenty percent of the faculty in any one department may be appointed at these ranks.

3.1.4 Limited Term Appointments Temporary appointments that are made for a limited period of time, whether full-time or part-time, are non-renewable and are classified as limited term appointments.

3.1.4.1 Full-time Full-time limited term appointments are for full-time, nontenure-track faculty in any of the visiting ranks. Terms may be for as short a period as one academic semester or for as long as three years, as specified in §§3.4 – 3.5.

Ordinarily, time served in any of these nontenure-track, full-time appointments does not count in the probationary period for promotion or tenure if and when an individual who has held such an appointment is subsequently appointed to a regular (tenure-track) faculty position. However, exceptions can be made when mutually agreed upon by the appointee, the department chair, dean, and Provost at the time of the tenure-track appointment. In any such case, reduction of the probationary period must be for not more than two years and must be approved by the Board of Visitors as part of the appointment itself (see §§ 6.6.2.1 and 6.6.2.2).

3.1.4.2 Part-time Part-time limited term appointments are for nontenure-track faculty (adjunct instructor rank) teaching less than a full (twelve credit hours per semester) teaching load. Part-time term appointments are made for a semester only, and are renewable indefinitely. Time served in part-time term appointments may not, under any circumstances, count toward tenure or promotion or serve as grounds for reduction of a probationary period upon appointment to a regular (tenure-track) faculty position.

3.1.4.3 Summer Session Contracts Full-time faculty members on nine-month appointments who teach summer session courses are paid on a per credit hour basis in accordance with guidelines distributed each year when the call for summer session teaching schedules is made. Summer courses must meet curricular needs and must also meet minimal enrollment criteria in order to be offered. Summer teaching for faculty on nine-month appointments is optional, and may not be required of a faculty member. In accordance with Commonwealth of Virginia policy, faculty may be paid no more than 33% of their prior academic year base salary for all summer

work, regardless of funding sources. Full-time faculty members who are resigning or retiring, and whose contracts will end prior to the start of the summer session, will be paid for summer teaching according to the established adjunct salary matrix. Full-time faculty desiring to teach in the summer session occurring before the start of their first contract with UMW will also be paid in accordance with the established adjunct salary matrix. Faculty on 12-month contracts who teach during the summer do not earn additional pay for teaching unless the teaching assignment is approved by the Provost as an overload. Adjunct faculty hired for summer teaching are also paid in accordance with the established adjunct matrix.

3.1.4.4. Overload contracts Full-time faculty teaching assigned to teach courses in excess of the maximum teaching load will receive an overload contract specifying the teaching assignment, length of the teaching commitment and overload contract period, and the compensation. Overload teaching assignments must be approved by the dean and the Provost before an overload contract is issued. Overloads are approved sparingly, and as a last resort.

3.2 DEFINITIONS OF TENURED OR TENURE-TRACK FACULTY RANKS

3.2.1 Instructor Appointments to this rank are ordinarily for new faculty who have not yet been awarded the terminal degree in their teaching field but who expect to receive that degree during the probationary period, prior to consideration for tenure. A master's degree or significant professional experience is the minimum expectation for appointment to this rank. A full-time limited term appointment may be made at this rank when the individual's credentials so warrant.

3.2.2 Assistant Professor Appointments to this rank are for faculty who hold a terminal degree appropriate to the field (or who bring to the University professional experience deemed the equivalent of the terminal degree). New faculty appointments are commonly made at this rank.

3.2.3 Associate Professor A person appointed to the rank of associate professor, in addition to the degree credentials required of an assistant professor, must have at least six years of full-time college teaching experience (or the equivalent). This person must in that time have demonstrated substantial professional achievement in the areas of teaching, professional activity and service. New faculty appointments may be made at this rank, under circumstances deemed appropriate by the dean, the Provost, and the President.

3.2.4 Professor A person appointed to the rank of professor, in addition to the degree credentials required of an assistant professor, must have at least ten years of full-time college teaching experience (or the equivalent). In that time this person must have achieved professional distinction in the areas of teaching, professional activity, and service. New faculty appointments may be made at this rank, under circumstances deemed appropriate by the dean, the Provost, and the President.

3.3 RENEWABLE TERM (RTA) FACULTY RANKS

3.3.1 Lecturer Renewable term appointments of individuals with little or no prior teaching or coaching experience at the college or university level are made at this rank. Initial appointments are for a two-year period and reappointments (if justified on the basis of performance to date) are for three years, to carry out full-time instructional (or coaching), professional, and service responsibilities. There is no limit upon the number of reappointments possible. Tenure cannot be awarded at this rank.

3.3.2 Senior Lecturer Renewable term appointments of individuals with substantial prior teaching or coaching experience (at least five full-time years) may be made at this rank. To carry out full-time instructional (or coaching), professional, and service responsibilities, initial appointments at this rank are made for a two-year period. Reappointments or appointments following promotion to this rank are for five years. There is no limit upon the number of reappointments possible. Tenure cannot be awarded at this rank.

3.3.3 Policies and Procedures Applying Specifically to Faculty with Renewable Term Appointments (RTA)

3.3.3.1 General Policies and Procedures Full-time RTA faculty are full fledged members of the *general faculty* and the *instructional faculty* (as defined in §2.1.1.1) and of their respective academic departments. They are eligible to serve on any faculty committees except those that specifically require tenure and/or senior academic rank for membership (e.g., the Promotion and Tenure Committee). They may request and qualify for faculty leaves as provided for in §3.12, with the exception of sabbatical leaves which require tenure. They are also eligible for any of the various forms of institutional faculty development support that are available to tenure-track faculty. They are entitled to the same notice of non-reappointment as tenure-track faculty §3.16, and if being dismissed for cause they are entitled to the due-process provisions of §3.17. They also are entitled to the due process afforded by §4.9 on Faculty Grievances.

3.3.3.2 Performance and Performance Evaluation RTA faculty, like tenured and tenure-track faculty, are expected to contribute in the areas of teaching, professional activity and service, following the guidelines set forth in §§5.1 – 5.5, and they are expected to participate in their department's peer evaluation process. Performance criteria applied are the same as for tenure-track faculty.

3.4 VISITING RANKS Absent prior or concurrent faculty rank elsewhere, full-time temporary appointments are made at the rank of Visiting Instructor (no terminal scholarly degree) or Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor (terminal scholarly degree in-hand), and Visiting Artist-in-Residence. Regardless of rank, appointments may be for teaching only, or for a combination of teaching and other contractually assigned duties. Reappointment is permissible up to a maximum cumulative total of three years. Visiting appointments must be approved by the Board of Visitors. Tenure cannot be awarded at these ranks.

3.5 RANK OF ADJUNCT INSTRUCTOR Faculty are appointed to the rank of Adjunct Instructor by the Board of Visitors. Appointment at this rank is for one academic semester, to

carry out instructional responsibilities that constitute less than a full-time load in an academic department or program. Tenure cannot be awarded at this rank.

3.6 DESCRIPTION OF FACULTY STATUS FOR PERSONS IN OTHER POSITIONS

3.6.1 Administrators with Faculty Rank Any member of the teaching faculty who accepts an administrative appointment for a time and then returns to the teaching faculty retains the rank and tenure he or she had at the time the administrative appointment was accepted. If such a faculty member qualifies by the stated criteria for consideration for promotion and/or tenure (see §6), he or she may be so considered and promotion and/or tenure may be awarded prior to the return of the faculty member to the teaching faculty. Academic rank (and tenure) may be awarded upon appointment by the Board of Visitors to an administrator from outside the University whose qualifications and prior experience warrant it.

3.6.2 Administrative and Professional Faculty University personnel in administrative or professional faculty positions, including library faculty, are not considered teaching faculty and are not subject to the provisions of this *Faculty Handbook*. (See *Handbook for Administrative and Professional Faculty*.) Similarly, teaching faculty are not considered administrative or professional faculty personnel and are not subject to the provisions set forth in the *Handbook for Administrative and Professional Faculty*.

3.6.3 Classified and Hourly Employees No faculty are employed in classified or hourly positions, and this *Faculty Handbook* does not apply to any classified or hourly employees. (See *Handbook for Classified and Hourly Employees*.)

3.6.4 Professional Development Adjuncts This employment classification covers persons in a variety of part-time roles, such as teaching non-credit courses, serving as James Farmer Scholar Instructors, assisting in education courses as a master teacher, or working as an assistant coach for an athletic team. These persons are not faculty members, and this *Faculty Handbook* does not apply to them. (See the *Handbook for Professional Development Adjuncts*.)

3.7 SPECIAL FACULTY APPOINTMENTS

3.7.1 Graduate Faculty Appointment to membership in the graduate faculty of the university is made by the Provost. Graduate faculty status is provided to qualified full-time faculty members teaching in programs offering graduate level courses and/or degrees. Nominations for membership in the graduate faculty are made by the faculty member's department and are sent by the department chair to the dean of the college in which the department is housed. If the dean concurs, the recommendation is forwarded to the Provost for action. Nominations for membership in the graduate faculty must be made on the appropriate form, available at the Provost's web page, <http://www.umw.edu/provost>. The primary criterion for consideration as a member of the graduate faculty is possession of an appropriate earned terminal degree in the discipline of the courses to be taught. Additional criteria considered are evidence of scholarly productivity in his/her field, and evidence of successful teaching. The listing of the graduate faculty is included in the *Graduate Academic Catalog*, and also posted at the Provost's web page.

3.7.2 Affiliate Faculty There are two types of affiliate faculty appointments. An *internal affiliate appointment* occurs when a current UMW faculty member voluntarily associates (affiliates) with a program or a department other than the one where the person serves primarily. These internal affiliate relationships are unpaid. An *external affiliate appointment* will be considered for professionals who provide direct supervision/field instruction to students during practicum or clinical experiences. Someone who will be serving as a UMW program director in addition to duties as a part-time instructor may also be appointed as an external affiliate faculty member. Faculty with appropriate qualifications and the consent of the department chair, dean, and Provost may be awarded the rank of “affiliate assistant professor” rather than the rank of adjunct instructor in conjunction with specified program supervision duties. Details of the special assignment to be fulfilled will be outlined in the individual’s employment contract.

3.8 SEARCH PROCEDURES

3.8.1 Full-time Faculty Positions Details of the process for searching for full-time, non-temporary appointments in academic departments are outlined in detail in the “Faculty Search and Screen Procedures” document (available at http://www.umw.edu/hr/policies_procedures/search_procedures_for_full/default.php). The University is an Equal Opportunity Employer and maintains the policy of considering for positions the best qualified candidates without regard to race, color, religion, national origin, political affiliation, disability, sex, sexual orientation, or age. In addition, the University supports an Affirmative Action (AA) Program and seeks out qualified minority and female candidates for all positions. The University complies with applicable federal and state statutes.

3.9 FACULTY APPOINTMENT PROCEDURES

3.9.1 Letter of First Appointment When a candidate verbally accepts an offer, the dean informs the Provost and a contract letter will be sent from the Provost's Office following approval of the appointment by the Board of Visitors at its next regular meeting. This *letter of first appointment* constitutes the original contract between the University and the newly appointed faculty member. In addition to salary information and appointment responsibilities, the letter states the length and conditions of the appointment and whether it is subject to renewal or is a limited-term appointment. If there is prior service, which would shorten the probationary period prior to consideration for tenure (see §3.1.2), the letter will acknowledge that and specify the length of that probationary period. The letter will be accompanied by a current *Faculty Handbook*, which details all policies and procedures governing evaluation, reappointment, termination, and tenure. When the candidate signs and returns a copy of the official letter to the Human Resources Office, the appointment is finalized.

3.9.2 Establishment of the Personnel File The completed application dossier of the appointed candidate is transferred from the academic department to the HRO, where it becomes the official *state personnel file* of the newly appointed faculty member (see §3.11.3).

3.9.3 Statement of Principles Regarding Salaries for Newly Hired Faculty No newly hired faculty member will ordinarily receive a salary higher than the salary of current faculty members with the same qualifications. In any given year, salaries for newly hired faculty members with the same qualifications will ordinarily be equal. If the administration believes that a newly hired faculty member has extra qualifications (i.e., previous teaching experience, significant publication record, etc.) and thus deserves a higher salary than others hired at the same time, those qualifications and the financial weight given to them will be explained to department chairs. If the administration believes that exceptions due to market factors are necessary in some salaries at the time of hire or in subsequent salary adjustments or corrections that are not included in the annual salary adjustment policy (see §5.8.1), those exceptions and the criteria for them will be explained to all department chairs.

3.10 ORIENTATION FOR NEW FULL-TIME FACULTY New faculty, upon reporting for work, must meet with HRO for basic orientation concerning employment at the University and to complete forms for payroll, insurance, and other essential matters. Individual colleges may require an orientation session, designed to acquaint new faculty with academic affairs at their college and to introduce them to the various individuals and offices with which faculty frequently interact. No orientation meetings may take place before August 16.

3.11 CONFLICT OF INTEREST A conflict of interest occurs when a faculty member engages in self-dealing or in other activities which prevent him or her from exercising independent judgment in the best interests of the University and the Commonwealth. The Virginia Conflict of Interests Act prohibits such activities. Questions about these matters should be directed to the University's representative in the Office of the Attorney General of Virginia.

.1 No policy at the University prohibits the appointment of more than one member of an immediate family to the same academic department, or to another position within the University. However, no immediate family member may serve as an administrator or supervisor of another, nor be permitted to make judgment on the other family member concerning such matters as appointment, reappointment, promotion, tenure, or salary adjustment. *Immediate family member* shall mean spouse, sibling, parent, grandparent, child, and grandchild--all relationships are included whether full-, half-, step-, foster-, adopted, or in-law.

.2 Additionally, no employee of the university may have a "personal interest" in a contract with the University other than his or her own contract of employment. A "personal interest," for example, might entail an employee's financial interest in a company that does business with the University. The Code of Virginia contains exceptions to this prohibition, including one determined by the size of the employee's financial interest. Any faculty member who may have such a personal interest in a contract with the University other than his or her own contract of employment should report the potential conflict of interest to the Provost. Additional details about the Commonwealth of Virginia's conflict of interest and economics interests disclosure policies may be found at:

<http://www.commonwealth.virginia.gov/StateGovernment/Conflict/conflict.cfm>

.3 Outside employment and involvement in consensual amorous relationships potentially create additional conflict of interest difficulties. See the following sections of this *Handbook* for additional information regarding university policies in regards to “Outside Employment and Consulting” (4.7.2) and “Amorous Relationships” (§4.7.3)

3.12 PERSONNEL RECORDS

3.12.1 Pre-employment Dossiers The *Curriculum Vitae* and official transcript of candidate selected for faculty positions, when they accept their offers, are transferred to the Provost’s office where they are placed in the official *University personnel file* (§3.11.4). Copies of these documents are customarily retained for the department’s or college’s records. Any materials submitted by all candidates for faculty positions that were provided to the department conducting the faculty search (rather than submitted online to UMW through Careers.umw.edu) must be maintained by the department for three years, and then destroyed.

3.12.2 Personnel Files Two official personnel files are maintained for each member of the faculty. One, the *state personnel file*, is maintained by the HRO and is primarily a record of the individual's employment and salary history. The second official personnel file, the *University personnel file*, is maintained by the Provost’s Office and is primarily a record of the individual's academic career at the University. In addition to these two files, most departments maintain an informal and unofficial personnel file for each department member. These files are open for examination by the faculty member.

3.12.3 State Personnel File The state personnel file usually contains but is not necessarily limited to: the pre-employment dossier, including a faculty data sheet, a *curriculum vitae* at the time of employment, and official transcripts certifying the faculty member's degrees as received; letters of first employment and all consequent reappointment letters; Board of Visitors personnel docket letters regarding the awarding of tenure and promotions; annual salary letters; and any other correspondence between the University and the faculty member which reflects additional compensation or salary adjustment, including leaves of any kind, awards, administrative responsibilities, or special duties.

3.12.4 University Personnel File The University personnel file usually contains but is not necessarily limited to: the documents cited above; all performance evaluations together with any letters of exception and conference summary statements (such evaluations may include chair or departmental evaluations, the faculty member's annual activity reports, student course evaluations and letters, peer or colleague evaluations, and tenure and promotion evaluations, among other forms of evaluative documentation); all formal correspondence between the University and the faculty member regarding leaves, duties, and other professional matters; records of decisions reached following grievance proceedings to which the faculty member was a party; and other items as deemed appropriate by the University placed in the University personnel file either by the University or by the faculty member.

3.12.5 Review of Personnel Files Both the state personnel file and the University personnel file are open for examination by the faculty member, the faculty member’s department chair,

dean, the Associate Vice President for Human Resources (or designee), Provost (or designee), and the President (or designee). *No one else* may examine a faculty member's file without the express *written* permission of the faculty member. The letter of permission, in such an instance, is itself made part of the file. This policy is consistent with the Virginia Freedom of Information Act (FOIA) and the Privacy Protection Act (PPA).

3.12.6 Grievance File Grievance proceedings documents are maintained in a special grievance file until the proceedings are concluded and then are destroyed (see §4.9).

3.12.7 Promotion and Tenure Files A *promotion and/or tenure credentials file* is assembled by the faculty candidate for promotion and/or tenure for the consideration of the college's Promotion and Tenure Committee. It is submitted to and maintained by the dean's office and is returned to the candidate after a final decision is reached. (See §§6.1 – 6.12.)

3.12.8 Personal Files Faculty members are expected to maintain careful and complete records of their own activities. This material should be organized and easily accessible. At the minimum a faculty member's personal file should contain:

- an up-to-date *curriculum vitae*, arranged in conventional order (see Appendix A);
- all correspondence related to appointment and compensation, promotion, and tenure;
- all performance evaluations and related documentation;
- records of all professional activities (activities relevant to performance evaluations, promotion, and tenure, arranged by category--teaching, professional activity, and service); and
- a *samples file* of supporting documents such as student evaluations, research reports, papers presented, articles published, etc.

3.12.9 Working Papers of the President and Other Confidential Files Confidential files of personal working papers are maintained by the President. Although such files may contain correspondence and other records regarding individual faculty members, they are not accessible for examination by those individuals, nor by anyone else other than the President, without the President's consent. Department chairs, deans, the Provost, and other administrators may also maintain files that are confidential in cases in which such files constitute records compiled expressly for use in executive meetings, as such meetings are defined in the Virginia FOIA. Such officials may also maintain personnel files that are confidential, though such files may be accessible to the individuals to whom they pertain for the limited purposes of the Virginia PPA.

3.13 FACULTY LEAVE POLICIES Faculty members under the Virginia Sickness and Disability Program (VSDP) should contact the HRO for information regarding sick leave (including medical condition of pregnancy), family sick leave, and short-term and long-term disability.

3.13.1 Sick Leave The sick leave policy provides each tenured or nontenured full-time teaching faculty member disabled due to illness or injury full pay and benefits for up to six months but not to exceed his or her annual salary. Sick leave benefits for a nontenured, full-

time, teaching faculty member shall be limited to the length of his or her contract if the contract expires before six months. If the full-time teaching faculty member is unable to return to work at the end of the six-month period, he or she would be covered under the University's disability leave policy. If a faculty member's absences are not expected to exceed ten class days, the department chair shall ask colleagues in the department to cover the courses of the absent faculty member. If the faculty member's absences exceed ten class days, the chair shall proceed to have the faculty member's courses covered by either a member of the department or by a part-time instructor. Full financial compensation, including compensation for the first ten days, shall be awarded to any faculty member who covers the classes of a colleague whose absence due to illness or injury has exceeded the ten-class day period.

3.13.1.1 Application for Sick Leave To request sick leave beyond the ten-class day period, a faculty member must present to his or her chair a written statement from the attending physician stating that he or she, as a result of illness or injury, is unable to perform his or her full-time teaching responsibilities with an estimate of the period of incapacitation. The chair immediately shall forward the request and physician's statement to the dean. The dean shall inform the Provost and then the faculty member of his or her recommendation to approve or disapprove the request for sick leave, concurrently working with the department chair to provide coverage for the faculty member's courses. The Provost places requests for sick leave on the Personnel Docket for the Board of Visitors so that the Board may take final action on the request. In order to return to the classroom, the faculty member must present a written statement from the attending physician to the dean certifying that he or she is capable of resuming his or her professional duties. If the faculty member's request for sick leave is denied, he or she may appeal the decision through the Faculty Grievance Policy and Procedure (see §4.9).

3.13.1.2 Using and Accruing Sick Leave Upon initial appointment, a faculty member has a total of six months of sick leave available. Any portion of this sick leave used is deducted from the faculty member's sick leave balance. Upon the return to work, the faculty member earns additional sick leave (to replace sick leave used) at the rate of one month of sick leave earned for each two successive semesters worked (not counting summer sessions). Additional sick leave accrues until the faculty member's sick leave balance totals six months, at which point no additional sick leave accrues. If the faculty member's sick leave balance falls to less than six months at some future point, the faculty member is again eligible to accrue sick leave until the maximum of six months of available sick leave is reached.

3.13.2 Disability Leave If a full-time teaching faculty member's absence extends beyond the six months of sick leave, he or she will be considered for (a) *short-term disability* (covered under a short-term disability leave policy provided by the University) or (b) *permanent disability* (covered by the permanent disability program provided by the Virginia Retirement System or by Teachers Insurance and Annuity Association, whichever may apply).

3.13.3 Infant-Care Leave Two forms of infant-care leave are provided for full-time, tenured, tenure-track, or renewable term appointment teaching faculty: (1) short-term disability leave and (2) extended leave.

3.13.3.1 Short-term Disability Each female full-time tenured or tenure-track teaching faculty member shall be provided leave at full salary and benefits for up to six weeks upon the birth of a child. If the faculty member's absences due to the birth of a child are not expected to exceed ten class days, the department chair shall ask colleagues in the department to cover the courses of the absent faculty member. If the faculty member's absences exceed ten class days, the chair shall proceed to have the courses covered by either a member of the department or a part-time faculty member. Full financial compensation, including compensation for the first ten class days, shall be awarded to any faculty member who covers the classes of a colleague whose absence for infant care has exceeded the ten day class period.

3.13.3.2 Extended Leave Upon the birth or adoption of a child, a full-time tenured or tenure-track teaching faculty member of either gender is eligible to receive a one-semester (or a part of one semester if applicable) extended leave of absence at half salary with full benefits. This extended leave is available without regard to sex or marital status. (For female full-time teaching faculty who have given birth, the period of extended leave will begin after the six-week period of short-term disability leave ends.) At the end of the extended leave of absence at half salary, the faculty member may choose to take an additional extended leave of absence for one semester without salary or benefits. In cases where birth or adoption of a child occurs between semesters, the faculty member may take an extended leave of absence for the next semester at half-pay and full benefits. (The extended leave portion of infant-care leave also covers persons under VSDP.)

3.13.3.3 General provisions The following conditions apply to disability and extended infant-care leaves: (1) faculty members initiate requests for infant-care leaves by writing to their department chair and to the dean; (2) faculty members should initiate such requests no later than ninety days prior to the date they wish to cease teaching (except in cases where emergency circumstances preclude such prior notice); (3) faculty members granted infant-care leaves shall have their full-time faculty positions reserved for them until they return to their normal duties; (4) faculty members shall complete each infant-care leave within two consecutive semesters, (5) faculty members who apply for and receive infant-care leaves do so with the expectation that they will return to full-time work at the University; and (6) infant care leaves are not deferrable. If a faculty member elects not to take the leave when the birth or adoption occurs, the option cannot then be used in subsequent semesters.

3.13.3.4 Alternative Part-Time Infant Care Leave A faculty member may propose to the department chair and dean that he or she work part-time for one or two consecutive semesters upon the birth or adoption of a child rather than taking the standard infant care leave arrangement described above. This option applies only to the extended infant care leave, not the short-term disability leave. A request for part-time infant care leave must be made in writing and requires approval of the dean.

3.13.4 Sick Leave Due to Family Emergency and Bereavement Leave Each full-time faculty member shall be provided up to ten class days of absence, per academic year, for an illness, injury, or death of a spouse, child, or parent.

3.13.5 Sabbatical Leave Sabbatical leaves of either one semester with full pay and full benefits or one academic year with half pay and full benefits are available for tenured full-time

teaching faculty members. Those applying for sabbatical leave must have completed, by the time of the leave, six years of full-time teaching at the University or six years of full-time teaching after the completion of a previous sabbatical leave. Faculty members granted leave will be obligated to continue employment at the University for at least one year after the leave or to repay the full amount of the sabbatical support received.

3.13.5.1 Application Procedures for Sabbatical Leaves A written application for sabbatical leave, together with a letter of acknowledgment from the department chair, must be submitted to the dean by the second Monday in September of the academic year prior to the academic year for which the leave is requested. The application must include a proposal for a project to be undertaken during the sabbatical period. Requirements for sabbatical proposals are made available by the start of the fall semester each year.

3.13.5.2 Announcements of Sabbatical Leaves Recommendations from the deans regarding sabbatical leaves are due to the Provost no later than the second Monday in October. The Provost reviews these recommendations, and announces (no later than October 30) which sabbatical recommendations will be taken by the Board of Visitors for final action at its next meeting, generally in November or December. While it is the hope and intention that all eligible applicants with appropriate proposals will be able to receive sabbatical leaves every seven years, financial and staffing constraints limit the actual number of leaves granted.

3.13.6 Civil Leave Faculty members may be granted leave with full pay for any absence necessary for serving on a jury or attending court as a witness under subpoena. Such leaves are approved by the dean. If faculty members on civil leave receive compensation for witness fees, they must endorse the payments to the University of Mary Washington. Expense fees paid for service on a jury are retained by the faculty member.

3.13.7 Annual Leave Annual leave is not earned by either full-time or part-time teaching faculty. However, faculty do share with students the various breaks and vacation times of the academic calendar, as published in the current *Academic Catalog*.

3.13.8 Leave of Absence Without Pay Each full-time teaching faculty member who has served for a minimum of two years may apply for a leave of absence without pay and benefits for one semester or one academic year. A written request for a leave of absence without pay, together with a letter of acknowledgment from the department chair, normally must be submitted to the dean by the second Monday in September of the academic year prior to the academic year for which leave is requested. The dean will consult with the department chair and thereafter submit a recommendation to the Provost who will forward his or her recommendation to the President and Board of Visitors for a final action, generally in November or December of that same year. The acceptance of a leave obligates the faculty member to continue his or her employment with the University for at least one full year after the leave. Any faculty member granted a leave of absence without pay shall have his or her full-time faculty position reserved until he or she returns from his or her leave. If a faculty member's request for a leave of absence without pay is denied, he or she may appeal the decision through the Faculty Grievance Policy and Procedure (§4.9).

3.14 EXTENSION OF PROBATIONARY PERIOD Tenure-track faculty members have the option of requesting an extension of the probationary period, with or without taking a leave of absence, for reasons coinciding with faculty leave policies on sick leave (§3.13.1), disability leave (§3.13.2), and infant-care leave (§3.13.3). Requests for extensions other than these may be granted at the dean's discretion. The department chair and the dean must be informed in writing, prior to or during the semester in question, of the request to extend the probationary period. The dean shall inform the faculty member within two weeks of his or her recommendation to approve or disapprove the request. All requests for extensions must be forwarded to the Provost and then to the President of the University, who will forward his or her recommendation to the Board of Visitors for final action. Faculty may choose to extend the probationary period for a period of up to one year per request. When they become eligible to apply for tenure, faculty members whose probationary period is extended shall be considered for tenure at the next regularly scheduled evaluation period and shall be evaluated for tenure and promotion in accordance with the standard criteria (not higher expectations). Faculty members who have requested to extend the probationary period may not subsequently elect to return to the original probationary period. Extending the probationary period shall in no way affect merit pay procedures. If the faculty member's request for extension is denied, he or she may appeal the decision through the Faculty Grievance Procedure (see §4.9).

3.15 FRINGE AND OTHER BENEFITS All new faculty are expected to contact the HRO on or before the effective date of their appointment to receive full information regarding the various benefit and deduction programs and to complete certain personnel forms. Benefit and deduction programs include social security, retirement plans, group life insurance, disability insurance, enrollment in UMW course work, ID card privileges, etc. Any faculty member desiring detailed information pertaining to benefit programs should contact the HRO.

3.16 SEPARATION In order to insure the proper completion of all paperwork and the return of University property, the following exit procedures must be completed by each employee leaving the employment of the University. In addition to the required procedures outlined below, each employee is encouraged to have an exit interview with HRO. The exit interview is voluntary and provides for the exchange of information and/or suggestions, which are of benefit to both the employee and the University. Questions regarding this policy should be directed to the HRO.

3.16.1 Faculty Exit Procedures Upon resignation, non-renewal of contract, or dismissal, the department chair will refer the faculty member to these *exit procedures* and then notify the HRO: submit all final grades to the Office of the Registrar, return all library books and/or pay all library fines, and turn in all University-owned property (e.g., keys, equipment, ID card) to the HRO.

3.16.1.1 Tasks Required of Full-time Faculty Prior to Leaving the University Prior to the effective date of separation, the exit procedures must be completed by the faculty member, whereupon the exit HRO will release the final paycheck(s).

3.16.1.2 Tasks Required of Full-time Faculty Upon Retirement Prior to the effective date of retirement, the exit procedures must be completed by the faculty member, whereupon the HRO will release the final paycheck(s) and issue a courtesy ID card and parking decal.

3.16.1.3 Part-time Faculty Exit Procedures The department chair will provide the faculty member with a copy of the exit procedures and then notify the HRO. Prior to the effective date of separation, the exit procedures must be completed by the faculty member, whereupon the HRO will release the final paycheck(s).

3.16.2 Resignation A faculty member who intends to resign his or her faculty appointment should meet with the department chair or the dean and make those intentions known, as early as possible before the effective date of the resignation. After that meeting, the resignation itself is accomplished by means of a letter addressed to the dean, with copies sent to the department chair and the Provost. The letter should briefly state the reason for the resignation and identify the date upon which it will be effective.

3.16.2.1 Notice of resignation There is no set policy concerning a faculty member's obligation to give notification of his or her intention to resign. The following AAUP statement (1961, revised 1990) given in *American Association of University Professors Policy Documents and Reports* is, however, offered as a guide:

1. Negotiations looking to the possible appointment for the following fall of persons who are already faculty members of other institutions, in active service or on leave of absence and not on terminal appointment, should be begun and completed as early as possible in the academic year. It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his or her institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to the faculty member's institution.
2. A faculty member should not resign in order to accept other employment as of the end of the academic year, later than May 15 or 30 days after receiving notification of the terms of his continued employment the following year, whichever date occurs later. It is recognized, however, that this obligation will be in effect only if institutions generally observe the time factor set forth in the following paragraph for new offers. It is also recognized that emergencies will occur. In such an emergency the faculty member may ask the appropriate officials of the institution to waive this requirement, but the faculty member should conform to their decision.
3. To permit a faculty member to give due consideration and timely notice to his or her institution in the circumstances defined in paragraph 1 of these standards, an offer of appointment for the following fall at another institution should not be made after May 1. The offer should be a "firm" one, not subject to contingencies.
4. Institutions deprived of the services of faculty members too late in the academic year to permit their replacement by securing the members of other faculties in conformity to these standards, and institutions otherwise prevented

from taking timely action to recruit from other faculties, should accept the necessity of making temporary arrangements or obtaining personnel from other sources, including new entrants to the academic profession and faculty personnel who have retired.

5. Except by agreement with their institution, faculty members should not leave or be solicited to leave his position during an academic year for which they hold an appointment.

3.16.3 Retirement The University has no mandatory retirement policy. Retirement benefits vary depending upon retirement age, years of service, and payment options. Information regarding retirement options and benefits is available in the Human Resources Office.

3.16.3.1 Notice of Retirement A faculty member who intends to retire should state that intention at least ninety calendar days prior to the planned date of retirement. The letter stating the intent to retire should be addressed to the dean, with copies sent to the department chair and the Provost, and should identify the date upon which the retirement will be effective. Faculty are advised to consult with the Human Resources Office prior to writing the retirement letter.

3.16.3.2 Eligibility to Continue Teaching After Retirement Faculty members who retire may continue to teach on a part-time, temporary basis while still drawing retirement benefits. However, certain benefit restrictions apply. Faculty members who are considering part-time, temporary teaching after retirement should contact the dean for additional information.

3.17 NONREAPPOINTMENT (NOTICE, REASONS, APPEAL) The University is guided by the AAUP “Standards for Notice of Nonreappointment” of tenure-track faculty. Policy concerning notice of nonreappointment is set forth in the following statement (1940, revised 1964 and 1990) from *American Association of University Professors Policy Documents and Reports* (9th edition):

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 twelve months before the expiration of an appointment after two or more years in the institution.

3.17.1 Notice of Nonreappointment

.1 Non-Renewal of Tenure-Track Contracts For any tenure-track faculty member, even one in the first academic year of service, who is not to be reappointed (other than in instances of dismissal for cause or of a faculty member's failure to fulfill the terms of a conditional contract), the University notifies that faculty member of the nonreappointment decision before May 15 of the decision year and offers a full terminal-year appointment for the ensuing academic year. Notification of nonreappointment is conveyed in a letter from the dean. The letter states the

reason(s) for the termination, with reference to specific performance shortcomings. Appeal of the nonreappointment decision of the dean may be made, in writing, to the Provost, whose decision is final. Faculty on limited term appointments (see §3.1.4) may assume termination at the end of the specified term, regardless of performance. Reappointment may be offered by the University as needs may dictate, with as much notice as can conveniently be given.

.2 Non-Renewal of Limited Term Contracts If the department chair, dean, and Provost agree not to renew a faculty member's limited term contract, except for cause, the faculty member will receive written notice of the decision and an explanation of the basis for the decision. See §3.9.5 for policies and procedures regarding termination for cause. For faculty on initial or probationary contracts, the usual deadline for notification of non-renewal of contract will be December 20 of the contract year. Notification after that date will be accompanied by an offer for a one-year limited term final contract for the subsequent academic year. Such final contracts are nonrenewable.

3.17.2 Layoff (Program Redirection, Whole or Part; Financial and/or Enrollment Emergency; Financial Exigency) When financial exigency, institutional restructuring, or the discontinuance of a program eliminates the need for a full-time position held by a tenured faculty member, that faculty member will be offered re-employment if that full-time position is reinstated within three years. Tenure, however, terminates when, due to *bona fide* financial exigency or the discontinuance or reduction of an academic program or department, a position becomes unnecessary.

3.18 DISCHARGE FOR CAUSE

3.18.1 Determination of the Need for Immediate Action Should the President, following consultation with the Provost and dean (and with the department chair in the case of a teaching faculty member), determine that a person holding faculty rank, whether tenured or not, is incapable of properly performing his or her duties because of serious misconduct or physical, psychological, or medical disability, the President is empowered to suspend with pay the individual from his or her assignment until such time as the procedure set forth below can be followed and a final decision made. The reasons for the suspension shall be communicated in a letter by the President to the person suspended within 7 working days. This action for suspension is taken with the expectation that a good faith effort for remediation will be made before moving to the procedure set forth below.

3.18.2 Bases for Termination of Employment for Cause Employment of a faculty member, whether tenured or not, may be terminated for cause, which may be any one or more of the following: (1) professional incompetence or lack of teaching effectiveness, (2) willful failure to support and abide by the University of Mary Washington Honor Code, (3) neglect of duty, (4) serious misconduct, (5) moral turpitude, and (6) physical incapacity or medical disability.

3.18.3 Procedures for Termination of Employment for Cause

- .1 To initiate termination of a faculty member for cause, the President shall notify the faculty member in writing, citing the specific reason(s) and the date of termination.
- .2 The faculty member shall have thirty (30) calendar days from receipt of the written notification to request in writing to the President a hearing by an *ad hoc* Hearing Committee. If no request is presented within the designated time period, the termination notice shall be final.
- .3 Upon receipt of a request for a hearing, the President shall establish an *ad hoc* Hearing Committee composed of six full-time, tenured teaching faculty members. Two members shall be designated by the President; two shall be selected by the faculty member; and the final two shall be selected by the four designated committee members from a roster of the full-time tenured teaching faculty of the college. The committee shall select its chair. Each phase of the selection process shall be completed within three working days, unless the President and the faculty member agree that additional time is reasonable or necessary because of unusual or extraordinary circumstances.
- .4 The *ad hoc* Hearing Committee shall schedule a hearing within thirty (30) calendar days after it is established and shall notify the faculty member and the dean of the time and place of the hearing. The administration shall have full opportunity to present its case, and the faculty member shall have the same opportunity. At their own costs, both parties shall have the right to have legal or academic counsel present. Both parties may have witnesses to testify on their behalf, and both may offer such records and written documents related to the situation as they may desire. The hearing shall not be open to the public unless requested by the faculty member. At University expense, a full record shall be kept of the hearing and shall be made available to both parties, the Provost, President, and the Board of Visitors.
- .5 Within fifteen (15) calendar days following the hearing, the committee shall present in writing its findings and recommendations to the President and to the faculty member involved.
- .6 The President shall give full consideration to the findings and recommendations of the committee and may hear additional evidence if he or she deems it appropriate. If additional evidence is heard from either party, the other party will be notified about the evidence introduced and given an opportunity to reply to the new evidence. Within fifteen (15) calendar days after receiving the report from the committee, the President shall render a final decision in the matter and communicate this decision to the faculty member. If the decision is termination, the faculty member shall be advised that he or she may, within fifteen (15) calendar days of receipt of notice of the President's action, appeal the decision in writing to President and the Board of Visitors.
- .7 Should the faculty member submit a written appeal within the specified time limit to the President and Board of Visitors, the President and Board, or the Executive Committee thereof, shall within thirty (30) calendar days review the complete record of the hearing and the written appeal of the faculty member and shall render a final decision in the matter and so notify the faculty member in writing.
- .8 The termination procedure, as described herein, shall not apply to the nonrenewal of contracts of nontenured faculty.

SECTION 4

FACULTY RIGHTS, RESPONSIBILITIES, AND POLICIES

4.1 ACADEMIC FREEDOM

4.1.1 AAUP Statements of Faculty Rights The University subscribes to the Statement on Academic Freedom adopted by the Association of American Colleges in 1941, and to the American Association of University Professors (AAUP) November 1970 statement on Freedom and Responsibility. Both of these statements are included in Appendix D of this *Faculty Handbook*.

4.1.2 Political Activities of Faculty Involvement in political activity is considered an individual matter, with the understanding that the faculty member in such cases does not represent the University. The statement by the AAUP Sub-Committee on Political Activity of Professors is contained in Appendix D.

4.1.3 First Amendment Rights The Policy on Academic Freedom, contained in Appendix D, defines rights under the policy, specifies who is covered by the policy, outlines specific grievance procedures, and provides for the empanelment when needed, of a committee on academic freedom.

4.2 THE HONOR CODE The Honor Code and Honor Constitution are found in Appendix B. Each faculty member agrees to accept and abide by the Honor System when accepting his or her original faculty appointment. It is the responsibility of all faculty members to stay familiar with the principles and operating procedures of the Honor System and to support it.

4.2.1 Student/Faculty Interactions and Honor Code Each student upon entering the University signs a pledge to observe the Honor System. Therefore, the work of all students is predicated on the Honor System, and the faculty member in his or her relationship with students is expected to act within this framework. All statements about academic matters made to a faculty member are covered by the Honor Code.

4.2.2 Faculty Actions Related to the Honor Code Faculty members should make clear in their assignments the extent to which they consider help from (or collaboration with) others to be legitimate. It is expected that faculty members will conduct tests and examinations according to the expectations of the Honor System. Faculty members need not remain in the classroom during tests and examinations; they must indicate to the students where they may be found if needed, and they may return to the classroom briefly for consultation.

4.2.3 Faculty Response to Suspected Violations of the Honor Code Violations of the Honor Code are not to be condoned or ignored by faculty; however, neither are they to be dealt with by unilateral faculty action (such as by simply lowering the student's grade). All alleged Honor Code violations are to be reported to and handled by the Honor Council, assuring due process and fairness. A faculty member who has reason to suspect a violation of the Honor System should consult the Honor Constitution (Appendix B) for reporting procedures. Willful failure to support and abide by the Honor Code may serve as a basis for termination of a faculty member for cause (see §3.17).

4.3 SEXUAL HARASSMENT The University's Policy on Sexual Harassment is found in §7.7.4.

4.4 NON-DISCRIMINATION The University's Policy on Non-Discrimination is found in §7.7.2.

4.5 ACADEMIC POLICIES AND REGULATIONS The academic regulations for students, both those voted by the faculty and those established by administrative offices, are published in the various documents such as the undergraduate and graduate *Academic Catalogs*, which are brought up to date each year. Faculty members are responsible for familiarizing themselves with these regulations and for participating in their implementation.

4.5.1 The Academic Year The calendar of the academic year is published at least a year in advance. Faculty are expected to be available to meet their contractual responsibilities to their respective College, during the entire academic year, between August 16 and May 15, for those faculty operating under a 9 month academic year, and between August 16 and August 15, for those faculty operating under a 12 month academic year. Any exceptions are considered to be leaves of absence, and must be approved at least by the department chair and Dean, if not by the Board of Visitors (see §3.12). Official vacations within the academic year and other scheduled breaks in the instructional calendar are to be observed carefully.

4.5.2 Classroom Teaching Part of a typical faculty member's time is spent in scheduled classroom instruction, part on research and individual direction of students, and part on departmental and other professional activities. Faculty members are expected to participate in the work of their departments and colleges outside of the classroom, to provide academic advising to students, to serve in governance of the University, and to conduct research contributing to the creative and/or scholarly advancement of their disciplines. The individual scheduled teaching load, therefore, varies in accord with the work being done by the faculty member, and departmental chairs and deans have the authority to set such loads.

4.5.3 Schedule of Class Meetings Class meetings are to be held at the times listed for the course in the *Schedule of Courses* each semester. Any change in schedule must be approved by the department chair and the Dean. Arrangements for classes which will be missed because of

attendance at professional meetings or other scholarly activities must be worked out in advance to the satisfaction of the chair of the department.

4.5.4 Student and Faculty Absences from Class Meetings The University does not excuse students from classes missed while participating in off-campus activities, whether they be athletic events, extra-curricular trips, or academic field trips. A faculty member must not require a student to miss a class. In case of illness or other emergency absence from the classroom of a faculty member, the faculty member must directly inform the chair who will, if possible, make arrangements for a colleague to take the class. (See also Sick Leave, §3.12.1.)

4.5.5 Course Plans and the Syllabus Class sizes are decided by the department in consultation with the Dean. With the exception of courses for which a common syllabus is agreed upon by those teaching it, course plans are the responsibility of the individual instructor. Instructors have the right to determine the requirements of the courses that they teach, within the limitations of departmental and general faculty policy. Faculty should provide students with a course syllabus containing the following: (a) instructor identification, (b) course identification, (c) course goals and objectives, (d) required materials (textbooks, lab manuals, etc.), (e) calendar (assignment due dates, tests, etc.), (f) instructor's position on class participation, (g) grading rationale, (h) what will be reported as *unsatisfactory* on mid-semester reports, (i) accommodations for students with disabilities, and (j) how the Honor System provisions are applied in the course. Individual colleges and departments may determine additional requirements for syllabus preparation.

4.5.6 Office Hours It is essential to the mission of the University that faculty be accessible to students. Generally, each full-time faculty member is expected to schedule and post at his or her office door at least five formal office hours each week, arranged at times that meet students' needs for consultation. Adjunct faculty are generally expected to hold regularly scheduled office hours at the rate of 1.5 hours per week for each 3-credit course taught, and 2 hours per week for each 4-credit course. Beyond these general understandings, the faculty, department chairs, and dean of each college will determine the nature and scope of specific office hours expectations for the college.

4.5.7 Final Examinations A final examination or equivalent final assessment (such as critiques or final projects) will be given in all courses unless specific exception is approved, in writing, by the dean of the relevant college. Faculty members seeking such exception should write to the dean explaining why the exception should be made. Instructors are expected to keep final examination papers for one calendar year in case any question should arise that would make reference to the papers desirable.

4.5.8 Reporting Grades Each faculty member must submit mid-semester progress reports (when required) and final course grades no later than each semester's published dates and times for doing so. Each faculty member is also responsible for verifying the accuracy of official class rosters and for reporting in a timely fashion any discrepancies that exist (such as students listed on the roster who are not attending) to the Office of the Registrar. Mid-semester reports of unsatisfactory academic performance (when issued) and final semester grades are made available to the student and to the student's academic adviser.

4.5.9 Student Advising Faculty members are expected to serve as academic advisers to students as assigned by the department, the Dean, and/or the Associate Dean for Academic Services. Advising includes guiding the student in deciding on his or her overall (long range) course and potential career plan and approving each semester's schedule. It may also include providing information on graduate study and suggesting opportunities such as internships, undergraduate research, summer institutes, or study abroad.

4.5.10 Advising Assistance Offered by Faculty to Students Since teaching is the primary mission of the University, faculty should make every effort to become aware of the needs of students for assistance in academic work, and when such would seem to be helpful, should offer a personal conference on such matters as further explanation of subject matter, student methods to increase the student's self-reliance, and advice about use of time. A faculty member who becomes aware of a student who needs additional help should refer him or her to the appropriate person or office, such as the Office of Academic Services or whichever other office is appropriate.

4.5.11 Student Recommendations It is a responsibility of each faculty member to provide recommendations for students who request them. In some instances, when the faculty member is not able to provide a supportive recommendation, he or she should explain that to the student. It is the student's responsibility to provide the faculty member with information on deadlines and the faculty member's responsibility to observe those deadlines.

4.5.12 Approval of Candidates for Degrees Late in the spring semester, a list of degree candidates is distributed to faculty by the Office of the Registrar. Each college will conduct its own final general faculty meeting, and the faculty will vote on a motion to award degrees to those students on the list who are certified by the Office of the Registrar as having satisfied all requirements for graduation.

4.5.13 Required Participation All members of the faculty are required to attend the general meetings of the faculty. Attendance of the faculty also is expected at certain academic ceremonies, e.g., fall convocation, commencement, and other ceremonies as notified. Prior written approval not to attend such an academic ceremony should be requested of the Dean.

4.6 FACULTY DEVELOPMENT In addition to opportunities listed below, see §3.13.5 on sabbatical leaves.

4.6.1 UMW Grants Each college makes available in-house grants to assist faculty members in specific projects which exemplify professional initiative and can be justified in broad terms as supporting the mission of the college and the University. Deans of the various colleges will provide descriptions of such programs and the procedures for submitting proposals.

4.6.2 Professional Travel Funding for professional travel is available in the departmental operating budgets, and through supplemental funding obtained through the dean's or Provost's

offices. The department chair is responsible for apportioning departmental funds wisely and fairly so that all members share in opportunities for development.

4.6.3 Jepson Fellowships A generous gift to the University from Alice Andrews Jepson '64 and Robert Jepson, her husband, enabled the creation of the Jepson Fellows Program. This initiative is designed to enhance the University's ability to recruit and retain the highest quality junior faculty members and to support them in their quest for promotion and tenure. The Fellowship award is for one full academic year, and the recipient will have his or her teaching load reduced by one half during the time of the Fellowship. The number of Fellowships awarded in any year is dependent upon the quality of the applications received and the amount of funds available from the proceeds of the gift (these vary depending on the investment performance and the Foundation's spending policies). Jepson Fellows are awarded following an application and review process. To be eligible, the person must be at the rank of Assistant Professor or Associate Professor and must have completed at least three years at the University by the time the Fellowship would begin. Complete application details and requirements are distributed annually the Provost's Office.

4.6.4 UMW Center for Teaching The University has established a Center for Teaching to serve as a resource for faculty and staff to promote and sustain excellence in teaching, advance student learning, and develop innovative pedagogy and curriculum. The Center's occasionally makes grants available to support faculty who are interested in developing new teaching strategies, developing meaningful approaches to student assessment, or exploring emerging academic technologies or other instructional and creative resources. Additional information about the University Teaching Center is available at: <http://www.teachumw.org/>

4.6.5 Division of Teaching and Learning Technologies The Division of Teaching and Learning Technologies (DTLT) provides Supplemental Teaching and Learning Technology Grants to support professional travel, conference/workshop registration, and software/equipment purchases. Additional details are available at: <http://www.umw.edu/doit/dtlr>.

4.6.6 Taking Courses Faculty members may enroll in courses at the University either for credit or for no credit, provided that it does not interfere with their own instructional or related duties. Those who wish to enroll in courses shall make their requests known in writing to the dean, who will confer in each case with the chair of the department and the instructor. If approval is obtained from the instructor and chair, the dean will communicate this approval to the faculty member requesting attendance in the course and to others as may be appropriate. Those who wish to enroll in courses for credit will then submit the appropriate application and related documents to the Office of Admissions and Financial Aid. Upon approval by the Office of Admissions and Financial Aid, the faculty member will register for the class through the Office of the Registrar and pay the appropriate fees. A permanent academic record listing course title, credit, grade earned, etc., will be maintained by the Office of the Registrar. For those who wish to enroll in courses for no credit, no fees will be paid and no permanent record of work will be maintained in the Office of the Registrar.

4.6.7 External Grants Every proposal submitted by a faculty member for external funding to any agency or organization, whether public, private, for profit or non-profit, must receive

administrative approval by the institution before it is submitted for consideration by the funding agency. This includes proposals which request faculty fellowships, sabbatical, or travel support. After receiving the institutional approval to proceed, the faculty member is responsible for finally submitting the grant application to the funding agency. Once notified of the action taken by the funding agency, the faculty member contacts the External Grants Office to report whether the proposal was funded or not. Faculty should consult the External Grants Office's web page for further information about submitting external grants, found at <http://www.umw.edu/grantsoffice/>.

4.7 PROFESSIONAL ISSUES

4.7.1 Institutional Review Board Any research involving human subjects by a member of the campus community (faculty, students, staff) must, by federal and state regulations, be reviewed and approved by a group known as the Institutional Review Board (IRB). The role of the IRB is to ensure that all research conducted at the University meets current standards and mandates regarding the ethical treatment of research participants. The University's IRB Manual of Policies and Procedures provides details about the policies and procedures that apply to human subjects research at the University, and is available at http://www.umw.edu/cas/acaaffairs/institutional_review_board/default.php.

4.7.2 Outside Employment and Consulting When hiring a faculty member in a full-time instructional position, the University presumes that it has full claim upon the working time and professional energies of the individual for his or her teaching and for other University-related activities. Accordingly, outside professional activities must clearly be subordinated to and must not interfere with the individual's obligations to the University. To protect the faculty member from possible criticism regarding conflicts of interest, a written request for approval of any outside or other employment (defined as a faculty member's engagement with financial gain in any job, private business, or the conduct of any profession during the normal academic year) must be submitted in advance to and approved by the department chair, the dean, and the Provost. Notice of such approval will be given by the return to the faculty member of a signed and dated copy of the written request.

4.7.2.1 Report of Outside Employment and Consulting Activities Faculty members engaged in approved paid outside activities shall attach statements to their Faculty Annual Activities Reports (FAARs) each year (see §§5.3 and 5.5), indicating both the amount of normal working time allocated to the outside activities and the names of the employers.

4.7.2.2 Conditions Governing Outside Employment and Consulting Activities Consulting arrangements may be sought out and entered into by faculty members, provided that: (a) the assistance provided is not part of their normal responsibility to the University; (b) the work undertaken contributes to their professional development or provides valuable service to the University or the community; (c) University resources and facilities are not involved (see §4.7.2.3); and (d) annual statements regarding consulting arrangements are included with the FAARs.

4.7.2.3 Use of University Resources in Connection with Outside Employment and Consulting Activities Faculty members are not allowed to use University resources in conjunction with consulting or otherwise for private gain. Also, when a faculty member is engaged in authorized consulting activities, the consulting employer may not enter into a parallel agreement to use University resources for any purpose related to the consulting activity. Instead, when significant resources of the University are required, the employer may request that an agreement, grant, or contract be drawn with the University which provides the necessary services, including personnel services, as a *sponsored project*. The faculty member involved then carries out duties attendant on the agreement as part of his or her assigned duties. Because library facilities are made available to the public, their use by faculty engaged in consulting activity is not regarded as being in contravention of this policy.

4.7.2.4 Testifying as an Expert Witness When a faculty member testifies as an expert witness, the following conditions apply:

- A disclaimer is given in court indicating that the faculty member is speaking as a professional and not as a representative of the University.
- When a faculty member is under subpoena, the University civil leave policies apply (see §3.13.6).
- A faculty member may not testify in civil suits involving the Commonwealth of Virginia, except under subpoena.

4.7.3 Amorous Relationships A conflict of interest occurs when a faculty member engages in self-dealing or in other activities which prevent him or her from exercising independent judgment in the best interests of the University and the Commonwealth. Because amorous relations between faculty members and other faculty members or support staff whom they supervise may create the appearance of a conflict of interest, faculty members are advised against participating in amorous relationships with those whom they supervise.

4.7.3.1 Amorous Relationships Between Faculty and Students Amorous relationships between faculty and students whom they directly supervise are unwise and unprofessional. Faculty members are expected to avoid romantic or sexual relationships with students whom they teach, coach, supervise, evaluate, or grade. Such relationships risk creating the perception that bias and/or favoritism may play a part in student evaluation. Additionally, such relationships create potential harm for students and raise the potential for liability for the faculty member and the University if the facts regarding the relationship support a claim of sexual harassment (see the [Sexual Harassment and Consensual Relations Policy](#), §7.8.4). Even in cases where the faculty member does not directly supervise the student, participation in an amorous relationship with a student may lead to difficulties. Such relationships, particularly when the faculty member and student are in the same academic unit, create the potential for conflicts of interest. Faculty members must distance themselves from any decisions that may reward or penalize a student with whom the faculty member is having, or has had, an amorous relationship. The faculty member must also disclose the nature of the relationship to his or her department chair who will take steps to ensure equitable treatment for all concerned.

4.7.3.2 Related persons as students Faculty members should avoid being placed in a position of authority over their spouses, intimate partners, immediate family members or relatives concerning their teaching, research and advising assignments. In the event that avoidance of such conflict would be unfair to the student, the faculty member must disclose the matter to the department chair, who will oversee the evaluation process of the student. If the faculty member in question is the department chair, the Dean will oversee the evaluation process.

4.8 WORKING CONDITIONS AND RELATED POLICIES

4.8.1 Academic Regalia All faculty are expected to attend graduation ceremonies and other formal academic ceremonies, as notified, in appropriate regalia. The University does not pay for regalia but provides procedures for renting it.

4.8.2 Intellectual Property

[This policy was adopted by the Board of Visitors on September 19, 1987 and updated in 2004 to reflect the change to University status.]

4.8.2.1 Applicability of the Intellectual Property Policy The policy applies to all University employees, whether their appointments are permanent or temporary, full-time or part-time, salaried, on wages or on contract, paid by state funds or by outside sponsors. It also applies to students of the University enrolled in programs of study leading to degrees and to visitors who may from time to time participate in University programs or activities.

4.8.2.2 General Statement on Ownership of Intellectual Property Intellectual property is understood to be any property to which the owner holds a *patent* or a *copyright*, or which may be considered to be patentable or copyrightable. In general, University employees, students, and visitors shall retain all rights relating to intellectual property developed on their own initiative without substantial use of University facilities and resources. This provision includes copyrighting of papers published in journals, articles written for popular publication, books (including textbooks), computer software, film, photographs, and videotape, unless the copyrighted materials were developed as a specific part of a University assignment. It also includes patenting of inventions, unless the patentable invention was developed as a specific part of a University assignment.

4.8.2.3 Cases in Which the University Obtains Entire Right, Title, and Interest The University shall obtain the entire right, title and interest in all materials subject to copyright or patent when the materials result from an assigned duty of an employee, student, or visitor, or when the University provides substantial specific support for the development of the materials in the form of space, facilities, and/or equipment and supplies. The University will not construe the provision of the usual office, library, laboratory, computing facilities, equipment and supplies that are part of its regular instructional program as constituting substantial specific support except for those situations where the copyrightable or patentable material was developed in response to a specific University assignment. A faculty member's general obligation to maintain

a level of professional activity as a scholar does not constitute such a specific University assignment.

4.8.2.4 Intellectual Property in Instances of Outside Consulting and/or Contractual Work

Materials or inventions developed by University employees, students, or visitors in the course of contractual or consulting work for outside organizations, or as supported by funds and facilities awarded as grants to the University by governmental, commercial, industrial or other organizations, shall not be considered as having been made or developed with specific University support, except in situations where the University itself is party to the contract or consulting agreement and declares proprietary interest, or the University's proprietary interest is defined and made a specific part of the conditions of the grant. Accordingly, the rights to such materials or inventions shall remain with the individual, subject to any agreement there may be in the actual contract, consulting agreement, or grant.

4.8.2.5 Policy Administration Administrative responsibility of this Policy on Intellectual Property is vested in the Provost.

4.8.2.6 Procedures for Notification All intellectual property in which the University may claim interest under this policy shall be promptly reported in writing by its creator(s) to the Provost. If more than one individual participated in the development, the report shall be signed by all such participants and shall identify the percent of interest of each. The report shall constitute a full and complete description of the intellectual property concerned, and identify the source(s) of any funding that has supported its creation. The participants shall furnish such additional information and execute such documents from time to time as the Provost may reasonably request. Following receipt of any report of the creation of intellectual property, the Provost, after consulting with other University officials as appropriate, shall promptly advise the creator(s), in writing, whether or not the University claims a proprietary interest.

4.8.2.7 University Ownership of Intellectual Property The University shall, in a timely manner, obtain (and market), or arrange for some appropriate outside agency such as the Center for Innovative Technology or the Research Corporation to obtain (and market), the copyright or patent to intellectual property in which the University claims a proprietary interest. The University will not, prior to obtaining a patent, disclose the details of an invention to anyone who does not need to know those details, or to anyone who is not under an obligation of confidentiality. The University will have all rights to use, promote, manage, market, sell or in any other way dispose of such intellectual property, on such terms and conditions, and for such consideration, if any, as the University shall determine. The University and the creator(s) shall share equally in any (gross) royalties, except in instances where some other allocation of interest shares is specified in a pre-existing agreement. The University will contribute its share of any royalties from intellectual property it owns to the University Foundation, to be used by the Foundation as its Board of Directors may determine. If the creation of an intellectual property was supported by money from the General Fund earmarked for the purpose by the General Assembly or the University, royalties from that property will be used to reimburse the Commonwealth for the cost of creation. If the University fails to make progress toward obtaining a copyright or patent (and marketing such) in which the creator(s) have a share within a period of eighteen (18) months after the submission of the report described above, the

creator(s) may formally make a written request to the President that the ownership of the intellectual property pass to the creator(s).

4.8.2.8 Dispute Resolution Any dispute which may arise over anything within this Policy on Intellectual Property should be presented to the President, who, in resolving the dispute, may convene a committee of three individuals to advise him or her. The committee will consist of one employee of the University named by the creator(s) of the intellectual property in question, a second employee of the University named by the Provost, and a third named by the President. Both this committee and the President will be advised as well by the University's assigned representative of the Office of the Attorney General.

4.8.3 Protection of Persons and Property Faculty members must personally take responsibility for protection of University property and personnel by locking all buildings, classrooms, workrooms, and storerooms as appropriate. Faculty members are assigned keys for their offices, buildings, and other necessary areas by the University Police Office. Faculty members are expected to be fully informed concerning any hazards attending any equipment or materials they use in courses they teach, in laboratories, studios, shops, or elsewhere, and to supervise carefully all activity involving hazardous equipment or materials.

4.8.4 Policy on Use of Computers and Networks and Network Administration Users of information technology resources at the University must use them responsibly and within limitations. Users who fail to meet their responsibilities or who fail to operate within the limitations may have their network privileges suspended or revoked and may be subject to other disciplinary actions. Using University-owned computers, networks, or other information technology resources constitutes acknowledgment that the user understands and commits to compliance with the University's Network and Computer Use Policy and related policies and procedures. The UMW computer network consists of an institution-wide backbone, local area network, and many shared computers, as well as personal desktop computers and other computing devices. The various systems administrators work to ensure that network privileges are properly maintained for all University users. Users also must meet certain responsibilities and are subject to certain limitations, many of which are listed in the Network Use Policy. Additional details about this policy and periodic updates to it are available at <http://www.umw.edu/policies/network/use/>.

4.8.5 Virginia Freedom of Information Act All requests for university-related information, utilizing provisions of the Virginia Freedom of Information Act (FOIA), must be directed to the Office of Advancement and University Relations. Requests from the news media will be researched and answered by that office. Requests for information from non-media sources will be logged by that office and referred to the appropriate campus office for immediate response and resolution.

4.8.6 Access to Resources All full-time faculty will be provided with an office, a computer, network access, telephone and voice mail services upon commencement of their contracts. All adjunct faculty are provided with shared office space, ideally in arrangements of one office per teaching position (defined as five courses in a semester). All adjunct faculty are provided with at least shared access to a personal computer, one per office.

4.9 FACULTY GRIEVANCE POLICY AND PROCEDURE

4.9.1 Definitions A *grievance* is a complaint made by a member of the faculty concerning a decision, action, or lack of action by a person or group of persons acting in an official capacity, which directly and adversely affects the professional or personal well-being of the grievant and which can be corrected by the University. A *grievant* is a member of the faculty who has made a complaint that constitutes a grievance.

4.9.2 Coverage Any full-time or part-time member of the University teaching faculty is covered under this grievance policy.

4.9.3 Non-grievable Actions Any grievances that satisfy the definition in §4.9.1 but are dealt with by their own specific policies and procedures, as outlined elsewhere in the *Handbook*, are considered non-grievable actions. Excluded matters include the following:

- .1 non-reappointment of non-tenured faculty (see §3.16) ;
- .2 decisions regarding the awarding or withholding of tenure (see §§6.5 - 6.8);
- .3 actions of dismissal of faculty for cause or financial exigency (see §3.17.3);
- .4 actions awarding or withholding promotions (see §§6.1 - 6.4);
- .5 any action related to evaluation of performance or salary adjustment (see §§5.1 – 5.8);
- .6 denial of rights of free expression or inquiry (Appendix D); and
- .7 disciplinary action taken following an incident of racial or sexual harassment (see §4.9.4 and §7.x.x)

4.9.4 Bias Offense and Incident Reporting Procedure The Bias Offense and Incident Reporting Policy has been established to help ensure a safe and welcoming working and educational environment for all members of the University of Mary Washington community. Cases involving alleged acts of bias should be pursued through this procedure and not the grievance policy and procedure. The University considers acts of bias on the basis of race, color, religion, disability, national origin, political affiliation, marital status, sexual orientation, gender, veteran status, or age to be unacceptable and antithetical to its commitments to diversity, inclusiveness and the right of every individual to be treated with dignity and respect. Additional details are found at: <http://www.umw.edu/bias/>

4.9.5 Pre-panel Procedure The faculty member should first make every effort to resolve the potential grievance directly with the individual(s) involved.

4.9.6 First Filing of the Grievance All grievances shall be presented as soon as possible and in no event later than ten days after the occurrence of the action or event causing the grievance:

.1 A faculty member with a grievance against another faculty member within his or her department shall present the grievance to the department chair.

.2 A faculty member with a grievance against another faculty member not in his or her department, with a grievance against his or her department chair, or with a policy or practice of the department shall present the grievance to the dean.

.3 A faculty member with a grievance against the dean or another University administrator shall present the grievance to the Provost.

.4 A faculty member with a grievance against a college policy or procedure or the application thereof shall present the grievance to the Provost. A faculty member with a grievance against a University policy or procedure or the application thereof shall present the grievance to the President.

4.9.7 Attempt at Informal Resolution The individual receiving the grievance shall seek to mediate a prompt and satisfactory solution of the grievance. If an allegation of discrimination is involved, the University AAEO Officer will review all of the facts provided by the grievant and will thoroughly investigate the alleged discrimination. The findings of this investigation and any proposed resolution of the matter will be communicated in writing to the grievant within two weeks after the AAEO Officer has received the completed University form. No written record or official report of the informal grievance procedure shall be established.

4.9.8 Creation of a Formal Panel to Hear the Grievance If the grievance of a faculty member is not resolved through the informal procedure, the faculty member may, within thirty days thereafter, pursue a formal grievance procedure and request a hearing by a *grievance panel* specifically convened to investigate the grievance and recommend a resolution.

4.9.9 Formal Request for a Panel A faculty member requesting a hearing by a grievance panel shall present a written *statement of charges* to the President.

4.9.10 Statement of Charges, Preparation and Distribution The statement of charges submitted by the faculty member shall contain the following information and material in a form whereby multiple, legible copies may be reproduced:

- a clear statement of facts upon which the grievance is based, including an explanation of how the faculty member alleges he or she has been adversely affected and the specific relief requested;
- an identification of the person(s) or the college or University policy or procedure considered responsible for the alleged adverse condition, action, or inaction upon which the grievance is based and an explanation of why the person(s) is considered responsible or why the college policy or procedure is considered improper;
- a copy of any pertinent Board of Visitors or college or University policies or regulations, Commonwealth statutes, contractual agreements or other documents of custom and practice upon which the grievant relies;

- a list of witnesses to be presented at the hearing; and
- the identification of any counsel, adviser, or observer to be present during the hearing.

4.9.11 Method of Selecting Panel Members The grievance panel shall consist of six tenured members of the faculty. The President shall, within seven days of receiving the statement of charges, develop and provide the faculty grievant and the Provost a list of names of twelve tenured members of the faculty, none of whom is in any way connected with the grievance at hand. From the list of twelve names, a panel of six shall be selected in the following way: within ten days of the receipt of the list, the faculty grievant shall designate two members, and the Provost shall designate two members to serve on the panel. These four members shall jointly select the remaining two panel members from the President's list. The grievance panel shall elect a chair from its membership to preside over the hearing.

4.9.12 Procedure of the Panel Hearing and Distribution of Results

4.9.12.1 Conduct of the Hearing The chair of the grievance panel shall have prepared and distributed to each member of the panel and to the President within five days after his or her election as chair of the panel, a complete copy of the statement of charges.

4.9.12.2 Preliminary Review and Decision The panel shall, within seven days after receipt of the statement of charges, review the charges and determine whether or not the panel will conduct a hearing. If the panel determines by a majority vote that the charges do not constitute a grievance, or that they are frivolous and/or without merit, the chair of the panel shall advise the grievant in writing of this finding with a copy of the communication to the President. The action of the panel shall be final.

4.9.12.3 Request for Reply to Statement of Charges If the panel determines to conduct a hearing, the chair shall advise the grievant and shall provide a complete copy of the statement of charges to each person against whom the complaint is made. If the grievance is against a departmental policy, decision, or action, rather than against the action of an individual, the department chair shall be the person against whom the grievance is made. If the grievance is against a college or University policy, decision, or action, rather than against the action of an individual, the President shall be the person against whom the grievance is made.

4.9.12.4 Reply to Statement of Charges Upon receipt of the statement of charges, the person(s) against whom the grievance is lodged shall, if he or she wishes to reply, have fourteen days to present a response to the charges to the chair of the grievance panel. The response, in a form whereby multiple, legible copies may be reproduced, shall include:

- a full statement of the position taken by the person(s) against whom the grievance has been lodged with respect to the charge;
- any commentary the cited party(ies) may wish to offer concerning any of the documents contained in the statement of charges submitted by the grievant and any pertinent documents or materials which the respondent(s) relies upon;
- a list of witnesses to be presented at the hearing; and
- the identification of any counsel, adviser or observer to be present during the hearing.

Within five days after receipt of the response to the statement of charges from the party(ies) against whom the grievance has been lodged, the chair of the grievance panel shall have prepared and distributed to the grievant and to each member of the grievance panel a complete copy of the response.

4.9.12.5 Review of Reply to Statement of Charges, and Decision The chair of the grievance panel shall schedule a hearing by the panel to begin not later than fourteen days after the distribution date of the response to the statement of charges. Should all members of the grievance panel, after reading the statement of charges and the response thereto, determine that the charges are frivolous and/or plainly without merit, the panel may convene and by formal resolution declare that it does not find adequate grounds for the grievance to be heard and, therefore, declines to hold a hearing. This action shall be promptly transmitted, in writing, to the parties concerned and to the President, and the action shall be final, unless the President shall direct the grievance panel to conduct a hearing.

4.9.13 Pre-Hearing Conference The panel may hold, with all parties present, a pre-hearing conference to define the issue involved and to resolve procedural matters for the hearing.

4.9.14 Procedure for Final Hearing The hearing shall be conducted according to the following procedures:

4.9.14.1 Attendees The hearing shall be private, with only the parties involved, witnesses, counsel, advisers, designated observers, and members of the grievance panel present, except that, with mutual agreement by the grievant and the party(ies) against whom the grievance is lodged, the hearing may be public.

4.9.14.2 Record of Hearing The full and complete hearing shall be recorded on two tape recorders, and all tapes shall be preserved until thirty days following action by the President, or in the case of an appeal, until final and conclusive action is taken by the Board of Visitors, or the Executive Committee thereof, at which time the recordings shall be destroyed.

4.9.14.3 Conduct of Hearing The hearing shall be convened by the chair; the grievant shall have full opportunity to present evidence and witnesses; the party(ies) against whom the grievance has been lodged shall have full opportunity to present a response and witnesses; and each party shall be provided an opportunity to question witnesses presented by the other party(ies); members of the grievance panel shall have the right and opportunity to question all parties and witnesses; each party shall have an opportunity to offer a concluding statement. No counsel, adviser, or observer may testify, present information, or participate in the conduct of any part of the hearing.

4.9.14.4 Decision After all testimony has been heard, the chair of the grievance panel shall recess the hearing, and the Panel shall go into closed session to determine its findings and prepare its report and recommendations.

4.9.14.5 Distribution of Decision Within six days after the recess of the hearing, the panel shall present its written report and recommendations, showing the vote of the panel on the recommendations, to the President and to all parties to the hearing. The report shall provide a summary of the facts presented in the hearing and the reasons for the recommendations of the hearing panel. Within twenty-one days after receipt of the grievance panel report and recommendations, the President shall communicate, in writing, to the parties involved and to each member of the grievance panel, his or her acceptance or rejection, in whole or in part, of the panel recommendations.

4.9.14.6 Appeal Ordinarily the decision of the President shall be final and conclusive. However, an affected party may present a request, in writing, to The Rector, within ten days after receipt of the President's decision, asking the Board of Visitors, or the Executive Committee thereof, to review the record of the hearing. In such an event the affected party may be asked to furnish, at his or her own expense, a transcript of the tape recording of the hearing. Within thirty days after receipt of a request from an affected party, the Rector may either reaffirm the decision of the President or have the record of the hearing reviewed and a decision rendered by the Board of Visitors or by the Executive Committee thereof. The action of the Rector, the Board of Visitors, or the Executive Committee thereof, shall be final.

SECTION 5

FACULTY EVALUATION PROCEDURES

5.1 ANNUAL EVALUATION PRINCIPLES FOR FULL-TIME FACULTY Annual evaluation of faculty has been mandated by the Board of Visitors. The evaluation system is required to be multi-sourced, to include peer review (unless this process is not directed by the program director), and to place each faculty member on an evaluation level between 0 and 3.

0 = unsatisfactory; failure to meet minimum performance expectations

1 = faculty performance which meets expectations or less than one year for evaluation. When used in cases other than a faculty member who is in her/his first year at UMW, this rating implies that the faculty member is only barely meeting the minimum expected level of performance and that room for significant improvement exists

2 = effective; productive in meeting all goals and represents the average performance expected of UMW faculty. A rating of effective should always be interpreted in a favorable light.

3 = exceptional or outstanding performance; well above the effective level of expectations.

Procedures outlines in §5.2-§59 apply to full-time faculty. For evaluation of adjunct faculty, see §5.10

5.2 ANNUAL EVALUATION POLICY AND PROCEDURES

5.2.1 The Role of the Department The chair of each department will be responsible to ensure that a specific evaluation plan is approved by the department and the dean. The plan must evaluate the individual faculty member in the areas of teaching, professional activity, and service. It must also include the following elements:

.1 All tenured, tenure-track, and multi-year contracted lecturers and senior lecturers in the department will be reviewed. Each faculty member will set a percentage weighting for each of the areas of evaluation according to the following limits:

Teaching: 40 – 70%

Professional Activity: 20 – 50%

Service: 10 – 35%

The annual total must add up to 100%.

These weights will be communicated directly to the department chair via the Annual Performance Weighting Form (APWF). The APWF should be turned in directly to the department Chair and should not be included with the FAAR or used with peer review if a department has a peer review process. The APWF will be submitted by September 1, when August 16 is the start date of the contract period for that APWF review period. As appropriate

and justified, any faculty member can request that his/her APWF be amended for that review period. All changes to the APWF must be approved by the department chair and the dean. Any modifications must be approved no later than May 15 of the review period. Chairs will submit their own APWF directly to the dean.

Each chair will set a percentage weighting for each of the areas of evaluation according to the following limits:

Teaching: 35 – 45%

Professional Activity: 20 – 35%

Service: 10 – 25%

Chair Responsibilities: 20 – 30%

For those faculty members with special assignments, a percentage weighting for teaching, professional activity, service and special assignment will be negotiated with the dean or other direct supervisor.

.2 Each departmental faculty member, including the chair (see §5.2.1 - .3), will make available to fellow department members for peer review the Faculty Annual Activities Report (FAAR, see Appendix A), syllabi for all courses taught in the evaluation period, and other materials designated by the department, but excluding data from student course evaluations (see §5.5.1.4). These materials will help to ensure transparency of the review process and may be used for peer review if peer review is part of an approved department evaluation plan.

.3 In accordance with the approved department evaluation procedures the chair will write an *annual performance review* (APR) for each faculty member that includes the assignment of the faculty member to one of the four levels (0 – 3) listed above in §5.1, determined according to the department's defined procedure. In addition to assigning an overall level, the APR should include individual numbers (0 – 3) indicating evaluation levels for teaching, professional activity, and service. In each instance, a copy of the review shall be provided to, reviewed with, and signed by the faculty member prior to the chair's consultation with the dean. Any changes made to the merit level assigned to a faculty member by the dean in accordance with §5.2.2.2 will be identified and appended to the faculty member's APR.

.4 When the University awards sabbatical or other leave to a person for a semester or a year, it recognizes the person's contribution to the institution. The merit level of a person on leave shall be the whole number rounded average of her or his last three merit awards. If there are fewer than three such merit awards, the person will be placed at merit level 1. The person may, however, elect to participate in the evaluation process for consideration of higher merit. In such cases, the person must complete the departmental requirements for peer review and include a report on progress made and accomplishments completed during the leave period. The department will determine the precise means of evaluation of the person on leave. The final annual performance review, including placement on level 0 – 3, will be produced by the chair and submitted to the dean. Participation of the person on sabbatical leave in the peer review process does not replace the report requirements attached to the awarding of the sabbatical leave.

- .5 If no money is appropriated for salary increments in a year or in successive years, the next salary adjustment will be based on the average merit level attained since the last year in which salaries were adjusted.
- .6 In departments using a peer review process, the chair reviews all members of the department after the peer review process is concluded; therefore, the chair should not participate in the departmental peer review process as a peer. Department members will review their chair anonymously in the areas of teaching, professional activity, service, and administration on a separate form distributed from and collected by the dean. The chair will provide each of the documents specified in section 5.2.1.2, which department members will then consult for their evaluation of the chair.
- .7 In order to provide formative feedback for junior faculty, two years prior to applying for tenure, departments will conduct a pre-tenure review on that individual. The exact procedures for this review will be developed by the department and approved by the dean.
- .8 The teaching, professional activity and service percentages an individual faculty member chooses for merit pay consideration may not reflect the criteria that are used in tenure and promotion deliberations. Individuals who will be applying for tenure and promotion in the future should keep this in mind as they select their percentages.

5.2.2 The Role of the Dean and Provost

- .1 The individual department plan, approved by the dean, offers the most accurate means for assigning individual faculty members within the department to the various levels of 0 to 3. Except for rare instances, it is not the dean's responsibility to adjust the rankings within the department.
- .2 The dean's primary function in the evaluation process is to ensure equitable scoring across departments and in rare circumstances within a department. When the dean determines that a department is out of line with the college norm, the dean will, in consultation with the chair, raise or lower the department's score, retaining internal departmental ranking. While recognizing that level 3 merit will likely be spread across departments, the dean will not use a quota system to limit the number of 3's in any one department. Part of the dean's role is to ensure that individual faculty members are compared with their colleagues across campus to determine their merit level and they are not penalized if they happen to be in a department with many outstanding colleagues. Should the chair disagree with the dean's recommendation, the Provost will review the materials and rule in the case. In rare cases, should the dean determine an inequitable ranking within the department, the dean will discuss the matter with the chair. Should they fail to reach agreement, the matter will be presented to the Provost, who will rule in the case.
- .3 The dean will incorporate results from department chair evaluation commentaries submitted by department members in the writing of *special assignment performance reviews* (SAPR) for chairs and others with special assignments.
- .4 If, as a result of actions described in §§5.2.2.1–3, an individual's score is changed after the

individual has signed the APR completed by the chair (§5.2.1.3), the dean will write to that individual, explaining the change.

5.2.3 Appeals Process

.1 Any faculty member may submit to the dean, with a copy to the chair, a ***letter of exception*** regarding any portion or all of the APR completed by the chair, and/or any portion or all of the dean's letter of explanation. The individual is entitled to a written reply from the dean. If dissatisfied with any portion or all of the written reply, the individual may submit a further letter of exception to the Provost, with copies to the dean and chair. The individual is entitled to a written reply from the Provost.

.2 Any chair or other person with a special assignment may submit to the Provost, with a copy to the dean, a ***letter of exception*** regarding any portion or all of the SAPR completed by the dean. The individual shall be entitled to a written reply from the Provost.

.3 If any individual's APR or SAPR is not received by the stipulated deadline (see §5.6), the individual retains the right to file a letter of exception once the evaluation is received. The deadline for submitting letters of exception in these cases will be set by the dean or Provost as appropriate.

.4 At the request of a faculty member, department chair, the dean, or the Provost, the dean or Provost shall schedule a ***conference*** with the parties to examine the causes of their differing judgments. The dean or Provost shall summarize in writing the points discussed in the conference and outline the positions taken by the parties, including the dean and/or Provost, with respect to those points. All parties shall sign and retain copies of the summary. Nothing in this provision shall preclude an individual's right to pursue appeal through the letter of exception provision (§§5.2.3.1–3).

5.3 MINIMAL PERFORMANCE CRITERIA AND ANNUAL EVALUATIONS Widely (if not universally) within the academic profession, faculty performance is evaluated in three areas of endeavor: teaching, scholarly/creative/professional activity, and service. In all three areas, certain activities and performance levels are taken for granted within what all faculty recognize as basic and minimal professional responsibilities. These include, for example, support of the Honor Code (see Appendix B), adherence to the Statement on Community Values and Behavioral Expectations (see §1.3), punctuality in meeting one's assigned classes, faithfulness in keeping one's posted office hours, the provision of appropriate course syllabi, the prompt return to students of graded work, the reading and other preparation one must do to keep instruction current and vibrant, the maintenance of memberships in appropriate professional and disciplinary organizations and societies, the reading one must do and the conferences and workshops one must attend to maintain currency in one's profession or discipline, attendance at faculty meetings, and the willing acceptance of one's fair share of departmental chores.

5.3.1 Evaluation Criteria The assignment of annual evaluation scores in each of the three areas of faculty assessment should be done in a manner that is as consistent and as objective as

possible. Toward that goal the following descriptions of each level of achievement are intended to provide guidance for all faculty, chairs and administrators involved in the assessment process. The examples of the types of evidence of achievement provided here are not meant to be considered comprehensive and are not limited to the examples provided. It is also not expected that a particular merit score requires that a faculty member accomplish all of the examples provided within each category, but rather show a set of achievements consistent with these descriptions.

5.3.2 Teaching

Score 3: Outstanding. This rating should be applied to a faculty member whose performance is determined to be well above the average level of expectations. Evidence of outstanding performance in teaching includes a clear record of success in the classroom, as well as additional teaching contributions which may include: a significant number of noteworthy positive scores and comments by students reported by the student course surveys; strong positive peer evaluations of teaching and/or course materials by departmental colleagues; involvement in new course development and/or teaching innovation; documented collaborative activity with colleagues in course design; contribution to interdisciplinary experiences for student learning; involvement and success in individual instruction or mentoring of students, as evidenced by student presentations or publications in departmental or campus venues; or voluntary assumption of additional, unusual, or particularly demanding teaching assignments.

Score 2: Effective. This rating should always be interpreted in a favorable light. This rating implies that the individual has been a productive and effective teacher. This level of achievement represents the average performance expected of UMW faculty. Evidence of effective performance in teaching includes a clear record of success in the classroom, as evidenced by the following: acceptable scores and comments by students reported by the student course surveys; positive peer evaluations of teaching and/or course materials; consistently meeting all scheduled teaching obligations and holding office hours as expected by the University; updating course content as necessary to reflect current knowledge in the discipline; and presenting course syllabi which conform to the expectations of instruction at UMW.

Score 1: Less than one year for evaluation, or less than effective - needs improvement. When used in cases other than a faculty member who is in her/his first year at UMW, this rating implies that the faculty member is only barely meeting the minimum expected level of performance and that room for significant improvement exists. Recommendations for improving performance should be discussed with the faculty member as part of the annual evaluation process. Evidence that performance in teaching needs improvement may include: problematic scores and/or problematic comments by students reported by the student course surveys; peer evaluations of teaching and/or course materials that raise concerns about the quality of the course material or the strategies of instruction; a record of student complaints reported directly to the chair or dean; a pattern of being inconsistently available to students during office hours; failure to construct course syllabi which conform to the expectations of instruction at UMW.

Score 0: Unsatisfactory. The individual's performance in teaching has not been productive or effective. Evidence that performance in teaching is unsatisfactory may include: failure to follow a plan for improvement created in consultation with the chair as a consequence of the previous year's evaluation score of zero or one; persistent and significantly poor scores and/or seriously negative comments by students reported by the student course surveys which suggest a pattern of poor performance in the classroom, rather than a single, unusual occurrence; a continuing record of student complaints reported directly to the chair or dean; peer evaluations of teaching and/or course materials that demonstrate problems with the quality of the course material or the strategies of instruction; a failure to meet assigned classes or to fulfill expectations for one or more assigned courses; consistent failure to be available to students during office hours.

5.3.3 Professional Activity

Score 3: Outstanding. This rating should be applied to a faculty member whose professional and scholarly contributions are determined to be well above the average level of expectations. Evidence of outstanding performance includes publication, performance, exhibition, or conference presentation in peer reviewed situations. Peer reviewed publications and presentations are evidence that the quality and productivity of the activity is acceptable to a knowledgeable peer group. Serving as editor of a journal may be recognized in this category. Documented contributions to professional organizations may be considered in this category. Other criteria include obtaining external sources of funding that are peer reviewed.

Score 2: Effective. This rating should always be interpreted in a favorable light. This rating implies that the individual has been productive and effective in professional and scholarly activities and represents the average expectations for UMW faculty. It is important to note that the UMW Faculty Handbook recognizes a broad range of professional activity and nowhere states that a faculty member must publish to be in good standing. To earn an effective ranking, however, faculty are certainly required to give evidence that they are engaging in the work necessary to maintain currency in their profession or discipline. Maintaining currency is not enough in itself to earn a score of 2. In addition, faculty are expected to demonstrate contributions to their discipline and/or teaching profession through activities directed toward professional peers beyond the campus. Evidence of such contributions may include any of the following: conference presentations; publishing journal articles, book reviews, encyclopedia articles, or other printed works; winning an internal grant; participating in on-campus and local exhibitions or performances; the extensive employment of a faculty member's professional expertise in the community (for instance, large-scale activities involving local schools or businesses). Recognition is also given to efforts to obtain funding by preparing and submitting research proposals or evidence of progression on a professional project. Documented contributions to professional organizations may also be considered in this category.

Score 1: Less than one year for evaluation, or less than effective - needs improvement. When used in cases other than a faculty member who is in her/his first year at UMW, this rating implies that the faculty member is only barely meeting the minimum expected level of performance and that room for significant improvement exists. Recommendations for improving performance should be discussed with the faculty member as part of the annual evaluation process.

Performance in professional activity needs improvement when there is no discernible record of contribution to the faculty member's discipline and/or scholarship of teaching through activities directed toward professional peers beyond the campus. In this case, the faculty member gives evidence that he or she is engaging in work necessary to maintain currency in the profession or discipline, but efforts to do more are unsuccessful or sporadic or may have been directed too narrowly to colleagues on campus or to an audience not well connected to the faculty member's primary professional peers. It is important for the chair and the dean to understand the specific constraints which contribute to this faculty member's record of professional activity and work to develop a plan for increased professional activity within those constraints.

Score 0: Unsatisfactory. The individual's performance in scholarly and professional activity has not been productive or effective. A rating of unsatisfactory is appropriate where a faculty member gives very little or no evidence of engaging in work necessary to maintain currency in the profession or discipline.

5.3.4 Service

Score 3: Outstanding. This rating should be applied to a faculty member who has met the criteria for level 2 and whose service contributions have been determined to be well above the average level of expectations. Evidence of outstanding service includes such activities as chairing an active University or College committee and/or documentation of significant contributions to an active committee. In addition, evidence of leadership, innovation, or other significant service responsibilities may also be considered in this category.

Score 2: Effective. This rating should always be interpreted in a favorable light. This rating implies that the individual has been productive and effective in service contributions. A rating of effective represents the average expectation for a UMW faculty member. Evidence of effective service consists of meeting all one's advising responsibilities and serving on at least one committee at the department or university level during the evaluation period and demonstrating responsible participation on that committee, or offering an explanation for the lack of activity. Sometimes committees have more work than at other times and sometimes a committee's agenda is not always within the committee's control. Furthermore, there are times when a faculty member is not assigned to a committee (or has recently completed a term on a major committee). However, expectations for service remain and a faculty member may demonstrate service through an accumulation of other activities such as participation in departmental hiring activities, special events for students (such as receptions for graduating majors, career panels, or recruiting activities for Showcase), or other activities that are limited in scope. Community outreach activities that rely on a faculty member's academic expertise and serve to connect the University with the community can be recognized in this category. Willingness to serve on a committee is a minimum requirement for this level of recognition. In the case of a minimal record of service a faculty member is expected to offer evidence of willingness to serve (for example, making oneself available for election to a major committee—even if the election is won by a competing candidate) or present a credible case for alternatives to established committees.

Score 1: Less than one year for evaluation, or less than effective - needs improvement. When used in cases other than a faculty member who is in her/his first year at UMW, this rating implies that the faculty member is only barely meeting the minimum expected level of performance and that room for significant improvement exists. Recommendations for improving performance should be discussed with the faculty member as part of the annual evaluation process. Service performance needs improvement when the record shows only slight department or university service when options for service were available or shows problems with meeting the expectations for student advising. The previous service record should be taken into account, however, to ensure that the faculty member is not penalized after having completed a major committee assignment.

Score 0: Unsatisfactory. The individual's performance in service activities has not been productive or effective. A rating of unsatisfactory is appropriate for faculty reporting no record of service of any kind. Furthermore, documentation of a refusal to serve or documentation of failure or refusal to perform assigned duties on a committee warrants a rating of unsatisfactory. Reports of refusal to serve and/or failure to perform assigned duties may come from committee chairs, the chair of the department, or the dean. Also, failure to satisfactorily perform advising responsibilities warrants a score of zero for service.

5.4 ANNUAL EVALUATION DOCUMENTS For copies of forms used in this context, see Appendix A.

5.4.1 The Faculty Annual Activities Report (FAAR) A brief form to be filled out and filed with the department chair and dean each year by each faculty member. It lists, by category, the activities and accomplishments of the faculty member for the academic year just completed. It is used in annual performance evaluation, salary adjustment, and pre-tenure, promotion, and unsatisfactory performance review. Categories to be addressed and guidelines to complete the FAAR appear at §5.5.

5.4.2 The *Curriculum Vitae* The formal academic resume of a faculty member, written in standard form (see Appendix A) and updated with each evaluation.

5.4.3 Department Chair Evaluation Commentary A form upon which a faculty member is asked each year to offer comment for the dean upon the effectiveness, as he or she sees it, of the department chair in the areas of teaching, professional activity, service, and administration.

5.4.4 Annual Performance Review (APR) A brief form executed for the record by the department chair (see §5.2.1.3). With reference to teaching, professional activity, and service (weighted according to an adjustable percentage scale set by the faculty member, §5.2.1.1) and using the 0–3 scale of §5.1, it identifies aspects of the faculty member's performance that were exceptionally strong, as well as any aspects that fell short of expectations or should be improved. In the case of significant shortfall, the APR may also outline major objectives for a stated future period.

5.4.5 Special Assignments Performance Review (SAPR) In the case of faculty members with special assignments (e.g., department chair, Director of the Speaking Intensive Program, etc.), the person with immediate supervisory responsibility for the special assignment should complete a performance evaluation that specifically speaks to the performance criteria (weighted according to §5.2.1) detailed in the faculty member's original letter of appointment.

5.4.6 Annual Performance Weighting Form (APWF) A brief form indicating the specific weightings the faculty member has chosen for that year for teaching, professional activity, and service. The form is filled out by the faculty member and given directly to the department chair. The APWF will be submitted by September 1, when August 16 is the start date of the contract period for that APWF review period. As appropriate and justified, any faculty member can request that his/her APWF be amended for that review period. All changes to the APWF must be approved by the department chair and the dean. Any modifications must be approved no later than May 15 of the review period. Chairs will submit their own APWF directly to the dean.

5.5 GUIDELINES FOR COMPLETING THE FAAR

5.5.1 Teaching

.1 List courses by semester (not including summer sessions), course number, course name, enrollment (class size after drop-add period); and indicate, using the following abbreviations if you wish, whether any of these conditions holds:

N New—you are teaching the class for the first time.

SR Significantly Revised—most of the material and/or method is new.

R Revised—some of the material and/or method is new.

GE General Education credit.

WI Writing Intensive credit.

SI Speaking Intensive credit.

RM Required for Majors.

U Updated—made current with recent work.

In the above list, *updated* refers to the minimum expectation of faculty (integration into the course of the results of “reading and other preparation one must do to keep instruction current and vibrant”—§5.3); *significantly revised* denotes a thorough course overhaul; *revised* should be used for courses changed, but neither merely updated nor thoroughly overhauled.

.2 If FAAR numbers differ from those reported to the dean by the Registrar or other recordkeeping office, include additional explanation. Identify funding source, if any, for undergraduate research projects.

.3 Among the items you may wish to address are course outcome objectives; academic standards and expectations of students; course rigor; grading practices; courses introduced, extensively revised, or approved for across-the-curriculum or General Education goal credit. Note whether project proposals for curriculum enrichment are funded.

.4 Departments differ in their procedures for the peer review aspect of the annual evaluation. Append to this section syllabi for each different course taught (see §4.5.5 for syllabus information) or URLs for web-based courses and any other materials designated by your department. You may wish to include final examinations or their equivalent, representative handouts, additional evaluation tools, or other course materials. Although student course evaluation data must not be included among materials for peer review, you may if you wish provide to the chair (separately) contextual information relevant to the results of student evaluation (e.g., grade distributions, unusual circumstances affecting class performance or morale, and timing of the survey in relation to major assignments or the return of significant graded material).

5.5.2 Scholarly, Creative, and Professional Activity

.1 List the year's activities and accomplishments, annotating the list with comments about the nature and quality of each activity. For scholarly publications (books, monographs, articles, reviews), give complete bibliographic citations, and note whether refereed, invited, or contributed. Note patents applied for or granted. Note whether exhibitions were juried. Note whether public performances were reviewed. Note whether presentations (conference papers, lectures, addresses, talks, etc. before audiences of professional peers, including local colleagues) were refereed, invited, or contributed. Note whether project proposals (either for University faculty development grants, or for external funding) for research in the discipline or for professional development were funded. For all work in progress, summarize any progress made during the period of evaluation. Teaching development may include participation in professional activities arranged by the Writing or Speaking Intensive Programs, Teaching Innovation Program, Instructional Technology Program, NEH summer seminars and institutes, etc., and may include helping professional colleagues to develop new dimensions of teaching competence. List active affiliation with a laboratory or performing group, and indicate whether external to the University; and active involvement (not membership) in professional societies, associations, or boards, e.g., journal editing, conference organization, offices held (note responsibilities). List also responsibilities as a referee, reader, or peer reviewer for publishers, journals, funding organizations, or conferences; participation on editorial boards; duties as an external evaluator or assessor for other colleges and universities. Consulting activity that has clear and relevant professional dimensions may be listed as well (if remunerated, see §4.7.2.1 and attach report). Although conventions and definitions differ somewhat by discipline, the following list is meant to cover common situations.

- refereed/juried: *subjected to peer review, typically anonymous*
- invited (*describing completed work*): *solicited for publication or presentation; (describing work in progress) promised for a specific publication or occasion*
- contributed: *accepted on the basis of a proposal or abstract*
- forthcoming: *definite date for appearance set*
- accepted: *editor or organizer has approved for publication or presentation*
- accepted subject to revision: *will be approved for publication or presentation if specified changes are made*
- returned for revision and resubmission: *rejected in current form with suggestions for changes and an invitation to resubmit*

- under editorial review, *or* submitted: *currently in the hands of an editor or organizer*
- work in progress: *in preparation*

.2 Criteria of quality differ by discipline, but some of the following might be used in annotations: an organization or meeting's scope (local, regional, national, international); reviews and citations; a journal's circulation, rejection rates, ranking; awards.

.3 Depending on your department's procedures for peer review, append preprints or offprints, reviews, proposals, reports, theatre programs, art show announcements, or other documentation of activities listed above.

5.5.3 Service

.1 University List all university-wide committees on which you actively participated this year and any office held or special committee project effected under your leadership.

.2 College List standing, *ad hoc*, advisory, and college-wide committees on which you actively participated this year and any office held or special committee project effected under your leadership; club sponsorships and the documentable level of your involvement; first-year student academic advising; BLS portfolio assessment; etc.

.3 Department List academic and career advising responsibilities; participation in Preview, Showcase, Students-of-Color Weekend, Family Weekend etc.; support of student activities; special tasks or assignments.

.4 Community List talks, presentations, high school visits, written contributions, etc., that feature your affiliation with the University and/or require your disciplinary expertise.

5.6 THE SCHEDULE FOR ANNUAL EVALUATION

5.6.1 Principles Under no circumstances will faculty members be required or encouraged to submit materials or perform other evaluation-related activities outside their designated contract period.

5.6.2 Dates The Provost's Office shall publish a list of deadlines for the academic year that covers all aspects of the annual faculty evaluation. The list will observe appropriate periods of time for assembling materials, writing and evaluating reports, scheduling conferences, making appeals, etc., in an approximation of the sample calendar. Dates should to be adjusted to working days; the full calendar applies only if every step is appealed. The Provost's Office will distribute a specific calendar of dates to be followed in a particular academic year. This calendar is provided to serve as a guide for where the dates generally fall.

5.6.2.1 Sample Annual Faculty Evaluation Calendar for Nine Month Faculty

<i>Nine-Month Faculty — Annual Faculty Evaluation Action</i>	<i>period/deadline</i>
FAARs, modified APWF's, and special assignment performance reviews submitted to chairs/supervisors (§§5.2.1.2, 5.4.1–2)	May 15
peer review materials (§§5.2.1.1–2) available for examination by peer reviewers	May 15–August 20
(optional) annotations of course evaluation results submitted to chairs (§§5.5.1.3)	August 21
department chair evaluation commentaries (§5.2.1.6)	
submitted to dean	August 21
peer reviews if required (§5.2.1.2) submitted to chairs	August 21
all departmental materials (§5.2.1.3) submitted to dean; <i>APRs (with evaluation level) and FAARS are be given to the dean even if they are not yet signed by the faculty Member</i>	August 28
Chair-faculty conferences/negotiation as specified in departmental plan	August 28–Sept. 25
Submit APWF to department chair	September 1
Chair-dean conferences/negotiation (§§5.2.2.2–4); <i>all APRs must be signed by faculty members prior to the chair-dean conference</i>	Sept. 4–October 2
letters of exception (§5.2.3.1) submitted to dean and Provost, respectively	October 10
written resolutions completed (§5.2.3.2)	October 24
salary recommendations submitted by deans to Provost	October 30
BOV action on salary adjustments	November meeting
salary adjustment effective date	December 1
modification of the APWF approved by chair and dean	May 15

5.6.2.2 Sample Annual Faculty Evaluation Calendar For Twelve-Month Contracts

<i>Twelve-Month Faculty — Annual Faculty Evaluation Action</i>	<i>period/deadline</i>
FAARs, modified APWF's, and special assignment performance reviews submitted to chairs/supervisors (§§5.2.1.2, 5.4.1–2)	August 16
peer review materials (§§5.2.1.1–2) available for examination by peer reviewers	August 16 – August 31
(optional) annotations of course evaluation results submitted to chairs (§§5.5.1.3)	August 31
department chair evaluation commentaries (§5.2.1.6)	
submitted to dean	September 7
peer reviews if required (§5.2.1.2) submitted to chairs	September 7
all departmental materials (§5.2.1.3) submitted to dean; <i>APRs (with evaluation level) and FAARS are be given to the dean even if they are not yet signed by the faculty Member</i>	September 14
Chair-faculty conferences/negotiation as specified in departmental plan	September 14–October 1
Submit APWF to department chair	October 1
Chair-dean conferences/negotiation (§§5.2.2.2–4); <i>all APRs must be signed by faculty members prior to the chair-dean conference</i>	September 14 – October 7
letters of exception (§5.2.3.1) submitted to dean and Provost, respectively	October 14
written resolutions completed (§5.2.3.2)	October 24
salary recommendations submitted by deans to Provost	October 30
BOV action on salary adjustments	November meeting
salary adjustment effective date	December 1
modification of the APWF approved by chair and dean	May 15

5.6.3 Late Documents Evaluation documents not submitted, or not received, or received late, should be brought to the attention of the relevant party or parties immediately and steps taken urgently to correct the omission. In particular, within five working days of the submission of all departmental materials to the dean, the dean shall send written notice of any missing APR to the faculty member and chair involved, advising that the omission be corrected immediately.

5.7 FACULTY SALARIES Annual salary adjustments for continuing faculty do not occur at the beginning of the contract year. Because of the timing of salary adjustment appropriations by the Virginia General Assembly, salaries for continuing faculty are approved each November by the Board of Visitors and the new salary is in effect over the period December 1 through the following November 30, unless some singular event (e.g., resignation, promotion) intervenes. Salary letters are distributed to continuing faculty annually in late November or early December. These letters are for information only and need not be signed or returned to the HRO.

5.8 ANNUAL SALARY ADJUSTMENTS

5.8.1 Salary Adjustment Policy To fund faculty salary adjustments, the University uses money appropriated by the General Assembly. These state funds are allocated annually by the Board of Visitors, as follows:

.1 The portion of funds needed for promotions and for the correction of salary inequities is extracted first.

.2 The salary adjustment pool is divided among three levels of merit increment with the percentage of base salary increase for each level determined annually by the President and the Board of Visitors. *Level 1 merit* less than one year for evaluation, or less than effective - needs improvement. This rating implies that a faculty member is only barely meeting the minimum expected level of performance and that room for significant improvement exists. *Level 2 merit is defined as* effective. This rating implies that the individual has been productive and effective in meeting all goals and represents the average performance expected of UMW faculty. A rating of effective should always be interpreted in a favorable light. *Level 3 merit is defined as* outstanding. This rating should be applied to faculty members whose performance is determined to be well above the effective level of expectations. The difference in the base-pay increase between Level 2 and Level 3 will be no more than 1%.

5.8.2 Salary Adjustment Process All full-time, continuing faculty members are subject to annual performance review (§5.2) and on the basis of that review will be recommended for salary increments as outlined above. Should a faculty member's annual evaluation document inadequate or unsatisfactory performance, a failure to meet minimum performance expectations, no salary increment will be recommended, and the faculty member will be subject to unsatisfactory performance review (§5.9) with the potential ultimate recommendation to the President that the faculty member be dismissed for cause.

5.8.3 Pay Dates The first pay date for the academic year is September 1. Salary is paid in twenty-four equal paychecks over a twelve-month period. Pay dates are the first and the

sixteenth of each month. When a holiday falls on the first or the sixteenth of the month, the payday is the immediately preceding workday.

5.8.4 Salary Checks It is required that checks be electronically direct-deposited to a bank account identified by the faculty member. Faculty members who plan to terminate employment at the end of an academic year must leave a forwarding address at the Payroll Office so that payroll checks can be mailed. Applicable federal and state taxes are deducted.

5.8.5 Salary Advances The University does not, under any circumstances, pay salary advances to faculty members.

5.9 ADDRESSING UNSATISFACTORY PERFORMANCE

[Approved by the Board of Visitors May 16, 1997.]

Should any faculty member receive a rating of *unsatisfactory* (failure to meet minimum performance expectations) on the annual performance evaluation (described in §§5.3 and 5.4), the evaluator (the department chair, with the concurrence of the dean, or the dean, if the latter is overruling a satisfactory recommendation from the chair) will notify the faculty member in writing of the rating and of the factors on which it is based. The faculty member may appeal the evaluation to the Provost. Should the evaluation stand, it will have the following consequences:

5.9.1 Unsatisfactory Performance Rating for Untenured Faculty The faculty member will receive no increase in salary for the subsequent year. One or more unsatisfactory performance ratings may result in non-renewal of the faculty member's contract.

5.9.2 Unsatisfactory Performance Rating for Tenured Faculty The faculty member will receive no increase in salary for the subsequent year. Upon the receipt of one unsatisfactory performance rating, the faculty member will be invited to submit to the dean a *development plan* which addresses the shortcomings identified in the performance evaluation, sets forth specific goals for performance improvement, and suggests ways and means of achieving those goals. The plan (and any other modifications to it) becomes part of the documentation in subsequent annual performance evaluation(s) until the faculty member's performance is rated as satisfactory. The dean may authorize special resources called for in the plan, in support of a return to satisfactory performance. In any event, the plan is advisory in nature, not prescriptive; it is the performance of the faculty member that is always the basis for subsequent evaluation, not the plan itself or its execution. In drawing up and pursuing his or her development plan, a tenured faculty member is entitled to the assistance of an advisory panel, which shall consist of the dean (who convenes the panel), the department Chair, and one or two tenured faculty peers chosen by the faculty member. The faculty member may continue to seek the advice of the panel until a satisfactory rating is achieved or until unsatisfactory performance review (§5.9.3) is mandated.

5.9.3 Unsatisfactory Performance Review Should a tenured faculty member, having received an annual performance rating of unsatisfactory, receive unsatisfactory ratings in the

subsequent two years, or two such ratings in the subsequent three-year period, he or she will participate in *unsatisfactory performance review*. Unsatisfactory performance review consists of an in-depth examination of the teaching, professional activity, and service record of the faculty member over the last five years, conducted by the Promotion and Tenure Committee (P&T Committee). The faculty member submits to the committee a *performance review credentials file* for those years, the contents and organization of which address the three areas (teaching, professional activity, service), with emphasis on the area(s) found unsatisfactory in previous performance evaluations. Included in the file is the written performance evaluation documentation for the five years and any documentation regarding development plans (see §5.9.2) undertaken during that period. Following a careful review of the materials, the P&T Committee shall report its findings in writing to the President, along with one of the following recommendations:

- no additional sanction (meets basic responsibilities and minimal performance expectations as set forth in §5.3)
- sanction other than dismissal for cause
- dismissal for cause (professional incompetence or lack of teaching effectiveness)

5.9.4. Action Taken on Unsatisfactory Performance Review Recommendations The President will then make the final decision concerning what action, if any, is to be taken. If the President's decision is *no additional sanction*, the process ends. (Should the faculty member receive a subsequent performance rating of unsatisfactory, that rating would be counted as the first of three before that faculty member would again undergo Unsatisfactory Performance Review.) If the President's decision is *discharge for cause*, the case shall be dealt with according to the provisions specified in §3.17.

5.9.5 Commitment to Academic Freedom and Tenure Nothing in this policy on unsatisfactory performance review is to diminish the commitment of the University to academic freedom and tenure, as set forth respectively in Appendix C and §§4.1 and 6.4 – 6.8 of this *Faculty Handbook*, nor does this policy limit, constrain, or supercede the provisions of §3.17 with respect to discharge for cause.

5.10 EVALUATION OF ADJUNCT INSTRUCTORS The department chair will evaluate, in writing, the teaching of adjunct faculty after every odd-numbered semester of teaching (not necessarily successive), beginning with the first. The basis for these evaluations will be established by the department chair and the faculty member at the time of the latter's initial appointment. Evaluation materials will include: Student course evaluations, which will be completed every semester by students in courses taught by adjunct faculty; course materials prepared by the faculty member; and the chair's own observations. Once completed, the faculty member will receive a copy of the evaluation and have the opportunity to accept it or write a letter of exception regarding it. The evaluation, and any letter of exception, will become a part of department's files and the faculty member's University Personnel File maintained in the Office of the Provost. Adjunct faculty must receive at least a Satisfactory rating in evaluations to continue employment at the University.

SECTION 6

PROMOTION AND TENURE PROCEDURES

***NOTE:** For the 2010-2011 academic year, the criteria and procedures for promotion and tenure outlined in the section apply to all faculty regardless of the college in which the faculty members appointment resides. References to the Promotion and Tenure Committee (P & T Committee) shall be understood as referring to the committee in each college that be been charged with the task of making promotion and tenure recommendations for faculty applicants in that college.*

6.1 PROMOTION POLICY The University uses four ranks for its full-time tenured or tenure-track faculty: instructor, assistant professor, associate professor, and professor. In addition, the ranks of lecturer and senior lecturer are used (for renewable term appointments only—non-tenure track appointments that may be renewed for an indefinite period of time). Academic rank symbolizes and rewards the individual's performance as a scholar, teacher, and faculty member. Promotion to a higher rank is a decision made on an individual basis and is in no way related to tenure or any other contractual relationship between the individual faculty member and the University. The following promotion policy and procedures for full-time teaching faculty indicate that promotion is not automatic and is made subject to only two conditions: the performance of the individual teacher and the needs of the University. The University also confers the title of Distinguished Professor (see §7.1); the title is bestowed sparingly.

6.2 GENERAL MINIMUM PROMOTION REQUIREMENTS Promotion in rank is based on achievements in three areas: teaching effectiveness, professional and scholarly activities, and service to one's department, the college, and the University. The expectations for achievements are greater as one moves up the ranks.

6.2.1 General Minimum Requirements for Consideration for Promotion to Senior Lecturer Promotion to this rank can come after a minimum of five years of service at the rank of lecturer. Promotion requires a pattern of annual evaluations at "merit level 2" or above, with recommendations regarding promotion made through the department and the P&T Committee.

6.2.2 General Minimum Requirements for Consideration for Promotion to Assistant Professor

.1 Three years (or the equivalent) of full-time teaching experience in the rank of instructor at the University. (Promotion is automatic on attainment of the doctorate or appropriate terminal degree, effective the following academic year.)

.2 Possession of the appropriate earned terminal degree, in most cases the doctorate or the master of fine arts in one's discipline (in unusual circumstances, equivalent professional

achievement).

.3 Fulfillment of professional responsibilities.

6.2.3 General Minimum Requirements for Consideration for Promotion to Associate Professor

.1 Six years (or the equivalent) of full-time teaching experience in higher education, including at least four years in the rank of assistant professor at the University.

.2 Possession of the appropriate earned terminal degree or, in unusual circumstances, an equivalent combination of professional education and achievement.

.3 Fulfillment of professional responsibilities.

6.2.4 General Minimum Requirements for Consideration for Promotion to Professor

.1 Ten years (or the equivalent) of full-time teaching experience in higher education.

.2 Six years of full-time teaching experience in the rank of associate professor, including at least three of those years at the University of Mary Washington.

.3 Possession of the appropriate earned terminal degree or, in exceptional circumstances, an equivalent combination of professional education and achievement.

.4 Fulfillment of professional responsibilities.

6.3 INDIVIDUAL CRITERIA FOR PROMOTION Faculty performance is evaluated in three areas of endeavor: teaching effectiveness, professional activities, and service to the University, the college and department. The first area, teaching, is preeminently important.

6.3.1 Individual Criteria for Promotion to the rank of Senior Lecturer The candidate must:

.1 demonstrate effective teaching by showing that he or she has exhibited effort, skill, reflection, dedication to student learning, flexibility, and current knowledge of the discipline. Effective teaching is, in and of itself, a significant achievement, and the University gives it first priority in evaluating every faculty member's performance. The candidate must demonstrate a *pattern* of effective teaching during the evaluation period, as indicated by evidence from multiple sources, including (but not limited to): student feedback, colleagues' testimonials, quality of syllabi, assignments, and tests. The University also recognizes the value of substantial contributions to the curriculum, course improvement through revision of content and method, development of new courses, and development of across-the-curriculum courses.

.2 demonstrate a consistent record of advising, continuing contribution to the department, and service to the college and/or University.

.3 demonstrate that he or she has engaged in professional activity that goes beyond the expected reading one must do and the conferences and workshops one must attend to maintain currency in one's profession or discipline. The candidate and his or her department shall provide information about the kinds of activities that have accomplished the professional activity and development appropriate for a faculty member seeking promotion to this rank. Examples of professional activity include but are not limited to: teaching development and/or participation in professional credential development activities; public presentations, exhibitions, and/or performances; active involvement in professional (or performing or scholarly) societies, associations, boards, or groups; consulting activity; and scholarly activity (e.g., publications or book reviews in scholarly and/or professional journals and presentations at scholarly and/or professional conferences).

6.3.2 Individual Criteria for Promotion to the rank of Associate Professor The candidate must:

.1 demonstrate effective teaching by showing that he or she has exhibited effort, skill, reflection, dedication to student learning, flexibility, and current knowledge of the discipline. Effective teaching is, in and of itself, a significant achievement, and the University gives it first priority in evaluating every faculty member's performance. The candidate must demonstrate a *pattern* of effective teaching during the evaluation period, as indicated by evidence from multiple sources, including (but not limited to): student feedback, colleagues' testimonials, quality of syllabi, assignments, and tests. The University also recognizes the value of substantial contributions to the curriculum, course improvement through revision of content and method, development of new courses, and development of across-the-curriculum courses.

.2 demonstrate a consistent record of advising, continuing contribution to the department, and substantive service to the college and/or University. The candidate must also demonstrate some leadership in the service area, such as: substantial contribution to a committee's work, organizing college events, holding committee offices, and bringing motions to committees, departments, college, or the faculty.

.3 demonstrate that he or she has contributed to his or her discipline and/or teaching profession through activities that are directed toward professional peers beyond the campus. The University expects to see a *pattern* of scholarly and professional activity that goes beyond mere attendance at meetings and conferences. Following is a list of examples of the kinds of activities that would be considered significant within the traditional disciplines: conference paper presentations and program participation; holding office in professional organizations; editing a journal; publishing book reviews, journal articles, or other printed works; winning a grant; participating in exhibitions or performances, or equivalent. The University expects the candidate and his or her department to provide information about the kinds of activities appropriate to the discipline that constitute equivalent professional activity.

6.3.3 Individual Criteria for Promotion to the rank of Professor

The candidate must:

.1 demonstrate effective teaching by showing that he or she has exhibited effort, skill, reflection, dedication to student learning, flexibility, and current knowledge of the discipline. Effective teaching is, in and of itself, a significant achievement, and the college gives it first priority in evaluating every faculty member's performance. The candidate must demonstrate a *pattern* of effective teaching during the evaluation period, as indicated by evidence from multiple sources, including (but not limited to): student feedback, colleagues' testimonials, quality of syllabi, assignments, and tests. The University recognizes the value of substantial contributions to the curriculum, course improvement through revision of content and method, development of new courses, and development of across-the-curriculum courses.

.2 demonstrate a consistent record of advising, continuing contribution to the department, and substantive service to the college during the evaluation period. The candidate must also demonstrate some leadership in the service area, such as: substantial contribution to a committee's work, organizing events, holding committee offices, and bringing motions to committees, departments, college, or the Faculty. The committee also recognizes the value of lending one's professional expertise to the community beyond the University.

.3 demonstrate the achievement of *recognition within the discipline*. The successful candidate for the rank of professor will demonstrate, as well as support with argument and other evidence, that he or she has received such recognition. The candidate will include in the file three or more letters from external evaluators that address this issue of recognition. The University expects to see a *pattern* of scholarly and professional activity within the evaluation period. Following is a list of examples of the kinds of activities that would be considered significant within the traditional disciplines: frequent and regular conference paper presentations and program participation; holding office in professional organizations; editing a journal, publishing book reviews, journal articles (especially refereed), books, or other printed works; winning a grant; participating in exhibitions or performances, or equivalent. The University expects the candidate and his or her department to provide information about the kinds of activities appropriate to the discipline that constitute equivalent professional activity.

6.3.4 Institutional Rank Structure Policy The existing distribution of full-time faculty members by rank shall always be a critical factor in promotion considerations. As a basic policy, not more than seventy percent of the full-time teaching faculty of the University shall comprise the ranks of associate professor and professor (including those with the title of distinguished professor). Only under very exceptional circumstances should consideration be given to exceeding this limitation.

6.4 PROMOTION PROCEDURE

.1 By May 1 of the spring semester preceding the academic year in which the minimum requirements for consideration for promotion will have been met, a request for promotion to the next higher professional rank may be initiated by the individual faculty member, or his or her

department chair, by submitting such a request in writing to the appropriate department chair, who shall notify the dean, who in turn will verify the length of service. When the length of service is verified, the dean will notify the Provost of the candidate's intention.

In the case of department chairs, requests for promotion should be submitted directly to the dean. In this instance, the dean shall appoint, in consultation with the chair, a member of the faculty (from the chair's department whenever possible) who has tenure and the rank of full professor to act as his or her chair. The dean shall supply this appointee with the results of teaching evaluation materials and a copy of the chair's Annual Performance Review (APR) for each of the preceding academic years since the candidate's prior promotion. The appointee, after consultation with the other members of the department, shall prepare a written recommendation that promotion be granted or withheld from the chair and reasons for the specific recommendation.

.2 The faculty member being considered for promotion and/or his or her department chair shall solicit by August 15 from institutional colleagues and all tenured members of the faculty member's department letters of recommendation as to whether or not promotion to the next higher rank should be granted to the faculty member. The tenured members of the respective department may elect to submit a letter of abstention.

.3 By August 26 (or subsequent business day), the chair (or the appointee of the dean, in the case of a chair seeking promotion) shall review his or her written recommendation regarding promotion and the reasons for the recommendation with the faculty member. The faculty member may submit a *letter of exception* to the dean by August 31. The chair shall submit the candidate's request for promotion, the chair's recommendation and reasons for the recommendation, and all letters submitted to the chair to the dean by August 31 for inclusion in the *promotion credentials file*.

.4 By August 31 (or subsequent business day), the candidate shall submit to the dean all other supporting documents. It is the candidate's responsibility to insure that the promotion credentials file is complete by this date.

.5 Each faculty member requesting promotion shall prepare a promotion credentials file. It shall be the responsibility of the faculty member to submit all pertinent data he or she wishes to have included in the file. For the remainder of the decision-making process, this file shall constitute the exclusive official written record of the procedure. The file must contain copies of all the faculty member's APRs since the last promotion. The file also contains a faculty data sheet providing information contained in the candidate's state personnel file (see §3.12.3) concerning the individual's degrees and dates received, terms of service, promotion record, and other personnel data as deemed appropriate: this faculty data sheet must be reviewed by the candidate, countersigned by the candidate, and is inserted in the candidate's promotion credentials file. The file shall include all communications and documents developed as part of the process beginning with the initial letter requesting promotion. The file shall be accessible only to the faculty member involved, the P&T Committee, Promotion Appeal Advisory Committee, the dean, the Provost, the President, and the Board of Visitors. All persons asked to write evaluations and/or

recommendations should be informed by the requester that these documents will be accessible to the faculty member. This file is due in the dean's Office by August 31.

.6 From August 31 until the file is conveyed to the P&T Committee on September 7, the candidate has the right to review all materials in the file and write a letter of exception or explication to be included in the file. The candidate may not during this time remove materials from the file or modify them in any way. The file shall not be accessible to the candidate from the time that it is conveyed to the P&T Committee until the promotion process and all appeals are complete. No material received after the credentials file is transmitted to the P&T Committee will be included in the credentials file or used in the promotion consideration, to assure that the same documentary record form the basis for recommendations on promotion at each level of review. After the appeals are exhausted, the material supplied by the dean and the letters of recommendation (and of exception, if any) shall be inserted in the University personnel file (see §3.12.4) maintained by the Office of the Provost; material submitted by the faculty member shall be returned to him or her.

.7 On September 7, or the following Monday if September 7 falls on the weekend, the dean shall transmit the faculty member's promotion credentials file to the P&T Committee.

.8 The P&T Committee shall study carefully each promotion credentials file and shall formulate and submit by January 5 a recommendation to the dean on whether promotion should be granted or withheld, together with a written justification for each recommendation. The number of faculty members recommended for promotion to each rank shall not exceed the numbers in the guidance provided by the dean. The recommendations and justifications of the committee shall be included in the appropriate credentials files and, ultimately, in the faculty members' University personnel file.

.9 Within one week (five working days), the dean shall inform each faculty member requesting promotion of the P&T Committee's recommendation, of the justifications for the recommendation pertaining to him or her, and of the faculty member's right to appeal.

.10 No later than January 17, (or the subsequent Monday) faculty members requesting promotion may appeal the recommendations of the P&T Committee by submitting a request for reconsideration and justification for such reconsideration on the basis of procedural or substantive grounds to the dean.

.11 In each instance when an appeal is requested, the dean shall, within one working week, establish a Promotion Appeal Advisory Committee (PAAC) that shall be composed of one member of the Faculty Affairs Committee, selected by the committee; one member appointed by the dean; one member appointed by the Provost; and one member appointed by the appellant. The representative from the Faculty Affairs Committee may be an ex officio member of FAC. If no member of the FAC is eligible to serve on the PAAC, the committee will select an eligible faculty member who has previously served on the FAC. No person on the PAAC, other than the person selected by the appellant, should be a faculty member who has written a letter of recommendation for the candidate's promotion and/or tenure file. In the event of multiple appeals, the three members appointed respectively by the Faculty Affairs Committee, the dean,

and the Provost shall serve on each appeal committee; the member selected by the appellant shall serve only on the committee reviewing the appeal of his or her selector. All members serving on the PAAC shall have the rank of full professor.

.12 The PAAC, with access to all information available to the original P&T Committee for all applicants to the rank sought by the appellant, shall reconsider the recommendations of the original committee. The PAAC shall report to the dean within four weeks, either endorsing the original report or presenting an alternative recommendation in writing. The dean shall inform the appellant of the PAAC's recommendation within two working days.

.13 The dean shall review all information and recommendations contained in the promotion credentials file of each faculty member, shall formulate and state in writing his or her recommendations, with reasons, and shall forward these and the promotion credentials files to the Provost by March 10. A copy of this letter will be sent to the faculty member and his or her department chair. When the dean recommends that promotion be withheld, the recommendation letter from the dean shall inform the faculty member of his or her right to appeal the dean's recommendation, in writing, within seven days to the Provost.

.14 The Provost shall review the recommendation letter from the promotion and tenure committee along with the recommendation letter from the dean. The Provost shall formulate and state in writing his or her recommendation and shall submit this letter to the President by April 1. A copy of this letter shall be sent to the faculty member, his or her department chair, and the dean. When the Provost recommends that promotion be withheld, the recommendation letter from the Provost shall inform the faculty member of his or her right to appeal the Provost's recommendation, in writing, within seven days to the President and the Board of Visitors.

.15 The Board of Visitors (or the Executive Committee thereof) in consultation with the President shall, no later than May 15, review all information of record, as well as any written appeals, and shall render a final decision in the matter and so notify each candidate, his or her department chair, the dean, and the Provost in writing. Action by the Board of Visitors (or the Executive Committee thereof) shall be final.

.16 All official notification of administrative action shall be by certified mail.

6.5 TENURE POLICY Tenure is the assurance of a continuing full-time teaching position at the University unless the faculty member resigns, retires, or is dismissed for cause; the University declares a *bona fide* financial exigency which affects the faculty member's position; or the University renders the faculty member's position unnecessary by discontinuing, reducing, or restructuring an academic program or department. The purpose of tenure is to protect academic freedom. It provides a measure of job security to faculty members who have served the University faithfully and with professional excellence, and it enables the University to retain a faculty of distinction in order to accomplish its educational mission. Tenure creates a mutual obligation between the University and the individual faculty member.

6.5.1 Authority to Grant or to Withhold Tenure The Rector and Visitors of the University of Mary Washington have the sole authority to grant or withhold tenure. The Board of Visitors fully supports and abides by the statements regarding requirements, criteria, and procedures that follow. However, the Board does retain the authority, on its own initiative, to grant faculty tenure without adhering to the prescribed requirements, criteria, and procedures when it is deemed to be in the best interests of the University to do so. Such action is rarely taken, and it is never taken in such a way as to circumvent the normal procedures for individual members of the faculty on the tenure-track who have applied to be considered for tenure.

6.6 TENURE REQUIREMENTS

6.6.1 General Requirements To become tenured, a faculty member must observe professional ethics, must satisfactorily complete a prescribed probationary period of service as a full-time teaching member of the faculty, must attain the rank of assistant professor or higher, and must be awarded tenure status by official action of the Board of Visitors. No administrator or department chair has the authority to guarantee or award tenure or to waive tenure requirements.

6.6.2 Specific Eligibility Requirements

6.6.2.1 Time of Service and Eligibility for Tenure Faculty employed in teaching positions designated non-tenure track will not be eligible for tenure regardless of time served in those positions. If a person holding a no-tenure track position is later hired into a tenure-track position, some consideration may, at the discretion of the administration and the Board of Visitors, be made as to the inclusion of up to two years of this service in the six years of required probationary service. Such arrangements shall be made at the time of employment into the tenure-track position. The granting of a tenured appointment is a separate and independent decision made by the Board of Visitors with respect to an individual faculty member. Tenured appointments are in no way related to rank (except for the minimum requirement of assistant professor), salary, or conditions of initial appointment.

6.6.2.2 Probationary Period The probationary period is six years of full-time teaching experience at the University, unless a faculty member has chosen to extend that period in accordance with §3.14. The Board of Visitors may consider prior full-time service at another college or university as credit for not more than two years of the probationary period. Also, credit toward meeting the probationary period may be earned during leaves of absence from the University, with or without pay, if the leave is deemed in advance by the Provost to be one in which the professional development of the faculty member and the interests of the University will be advanced.

6.7 CRITERIA FOR TENURE All persons involved in the tenure determination process are expected to weigh with care all of the following institutional and individual criteria in arriving at each tenure recommendation.

6.7.1 Institutional Criteria

- .1 To consider each application according to criteria expressed in the *Faculty Handbook*.
- .2 To consider carefully the rank and tenure profiles of the University, projected enrollment patterns, staffing needs of the University, current and projected mission of each department and college, the specific academic competence of the faculty member, and the preservation of opportunities for the infusion of new talent. The institution, while *not* maintaining *tenure quotas*, shall be mindful of the dangers of losing internal flexibility and institutional accountability to the citizens of the Commonwealth as the result of an overly-tenured faculty.

6.7.2 Individual Qualifications Possession of the doctorate, special competence, or a terminal degree appropriate to the teaching field.

6.7.3 Performance Criteria Faculty performance is evaluated in three areas of endeavor: teaching effectiveness, professional activities, and service to the college, the University, department and discipline. The first area, teaching, is preeminently important. In order to be granted tenure, the candidate must:

- .1 demonstrate effective teaching by showing that he or she has exhibited effort, skill, reflection, dedication to student learning, flexibility, and current knowledge of the discipline. Effective teaching is, in and of itself, a significant achievement, and is given first priority in evaluating every faculty member's performance. The candidate must demonstrate a *pattern* of effective teaching during the evaluation period, as indicated by evidence from multiple sources, including (but not limited to): student feedback, colleagues' testimonials, quality of syllabi, assignments, and tests. The University also recognizes the value of substantial contributions to the curriculum, course improvement through revision of content and method, development of new courses, and development of across-the-curriculum courses.
- .2 demonstrate that he or she has contributed to his or her discipline and/or teaching profession through activities that are directed toward professional peers beyond the campus. The committee expects to see a *pattern* of scholarly and professional activity that goes beyond mere attendance at meetings and conferences. Following is a list of examples of the kinds of activities that would be considered significant within the traditional disciplines: conference paper presentations and program participation; holding office in professional organizations; editing a journal; publishing book reviews, journal articles or other printed works; winning a grant; participating in exhibitions or performances, or equivalent. The University expects the candidate and his or her department to provide information about the kinds of activities appropriate to the discipline that constitute equivalent professional activity.
- .3 demonstrate a consistent record of advising, continuing contribution to the department, and substantive service to the college. The University also recognizes the value of effective leadership in service, including substantial contribution to a committee's work, organizing events, lending one's professional expertise to the community beyond the University, holding committee offices, and bringing motions to committees, departments, college, or the faculty.

6.8 TENURE PROCEDURE

- .1 During the years preceding the sixth probationary year (or the year in which the tenure decision is made), the department chair will be a mentor to the tenure candidate. The tenure candidate will be apprised in writing of strengths and areas that need improvement as part of his or her performance evaluation. If the formative evaluation and assistance do not improve the level of performance of a candidate, he or she may be dismissed before the sixth probationary year (see §3.17).
- .2 By May 1 of the spring semester preceding the final year of the probationary period, it is the responsibility of the individual faculty member desiring tenure to request in writing of his or her department chair that he or she be considered for tenure. (In the case of a department chair seeking tenure as a faculty member, the dean, in consultation with the chair involved, shall appoint someone to act in the role of chair.) Should a faculty member not request tenure as specified, he or she will be notified in writing that the seventh year of service will be the terminal year of employment at the University unless the individual is offered and elects to accept a term contract without tenure.
- .3 It is the department chair's responsibility to solicit by August 15 a written evaluation and recommendation for or against tenure or a written statement of abstention. These letters are to be delivered to the department chair from each tenured member of the department by August 22. At his or her discretion, the chair may solicit a maximum of five additional letters from faculty members inside or outside of the department. When the department chair (or a substitute) requests recommendations on the matter of a candidate's promotion or tenure, he or she will promptly provide the candidate with a list of those from whom letters have been requested. The department chair shall be responsible for transmitting these recommendations to the dean for inclusion in the *tenure credentials file*. If a faculty member, after being requested to submit a recommendation, declines or fails to present a written recommendation, the procedure for determining tenure shall proceed, and the fact that one or more recommendations are not obtained shall not void the process. The faculty member requesting tenure may solicit letters of recommendation from other faculty members inside or outside of his or her assigned department, and at the faculty member's request such letters shall be included by the in the tenure credentials file. The faculty member requesting tenure also may include in the file such other documents and materials, including publications, as he or she may desire.
- .4 By August 26, the chair (or the appointee of the dean, in the case of a chair seeking tenure as a faculty member) shall review his or her written recommendation regarding tenure and the reasons for the recommendation with the faculty member. The faculty member may submit a *letter of exception* to the dean by August 31. The chair shall submit the candidate's request for tenure, the chair's recommendation and reasons for the recommendation, and all letters submitted to the chair to the dean by August 31 for inclusion in the tenure credentials file.
- .5 Each faculty member requesting tenure shall prepare a tenure credentials file. (Appendix F offers guidance about the preparation of the file. Persons applying simultaneously for promotion and tenure prepare only one file.) It shall be the responsibility of the faculty member to submit all pertinent data he or she wishes to have included in the file, and the file must include copies of

the APRs for each of the preceding academic years of the faculty member's probationary period (normally five years but sometimes fewer). The file also contains a faculty data sheet providing information contained in the candidate's state personnel file (see §3.12.3) concerning the individual's degrees and dates received, terms of service, promotion record, and other personnel data as deemed appropriate: this faculty data sheet must be reviewed by the candidate, countersigned by the candidate, and is inserted in the candidate's tenure credentials file. For the remainder of the decision-making process, this file shall constitute the exclusive official written record of the procedure. The file shall include all communications and documents developed as part of the process beginning with the initial letter requesting promotion. The file shall be accessible only to the faculty member involved, the P&T Committee, PAAC, the dean, the Provost, the President, and the Board of Visitors. All persons asked to write evaluations and/or recommendations should be informed by the requester that these documents will be accessible to the faculty member. This file is due in the dean's Office by August 31.

.6 From August 31 until the file is made available to the P&T Committee on September 7, the candidate has the right to review all materials in the file and to write a letter of exception or explication for inclusion in the file. The candidate may not during this time remove materials from the file or modify them in any way. The file shall not be accessible to the candidate from the time that it is made available to the P&T Committee until the tenure process and all appeals are complete. No materials received after the file is transmitted to the P&T Committee will be included in the file or used in the tenure consideration, to insure that the same documentary record forms the basis for tenure recommendations at each level of review. After the appeals are exhausted, any materials supplied by the dean, the letters of recommendation, and any letters of exception shall be inserted in the faculty member's college personnel file (see §3.12.4); materials submitted by the faculty member shall be returned to him or her.

.7 On September 7 or the following Monday if September 7 falls on the weekend, the dean shall transmit the faculty member's tenure credentials file to the P&T Committee.

.8 The P&T Committee shall study carefully each tenure credentials file and shall formulate and submit a recommendation to the dean as to whether tenure should be awarded or withheld for each faculty member together with a written justification for each recommendation. The recommendations and justifications of the committee shall be included in the appropriate credentials files.

.9 Within one week (five working days), the dean shall inform each faculty member requesting tenure of the P&T Committee's recommendation, of the justifications for the recommendation pertaining to him or her, and of the faculty member's right to appeal.

.10 No later than January 17, faculty members requesting tenure may appeal the recommendations of the P&T Committee by submitting a request for reconsideration and justification for such reconsideration on the basis of procedural or substantive grounds to the dean.

.11 In each instance when an appeal is requested, the dean shall, within one working week, establish a Tenure Appeal Advisory Committee (TAAC) which shall be composed of one

member of the Faculty Affairs Committee selected by the committee, one member appointed by the dean, one member appointed by the Provost, and one member appointed by the appellant. No person on the TAAC, other than the person selected by the appellant, should be a faculty member who has written a letter of recommendation for the candidate's promotion and/or tenure file. In the event of multiple appeals, the three members appointed respectively by the Faculty Affairs Committee, the dean, and the Provost shall serve on each appeal committee; the member selected by the appellant shall serve only on the committee reviewing the appeal of his selector. All members serving on the TAAC(s) shall be tenured.

.12 The TAAC, with access to all information available to the original P&T Committee, shall reconsider the recommendations of the original committee. The TAAC shall report to the dean within four working weeks, either endorsing the original report or else presenting an alternative recommendation in writing. The dean shall inform the appellant of the TAAC's recommendation within two working days.

.13 The dean shall review all information and recommendations contained in the tenure credentials file of each faculty member; shall formulate and state in writing his or her recommendations, with reasons; and shall forward these and the tenure credentials files to the Provost by March 10. A copy of this letter will be sent to the faculty member and his or her department chair.

.14 When considering tenure decisions, the dean must consider each application according to criteria expressed in the *Faculty Handbook*. The dean must also consider carefully the rank and tenure profiles of the college, projected enrollment patterns, staffing needs, current and projected mission of each department, the specific academic competence of the faculty member, and the preservation of opportunities for the infusion of new talent.

.15 When the dean recommends that tenure be withheld, the recommendation letter from the dean shall inform the faculty member of his or her right to appeal the dean's recommendation, in writing, within 7 days to the Provost.

.16 The Provost shall review the recommendation letter from the promotion and tenure committee along with the recommendation letter from the dean. The Provost shall formulate and state in writing his or her recommendation and shall submit this letter to the President by April 1. A copy of this letter shall be sent to the faculty member, his or her department chair, and the dean. When the Provost recommends that tenure be withheld, the recommendation letter from the Provost shall inform the faculty member of his or her right to appeal the Provost's recommendation, in writing, within 7 days to the President and the Board of Visitors.

.17 The President and the Board of Visitors (or the Executive Committee thereof), shall, within one month, review all information of record, as well as any written appeals and shall render a final decision in the matter and so notify the faculty member, his or her department chair, the dean, and the Provost in writing. Action by the Board of Visitors, or the Executive Committee thereof, shall be final. If tenure is denied, a one-year contract will be offered to the faculty member. The Board of Visitors may offer additional one-year contracts but such additional contracts carry no right to tenure.

.18 All official notification to the candidate of administrative action shall be by certified mail.

6.9 SAMPLE PROMOTION AND TENURE CALENDAR Dates should be adjusted to working days; the full calendar applies only if every step is appealed. The Provost's office will distribute a specific calendar of dates to be followed in a particular academic year. This calendar is provided to serve as a guide for where the dates generally fall.

<i>tenure and promotion action (sample calendar)</i>	<i>deadline</i>
faculty member's tenure and/or promotion request in writing to department chair and to dean	May 1
deadline for chair and candidate to request evaluation of candidate	August 15
letters from institutional colleagues; deadline for chair to request tenure evaluation letters from tenured members of department	August 15
deadline for all solicited letters to be received by chair	August 22
deadline for chair and candidate to review chair's written evaluation	August 25
candidate's promotion and/or tenure file due in dean's office; chair's evaluation and all letters solicited by chair due in dean's office	August 31
file available in dean's office to candidate to review materials and to write letter of exception or explication	August 31
file closed to candidate and made available to P&T Committee	September 7
P&T Committee recommendations to dean	January 5
dean notifies candidates of P&T Committee's recommendations	January 10
deadline for candidates to file appeals to dean	January 17
deadline for dean to establish tenure and/or promotion appeal advisory committee(s)	January 24
recommendation(s) of appeal advisory committee(s) to dean	February 20
dean informs appellants of the recommendations of the appeal advisory committee(s)	February 24
dean makes recommendations to the Provost with copy to faculty member and his or her chair	March 10

<i>tenure and promotion action (sample calendar)</i>	<i>deadline</i>
--	-----------------

Deadline for candidate to appeal to the Provost	March 17
Provost makes recommendations to the President	April 1
Deadline for candidate to file appeal to President and Board of Visitors	April 8
Candidates notified of Board of Visitors' final decision	May 15

The file that accompanies a candidate's request for tenure and/or promotion must contain specific evidence and supplementary materials that will enable the committee to read, understand, and act on the request. The candidate is responsible for ensuring that the file is complete and that it clearly communicates to the committee all evidence of meeting the relevant criteria.

6.10 CONTENTS OF THE PROMOTION AND TENURE FILE The file should contain: (1) Table of Contents; letter of application to chair/dean; (2) personnel data sheet; (3) *curriculum vitae*; (4) Faculty Annual Activity Reports and Annual Performance Reviews; (5) letters of recommendation; (6) rationale; and (7) appendices. The amount of material should fit within one ring binder no more than two inches thick. The candidate should not use plastic sleeves and folders with pockets. Pages should be numbered an organized fashion, and the file should be organized into sections with appropriate section dividers.

.1 Letter of Application to Chair/Dean This should be no longer than one paragraph, describing the basic criteria that have been met (i.e. the length of service here or in the rank, the completion of degree requirements, etc.).

.2 Personnel Data Sheet This is inserted by the dean's office and carries your signature.

.3 Curriculum Vitae The *CV* should be recent, complete, and organized in a conventional format appropriate to one's discipline.

.4 Faculty Annual Activity Reports (FAARs) and Annual Performance Reviews (APRs) by the Chair/Dean All FAARs and APRs must be signed. If any are missing or late, the chair/dean must address this in his/her letter.

.5 Letters of Recommendation Letters should be from multiple sources (chair, departmental colleagues, faculty colleagues, professional colleagues) clearly substantiating specific claims related to the criteria.

.6 Rationale The candidate should explain as clearly and concisely as possible (in no more than ten pages) how he or she meets all the general (§6.2) and specific (§6.3) criteria for promotion and/or tenure. In many instances the explanation could be as short as a sentence. Discussion of performance in the areas of teaching, professional activity and service will

normally be fairly lengthy.

.7 Appendices Include representative materials that attest to effectiveness and achievement, not merely meeting normal expectations of the faculty.

.8 Student Evaluation Computer Sheets from the Dean's Office and/or Tables Providing Descriptive Evidence Because teaching is very difficult to evaluate, the candidate should make a concerted effort to include other useful sources of information about quality of teaching. Such sources might include classroom visitation reports, awards, publications or presentations about teaching, and formal involvement in programs focused on improving teaching. The candidate should present converging lines of evidence instead of depending upon a single measure. If the candidate includes student comments, he or she should provide a clear interpretation of them. The inclusion of selected favorable student comments is unpersuasive.

.9 Representative Syllabi, Tests, and Assignments The candidate should provide select examples that, with appropriate annotation, will help the committee understand his/her goals, expectations and process in the classroom.

.10 Proof of Achievement in Professional Activity The candidate should include only the material relevant to the period under review at the University (for tenure) or at the current rank (for promotion). Photocopies of the first page of an article or a table of contents from a book (rather than an offprint or photocopy of the full text) is sufficient. Visual work produced in media other than print can be represented by photographs. The candidate should describe electronic or digital products clearly, explaining what they do and their design. The file should not include books, videotapes, films, or computer programs.

6.11 EXPECTATIONS FOR THE CONSTITUENTS IN THE PROMOTION AND TENURE PROCESS

.1 Departmental Colleagues Departmental colleagues should explain the candidate's role in the department. In addition, the departmental colleagues' letters should help to explain the significance of the candidate's professional activity. Recommendations should be based on specific information.

.2 Department Chair The chair's letter should explain the candidate's role in the department. The chair should take extra care to explain the department's style of operation, so that the candidate's important roles can be more adequately understood. The chair's letter should also explain the significance and quality of the candidate's professional activity. The chair's letter should then give an honest summative evaluation of the candidate's work in all three areas. The committee asks for the chair's best, most careful judgment of the candidate's work over an extended time. That judgment should be based on specific information reported in the letter and (usually) reflected in the series of evaluations that the file contains. Finally, the committee assumes that the chair has verified the accuracy of all substantive claims on the candidate's *curriculum vitae*.

.3 Institutional Colleagues Institutional colleagues should explain the specific contexts in which they have worked with the candidate and evaluate her/his performance in those areas. Recommendations should be based on specific information that is reported in the letter.

.4 Colleagues in the Discipline Candidates should see that these references address the context in which the candidate's work has become known and the standing of the candidate's work within the discipline or the profession.

.5 Dean The dean should verify that materials are submitted on time and, on the specified date, close the file. The dean should make files available to the committee promptly in a way that facilitates the committee's work and protects the confidentiality of the files. The dean should brief the committee clearly on relevant institutional constraints before it begins deliberating and assist both the committee and the candidates in protecting the confidentiality of the process. After the committee forwards its recommendations, the dean may meet with them to clarify the recommendations. In reaching her/his own recommendations, the dean should consider first whether or not the candidate's record of achievement as represented in the file satisfies the relevant criteria. The dean may also consider two other factors: institutional constraints on promotion or tenure; and additional information about the candidate's performance which s/he has learned through formal processes and which is clearly represented in the candidate's personnel folder. In no case is the dean to grant any credence to anonymous or informal claims about the candidate's performance.

.6 Provost The Provost shall review the recommendation letter from the promotion and tenure committee along with the recommendation letter from the dean, and may also consider institutional constraints that may bear on promotion or tenure decisions. As necessary during this stage of the process, the Provost may examine the candidate's record of achievement as represented in the file when formulating his or her recommendation that will be submitted to the President.

SECTION 7

FACULTY TITLES, AWARDS, AND OTHER POLICIES AND SERVICES OF INTEREST TO THE FACULTY

7.1 DISTINGUISHED PROFESSOR The Distinguished Professor honorary title is conferred by the Board of Visitors, on occasion, as an honor upon those faculty of professor rank who have consistently performed with distinction and who have given the University long and faithful service. This title is not available to newly-appointed faculty.

7.1.1 Criteria for Distinguished Professor Nominees Since the title is an honor conferred upon those faculty who have consistently performed with distinction and who have given the University long and faithful service, a list of specific criteria would be unbecoming. However, the following guidelines for evaluating candidate records will be observed:

- .1 At least twenty years of full-time service at the University will include eight years at the rank of professor.
- .2 The faculty member continues to fulfill the standards required for promotion to professor in the areas of teaching, professional activity, and service.
- .3 Since the main mission of the University is teaching, a distinguished professor should be a skilled, innovative, and challenging teacher. In other words, the faculty member should be a role model for the rest of the faculty.
- .4 In addition to having an excellent teaching record, the faculty member should have made a substantial contribution to the University in the area of service *or* the faculty member should have achieved substantial recognition within his or her discipline for professional activity.

7.1.2 Procedure for Determining Distinguished Professor Nominees

- .1 When the Board of Visitors calls for nominations of candidates for the title of distinguished professor, the Provost will ask University Faculty Council (UFC) to evaluate candidates and provide recommendations.
- .2 The Provost will write to every member of the faculty meeting the rank and time-in-service criteria asking permission to release their files to the UFC. Those faculty members who give permission in writing will become candidates for the title of Distinguished Professor.
- .3 The Provost will make the list of candidates available to the rest of the faculty.

.4 The UFC will have access to *curricula vitae*, faculty annual activities reports, and annual performance reviews for every year since promotion to professor from the candidates' personnel files.

.5 The Provost, in consultation with the UFC, will determine the timetable for deliberations.

.6 Should any member of the committee be on the list for consideration, he or she will recuse himself or herself from any participation in the committee's distinguished professor deliberations. If deemed necessary by the committee, a replacement member will be appointed following standard procedures for replacements of committee members. The replacement serves only for the purpose of evaluating Distinguished Professor nominations.

.7 In due course, no later than the deadline which has been prescribed by the Provost, the UFC will submit to the Provost its written report, setting forth first any procedural or contextual commentary regarding its deliberations, and then identifying without ranking those few candidates it has decided to put forward (no more than five in any one year), with a paragraph for each, spelling out the nature of the distinction that qualifies him or her for the title of Distinguished Professor.

.8 The Provost will share the UFC report with the President and, from the list of names presented by the Council, the Provost and the President will decide upon the recommendation(s) they will place before the Board of Visitors. In making its final decisions, the Board will also have access to the committee report.

.9 Public announcements of any newly named Distinguished Professors will be made at a time determined by the Board, President, and Provost. However, all committee deliberations and the contents of the committee's report will be strictly confidential and not be made part of any permanent record.

7.2 EMERITI FACULTY Retiring faculty are appointed to these titles by the Board of Visitors.

7.2.1 Distinguished Professor *Emeritus*/ *Emerita* A member of the faculty who has retired with the title of Distinguished Professor may be appointed Distinguished Professor *Emeritus* or *Emerita* by the Board of Visitors.

7.2.2 Professor *Emeritus*/*Emerita* A member of the faculty who has served the University in some capacity for at least fifteen years and has been retired with the rank of professor may be appointed Professor *Emeritus* or *Emerita* by the Board of Visitors.

7.2.3 Associate Professor *Emeritus*/*Emerita* A member of the faculty who has served the University in some capacity for at least fifteen years and who retired with the rank of associate professor may be appointed Associate Professor *Emeritus* or *Emerita* by the Board of Visitors.

7.3 FACULTY AWARDS

7.3.1 The Grellet C. Simpson Award for Excellence in Undergraduate Teaching This award, named for a former President and given to one member of the full-time faculty is supported by an anonymous donor. Additional details are provided in the annual call for nominations.

7.3.2 The Alumni Association Outstanding Young Faculty Member Award This award, supported by the University of Mary Washington Alumni Association, is given to one member of the faculty who has been at the University at least two but no more than five years. Additional details are provided in the annual call for nominations.

7.3.3 The Mary Pinschmidt Award This faculty award honors the memory of a long-time professor of biology who served as a role model and practitioner of exceptional liberal arts teaching as well as a generous and tireless contributor of service to her colleagues, her students, and the institution at large. The recipient is selected by students as the professor “we are most likely to remember as the one who had the greatest impact on our lives.” Additional details are provided in the annual call for nominations.

7.3.4 The J. Christopher (Topher) Bill Service Award This award is given annually to a person who has served a minimum of seven years as a full-time member of the teaching faculty of the University and who has been consistently involved in a variety of service endeavors (department, college, university, and community). Named to honor the memory of a former professor of psychology, the award was created through donations by his students, colleagues, friends and family members. Additional details are provided in the annual call for nominations.

7.3.5 Outstanding Faculty Awards (SCHEV) Each year, the State Council of Higher Education for Virginia Education selects a small number of faculty from throughout the State to be honored with Outstanding Faculty Awards. UMW can nominate two faculty members for consideration. The Provost announces the process UMW will use in selecting its nominations.

7.4 ASSORTED ADMINISTRATIVE SERVICES, PROCEDURES, AND POLICIES

7.4.1 Campus Closings

7.4.1.1 Breaks and Official Closings During the regular session, the University officially closes for Thanksgiving and semester break holidays. All buildings are locked, and there is no mail service. When classes are not in session (such as during fall and spring break) services are curtailed—faculty should check for hours of service and on mail delivery. Specific dates for these periods are included in the University calendar.

7.4.1.2 Inclement Weather Closing If weather conditions or other emergency circumstances dictate the closing of the University, the decision to close will be announced as soon as possible through the University hotline (654-2424). Notice will also be given to radio and television

stations serving the Fredericksburg, Washington/Northern Virginia, and Richmond areas. The radio stations usually broadcast the information more quickly.

7.4.2 Keys Faculty members will be issued building and office keys upon the written recommendation of the department chair. Faculty members must sign a receipt for the keys issued, and must return these keys when no longer needed or upon terminating employment at the University. Keys issued to a faculty member may not be duplicated, nor may they be given or loaned to any other person. Procedures for distribution of keys to faculty may differ depending on campus location. For additional information, consult the department office manager, department chair, or the University Police.

7.4.3 Mail Each faculty member has a box in his or her department for delivery of on-campus and US mail received by the Campus Post Office. Outgoing business mail must be accompanied by the appropriate form so that postage costs can be allocated to the correct office. Consult the Post Office Manager for additional information about mail policies.

7.4.4 Posters/Signs No posters, signs, notices, advertisements, etc., shall be displayed anywhere on campus except on bulletin boards within the buildings, on the outdoor bulletin boards, or on the tables in Seacobeck Hall, with the following exceptions: (1) Posters, signs, notices, etc., associated with student elections may be displayed on the outside of Lee Hall and the various residence halls consistent with provisions of Student Association policies regarding student election procedures, and (2) the University may post signs, notices, etc., as needed for campus traffic and parking control, and to denote special college- or university-sponsored occasions such as Alumni Homecoming, Family Weekend and Orientation. Posters, signs, etc., shall be completely removed by the party or parties who posted or displayed the materials within twenty-four hours following the event or activity.

7.4.5 Telephones Faculty office phones use “Voiceover IP” (VoIP) equipment. Orders for new service, changes in present service, repairs, etc. should be made through the department chair to the Department of Information Technology's Network and Communications Services division. Personal long-distance calls are not authorized or permitted. Employees using the long-distance lines for personal business may be subject to legal action.

7.4.6 Purchasing and Disbursing Procedures Orders for materials, supplies, and equipment are placed through one's academic department and are authorized by the department chair. Faculty should plan orders far enough in advance to make certain that needed items arrive in time and are charged to the appropriate fiscal year. Commonwealth of Virginia purchasing and disbursing regulations, to which the University must adhere, are complex and subject to change. Contact the Office of Purchasing and Central Storeroom with questions about specific purchasing procedures. Information is also available at <http://www.umw.edu/purchasing>.

7.4.7 Travel Regulations Faculty professional travel is governed by Commonwealth regulations and procedures, the specific details of which are subject to change. Travel regulations apply to current faculty, to visiting candidates interviewing for faculty positions, and to visiting speakers. The Commonwealth business meal regulations set limits on meal policies and charges both off- and on-campus, including meals with candidates, visiting speakers, and

business meetings. Various forms, procedures, and signatures are required in order for Commonwealth funds. Faculty travelers need to allow sufficient time for filing the *Request for Overnight Travel* form and obtaining all requisite signatures. Complete details governing University-supported travel are available at <http://http://www.umw.edu/ap/travel/default.php>.

7.4.8 Accident Reporting In the event a faculty member is involved in a car accident involving pool cars or university vehicles, or should he or she witness any other form of accident relating to the University, he or she should adhere to the accident reporting procedures. Contact the Office of Facilities Services for help in acquiring the proper forms.

7.4.9 Smoking Policy It is the objective of the University of Mary Washington to provide the healthiest environment possible for students, staff, and faculty members. To this end, it is the policy of the university that (1) smoking is prohibited in all buildings, and UMW and state vehicles, and (2) the right of the nonsmoker to protect from smoke his or her health will take precedence over an individual's desire to smoke. Additional details about this policy may be found at http://www.umw.edu/hr/human_resource_policies/umw_smoking_policy.php. Persons may also contact the Human Resources Office for information.

7.4.10 Alcohol Policy Faculty members are reminded that the serving or consumption of alcohol at University events is regulated by state law and by the University's Alcohol Policy, found at: http://www.umw.edu/judicialaffairs/alcohol_policy/default.php. The legal drinking age in Virginia is twenty-one.

7.4.11 Drug-Free Certification The Drug-Free Workplace Act went into effect on March 8, 1989. This act requires employers who contract with, or receive grants from, federal agencies to certify that they (the employer/grantee) will meet certain requirements for providing a drug-free workplace. The requirement applies to contracts or grants awarded to individuals as well as to the University. Certifications will be provided by the University's sponsored research officer or designee, usually as a part of the grant application and/or award process. All grant applications for federal funds must be pre-approved through the procedures for applying for external funding, found at: <http://www.umw.edu/grantsoffice/default.php>

7.5 ACADEMIC SUPPORT SERVICES

7.5.1 University Libraries The University's two libraries strive to meet the research needs of the UMW community and to enhance and support the instructional programs of the University. Simpson Library, located on the Fredericksburg Campus, houses the University's main collection of over 367,000 printed volumes and a Government Resources Depository Collection, as well as the University Archives and Rare Book Collection. The Stafford Campus Library houses a collection tailored to the instructional programs offered at that campus. UMW Libraries also offer access to over 100 databases and 42,000 electronic books.

7.5.2 Teaching and Learning Technologies The Division of Teaching and Learning Technologies (DTLT) assists UMW faculty members who wish to explore how digital

technologies can augment and transform teaching, learning, and research. DTLT staff consult with faculty about academic technologies on every scale: from small projects incorporating a single technology into a part of an existing assignment to wholesale digital redesigns of traditional courses. DTLT staff are constantly researching new and emerging technology trends, best practices in using technology for teaching and learning, and the impacts of technology, generally, on higher education and the creation and sharing of knowledge. Additional information about information technology services and support is available at <http://www.umw.edu/doit/dtlr>.

7.5.3 University Teaching Center The University of Mary Washington Teaching Center supports excellence in teaching and advances student learning at the University through a variety of programs designed to provide development opportunities for faculty enabling them to take advantage of innovative pedagogical approaches and effective, cutting-edge teaching and learning technologies. The Teaching Center also endeavors function as a resource for faculty to access and contribute to the scholarship on teaching and learning. Additional information about the University Teaching Center is available at: <http://www.teachumw.org/>

7.5.4 Printing and Copying Services Classroom materials and other official correspondence or university documents may be reproduced on copy machines located in various academic buildings. In the interests of sound ecological practices, photocopying should be limited to materials that are essential to teaching or other university activities. Large scale copying and printing services are available at the Document Center in Seacobeck Hall. Copyrighted materials must only be reproduced under certain very limited conditions in accordance with the guidelines for *fair use* as outlined in §15.6.1.1 of the United States Code, unless written permission from the copyright owner is on file at the University. Personal copies must be made at the user's expense.

7.5.5 University Bookstore The Bookstore serves as the agent through which course textbooks are ordered and sold. Textbooks for classes held at the Stafford Campus or off-site are sold by MBS, a textbook distributor that works with the Bookstore and delivers textbooks to students by mail. Instructors will find the textbook requisition, course pack request forms, and specific due dates on the Bookstore web page at <http://www.umw.edu/bookstore/>. (Select the option titled "faculty.") The Code of Virginia § 23-4.3:1, "Policies Addressing Textbook Sales and Bookstores," requires that Virginia public colleges and universities make available to students in a central location and in a standard format on the relevant institutional website the listings of textbooks required or assigned for particular courses at the institution. In order to meet this requirement, the University Bookstore will post textbook adoptions on the Bookstore website once titles have been researched and confirmed, a minimum of 6 weeks prior to the beginning of classes.

7.6 ACADEMIC SERVICES AND SUPPORT FOR STUDENTS

7.6.1 Advising Services Faculty responsibilities for student academic advising and the policies and procedures for carrying them out are established within the various colleges of the University and spelled out in the Faculty Handbooks of the colleges. The Office of Academic Services on the Fredericksburg Campus offers a variety of services for students, including

general advising, free tutorial services and study skills workshops. The Office of Academic Services works with the Assistant Deans to counsel students in academic jeopardy (i.e., those placed on academic probation and/or suspension). The Office of Advising Services on the Stafford Campus offers such services for students as: pre-admission and pre-enrollment advising, counseling for non-traditional academic credit options and academic jeopardy, career services, a clearinghouse for information related to financial assistance, and degree audits.

7.6.2 Office of the Registrar The Office of the Registrar works to provide student record information (degree audit, transcripts, etc.), enrollment and degree verification, and enrollment services (including web course registration) for the University. The Office maintains an official, permanent academic record for all students including information on completed course work, grades, grade-point average, and notes on the student's academic status. The student's application file, containing the application for admission and accompanying transcripts, is maintained for five years following the student's last date of enrollment. Access to academic records is allowed in accordance with the Family Educational Rights and Privacy Act as amended in 1974. The Office is also responsible for managing an electronic degree auditing system enabling faculty advisors to track the progress of advisees in meeting graduation requirements.

7.6.3 Office of Disability Services The Office provides reasonable and appropriate accommodations to qualified students with disabilities. These accommodations may include – but are not limited to – extended time on tests, note-taking assistance, air-conditioned dorm rooms, sign language interpreters, enlarged print materials, permission to tape record lectures, and distraction-reduced testing sites. In order to receive services, students must provide professional documentation of a substantially limiting condition and discuss appropriate accommodations with the Director of Disability Services. Documentation guidelines for specific disabilities may be found on the Disability Services Web site at <http://www.umw.edu/disability/> or by requesting it from the office. The Director verifies the disability, assists in arranging reasonable accommodations, and acts as a liaison between students, faculty, and administration on issues relating to services or accommodations.

7.6.4 Writing Centers Located on both the Fredericksburg and Stafford campuses, the Writing Centers are open to all students. Operating within the Honor Code, the Writing Centers offer free tutorial assistance to students, regardless of major, both for course assignments and for personal writing needs. Trained tutors work with students one-on-one to improve writing performance. Students can obtain assistance with all types of writing projects, from research projects to résumés, and with all aspects of writing, from brainstorming a research topic to proofreading a paper.

7.6.5 Speaking Center The Speaking Center, located on the Fredericksburg campus, provides free consultations to students interested in developing oral communication skills. The Center houses a collection of instructional resources that address a variety of topics ranging from public speaking anxiety to constructing effective visual aids. Trained consultants are available to videotape practice presentations and provide feedback. The Center adheres strictly to the Honor

Code: consultants will not compose any portion of a presentation for a student nor will they do research for presentations. Consultants also prepared to offer advice on special types of oral communication activities such as speeches, group presentations, debates, or interviews.

7.6.6 Multicultural Center The James Farmer Multicultural Center works to enhance students' educational experiences by increasing awareness and knowledge of diversity issues that impact individuals as well as the community. The Center encourages engagement from students in these initiatives and assists in the development of the democratic principles and critical thinking skills that will help make students effective leaders. The Center is named in honor of Dr. James L. Farmer, Jr., one of the nation's foremost civil rights leaders. Dr. Farmer serves as a Distinguished Professor of History and American Studies at UMW from 1985 to 1998.

7.6.7 International Academic Services A number of summer, semester, and full-year study abroad programs are available in a variety of locations for nearly all academic disciplines. The University also sponsors several faculty-led summer abroad opportunities based on the expertise and interest of the instructor. Students considering studying abroad work with the Office of International Academic Services (IAS). IAS assists students in program selection and approval, transfer credit, and other administrative and cultural preparations, and supports them while abroad and upon re-entry to the University. IAS also assists international students from approximately 25 countries with immigration, and academic and social adjustments.

7.6.8 Career Services The Office of Career Services coordinates the program of academic internships, through which qualified students work in off-campus settings. Academic departments sponsor these pre-professional internships, under the joint direction of a faculty member and an on-site supervisor, and award academic credit for their successful completion. Career Services maintains files of internships both on-line and in print. Current internship policy and procedure guidelines are available from the Office of Career Services.

7.7 RESPECTFUL WORKPLACE POLICIES The University aims to maintain a working environment that encourages mutual respect, promotes civil and congenial relationships among employees and is free from all forms of harassment and violence.

7.7.1 Equal Employment Opportunity The Commonwealth of Virginia is committed to providing equal employment opportunity for all employees and job applicants, regardless of their race, color, religion, sex, age, national origin, disability and political affiliation. Employment discrimination based on these traits is unlawful under both state and federal law. Equal opportunity extends to all aspects of employment including hiring, transfers, promotions, training, termination, working conditions, compensation, benefits and other terms and conditions of employment. The Commonwealth complies with federal and state equal-employment-opportunity laws and strives to keep the workplace free from all forms of unlawful discrimination, including harassment and retaliation. The Commonwealth's Department of Human Resource Management's (DHRM's) Office of Equal Employment Services (OEES) is responsible for enforcing policies concerning equal employment opportunity. Additional details may be found at <http://www.dhrm.virginia.gov/hrpolicy/policy.html>.

7.7.2 Statement of Nondiscrimination At the University of Mary Washington the principles of equal opportunity and affirmative action are practiced. The University does not discriminate on the basis of race, color, religion, disability, national origin, political affiliations, marital status, sex, age, or sexual orientation in recruiting, admitting, or enrolling students or hiring and promoting faculty and staff members. The University will not recognize or condone student, faculty, or staff organizations that discriminate in selecting members. Complaints of discrimination should be directed to the AAEEEO Officer of the University.

7.7.3 Workplace Harassment Policy The University strictly forbids harassment of any employee, applicant for employment, vendor, contractor or volunteer on the basis of an individual's race, color, national origin, age, sex, sexual orientation, political affiliation, religion, disability, marital status or pregnancy. Workplace Harassment can be defined as any unwelcome verbal, written and/or physical conduct that either denigrates or shows hostility or aversion towards a person on the basis of race, color, national origin, age, sex, sexual orientation, political affiliation, religion, disability, marital status, or pregnancy that 1) has the purpose or effect of creating an intimidating, hostile or offensive work environment, 2) has the purpose or effect of unreasonably interfering with an employee's work performance, or 3) affects an employee's employment opportunities or compensation. Details about the procedure for filing complaints resulting from alleged acts of workplace harassment may be found at http://www.umw.edu/hr/docs/grievance_policy_procedure.doc.

7.7.4 Sexual Harassment and Consensual Relations Policy The University of Mary Washington will not tolerate sexual harassment. Sexual harassment is a form of sexual discrimination and as such is illegal behavior. In compliance with Title VII and IX of the Civil Rights Act of 1964 and Title IX of the Education Amendments of 1972, it is the University's policy not to tolerate any verbal, nonverbal or physical behavior that constitutes sexual harassment. Complete details, and the current full statement of the complete Sexual Harassment and Consensual Relations policy are available at: http://www.umw.edu/hr/human_resource_policies/harassment/sexual_harassment_policy.php.

7.7.5 Workplace Violence Policy The University is committed to maintaining a workplace free from threats and acts of intimidation and violence. All reported incidents will be properly investigated. For additional information, contact the Human Resources Office or consult the policy statement at http://www.umw.edu/hr/human_resource_policies/default.php.

7.7.6 Retaliation Retaliation is any overt or covert act of reprisal, interference, restraint, penalty, discrimination, intimidation or harassment against one or more individuals for exercising their rights (or supporting others for exercising their rights) under the Commonwealth's EEO policies. The University prohibits retaliation. If retaliation occurs, the employee(s) should report the retaliation as outlined in the discrimination and harassment complaint procedures.

APPENDIX A

FACULTY PERFORMANCE EVALUATION FORMS

FACULTY ANNUAL ACTIVITIES REPORT

for the period _____

name _____ *date* _____
department _____ *signature* _____

Please complete this form (instructions at §5.5) and submit two copies to your chair by the announced deadline, enclosing two copies of your current *curriculum vitae*. (One copy of each will be forwarded to the Dean for your personnel file.)

Teaching (see §§5.5.1.1–3)

1. List all courses taught and enrollments (class size after drop-add period). Note any special features of the course (see §§5.5.1.1–2).
2. List all other regularly scheduled instructional commitments such as office hours, direction of independent study, internships, honors projects, and formal undergraduate research projects (see §5.5.1.2).
3. Comment on the effectiveness of your teaching performance this year as evidenced by enrichment of the curriculum, project proposals for enrichment of the curriculum, and classroom performance and innovation (see §5.5.1.3).

Scholarly, Creative, and Professional Activity (see §§5.5.2.1–3)

1. List the year's activities and accomplishments such as scholarly publications, exhibitions, performances, presentations, teaching development, active professional affiliation, and organizational responsibilities.
2. Annotate the list with comments about the nature and quality of each activity.

Service (see §§5.5.3.1–4)

1. List the year's activities and accomplishments in the College, in the department, in the University, and in the community.
2. Annotate the list with comments about the nature and quality of your involvement, noting positions of responsibility, atypical workload, etc.

Optional Summary Statement: If not adequately covered by annotations above, include with this report a general commentary on the year's activities.

CURRICULUM VITAE

Each faculty member should maintain a current, accurate *curriculum vitae* (CV) in the College personnel file (§3.11); annually, an updated CV is attached to one's FAAR. Although CV formats differ appreciably, depending on an individual's professional field, emphases, and directions, the following sections and general guidelines usually are standard.

General Guidelines

Appearance An inflated or overly long CV frequently has an opposite effect to that intended by the submitter; although the College specifies no optimal length, the submitter needs to consider clarity, readability, audience, and focus in his or her CV.

Date An appreciated clerical courtesy, both to the College for internal evaluation and to external evaluators, is to note at the end of the document the date on which the CV was generated.

Personal information Under this customary initial heading, faculty should be advised that they are under no obligation to supply marital, age, ethnic, or other potentially discriminatory personal information. A faculty member, however, is advised to supply full communication information: current address, telephone number, FAX number, and e-mail address, if the latter two media are applicable. Any changes in communication information need to be updated at the earliest opportunity with the Dean's Office.

Reverse chronological order In any category of achievement, credentials or documentation should be listed in chronologically descending order from the most recent to the most removed.

Complete information When listing a professional publication or professional activity, include, e.g., title of article, title of journal, issue and volume number, date, and page numbers. Various categories of professional activity need to be separated and defined within the individual faculty member's CV and documented accordingly as to content, time, and place.

Categories of information these vary by discipline; however, the following sections may serve as a guide:

- Professional Experience *from current to most removed; usually listed by year(s), academic rank, and institution*);
- Education *(terminal degree or most recent program first; usually listed by year(s), degree, field, and granting institution)*);
- Honors, Grants, and Awards *(from most recent to most removed)*);
- Publications *(with reviews, editions, or collaborative work so indicated)*);
- Work in Progress;
- *Selected* Professional Papers *(title of paper, identification of conference or audience, place, date)*);
- Professional Memberships *(with offices held and dates, if appropriate)*);
- Subjects Taught;
- Committee and Community Service; *and*
- References *(usually "available on request")*.

DEPARTMENT CHAIR EVALUATION COMMENTARY

The assumption is that forms will be completed anonymously, but faculty members may sign the forms if they wish to do so. Results will be available to chairs.

department _____ chair _____ date _____

Teaching, Professional Activity and Service: Following the procedures of the approved peer-review plan for my department, and in the context of performance expectations for all members of my department, I assign the following ratings to my department chair in the areas of teaching, professional activity, and service. Use [0] unsatisfactory - failure to meet minimum performance expectations, [1] faculty performance which meets expectations, [2] effective – the average performance expected of UMW faculty and always interpreted in a favorable light, [3] exceptional or outstanding performance – well above the effective level of expectations:

Teaching

Rating _____

Commentary:

Professional Activity

Rating _____

Commentary:

Service

Rating _____

Commentary:

Administration: For each of the seven areas of department chair responsibility indicated below, as well as for overall performance, indicate your assessment of the quality of your chair's performance over the course of the recently completed academic year. Use [0] performance quality generally *ineffective*, [1] performance quality generally *effective* [2] performance quality often *better than effective*, [3] performance quality *exceptional*. Please use the back of the form for explanatory comments, especially when assigning ratings of [0] or [3]. If you consider yourself inadequately informed to assign a rating in a given area, use *N.A.* in the blank.

budget-related matters**Rating** _____

This performance area includes such items as:

- involves the department in setting budget and equipment priorities
- makes fair and appropriate use of the department's appropriated budget
- attends to budget-related administrative detail (requisitions, receiving reports, travel authorizations, credit card usage, inventories, etc.)
- keeps the department appropriately informed about budget-related matters

curriculum-related matters**Rating** _____

This performance area includes such items as:

- leads department in undertaking curriculum initiatives (examining requirements for the major and departmental contributions to general education offerings, establishing new courses, revising existing courses, incorporating technology, etc.)
- disseminates necessary information (catalog copy, prerequisite lists, requests for information, etc.) about departmental programs
- supervises departmental outcomes assessment
- supports and encourages internships and undergraduate research
- supports and encourages departmental activities (lectures, student clubs/activities, etc.)

personnel matters**Rating** _____

This performance area includes such items as:

- conducts and/or supervises tenure-track faculty searches
- orients, mentors and supports tenure-track faculty prior to the tenure decision (including assistance in preparing and assembling tenure/promotion file and writing letter for the credentials file)
- encourages and supports pedagogical experimentation and innovation
- fosters good teaching practice and upholds the quality of teaching in the department
- administers annual faculty evaluation and merit pay procedures for full-time continuing faculty)
- hires, orients, supports, and evaluates temporary faculty (lecturers and senior lecturers)

course scheduling**Rating** _____

This performance area includes such items as:

- makes course scheduling decisions fairly in meeting the needs of the department's instructional program(s)
- negotiates effectively for classroom time and spaces
- interacts effectively with administrative offices (e.g., Registrar, Office of Academic Affairs) on the department's behalf
- attends to schedule-related administrative detail (staffing requests, final schedules, etc.)

communication**Rating** _____

This performance area includes such items as:

- involves the department in decision making
- keeps the department informed about all necessary matters
- deals with conflicts between individuals
- is available and accessible
- listens to suggestions and/or concerns from persons in the department
- interacts in a professional manner
- explains decisions made, and accepts responsibility for actions taken
- is trustworthy

student-related items**Rating** _____

This performance area includes such items as:

- is available and accessible to students
- coordinates and/or supervises student advising (majors, career)
- works effectively with student aides and student representatives

general department administration**Rating** _____

This performance area includes such items as:

- delegates responsibility and authority to colleagues
- schedules, sets agendas for, and presides over departmental faculty meetings
- keeps necessary records on departmental activities
- organizes and leads periodic program reviews
- does work in a timely fashion
- responds to college and University calls for departmental participation
- ensures that the department's physical working environment is maintained, repaired, and renovated as necessary
- coordinates and/or supervises "outreach efforts" (such as student recruitment, public relations, alumni contacts, etc.)

overall performance as department chair**Rating** _____

ANNUAL PERFORMANCE REVIEW

Name _____ Date _____

Department _____ Chair _____

The following commentary is based on conversations with the faculty member, the Faculty Annual Activities Report, student course ratings, my own personal observations of faculty performance in my department, and other information I have obtained. I hereby attest that this commentary is honest and accurate to the best of my knowledge, and that all opinions and judgments can be substantiated and are either my own or are attributed to their sources.

Signature of Chair

- I. Commentary on teaching

- II. Commentary on professional activity

- III. Commentary on service

- IV. Summary statement

I acknowledge this evaluation, which my department chair has discussed with me prior to its submission to the dean (*Faculty Handbook* §5.2.1.3). I (do _____ / do not _____) intend to write a letter of exception (§5.2.3.1) regarding this evaluation to the dean for my file.

Faculty Member's Signature_____
Date

SPECIAL ASSIGNMENTS PERFORMANCE REVIEW

Name _____ Date _____

Department _____ Reviewer _____

Special Assignment _____

Complete this form to review the performance of a faculty member with a special assignment (e.g., Director of the Speaking Intensive Program). The review should explain the nature of the special assignment involved which will justify the percentage weighting for the special assignment, negotiated with the dean or direct supervisor, in addition to the weightings for teaching, professional activity and service as noted in §5.2.1. The person with immediate supervisory responsibility for the special assignment should speak specifically to the performance criteria detailed in the faculty member's original letter of appointment. The special assignments performance review should be attached to the faculty member's annual performance review.

I hereby attest that this commentary is honest and accurate to the best of my knowledge, and that all opinions and judgments can be substantiated and are either my own or are attributed to their sources.

Signature of Reviewer

Commentary on the individual's performance with respect to the special assignment:

I acknowledge this evaluation, which my supervisor has discussed with me. I (do_____/do not_____) intend to write a letter of exception regarding this evaluation to the dean for my file.

Faculty Member's Signature_____
Date

ANNUAL PERFORMANCE WEIGHTING FORM

For the period: _____

Submit to the Department Chair by September 1

Name: _____

Department: _____

Faculty Rank (check one):	Professor		Senior Lecturer	
	Associate Professor		Lecturer	
	Assistant Professor			

FACULTY PERCENTAGES		CHAIR PERCENTAGES	
Teaching (40 – 70%)		Teaching (35-45%)	
Professional Activity (20 – 50%)		Professional Activity (20 – 35%)	
Service (10 – 35%)		Service (10 – 25%)	
<i>Special Assignment percentage</i> (if any, as negotiated with the dean)		Chair Responsibilities (20 – 30%)	
Total (must equal 100%)		Total (must equal 100%)	

Signature _____ date _____

Please Note: The teaching, professional activity and service percentages an individual faculty member chooses for merit pay consideration may not reflect the criteria that are used in tenure and promotion deliberations. Individuals who will be applying for tenure and promotion in the future should keep this in mind as they select their percentages.

APPENDIX B

UNIVERSITY OF MARY WASHINGTON THE HONOR CONSTITUTION

The Honor Constitution

Introduction

The Honor System applies to every student who is enrolled at the University of Mary Washington. Accordingly, every student shall be required to verify acceptance of the Honor System by signing the following Honor Pledge:

“I, as a student at the University of Mary Washington, do hereby accept the Honor System. I have read the Honor Constitution, understand it, and agree to abide by its provisions. Accordingly, I resolve to refrain from giving or receiving academic material in a manner not authorized by the instructor, from illegally appropriating the property of others, and from deliberately falsifying facts. I acknowledge that, in support of the Honor System, it is my responsibility to report any violations of the Honor Code of which I am aware. I realize that, in the event of a violation of the Honor Code, a plea of ignorance will not be acceptable, and that such a violation could result in my permanent dismissal from the University. I further pledge that I shall endeavor at all times to create a spirit of honor, both by upholding the Honor System myself and helping others to do so.”

Registration as a student at the University of Mary Washington obliges a student to abide by the Honor Constitution. Each student will sign the Honor Pledge before classes begin, in accordance with either the Fredericksburg or Stafford campus Honor Council’s procedure. This is a symbol of each student’s willingness to accept the Honor System as a way of life at the University of Mary Washington. The ultimate responsibility for signing the Honor Pledge rests with the student.

Article I: Scope of the Honor Code

Section 1. The violations of the Honor Code are lying, cheating, and stealing in all their various forms. These terms are briefly explained as follows:

- A.** Lying: a deliberate misrepresentation of the truth. This violation includes, but is not limited to, forgery and the falsification or misuse of the student identification card by using another’s card or by allowing another to use one’s own card.
- B.** Cheating: an intentional misrepresentation of another’s work as one’s own, or a misrepresentation of the circumstances under which the work was done. This violation includes, but is not limited to, copying, plagiarism, unauthorized collaboration, and unauthorized divulging of information.
- C.** Stealing: the taking of the property of another person, the University, or any other organization or entity, without authorization or consent. This violation includes, but is not limited to, the theft or mutilation of library materials, and the unauthorized duplication of a University key.

Section 2. In order to reaffirm commitment to the Honor System, the student shall write out in full and sign the following pledge on all quizzes, examinations, papers, and other assignments, as

appropriate: *"I hereby declare upon my word of honor that I have neither given nor received unauthorized help on this work."* By writing and signing this statement, the student affirms his or her promise to uphold the Honor Pledge. This pledge verifies that the work submitted is the student's own and has been done in accordance with the requirements set forth by the instructor.

Section 3. Organizational and Procedural Appendices for both the Fredericksburg and Stafford campuses are attached to this Constitution. The Appendices provide organizational and procedural requirements for the effective operation of the Honor System. These requirements are tailored specifically to the respective student bodies and their missions.

Article II: Organization

Section 1. The Honor Council is a judicial body designed to try specific cases brought to it regarding possible violations of the Honor Code. Fredericksburg and Stafford campus students shall have their own Honor Council, with detailed organization outlined in the appropriate Appendix.

Article III: Procedure

Section 1. Investigation

- A.** The Honor Councils operate on the premise that every person is deemed not responsible until proven responsible. Both Honor Councils of the University of Mary Washington shall develop their own procedures for resolving suspected Honor Code violations. The procedures are outlined in the appropriate Appendix.

Article IV: Notation on Academic Record

Section 1. Record of Honor Hearing

- A.** In the case of acquittal, all records of the hearing shall be destroyed expeditiously.
- B.** In the case of a conviction, one or more of the following entries shall be made on the student's official academic record, as appropriate:
 - 1.** *Sanctioned by the Honor Council on [date] to perform [number] hours of community service for the Honor Code offense of [name of violation].* At the time of graduation from the University, this notation shall be removed from the official academic record.
 - 2.** *Sanctioned loss of credit in [insert course name] for the Honor Code violation of [insert violation].* Three years after graduation from the University, this notation shall be removed from the official academic record.
 - 3.** *Suspended for [period of time] by the Honor Council on [date] for the Honor Code offense of [name of violation]. Entitled to enroll no earlier than [date].* This is a permanent notation.
 - 4.** *Permanently dismissed from the University by the Honor Council on [date] for the Honor Code offense of [name of violation].* This is a permanent notation.

Article V: Amendments to the Constitution

Section 1. Amendments to this Constitution may be initiated either by the Fredericksburg or Stafford campus Honor Council or by the student body.

- A.** Either Honor Council may initiate an amendment by an affirmative vote of at least three-fourths of its members. For approval, the amendment must then receive an affirmative vote from the University's additional Honor Council of at least three-fourths of their members, and an

affirmative vote of the majority of the votes cast in a student body referendum from both the Fredericksburg and Stafford campuses.

- B.** The student body may initiate an amendment by presenting to each Honor Council a petition signed by at least 10 percent of the currently enrolled student body of both the Fredericksburg and Stafford campuses. For approval, the amendment must then receive an affirmative vote of at least three-fourths of each Honor Council's members. It must then receive an affirmative vote of a majority of the votes cast in a student body referendum from both campuses.
- C.** In the event that an Honor Council does not approve an amendment initiated by the student body, such action can be overridden if a petition, signed by at least 25 percent of the currently enrolled student body is presented to each Honor Council requesting a referendum on the amendment. For approval, the amendment must then receive an affirmative vote of a majority of the votes cast in a student body referendum from both campuses.

Section 2. Amendments to an Appendix may be initiated by the appropriate Honor Council or by the student body of the appropriate campus.

- A.** An Honor Council may initiate an amendment to its Appendix by an affirmative vote of at least three-fourths of its members. For approval, the amendment must then receive an affirmative vote of the majority of the votes cast in a student body referendum of the appropriate campus.
- B.** The student body may initiate an amendment to its Appendix by presenting to its Honor Council a petition signed by at least 10 percent of the currently enrolled population being served (Fredericksburg or Stafford). For approval, the amendment must then receive an affirmative vote of at least three-fourths of the Honor Council's members. It must then receive an affirmative vote of a majority of the votes cast in a student body referendum of the appropriate population.
- C.** In the event that an Honor Council does not approve an amendment to an Appendix initiated by the student body, such action can be overridden if a petition, signed by at least 25 percent of the currently enrolled student body (Fredericksburg or Stafford campus) is presented to its Honor Council requesting a referendum on the amendment. For approval, the amendment must then receive an affirmative vote of a majority of the votes cast in a student body referendum of the appropriate student population.

Section 3. Any amendments to the Constitution or Appendices must be approved by the Board of Visitors of the University before the amendments can become operative.

Appendix A
Fredericksburg Campus
Honor Constitution Organizational and Procedural Appendix

Article I: Scope of the Honor Code

Section 1. The violations of the Honor Code are lying, cheating, and stealing in all their various forms.

Article II: Organization

Section 1. The College of Arts and Sciences Honor Council is a judicial body designed to try specific cases brought to it regarding possible violations of the Honor Code.

Section 2. The Honor Council consists of a president and 20 other members.

- A.** The Honor Council president is elected at large by the entire student body from among currently enrolled students. The president must have at least one academic year's experience as an Honor Council representative. In the event that no eligible candidates are nominated to run for the Honor Council presidency, an appropriate decision will be made by the President of the University. Any concerns of eligibility that arise will be handled by the President of the University.
- B.** The 20 other members consist of five representatives each from the freshman, sophomore, junior, and senior classes. They are elected by currently enrolled students in the respective classes.
- C.** One Honor Council representative shall be elected by the Council to serve as vice president. That person shall assume the duties of the president in the president's absence, and shall perform such other duties as may be assigned by the president.
- D.** The terms of office of Honor Council members shall begin in the spring semester of the year in which elected, and shall continue until the installation of the succeeding members the following year. Members of the Honor Council may be reelected.
- E.** Attendance Policy per Semester. When an Honor Council representative has two unexcused absences, he or she will meet with the Honor Council president. After a third unexcused absence, the member will be removed from the Council, and a Special Election will be held to fill the position. [Unexcused absences are determined by the president.]
- F.** Any member of the Honor Council who fails to perform the duties or uphold the standards of office may be removed by action of his or her constituency or by the Honor Council itself, as follows:
 - 1.** Upon presentation to the Honor Council of a petition signed by at least 20 percent of the member's currently enrolled class (in the case of an honor representative), or at least 20 percent of the entire currently enrolled student body of the Fredericksburg campus (in the case of the president), the question of recall shall be considered. At least three-fourths of the Honor Council must vote in favor of removal in order for the motion to be carried. If, upon petition, the Honor Council fails to remove the member in question, such action may be overridden upon petition of at least 40 percent of the appropriate constituency followed by a majority of the votes cast by that constituency.
 - 2.** Alternatively, the Honor Council itself may initiate the recall of a member by a vote of at least three-fourths of its members in favor of removal.
 - 3.** Whenever a member is removed or resigns from office, an election shall be held as soon as practicable by the appropriate constituent group to fill the vacancy thus created.

Section 3. There shall be an Honor Advisory Board consisting of the president of the Honor Council, who will act as chair, and two Honor Council representatives. The other two Honor Council

representatives will be appointed by the president, and they must be either junior or senior members who have at least one year's experience on the Council. It is the responsibility of this body to receive information from the accuser's statement and the statement received from the accused. It is on that basis that the Honor Advisory Board determines the appropriate dispensation of the alleged violation.

Section 4. There shall be student honor advisors appointed by the Student Advisor Coordinator from among the Honor Council representatives.

- A. An Honor Council representative, who is elected vice president of the Honor Council and who shall serve as student advisor coordinator, will appoint two student honor advisors to each hearing.
- B. At each hearing, one student honor advisor will serve as advisor for the accuser and one will serve as advisor for the accused.

Section 5. There shall be eight nonvoting faculty advisors to the Honor Council, two of whom shall be present at each hearing.

- A. Faculty advisors shall be appointed for staggered three-year terms by the President of the University in consultation with the president of the Honor Council.
- B. Faculty advisors shall be selected in such a manner that there is at least one representative from each of the classroom buildings and the library.
- C. Prior to each honor hearing, one faculty advisor shall be available to assist the accuser and one to assist the accused, but neither shall participate in the conduct of the hearing itself.
- D. Faculty advisors should meet with the Honor Council president and/or vice president at least once per semester to review matters of function and practice, and to review sanctions imposed by the Honor Council.
- E. The president of the Honor Council, or the vice president of the Honor Council, shall report to the Faculty Senate at least once per semester concerning Council matters.

Section 6. In order to take into account the existence of more than one Honor Council (one on each campus), a student suspected of an honor violation will be referred directly to their "home campus" (Fredericksburg or Stafford) Honor Council for investigation. "Home campus" shall be determined by the registrar's office.

Section 7. Procedural Advisor: There shall be one nonvoting procedural advisor to the Honor Council, who shall be appointed by the President of the University in consultation with the president of the Honor Council. It shall be the role of the procedural advisor to aid the Honor Council president in providing clarification concerning Honor System procedures. The procedural advisor shall be present at each Honor Hearing Panel and Honor Council deliberations during said hearings.

Article III: Procedure

Section 1. Investigation

- A. The Honor Council operates on the premise that every person is deemed not responsible until proven responsible.
- B. All members of the University community should feel obligated to investigate as quickly and discreetly as possible any suspected violation of the Honor Code. If it is apparent that no honor violation has in fact occurred, there shall be no further proceedings. If, however, it is believed that a violation has occurred, the alleged honor violation will be reported to the Honor Council president, who will notify the accused. The accused is required to turn in a written statement within five business days from the date on the accusation notification, and he or she will be asked to provide his or her contact information to answer any additional questions. If notification is not

received within five business days, the Council will proceed as if the student had pled responsible. If the explanation is deemed satisfactory, there shall be no further proceedings. If the explanation is not satisfactory, an accusation should be made, and the accuser must notify the president of the Honor Council in writing. All accusations must be made within 10 business days from the date of discovery of the alleged violation. This 10-day period within which an accusation must be made excludes all breaks. The accused must be a member of the University community.

- C. The Honor Council president will notify the accused that he or she has five business days to turn in a written statement. The statement from the accuser is already available in the letter of accusation.
- D. The Honor Council president as well as two Honor Council representatives will meet as the Honor Advisory Board to discuss the two written statements and any other evidence submitted. Such meetings will be organized within five business days after receiving the written statements and other evidence. All evidence considered by the Honor Advisory Board shall be assembled as a packet and copies made available to the accuser and accused following the Honor Advisory Board hearing.
- E. On the basis of the statements received, the Honor Advisory Board shall make one of the following determinations:
 - 1. If there is no evidence that a violation has occurred, the process shall end.
 - 2. If the evidence presented is insufficient, or the grounds inappropriate, to warrant further adjudication, there shall be no further proceedings.
 - 3. If there is evidence of a violation, but not one that involves an infraction of the Honor Code *per se*, the matter shall be referred to the appropriate body for adjudication (e.g., Judicial Review Board).
 - 4. If there is evidence of an Honor Code violation, the accused student shall be given the option of withdrawing from the University or being heard by the Honor Council.
 - 5. If either determination 1 or 2 is made by the Honor Advisory Board, then the information packet that was prepared by the Honor Investigator is destroyed. If either determination 3 or 4 is made, then the packet shall be given to the accuser and the accused.
- F. Voluntary Withdrawal
 - 1. An accuser cannot withdraw a charge of an honor violation upon agreement of the accused to withdraw from the University.
 - 2. If the accused elects to discontinue enrollment:
 - a. The Honor Council shall take appropriate action to record the facts as they were presented.
 - b. The Honor Council president shall notify the President of the University and other appropriate administrative officers of such action; and the following entry shall be made on the student's official academic record: *"Withdrew from the University on [date] under accusation of an Honor Code violation of [name of violation]."*
- G. No hearing shall be scheduled between the beginning of the Reading Period and the end of the Examination Period. Cases that arise within this time frame shall be tried as soon as possible, but ordinarily no later than the end of the second week of classes during the subsequent semester (summer sessions excluded). In the event of extenuating circumstances, the president of the Honor Council may grant a postponement.
- H. Admission of Responsibility

1. The accused student may plead responsible at any point prior to convening the actual honor hearing. When doing so, the accused shall appear before an Honor Hearing Panel. The purpose of the hearing shall be to determine an appropriate sanction based on the honor violation.
2. When pleading responsible, the accused student must send a signed, written statement to the Honor Council president acknowledging a plea of responsible.
3. Upon receipt of the accused student's statement, the Honor Council president shall arrange for an Honor Hearing Panel. At the hearing, the Honor Council shall be represented by six of its members: the Honor Council president, who is the presiding officer for the hearing, plus five unbiased Honor Council representatives. Both parties shall be entitled to have present at the hearing a student honor advisor, appointed by the student advisor coordinator, and a faculty advisor. Both parties shall be entitled to present a statement at the time of the hearing.

I. Plea of Not Responsible

1. The accused student may plead not responsible at any point prior to convening the actual honor hearing. When doing so, the accused shall appear before a hearing panel. The purpose of the hearing shall be to determine whether the accused is responsible or not. If the accused is found responsible, then the panel will also determine an appropriate sanction based on the honor violation.
2. When pleading not responsible, the accused student must send a signed, written statement to the Honor Council president acknowledging a plea of not responsible.
3. Upon receipt of the accused student's statement, the Honor Council president shall arrange for a panel. At the hearing, the Honor Council shall be represented by six of its unbiased members: the Honor Council president, who is the presiding officer for the hearing, plus five unbiased Honor Council representatives. Both parties shall be entitled to have present at the hearings a student honor advisor, appointed by the student advisor coordinator, and a faculty advisor. Both parties shall be entitled to present a statement at the time of the hearing.

J. Evidence and Witnesses

1. The accuser and accused may use anything contained in the honor investigator's report during an honor hearing. Any additional information presented at the hearing that is not contained in the initial report, or the use of oral or written testimony from third parties, must be exchanged among the accuser, accused, and the Honor Council president at least 48 hours prior to the convening of the hearing.

Section 2. Hearing

A. Composition

1. At a hearing, the Honor Council shall be represented by six of its unbiased members: the Honor Council president, who is the presiding officer for the hearing, plus five Honor Council representatives.
2. Two faculty advisors appointed by the vice president of the Honor Council (see Article II, Section 5 C) shall be present, but shall not participate in the conduct of the hearing itself.
3. Two student honor advisors shall be present. The student advisor coordinator shall designate one to serve as advisor to the accused and one as advisor to the accuser.
4. The accuser and the accused may engage any University faculty, staff or student of his or her own choice to act as counsel in addition to or instead of being assisted by his or her faculty and student honor advisors.

5. The hearing will proceed in the absence of the accused, unless granted a postponement by the Honor Council president.

B. Format

1. Attendance at the hearing shall normally be restricted to those persons described above (Article III, Section 2 A). However, the accused may request an open hearing, in which case additional members of the University community or other persons designated by the accused may also attend as permitted by room capacity.
2. The Honor Council, with the president serving as the presiding officer, shall direct the hearing process. The vice president shall serve as the presiding officer over hearings if the president for any reason is unable to be present.
3. Rules of Testimony
 - a. The accused is not required to testify on his or her behalf and cannot be compelled to answer questions during the hearing.
 - b. Failure of the accused to testify shall not be mentioned by the accuser during the hearing, nor shall it be a consideration in determining either a verdict or, in the event of conviction, a sanction.
 - c. If the accused chooses to respond to questions from the Honor Council, such responses must be made personally by the accused, not by counsel or by any other representative of the accused.
4. Upon conclusion of all testimony, the hearing panel, which shall consist of five Honor Council members, shall deliberate and deliver to the Honor Council president a verdict of responsible or not responsible. A verdict of responsible shall be rendered only upon the concurrence of at least three-fifths of the hearing panel.
 - a. If a verdict of responsible is rendered, the five Honor Council panel members who are present shall decide the appropriate sanction, which shall be announced by the president of the Honor Council.

C. Sanctions

1. Following a verdict of responsible or an admission of responsibility, the Honor Council must impose one or more of the following sanctions:
 - a. Community Service. Where appropriate, the sanction of community service may be rendered.
 - b. Loss of Credit for the Course. In cases involving academic violations, the sanction may require the loss of academic credit through the assignment of a failing grade in the course(s) involved.
 - c. Honor Suspension. Honor suspension is the loss of all academic credit for the semester in which the violation occurred. The period of suspension may be made longer at the discretion of the Honor Council.
 - d. Permanent Dismissal. A student receiving the sanction of permanent dismissal is not eligible to return to the University.
2. Any record of previous honor offenses shall not be taken into account in determining the verdict in a hearing. However, the Honor Council shall consider such record in determining the sanction to be imposed in the event of subsequent conviction, as follows:

- a. If a student, having been previously convicted and given the sanction of loss of credit for the course or community service, shall be found responsible of a second violation, the sanction for the latter violation must be either suspension or permanent dismissal.
 - b. If a student, having been previously convicted and suspended, shall be found responsible of a subsequent violation, the sanction for the latter violation must be permanent dismissal.
3. All sanctions imposed shall be entered into the student's official academic record (see Article III, Section 4 B).

Section 3. Appeal

A. Appeal of Verdict

- 1. A student convicted of an honor offense may appeal the verdict on procedural grounds or upon the presentation of relevant new evidence that was unavailable at the time of the original hearing. Such appeal must be made in writing and may, in addition, be presented orally to the Honor Advisory Board, which shall consist of three Honor Council representatives, within five business days after the initial verdict is rendered; the Board shall then determine whether sufficient grounds exist for granting the appeal.
- 2. If the appeal is granted, a new hearing is ordered. Such hearing shall be conducted in accordance with established honor hearing procedures (see Article III, Section 2), but it shall include no Honor Council member or juror who participated in the initial hearing.
- 3. If the appeal is not granted, the original verdict shall stand as rendered.

B. Appeal of Sanction

- 1. A student convicted of an honor offense has the right to appeal the sanction on the grounds that the penalty is too harsh for the violation committed. Such appeal must be made in writing, and may, in addition, be presented orally to the president of the Honor Council within five business days after the initial verdict is rendered.
 - 2. The president of the Honor Council shall appoint an Honor Appellate Panel to consider such appeal. The Panel shall consist of five unbiased Honor Council members who did not participate in the initial hearing.
 - 3. During an appeal, the Honor Appellate Panel shall review records of the initial hearing. The president or vice president of the Honor Council may read a personal statement submitted by the appealing student to the Honor Appellate Panel. The Panel shall determine whether to sustain, decrease, or increase the sanction imposed at the initial hearing based upon the records and statements presented to them.
 - 4. The decision of the Honor Appellate Panel shall be final, and the convicted student shall have no further right of appeal.
- C. In the event that an insufficient number of current Honor Council members are available to consider an appeal, the Honor Council president shall have the right to authorize previous Honor Council members to serve at an appeal hearing.

Section 4. Notation on Academic Record

- A. In the case of acquittal, all records of the hearing shall be destroyed expeditiously.
- B. In the case of conviction, an entry shall be made on a student's academic record as described in Article IV of the Constitution.

Section 5. Violations of Conditions of Previously Imposed Sanctions

- A. The Honor Council may re-sanction a student who has violated the conditions of a previously imposed sanction even if the violation itself does not constitute an honor offense.
- B. Hearing
 - 1. The president of the Honor Council shall arrange for a hearing to consider whether the conditions of a previously imposed sanction have been violated. At this hearing the Honor Council shall be composed of six of its members: the Honor Council president, who is the presiding officer for the hearing; plus five unbiased Honor Council representatives. The accused shall be entitled to have present at the hearing an Honor Council member who will serve as a student honor advisor, and a faculty advisor appointed by the vice president, who will serve as the student advisor coordinator. The Honor Council will bring a charge of violation of conditions of a previously imposed sanction. The accused shall be entitled to present any evidence at the hearing that is relevant to the charge that the previously imposed sanction has been violated. No evidence may be presented at the hearing that is otherwise excluded by the procedures of the Honor Council or the Honor Constitution.
 - 2. The hearing will proceed in the absence of the accused.
 - 3. Upon conclusion of all testimony, the five Honor Council representatives who are present at the hearing shall determine what sanction, if any, will be imposed.
 - 4. The sanction imposed pursuant to this procedure may supersede, or be in addition to, the sanction previously imposed for the honor offense.
- C. In the event that an insufficient number of current Honor Council members is available to attend this type of hearing, the Honor Council president shall have the right to authorize previous Honor Council members to participate.

Section 6. A brief summary of every case heard by the Honor Council, whether resulting in acquittal or conviction, shall be published in an appropriate venue. Such summary shall include the verdict and the sanction (if any), but shall not include the names of the accuser or accused. Case information may be found at: <http://students.umw.edu/~honor/>. There will be a folder on the homepage of this web site titled "Case Summaries" that will contain and sort the cases by semester.

Article IV: Amendments to Appendix A

- Section 1.** Amendments to this Appendix may be initiated either by the Honor Council itself or by the student body of the Fredericksburg campus.
- A. The Honor Council may initiate an amendment by an affirmative vote of at least three-fourths of its members. For approval, the amendment must then receive an affirmative vote of the majority of the votes cast in a student body referendum.
 - B. The student body of the Fredericksburg campus may initiate an amendment to Appendix A by presenting to the Honor Council a petition signed by at least ten percent of the currently enrolled student body of that campus. For approval, the amendment must then receive an affirmative vote of at least three-fourths of the Honor Council members. It must then receive an affirmative vote of the majority of the votes cast in a Fredericksburg campus student body referendum.
 - C. In the event that the Honor Council does not approve an amendment to Appendix A initiated by the student body, such action can be overridden if a petition, signed by at least 25 percent of the currently enrolled student body of the Fredericksburg campus is presented to the Honor Council requesting a referendum on the amendment. For approval, the amendment must then receive an affirmative vote of the majority of the votes cast in a student body referendum of the Fredericksburg campus.

Section 2. Any amendment must be approved by the Board of Visitors of the University before it can become operative.

Approved by student body, March 1, 1990
Approved by Board of Visitors, April 7, 1990

Amended by student body referendum, March 28, 1991
Amendment approved by Board of Visitors, April 16, 1991

Amended by student body referendum, March 22, 1994
Amendment approved by Board of Visitors, April 16, 1994

Amendments approved by Board of Visitors, November 11, 1995
Amended by student body referendum, December 4, 1995

Amendments approved by Board of Visitors, February 10, 1996
Amended by student body referendum, February 28, 1996

Amended by student body referendum, April 12, 2001
Amendments approved by Board of Visitors, April 21, 2001

Amended by student body referendum, April 2, 2002
Amendments approved by Board of Visitors, April 20, 2002

Amended by student body referendum, April 2, 2003
Amendments approved by Board of Visitors, April 11, 2003

Amended by student body referendum, March 10, 2005
Amendments approved by Board of Visitors, April 16, 2005

Amended by the Board of Visitors, September 8, 2006

Amended by student body referendum, February 11, 2009
Amendments to Appendix A approved by Board of Visitors, February 20, 2009
Amendments to Constitution approved by Board of Visitors, May 8, 2009

Appendix B
Stafford Campus
Honor Constitution Organizational and Procedural Appendix

Article I: Scope of the Honor Code

Section 1. The violations of the Honor Code are lying, cheating, and stealing in all various forms.

Article II: Organization

Section 1. The Stafford Campus Honor Council, a judicial body, is designed to try specific cases brought to it in regards to possible violations of the Honor Code.

Section 2. The Honor Council consists of a president and additional representatives from the student body.

- A.** Each Honor Council representative will be elected by currently enrolled Stafford Campus students.
- B.** One member shall be elected by the body of the Honor Council to serve as president, and one to serve as vice president. The vice president shall assume the duties of the president in the president's absence, and shall perform other duties as may be assigned by the president.
- C.** The terms of the Honor Council members shall begin in the spring semester of the year in which elected, and shall continue until the installation of the succeeding members the following year. Members of the Honor Council may be reelected.
- D.** Any member of the Honor Council who fails to perform the duties or uphold the standards of office may be removed by action of the Honor Council as follows:
 - 1. The Honor Council itself may initiate the recall of a member by a majority vote of its members in favor of removal.
 - 2. Whenever a member is removed or resigns from office, an election shall be held as soon as viable by the student body of the home campus where the vacancy exists.

Section 3. There shall be an Honor Advisory Board consisting of the president of the Honor Council who will act as chair, and no fewer than two Honor Council representatives. The other two Honor Council representatives will be appointed by the president; therefore it is the responsibility of the Honor Advisory Board to receive information from the accuser's statement and the statement received from the accused. The Honor Advisory Board determines, on this basis, the appropriate dispensation of the alleged violation.

Section 4. There shall be two nonvoting faculty advisors to the Honor Council; both shall be present at each hearing.

- A.** Faculty advisors shall be appointed for staggered two-year terms by the President of the University in consultation with the president of the Honor Council.
- B.** Prior to each honor hearing, one faculty advisor shall be available to advise the accuser and one to advise the accused, but neither shall participate in the hearing itself.

- C. Faculty advisors shall meet periodically with the Honor Council to review matters of function and practice; whereas, Council members shall report to the faculty at least once per semester concerning such matters.

Section 5. Procedural Advisor. There shall be one nonvoting procedural advisor to the Honor Council, who shall be appointed by the President of the University in consultation with the president of the Honor Council. It shall be the role of the procedural advisor to aid the Honor Council president in providing clarification concerning Honor System procedures. The Procedural Advisor shall be present at each Honor Hearing Panel and Honor Council deliberations during said hearings.

Section 6. In order to take into account the existence of one Honor Council on each campus, a student suspected of an honor violation will be referred directly to their home campus Honor Council for investigation. The home campus shall be determined by the registrar's office.

Article III: Procedure

Section 1. Investigation

- A. The Honor Council operates on the premise that every person is deemed not responsible until proved responsible.
- B. All members of the College community should feel obligated to investigate as quickly and discreetly as possible any suspected violation of the Honor Code.
- C. In the event a member feels a violation has occurred, the accuser must confront the accused and request an explanation for the alleged violation. The accused must be a member of the University community. If the explanation is deemed satisfactory, there shall be no further proceedings. However, if it is believed a violation has occurred, a formal accusation will be made and the accuser must then notify the president of the Honor Council in writing. All accusations must be made within seven business days from the date of discovery of the alleged violation. This seven-day period within which an accusation must be made excludes all breaks. The Honor Council president will notify the accused, who will have five business days to turn in a written statement. The statement from the accuser is already available in the letter of accusation. If notification is not received within five business days, the Council will proceed as if the student has pled responsible.
- D. The Honor Council president, and no fewer than two Honor Council representatives, will meet as Honor Advisory Board to discuss the two written statements and any other evidence submitted. Such meetings will be organized within five business days after receiving the written statements and other evidence. All evidence considered by the Honor Advisory Board shall be assembled as a formal Investigational Packet. Copies will be made available to the accuser and the accused following the Honor Advisory Board hearing.
- E. On the basis of the formal Investigational Packet, the Honor Advisory Board shall make one of the following determinations:
 - 1. If there is no evidence a violation has occurred, there shall be no further proceedings.
 - 2. If the evidence presented is insufficient, or the grounds inappropriate to warrant further adjudication, there shall be no further proceedings.

3. If there is evidence of an Honor Code violation; the accused student shall be given the option of withdrawing from the University or being heard by the Honor Council.
4. If either determination number 1 or 2 is made by the Honor Advisory Board, then the formal Investigational Packet and all information pertaining to the case prepared by the Honor Advisory Board is destroyed.
5. If determination number 3 is made, then the packet shall be given to the accuser and the accused.

F. Voluntary Withdrawal

1. An accuser cannot withdraw a charge of an honor violation upon agreement of the accused to withdraw from the University.
2. If the accused elects to discontinue enrollment:
 - a. The Honor Council shall follow procedure outlined in Appendix B, article III, using the accused's home address and using certified mail for record of notification.

- G.** No hearing shall be scheduled between the beginning and the end of the Examination Period. Cases which arise within this time frame shall be tried as soon as possible, but ordinarily no later than the end of the second week of classes during the subsequent semester. In the event of extenuating circumstances, the president of the Honor Council may grant a postponement.

H. Admission of Responsibility:

1. The accused student may plead responsible at any point prior to convening the actual honor hearing. When doing so, the accused shall appear before an Honor Hearing Panel. The purpose of the hearing shall be to determine an appropriate sanction based on the honor violation.
2. When pleading responsible, the accused student must send a signed, written statement to the Honor Council president acknowledging a plea of personal responsibility for the honor violation.
3. Upon receipt of the accused student's statement, the Honor Council president shall arrange for an Honor Hearing Panel. At the hearing, the Honor Council shall be represented by no fewer than four of its members: the Honor Council president, who is the presiding officer for the hearing, and no fewer than three unbiased Honor Council representatives. Both parties shall be entitled to have present at the hearing a faculty advisor, appointed by the Honor Council president. Both parties shall be entitled to present a statement at the time of the hearing.

I. Plea of Not Responsible

1. The accused student may submit a plea of not responsible at any point prior to convening the actual honor hearing. When doing so, the accused shall appear before an Honor Hearing Panel. The purpose of the hearing shall be to determine whether the accused is responsible or not. If the accused is found responsible, then the Panel will also determine an appropriate sanction based on the honor violation.

2. When pleading not responsible, the accused student must send a signed, written statement to the Honor Council president acknowledging a plea of not responsible.
3. Upon receipt of the accused student's statement, the Honor Council president shall arrange for an Honor Hearing Panel. At the hearing, the Honor Council shall be represented by no fewer than four of its unbiased members: the Honor Council president, who is the presiding officer for the hearing, and no fewer than three unbiased Honor Council representatives. Both parties shall be entitled to have present at the hearings a faculty advisor, appointed by the Honor Council president. Both parties shall be entitled to present a statement at the time of the hearing.

J. Evidence and Witnesses

1. The accuser and accused may use anything contained in the honor investigator's report during an honor hearing. Any additional information presented at the hearing not contained in the report, or the use of oral or written testimony from third parties, must be exchanged among the accuser, accused, and the Honor Council president at least 48 hours prior to the convening of the hearing.

Section 2. Hearing

A. Composition

1. At a hearing, the Honor Council shall be represented by: the Honor Council president, who is the presiding officer for the hearing, and no fewer than three unbiased Honor Council representatives.
2. Both faculty advisors shall be present. The Honor Council president shall designate one to serve as an advisor to the accused, and one as an advisor to the accuser.
3. The accuser and the accused may engage any University faculty, staff or student of his or her own choice to act as counsel in addition to or instead of being assisted by his or her faculty and student honor advisors.

B. Format

1. Attendance at the hearing shall normally be restricted to those persons described above (Art. III, Sec.2A). However, the accused may request an open hearing, in which case additional members of the University community or other persons designated by the accused may also attend. In the event of an open trial the accused forfeits their right to privacy.
2. The Honor Council, with the president serving as the presiding officer, shall direct the hearing process. The vice president shall serve as the presiding officer over hearings if the president is unable to be present for any reason.

3. Rules of Testimony

- a. The accused is not required to testify on his or her behalf and cannot be compelled to answer questions during the hearing.
- b. Failure of the accused to testify shall not be mentioned by the accuser during the

hearing, nor shall it be a consideration in determining either a verdict or, in the event of conviction, a sanction.

c. If the accused chooses to respond to questions from the Honor Council, such responses must be made personally by the accused, not by counsel or by any other representative of the accused.

4. Upon conclusion of all testimony, the hearing panel shall deliberate and deliver to the Honor Council president a verdict of responsible or not responsible. A verdict of responsible shall be rendered only upon the majority concurrence of the hearing panel.
5. If a verdict of responsible is rendered, the Honor Council representatives who are present shall decide the appropriate sanction, which shall be announced by the president of the Honor Council.

C. Penalties

1. Following a verdict of responsible or an admission of responsibility, the Honor Council must impose one or more of the following penalties:
 - a. Community Service. Where appropriate, the sanction of community service may be rendered.
 - b. Loss of Credit for the Course. In cases involving academic credit through the assignment of a failing grade in the course(s) involved.
 - c. Honor Suspension. Honor suspension is the loss of all academic credit for the semester in which the violation occurred. The period of suspension may be made longer at the discretion of the Honor Council.
 - d. Permanent Dismissal. A student receiving the penalty of permanent dismissal is not eligible to return to the University.
2. Any record of previous honor offenses shall not be taken into account in determining the verdict in a hearing; however, the Honor Council shall consider such record in determining the penalty to be imposed in the event of subsequent conviction, as follows:
 - a. A student, having been previously convicted and given the sanction of loss of credit for the course or given community service and determined responsible for a second violation, will be given a sanction of either suspension or permanent dismissal.
 - b. A student, having been previously convicted and suspended, and determined responsible for a subsequent violation, will be given a sanction of dismissal.
3. All sanctions imposed shall be entered into the student's official academic record (see below, Art. III, Sec. 4).

Section 3. Appeal

A. Appeal of Verdict

1. A student convicted of an honor offense may appeal the verdict on procedural grounds or upon the presentation of relevant new evidence which was unavailable at the time of the original hearing. Such appeal must be made in writing, and may, in addition, be presented orally to the Honor Advisory Board within five business days after the initial verdict is rendered; the Board shall then determine whether sufficient grounds exist for granting the appeal.
2. If the appeal is granted, a new hearing is ordered. Such hearing shall be conducted in accordance with established honor hearing procedures (Art. 3, Sec.2). The president shall convene an Honor Appellate Panel consisting of the Honor Council members who did not participate in the initial hearing. The faculty advisor who did not participate in the initial trial shall act as advisor at the appeal.
3. In the event an insufficient number of current Honor Council and/or faculty members are able to consider an appeal, the Honor Council president shall have the right to authorize previous Honor Council and/or faculty members, or make appointments as necessary, to serve at an appeal hearing.
4. If the appeal is not granted, the original verdict shall stand as rendered, and the convicted student shall have no further right of appeal.

B. Appeal of Sanction

1. A student convicted of an honor offense has the right to appeal the sanction on the grounds the penalty is too harsh for the violation committed. Such appeal must be made in writing, and may, be presented orally to the president of the Honor Council within five business days after the initial verdict is rendered.
2. The president of the Honor Council shall appoint an Honor Appellate Panel to consider such appeal. The Panel shall consist of no fewer than three unbiased Honor Council members who did not participate in the initial hearing.
3. In the event an insufficient number of current Honor Council members are able to consider an appeal, the Honor Council president shall have the right to authorize previous Honor Council members, or make appointments as necessary, to serve at an appeal hearing.
4. During an appeal, the Honor Appellate Panel shall review records of the initial hearing. The president or vice president of the Honor Council may read a personal statement submitted by the appealing student to the Honor Appellate Panel. The Panel shall determine whether to sustain, decrease, or increase the sanction imposed at the initial hearing based upon the records and statements presented to them.
5. The decision of Honor Appellate Panel shall be final, and the convicted student shall have no further right of appeal.

Section 4. Notation on Academic Record

- A. In the case of acquittal, all records of the hearing shall be destroyed expeditiously.
- B. In the case of conviction, an entry shall be made on a student's academic record as described in Article IV of the Constitution.

Section 5. A brief summary of every case tried by the Honor Council, whether resulting in acquittal or conviction, shall be submitted to the *Stafford Campus News* for publication in an appropriate format. Such summary shall include the charge, verdict and punishment, but shall not include the names of the accuser or accused.

Article IV: Amendments to the Appendix

Section 1. Amendments to this Appendix may be initiated either by the Honor Council itself or by the student body of the Stafford Campus.

A. The Honor Council may initiate an amendment of Appendix B by an affirmative majority vote of its members. For approval, the amendment must then receive an affirmative vote of a majority of the currently enrolled student body.

B. The Stafford Campus student body may initiate an amendment to Appendix B by presenting to the Honor Council a petition signed by at least ten percent of the currently enrolled Stafford Campus student body. For approval, the amendment must then receive an affirmative majority vote of the Honor Council members. It must then receive an affirmative vote of a majority of the currently enrolled student body.

C. In the event the Honor Council does not approve an amendment to Appendix B initiated by the Stafford Campus student body, such action can be overridden if a petition, signed by at least twenty-five percent of the currently enrolled Stafford Campus student body is presented to the Honor Council requesting a referendum on the amendment. For approval, the amendment must then receive an affirmative vote of a majority of the currently enrolled Stafford Campus student body in a referendum.

Section 2. Any amendment must be approved by the Board of Visitors of the University before it can become operative.

APPENDIX C

POLICY AND STATEMENTS ON ACADEMIC FREEDOM

University of Mary Washington Policy on Academic Freedom

[Adopted by the faculty, 1986 and the Board of Visitors, 1987. Wording changed to reflect the University name change in 2004.]

C.1 FIRST AMENDMENT STATEMENT

C.1.1 University of Mary Washington vigorously supports freedom of inquiry and expression within the academic community. All members of that community have a fundamental right to follow their interests and to express their views privately and publicly without censorship, constrained only by the laws of the Commonwealth of Virginia, the laws of the United States, and respect for the property and person of others. While the University may institute regulations to ensure the orderly expression of ideas and to protect the resources needed for productive inquiry, these regulations shall not be interpreted in a way which restricts freedom of inquiry and expression by any member of the University community.

C.1.2 University of Mary Washington has adopted the Statement on Academic Freedom of the Association of American Colleges (1941), and the American Association of University Professors' statement on Freedom and Responsibility (1970). These statements and the First Amendment to the Constitution of the United States define the parameters of academic freedom in the University of Mary Washington Community.

C.1.3 The University of Mary Washington Community includes:

.1 Faculty (defined herein as those University of Mary Washington personnel holding academic rank, including adjunct faculty and contract faculty). Faculty are afforded the full protection of the First Amendment to the *United States Constitution*. Moreover, by definition, teachers are entitled to the exercise of the freedom of inquiry, are obligated to follow scholarship wherever it leads and to promulgate the result of inquiry.

.2 Students (defined herein as those persons officially enrolled in one or more classes at University of Mary Washington). All students bring their First Amendment rights onto the campus. Therefore, all University of Mary Washington students shall be afforded the same rights of inquiry and promulgation as the faculty.

.3 Speakers, public performers, artists and other guests Speakers, public performers, artists and other guests invited by the institution and/or by recognized student, faculty, and institutional organizations shall be protected from any form of censorship or disruption, and shall be afforded the same freedom of expression in the chosen medium as is guaranteed members of the

University of Mary Washington community. Freedom from censorship extends to individual as well as public behavior and carries with it accompanying responsibility for individual as well as public behavior, both on the part of members of the University community and their invited guests.

C.2 ACADEMIC FREEDOM GRIEVANCE POLICY If any member of the University community or invited guest perceives that rights of expression or inquiry have been denied or abridged by another part of that same community, the aggrieved individual or group may request the President to convene the Committee on Academic Freedom. Within five working days after the receipt of such a request, the President shall notify the Dean, the Faculty Affairs Committee, and the University of Mary Washington Student Association to appoint members to the committee. Within five working days of receiving its charge from the President, the members of the Committee on Academic Freedom shall meet and elect a chair, who will notify the aggrieved and accused parties of the hearing procedure, and within ten working days after receiving its charge, shall conduct a public hearing and report its findings and recommendations to the President within twenty (20) working days.

C.3 THE COMMITTEE ON ACADEMIC FREEDOM

- .1 The Committee on Academic Freedom shall be composed of five members of the University community. One of the members shall be appointed by the Provost, one shall be appointed by the University Faculty Council, and one shall be appointed by the Mary Washington Student Association.
- .2 The aggrieved individual and the person who is accused of violating academic freedom shall each appoint one additional member to the committee.
- .3 In the event that either party to the dispute shall decline to participate in the selection, the two additional members of the committee shall be appointed by the three original members of that committee.
- .4 No members of the committee shall be parties to the dispute.
- .5 The duties of the Committee on Academic Freedom shall be to ensure orderly presentation of views, to pursue additional information from other selected sources, to present the findings and conclusions and recommendations of the committee to the President, the Student Association, and the faculty, and to establish such rules as shall be necessary to perform these duties.

C.4 1940 AAUP STATEMENT OF PRINCIPLES ON ACADEMIC FREEDOM (Jointly revised by the American Association of University Professors (AAUP) and the Association of American Colleges and Universities (AACU) in 1990.)

- (a) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary reward should be based upon an understanding with the authorities of the institution.

- (b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their 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.
- (c) College or university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

C.5 AAUP STATEMENT ON FREEDOM AND RESPONSIBILITY (adopted by the Council of the AAUP in 1970, REVISED 1990)

Membership in the academic community imposes on students, faculty members, administrators and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions and to foster and defend intellectual honesty, freedom of inquiry and instruction and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. Students should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or to their own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism or personal beliefs.

It is a mastery teachers have of their subjects and their own scholarship that entitles them to their classrooms and to freedom in the presentation of their subjects. Thus, it is improper for an instructor persistently to intrude material which has no relation to the subject, or to fail to present the subject matter of his course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the instructor's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action and conscience, on the one hand, and the claims and expectations of their students, colleagues and institutions, on the other. If such conflicts become acute, and the instructor's attention to obligations as a citizen and moral agent precludes an instructor from fulfilling

substantial academic obligations, the instructor cannot escape the responsibility of that choice, but should either request a leave of absence or resign his or her academic position.

C.6 AAUP STATEMENT ON PROFESSORS AND POLITICAL ACTIVITY (Adopted by the AAUP in 1969, revised 1990.)

1. College and university faculty members are citizens, and, like other citizens, should be free to engage in political activities so far as they are able to do so consistently with their obligations as teachers and scholars.
2. Many kinds of political activity, e.g., holding part-time office in a political party, seeking election to any office under circumstances that do not require extensive campaigning, or serving by appointment or election in a part-time political office, are consistent with effective service as a member of a faculty. Other kinds of political activity, e.g., intensive campaigning for elective office, serving in a state legislature, or serving a limited term in a full-time position, may require that professors seek a leave of absence from their college or university.
3. In recognition of the legitimacy and social importance of political activity by professors, universities and colleges should provide institutional arrangements to permit it, similar to those applicable to other public or private extra-mural service. Such arrangements may include the reduction of the faculty member's workload or a leave of absence for the duration of an election campaign or a term of office, accompanied by equitable adjustment of compensation when necessary.
4. Faculty members seeking leaves should recognize that they have a primary obligation to their institution and to their growth as educators and scholars; they should be mindful of the problem which a leave of absence can create for their administration, their colleagues, and their students; and they should not abuse the privilege by too frequent or too late application or too extended a leave. If adjustments in their favor are made, such as reduction of workload, they should expect the adjustments to be limited to a reasonable period.
5. A leave of absence incident to political activity should come under the institution's normal rules and regulations for leaves of absence. Such leave should not affect unfavorably the tenure status of a faculty member, except that time spent on such leave from academic duties need not count as probationary service. The terms of a leave and its effect on the professor's status should be set forth in writing.

APPENDIX D

PROCEDURE FOR STUDENT GRIEVANCE AGAINST A FACULTY MEMBER (ACADEMIC REVIEW BOARD)

D.1 PRE-PANEL PROCEDURES If a student disputes a faculty member's decision, every effort should be made by them to resolve the matter. If the disagreement cannot be resolved, the student may request a review of this decision no later than the end of the following semester, recognizing that the burden of proof is on the student.

D.2 FIRST FILING The student will submit a written statement of the matter under dispute, with any supporting material, to the chair of the department of the faculty member concerned (or to the dean's office if the dispute is with the chair), with a copy sent to the faculty member.

D.3 ATTEMPT AT INFORMAL RESOLUTION Within seven (7) days the chair will review the dispute, consulting with the faculty member and student concerned with other department members as appropriate, and will attempt to settle the dispute. If agreement is reached at this level, the process ends. If either party does not accept the recommendation of the chair, the chair will forward all material including his or her recommendation to the dean.

D.4 REVIEW The dean will review the material submitted and will determine whether or not further consideration of the matter could be fruitful. If the decision is that it would not be fruitful, the dean will render a final decision. If he or she deems that further consideration is needed, the matter will be referred to an Academic Review Board to act as a conciliator between the student and the faculty member involved.

D.5 MEMBERSHIP OF PANEL AND METHOD OF SELECTING PANEL The Academic Review Board shall consist of the Associate Dean of Academic Services (acting as chair), two members of the University Faculty Council, and the chair of the student Academic Affairs Council or his or her appointee.

D.6 HEARING The Academic Review Board will hear the evidence of both the student and the faculty member on the matter.

D.7 DECISION The Academic Review Board shall, within two weeks of being convened, communicate its recommendations to the dean with copies to the student, faculty member, and chair involved. The dean will then render a decision, which will be final

D.8 ADMINISTRATIVE REVIEW If a student has a disagreement with regard to more than one individual decision with a faculty member, or if the student believes the faculty member has committed a breach of professional ethics, this may be conveyed to the chair or to the dean's office by the student for administrative review.

APPENDIX E

FACULTY HANDBOOK STYLE SHEET

E.1. GENERAL STYLE GUIDANCE

E.1.1 The section of the UMW Style Guide covering the use of “UMW and academic terms” shall be the principal reference to consult regarding the style appropriate for entries in the *Faculty Handbook*. It is available at:

http://www.umw.edu/policies/style_guide/umw__academic_terms/default.php

E.1.2 The following are spelled out fully when first used *each* major section of the *Handbook* (§1, §2, etc.), and may thereafter be mentioned as shown:

Commonwealth of Virginia	the Commonwealth, <i>or</i> Virginia
University of Mary Washington	the University
President of the University Mary Washington	the President
Rector and Visitors of the University Mary Washington	the Board of Visitors, <i>or</i> the Board

E.1.3 The symbol § (plural, §§) abbreviates both section(s) and subsection(s).

E.1.4 Avoid *ad hoc* capitalization. The *UMW Style Guide* (UMW and Academic Terms section) provides guidance about when to capitalize.

E.1.5 Sections of the *Faculty Handbook* should be capitalized (though not italicized):

§3.15.5 Sabbatical Leaves	Appendix A	Section 2
---------------------------	------------	-----------

E.1.6 Items in lists are not normally capitalized in the *Handbook* (cf. F.4).

E.1.7 Key terms in a discussion are often italicized on *first* use, but should thereafter appear in roman type (for example, “tenure-track faculty are *elected* to these ranks”).

E.1.8 A technical term, especially when accompanied by its definition, is often italicized on first use, but should thereafter appear in roman type (for example, *academic year*).

E.1.9 Corrections in style While motions for the faculty are in the process of being developed, corrections of style lapse may be incorporated silently by crafters of the motion or by those tasked with incorporating an approved amendment in the *Faculty Handbook*. The Office of the Provost bears *de facto* responsibility for ensuring that appropriate language reaches the Board of Visitors for approval.

E.2 GENERAL HANDBOOK FORMAT Persons preparing amendments for the *Faculty Handbook* should strive as much as possible to write the material in a way that adheres to *Handbook* formatting and observes these guidelines:

E.2.1 The text should be flush-left and ragged-right (i.e., left-, but not right-justified), single-spaced, with one skipped line between numbered items.

E.2.2 In composing documents for eventual insertion into the *Handbook*, use consecutive numbering (not outline or essay format, not letters or roman numerals). On the use of lists in the *Handbook*, see F.3.

E.2.3 Each new paragraph should be assigned a new subsection number and a title for easy reference. The number should appear in boldface followed by two spaces, then the section title in boldface (without terminal punctuation) followed by four spaces; text should then begin in roman type. In the few cases where titles of subsections are thought inappropriate, the subsection number should be in boldface followed by two spaces, then the text should begin in roman type.

E.2.4 Avoid mention of information likely to become dated quickly (e.g. specific office hours).

E.3 TYPEFACES

E.3.1 *Italics* should be used for all *publications* of the University; for *emphasis* (must have *written* permission); for the introduction of *technical and specially treated terms*; for *foreign words* (*curriculum vitae*); but *not* for common Latin abbreviations (e.g., i.e., cf., et al., etc.).

E.3.2 **Boldface** should be used for section and subsection numbers and headings.

E.3.3 **Bold italics** should be used for titles appearing within section headings.

E.4.4 ALL CAPITALS and **BOLD CAPITALS** should occur only in headings, not in the text. The text for first-level subheadings in all sections (e.g. §2.1 **INTRODUCTION TO FACULTY GOVERNANCE**) should appear in 12-point, **BOLD CAPITALS** (Times New Roman font).

E.4 LISTS

E.4.1 When the context makes it clearer to create a brief list rather than to itemize within a paragraph (e.g. when several items are required to be included in some document or file), a bullet list may be used. Items in the list are not normally capitalized and, depending on the sort of elements in the list itself, may or may not require punctuation:

List 1

- academic advising
- career advising
- club sponsorship

List 2

- Submit all final grades to the Office of Student Records,
- return all library books and/or pay all library fines, and
- turn in all University-owned property .

E.4.3 Lists are normally single-spaced. For three or fewer items, incorporation into the paragraph is usually preferable.

E.5 NUMBERS IN THE TEXT

E.5.1 Whole numbers from zero to ninety-nine, round numbers, and numbers at the beginnings of sentences are ordinarily spelled out. For example: “within one week (five working days)” or “three years (or the equivalent) of full-time teaching.” Common fractions and ordinals should also be written out (“two-thirds of the members present”). Exceptions include tables of figures, contexts where numbers appear together in close proximity, time of day, and dates:

The collection contains some 300,000 catalogued volumes, approximately 1,500 current newspaper . . .

E.5.2 In quasi-legal contexts, numerals may appear in parentheses after being spelled-out:

this process will not exceed sixty (60) days from the initiation of a complaint

E.6 PUNCTUATION

E.6.1 Normal rules of punctuation apply to the *Handbook*.

E.6.2 Square brackets are used to designate particular actions taken by the Board of Visitors (specified in 11.3 below); other parenthetical remarks appear in ordinary parentheses.

E.6.3 Note the form of the em dash (—), en dash (–), hyphen (-), and examples of each, respectively:

<i>em dash:</i>	term appointments—ones that will end after a specified term of service—are used
<i>en dash:</i>	§§2.14.1–2.14.7.4 August–May academic year 2006–07
<i>hyphen:</i>	whether full-, half-, step, foster-, adopted, or in-law institution-wide

E.6.4 Explanatory notes should appear parenthetically within the subsection to which they refer; if it is unavoidable that an asterisk be used to indicate a note to the text (e.g. the note refers to something within quoted material), the note should be placed immediately after the subsection, before any other numbered subsection.

E.6.5 Double quotation marks should *not* be used to indicate special uses of terms (cf. G.5).

E.6.6 Avoid *ad hoc* use of symbols and special characters (e.g., diamond bullets).

APPENDIX F

RULES OF ORDER FOR THE COLLEGE OF ARTS AND SCIENCES (CAS) FACULTY SENATE AND CAS FACULTY COMMITTEES

F.1 ORGANIZATION OF THE CAS FACULTY SENATE

F.1.1 Role of the CAS Faculty Senate The CAS Faculty Senate is a representative body, which shall serve as the official voice of the CAS instructional faculty on all matters which fall within its jurisdiction. The purpose of the Faculty Senate is to create an effective legislative and advisory body to ensure representation of faculty interests and to fulfill the authority and responsibilities delegated to the faculty in §2.1.3 in this *Handbook* as pertinent to the CAS. Service on the Faculty Senate is considered an important part of a faculty member's professional responsibility.

F.1.2 CAS Faculty Senate Meeting Membership The Faculty Senate shall be comprised of twenty-three senators and a Faculty President. Any member of the CAS full-time instructional faculty with a minimum of three years of full time teaching at the University may serve. The Faculty President must have attained the rank of associate professor or above with tenure. If elected as a senator or as Faculty President, a faculty member must relinquish any position currently held on a faculty standing committee and is prohibited from serving on any standing committee while serving as senator or Faculty President, with the exception of the Budget Advisory Committee, the James Farmer Multicultural Center Advisory Committee, or the University Council. Attendance at Faculty Senate meetings is open to all faculty, and all faculty may speak when recognized by the Faculty President although only senators or their substitutes may vote. The complete agenda and minutes for each meeting of the Faculty Senate will be provided to all faculty.

F.2 Faculty Senators All faculty senators, with the exception of the President-Elect, will serve one-year terms with years corresponding to the academic year; senators may serve unlimited, consecutive terms. Senate members may be removed from office for cause at the prerogative of their department (or the faculty in the case of the President-Elect and the Faculty President). In the event the position of President-Elect or at-large senator becomes vacant, the FOC will conduct a special election in order to fill the vacated seat. A total of twenty-three (23) faculty senators are elected from the academic departments and three at-large seats, as follows:

F.2.1 Academic Departments Each of the twenty CAS academic departments may elect a faculty senator on an annual basis. However, for any academic year a department may decline to elect a faculty senator by notifying the Faculty Organization Committee (FOC) of its intent prior to the election of at-large senators in the spring semester. In that case, an additional at-large senator seat will be elected by the faculty. If a faculty senator representing one of the academic departments resigns or is removed for cause during the middle of a term, the department will elect a replacement and inform the FOC and the Faculty President. If the department is unable to

elect a replacement, they must inform the FOC and the Faculty President. The FOC will then conduct a special election for an additional at-large senator, to be elected by the faculty, who will complete the remainder of the vacated term.

F.2.2 At-Large Seats The faculty will elect two at-large senator seats as well as any additional at-large seats created by department declination as specified above. The President-Elect will serve as an at-large senator until installed as Faculty President.

F.2.3 Officers of the CAS Faculty Senate

F.2.3.1 CAS Faculty President The CAS Faculty President must have attained the rank of associate professor or above with tenure. The Faculty President will serve a two-year term. The Faculty President is a non-voting member of the CAS Faculty Senate, except in the case of a Faculty Senate tie vote. In the event of a tie, the Faculty President will cast the deciding vote.

F.2.3.2 CAS President-Elect The faculty will elect a President-Elect from among its members every other spring semester. The CAS President-Elect must have attained the rank of associate professor or above with tenure. If the in-coming President-Elect is already a department senator, FOC will request the department to elect a replacement. The President-Elect will serve a two-year term. The CAS President-Elect will serve as an at-large senator until installed as Faculty President with the same membership and voting privileges as the other Faculty Senators. The CAS President-Elect will become Faculty President automatically at the expiration of the President's term. Candidates for the position of President-Elect may also run for Secretary of the CAS Faculty or for one of the other at-large senator seats, but the ballots will be counted in the order of CAS President-Elect, then CAS Secretary of the Faculty, then at-large senator. Once elected, a faculty member's name is not further considered and subsequent votes for him or her are not included in the count of votes cast for Secretary of the Faculty or for at-large senator.

F.2.3.3 CAS Faculty Secretary The faculty will elect a Secretary of the Faculty from among its members every other spring semester. If the in-coming Secretary is already a department senator, FOC will request the department to elect a replacement. The CAS Secretary will serve a two-year term. The Secretary is not a voting member of the Faculty Senate. The Secretary of the CAS Faculty may also run for President-Elect or for one of the other at-large senator seats, but the ballots will be counted in order of President-Elect, then Secretary of the Faculty, then at-large senator. Once elected, a faculty member's name is not further considered and subsequent votes for him or her are not included in the count of votes cast for at-large senator. In the absence of the Secretary, the presiding officer shall appoint a substitute *pro tempore*. In preparing minutes of the Faculty Senate meetings, the Secretary/Archivist will work with the CAS Faculty Senate President. In the formulation and implementation of measures passed by the Faculty Senate involving changes to the CAS Faculty Senate Rules of Order, the Secretary of the CAS Faculty will work with the CAS Faculty Senate President and the Dean of the College of Arts and Sciences to ensure that these changes are incorporated.

F.2.3.4 Parliamentary By the fall of each year, the CAS Faculty President solicits nominations for a CAS Faculty Senate Parliamentary. The Parliamentary may or may not be a member of the Faculty Senate. The Faculty Senate elects a Parliamentary from the

nominations. The Parliamentarian will serve a one-year term as Parliamentarian of both the General Faculty and the Faculty Senate.

F.3 MEETINGS OF THE CAS FACULTY SENATE

F.3.1 Meeting Rules Faculty Senate meetings shall be conducted according to *Robert's Rules of Order*.

F.3.2 CAS Faculty Senate Meeting Chair The CAS Faculty President shall normally preside at Faculty Senate meetings and will rule on the disposition of motions. In the absence of the Faculty President, the President-Elect will preside.

F.3.3 Business of the CAS Faculty Senate Faculty Senate has the following responsibilities: (1) To determine academic offerings consistent with the established mission of the College; (2) To determine the requirements for all degrees offered by the College; (3) To formulate general admissions policies for the College; (4) To enact and enforce academic regulations for students in matters of attendance, examinations, grading, scholastic standing, honors, and awards; (5) To design and monitor the annual faculty evaluation system; (6) To recommend policies concerning faculty welfare; (7) To develop and supervise a committee system for the orderly exercise of the authority that has been delegated to the faculty.

F.3.4 Committee Business The College's faculty committees will report to the CAS Faculty Senate and will, when appropriate, submit motions to the CAS Faculty Senate. Committee chairs or their designates attend Faculty Senate meetings when business of a committee is before the Faculty Senate.

F.3.5 Committees of the Meeting Committees as defined below are committees of the meeting: (1) Standing Committees of the meeting—permanent committees dealing with academic policy; (2) Curriculum Advisory Committees of the meeting -- permanent committees dealing with parts of the curriculum; and (3) *Ad Hoc* Committees of the meeting -- *ad hoc* committees resulting from business conducted on the floor of the meeting and reporting to the Faculty. Members are appointed by the CAS Dean on recommendation of the Faculty Organization Committee.

F.4 CONDUCT OF BUSINESS FOR CAS FACULTY SENATE

F.4.1 Order of Business The agenda of CAS Faculty Senate meetings will be set by the Faculty President, with clerical assistance provided by the Secretary of the Faculty. Usually, it will follow this: (1) Call to Order; (2) Correcting and approval of minutes; (3) Recognition of Dean of Faculty; (4) Recognition of other constituencies (e.g., part-time and adjunct faculty); (5) Report of Student Representative; (6) Reports of the standing committees; (7) Reports of ad hoc committees; (8) Unfinished business; (9) New business; (10) Announcements; (11) Adjournment.

F.4.2 Recognition by Faculty President Members shall speak only when recognized by the Faculty President and shall use the rostrums provided. When two or more members rise at once, the Faculty President shall decide who is entitled to the floor.

F.4.3 Main Motions, Initiating Business, and Committee Reports Committees of the meeting and senators shall have the right to bring business before the Faculty Senate, either through a motion duly made and seconded from the floor or by communicating directly with the appropriate committee. All senators and faculty committees intending to propose a motion must submit the motion(s) in writing to the Faculty President at least one week before the Faculty Senate meeting. Attendance at Faculty Senate meetings is open to all members of the general faculty and to them is extended the privilege of the floor when recognized by the Faculty President. However, only members of the Faculty Senate may vote in Faculty Senate meetings. Non-faculty members of the College community may attend Faculty Senate meetings. However, such persons may not vote and may speak only by invitation of the Faculty President or by request of a senator.

F.5 INTRODUCING MOTIONS AT FACULTY SENATE MEETINGS

F.5.1 Motions made from the floor by senators, after being properly seconded, shall be referred to an appropriate standing committee of the meeting by the Faculty President. If the Faculty President deems there to be no such committee, the motion shall be referred to a duly appointed *ad hoc* committee of the meeting, as defined above.

F.5.2 Motions brought to the floor by the standing committees of the meeting or by *ad hoc* committees of the meeting shall be deemed ready for action, except as restricted below.

F.5.3 Committees other than those defined here report to administrative officer(s). Reports from these committees may be introduced as motions of individual members of the meeting, if the responsible administrative officer(s) deems it appropriate to do so.

F.5.4 Any senator may move to consider a motion before the Faculty Senate as a committee of the whole. Such motion shall be appropriate at any time but must be approved by a vote of the majority of those present. Consideration as a committee of the whole shall replace referral to committee. The report perfected in committee of the whole must be returned to the Faculty Senate and shall be deemed in the possession of the Faculty Senate as would be the case with the report of a standing committee.

F.5.5 Motions normal to the operations of organized groups but which are not central to the functions of the College or the University, e.g., resolutions of sympathy, congratulations, etc., may be acted upon immediately without previous referral to committee. Motions not germane to the College or the University shall be deemed out of order.

F.5.6 Regulations and Restrictions of Main Motions

F.5.6.1 When a motion is made and seconded, it shall be stated by the Faculty President or read by the Secretary and is then deemed to be in possession of the meeting, but may be withdrawn by the mover at any time before amendment or vote, with the consent of the second.

F.5.6.2 Every motion shall be reduced to writing if the Faculty President or any senator requires it.

F.5.6.3 Upon request of any five senators, a motion of any subject that has been made and seconded may be declared a matter of major policy; in this case, debate, amendment, and voting shall be immediately referred to the next regular meeting without further debate.

F.5.6.4 The status of motions referred to committees from the floor must be reported upon by the second regular Faculty Senate meeting after referral. If the report is not satisfactory, it may be moved from the floor that the committee be discharged of its responsibility and the motion returned to the floor for action.

F.5.7 Subsidiary Motions

F.5.7.1 To amend An amendment must be germane to the motion and may be accomplished by the addition or subtraction of words, phrases, and sentences.

F.5.7.2 Substitute motions If as much as a complete paragraph of a motion is to be supplanted, a substitute motion must be made.

F.5.8 Initiating Business and Committee Reports Committees of the meeting and senators shall have the right to bring business before the Faculty Senate, either through a motion duly made and seconded from the floor or by communicating directly with the appropriate committee. All senators and faculty committees intending to propose a motion must submit the motion[s] in writing to the Faculty President at least one week before the Faculty Senate Meeting.

F.5.9 Amending a Motion

F.5.9.1 An amendment or a substitute motion may be withdrawn by the mover with the consent of his or her seconder before amendment thereof or before decision is had thereon.

F.5.9.2 The amendment or the substitute shall be debatable only when the main question is debatable.

F.7.9.3 The adoption of an amendment by way of substitute or otherwise shall not displace the main resolution, which, after being amended, shall be the question before the meeting.

F.5.9.4 The following questions cannot be amended.

- .1 the call for the Order of the Day
- .2 an appeal from the decision of the Faculty President

.3 an objection to consideration of any question or of the following motions: (1) to adjourn (undebatable); (2) to lay on the table (undebatable); (3) take from the table; (4) for leave to continue speaking; (5) to postpone indefinitely; (6) to suspend; (7) to take up business out of order; (8) for leave to withdraw a motion.

F.5.10 Order for Voting on Amendments and Substitute Motions Amendments to the main motion shall be voted first, in order of last-made amendment to first-made amendment. After all amendments have been voted, the substitute motion shall be voted; if the substitute motion fails, debate returns to the main question as it may or may not have been amended.

F.5.11 Privileged Motions Motions to adjourn or to lay on the table are privileged motions. They shall always be in order and shall be decided without debate. In addition, when a question is under debate and business is pending, the following motions are also privileged. The motions shall have precedence in the order enumerated and be settled by a majority vote of those present. They shall be debatable or undebatable as indicated in the accompanying parentheses.

- to take a recess (undebatable)
- to take a vote at a certain time (undebatable)
- to call for the previous question (undebatable)
- to commit or recommit (limited debate: on wisdom of motion)
- to postpone to a certain time (limited debate: on wisdom of motion)
- to amend or substitute (debatable)
- to postpone indefinitely (debatable)

F.5.12 Other Motions Motions designed to alter or cancel previously adopted action, e.g., to rescind, to amend something previously adopted, to reconsider, shall be introduced only as new business.

F.5.13 A Motion to Call the Question A motion for the previous question shall be in this form: "I move that the question (or questions) now be put." If this motion is carried, then all questions at the moment before the meeting shall be put to the vote, in order of precedence, without debate. If a senator or senators call for the question without moving the previous question formally, the Faculty President is not obliged to close debate, and other members may properly be recognized. Any senator may call for a division of the question where the sense will admit of it, but a motion to strike out and insert shall be deemed indivisible.

F.5 VOTING ON MOTIONS, FACULTY SENATE MEETINGS

F.5.1 Once a vote has begun on any question, no senators shall be recognized for any purpose whatsoever until the voting is completed and the Faculty President declares the voting closed.

F.5.2 Unless otherwise indicated in the rules of order, motions may be passed by a simple majority of those voting.

F.5.3 The following motions may be approved only when two-thirds of the senators present favor the action: (1) to change the rules of order; (2) to suspend the rules; (3) to object to consideration; (4) to limit debate; (5) to vote immediately.

F.5.4 Any senator may call for the number of abstentions after the taking of any vote.

F.5.5 The CAS Faculty President and Appeal from His or Her Ruling The duty of ruling on questions of parliamentary procedure in the meeting shall rest with the Faculty President, but any ruling may be appealed, by a motion and a second, immediately after the ruling. In this event the appeal must be submitted to a vote of the meeting. Except as it refers to indecorum, the rules of debate, or priority of business, such an appeal is fully debatable. After the vote on the motion is announced, the business of the meeting will be resumed according to the action of the appeal.

F.6 CAS FACULTY COMMITTEES Since most detailed work of the CAS faculty is accomplished through committees, committee service provides the faculty member with an opportunity to shape academic policy. In addition to teaching and advising, participation on faculty committees is regarded as an integral part of a faculty member's professional responsibility. Service on faculty committees is expected and is counted as part of the faculty member's service obligation. CAS faculty committees are those groups whose charge involves any or all of the following: (1) overseeing and making recommendations to the faculty regarding those areas over which authority has been delegated to the faculty (e.g., academic policy and offerings, degree requirements, admissions policy); (2) making recommendations regarding faculty performance and compensation (e.g., evaluation, pay, promotion, awards, and tenure); (3) faculty governance (e.g., faculty meeting rules, committee structure). Any committee whose charge falls within (1), (2), and/or (3) above shall be considered to be a committee of the faculty. Such committees report to the Faculty Senate and may only be established or eliminated by the Faculty Senate. Faculty committees are of three types: *standing*, *curriculum advisory*, and *ad hoc*.

F.6.1 Organization of and General Procedures for CAS Faculty Committees New committee members normally are appointed or elected during the spring semester and begin their term in the fall. Unless its charge provides otherwise, each faculty committee elects during the spring semester a chair and a secretary from its faculty membership to serve the following year. No member may chair a committee upon which he or she has not served previously for at least one year, and no member may serve as chair for more than two years during any single term of service. Meetings of faculty committees shall be called by their chairs or by fifty percent of the members of the committees. A simple majority of the committee membership shall constitute a quorum. Prior to the end of each fiscal year (June 30), secretaries of faculty committees, except the Faculty Affairs Committee and the Promotion and Tenure Committee, will deposit copies of committee minutes for the previous academic year in the University Archives.

F.6.2 Consideration of Business by CAS Faculty Committees Faculty committees consider issues mandated by their written charges or in response to motions made at meetings of the CAS

Faculty Senate. Faculty committees have no authority in and of themselves. When the committee charge so specifies, decisions in carefully defined areas are binding unless overruled by specific action of the Faculty Senate. Because the main task of CAS faculty committees is to advise the CAS Faculty Senate, each such committee is obligated to deal promptly with an issue referred to it by that body. Individual faculty members may also informally bring issues to the attention of any committee by writing to the committee's chair. CAS Committees are not obligated to deal with issues raised informally, but the committee's chair or secretary should report the committee's reaction to the faculty member raising the issue and retain all correspondence in committee files.

F.7 ORGANIZATION OF STANDING CAS COMMITTEES Standing committees are permanent, have responsibilities fixed by their written charges, and report to the CAS Faculty Senate.

F.7.1 Appointment of Members to Standing Committees Each year the FOC polls members of the faculty on their preferences for possible membership on several standing committees. At that time a faculty member may, for stated reasons, seek exemption from service on standing committees for a particular semester or academic year (such requests must be approved by the Dean). In making its subsequent appointments, the Committee considers balance of, discipline, rank, gender, and length of service; expressed committee preferences; time since previous committee service; current service on other committees; and how the committee in question is likely to function in the immediate future. Faculty members of most standing committees are appointed by the FOC, serve three-year terms, and are not eligible for appointment to any standing committee during two academic years following such a term. *Ex officio* members are members by virtue of their office and are normally non-voting members.

F.7.2 Elected Members of Standing Committees Members of the Faculty Affairs Committee; the Promotion and Tenure Committee; the FOC; the Faculty President/Faculty Representative to the Board of Visitors, and the President-Elect/Faculty Representative to the Faculty Senate of Virginia, who are *ex officio* members of the Faculty Affairs Committee, are elected by the faculty. Any member of the faculty who meets the criteria for membership may be elected to the Faculty Affairs Committee; the FOC; or the Promotion and Tenure Committee, regardless of current or recent service on standing committees.

F.7.2.1 Procedures for Selecting Nominees for Elected Committee Positions At the beginning of the spring term, the FOC solicits nominations for the various elected offices and committee membership. Nominated faculty must accept nomination before their names are placed on the ballot. Nominations will run for five (5) business days. On the third business day of nominations, FOC will send out a sample ballot to the entire faculty indicating who has been nominated for each open position.

F.7.2.2 Procedures for Committee Elections Once nominations close, the FOC distributes ballots to all voting-eligible faculty. Faculty will have at least five business days after distribution to return ballots to the FOC. This will be done in a manner that assures anonymity. Faculty may only be candidates for one committee or office.

F.7.2.3 Procedures for Run-Off Elections A nominee must receive forty percent of the votes cast for election. If no nominee receives sufficient votes, a run-off will be held among those receiving the three highest vote totals, following the procedures outlined in F.7.2.2. If only one nominee is elected, a run-off will be held between those receiving the two next highest vote totals. Run-off ballots are returned to the FOC in a manner that assures anonymity. Election results are announced by April 1.

F.7.2.4 Procedures for Other Elections Any other elections conducted by FOC will follow the procedures outlined in §2.3.4.1 – 2.3.4.3. Election results will be announced when final.

F.7.3 Limitations on Membership to Standing Committees No member of the instructional faculty may serve on two standing committees simultaneously. A member of a standing committee who is elected to the Faculty Affairs Committee; the Promotion and Tenure Committee; or the FOC must resign from that standing committee by promptly notifying the FOC. The President of the Faculty and current Faculty Senators may not serve on any standing committee, with the exception of the Budget Advisory Committee.

F.7.4 Temporary Replacements for Members of Standing Committees If faculty members are unable to serve part of a term on a committee (due to such factors as academic leave or illness), temporary replacements will be elected for elected standing committees and appointed for appointed standing committees for the duration of their absences. Upon their return, absentee faculty members will complete the original three-year term. Faculty members who are appointed or elected as temporary replacements on standing committees are eligible for consideration for a three-year term on their own on the same or another standing committee. Committee members will generally serve staggered terms, with one-third of faculty positions filled each year.

F.7.5 Administrative and Student Representatives to Standing Committees All standing committees except the Faculty Affairs Committee, the FOC, and the Promotion and Tenure Committee have at least one permanent member representing the administration with all the privileges of *ex officio* members. In addition, students serve as voting members of the Academic Affairs Committee, the Campus Academic Resources Committee, and the Curriculum Committee. They are appointed by the President of the University on the recommendation of the President of the Student Association.

F.7.6 Schedule of Meetings for Standing Committees Each fall the Dean shall publish a list of times for standing committee meetings throughout the academic year. Committees are neither required to convene at their reserved times nor prohibited from convening at other times; the schedule merely serves to prevent conflicts among standing committee, department, and other College meetings. Other committees, boards, and councils regulate their meetings independent of the general reserved schedule.

F.8 THE STANDING COMMITTEES OF THE CAS FACULTY This section of the *Handbook* lists standing committees of the faculty of the College and describes their areas of responsibility. Standing committees implement specific areas of established policy. The

recommendations of these committees shall be reported to the CAS Faculty Senate with the agenda of the meeting of the Faculty Senate at which they are announced. No recommendation may be announced to the Faculty Senate without prior distribution, and no recommendation by a committee may be implemented until it has been announced at a Faculty Senate meeting and/or approved (if required). Recommendations of these committees stand subject to a call for review by any member of the Faculty Senate during the meeting at which they are announced.

F.8.1 Academic Affairs Committee The committee consists of six faculty members appointed by the FOC, two student members appointed by the President of the University, and the Dean of the College of Arts and Sciences as an *ex officio* member. The committee's duties are to:

- .1 Evaluate undergraduate academic policies, procedures, and standards on an ongoing basis, formulating recommendations as necessary to ensure the continuing reputation and record of the College as a high-quality liberal arts institution.
- .2 Study and recommend actions concerning all matters of an academic nature including, but not limited to, the policies governing admissions, readmissions, student outcomes assessment, the length and scheduling of classes, the academic calendar, internships, and special major programs.
- .3 Recommend changes in academic policies to the Faculty Senate
- .4 Recommend to the Faculty Senate action on policy regarding international programs.

F.8.2 Campus Academic Resources Committee The committee consists of six faculty members appointed by the FOC; two students appointed by the President of the University; and as *ex officio* members, the Dean, the Library Director, the Assistant Vice President for Teaching and Learning Technologies, and the Director of Instructional Multimedia Resources. The committee's duties are to:

- .1 Study and recommend to the Faculty Senate action concerning policies on academic resources including Simpson Library, the Media Center, academic computing, instructional technology, visiting speakers, concerts, and exhibits.
- .2 Provide information and recommendations to the above named administrators and program directors regarding matters that lie within the charge of the committee.
- .3 When requested, assist the above named administrators and program directors in administering any monies designated specifically for instructional technology.
- .4 Serve as a liaison between the Faculty Senate and the above named administrators regarding campus academic resources and as a source of information to the faculty regarding campus academic resources.

F.8.3 Curriculum Committee The committee consists of six faculty members appointed by the FOC; two student members appointed by the President of the University; and, as *ex officio* members, the Associate Dean of the College of Arts and Sciences, a representative of Simpson Library, and a representative of the Registrar's Office. The committee's duties are to:

- .1 Study and recommend to the Faculty Senate action concerning policy on procedure and criteria for approval, deletion, and change of all course offerings and numbering, prerequisites, co-requisites, departmental majors and programs, general degree requirements, proposed new majors, study abroad, and exchange programs.
- .2 Review and approve or reject proposals from the various departments for course additions, course deletions, and changes in the organization (e.g. course titles, prerequisites, co-requisites,

catalog descriptions, credit value, and numbering) of departmental offerings. In its deliberations the committee will consider general philosophy, departmental and general college facilities, staffing, and current course offerings.

.3 Review at its discretion the frequency of offering, numbering, and general relevance of all college courses, including the frequency of special topics and seminar courses, making recommendations for change to departments as appropriate.

.4 Review and approve or reject applications for special majors.

F.8.4 Faculty Affairs Committee The committee consists of six faculty members holding a rank above instructor and with a minimum of three years' affiliation with the College at the commencement of service; and the Faculty President and the Faculty President-Elect as *ex officio* members. Members are nominated and elected according to the rules spelled out in §2.4.2 of this *Handbook*. Terms shall begin the fall semester after election. There must be at least one Full Professor and one tenured individual among the non *ex officio* members of this committee. The committee's duties are to:

.1 Study and recommend to the Faculty Senate action concerning policy on faculty welfare and responsibility; and formulate and present to the Faculty Senate recommendations concerning academic leave, compensation, and employee benefits.

.2 Serve as liaison between the Faculty Senate and the President or other University authorities in areas of their common concern.

.3 Represent the Faculty Senate in interactions with the Faculty Senate of Virginia, other institutions, academic organizations and societies, and institutions of the Fredericksburg community.

.4 Study and recommend to the Faculty Senate action concerning policy on adjunct faculty welfare and responsibility, formulating and presenting to the Faculty Senate recommendations to the President concerning compensation and employee benefits.

.5 Recommend changes in policy and procedure on faculty evaluation to the Faculty Senate.

F.8.5 Faculty Development and Grants Committee The committee consists of six faculty members appointed by the FOC, and the Dean of the College of arts and Sciences (or designee) as an *ex officio* member. The committee's duties are to:

.1 Study and recommend to the Faculty Senate policies concerning faculty development.

.2 Recommend to the Dean which faculty development grant proposals should be funded.

.3 Advise the Dean about which Jepson Fellowship proposals should be recommended to the Board of Visitors for funding.

.4 Advise the Dean about the application procedures and evaluation criteria that should be employed for faculty development grants and Jepson Fellowships.

F.8.6 Faculty Organization Committee The committee consists of six faculty members elected by the faculty. Members are nominated and elected according to the rules spelled out in §2.4.2 of this *Handbook*. Terms shall begin the fall semester after the election. There must be at least one tenured individual among the members of this committee. The committee's duties are to:

.1 Staff the appointive faculty committee system.

.2 Monitor the faculty committee system.

.3 Oversee all ballot voting by the faculty, including electing members of the Faculty Affairs Committee, the Promotion and Tenure Committee, and the Faculty Organization Committee. The committee shall encourage the electorate to cast their votes in a manner that will ensure appropriate representation of academic areas.

.4 Periodically review the rules governing faculty meetings and Faculty Senate meetings (Appendix A).

.5 Make recommendations for changes in policy governing faculty organization to the Faculty Senate.

.6 Review and recommend for Faculty Senate action proposals for new faculty committees (standing or *ad hoc*).

.7 Review and make recommendations to administrators and program directors regarding proposals for any new advisory committees on which faculty would sit.

F.8.7 Promotion and Tenure Committee The committee consists of seven faculty members elected by the faculty. All members must have attained the rank of associate professor or above with tenure, at least four of whom shall have attained the rank of full professor, by the date of election. Members serve staggered three-year terms, with two persons elected each year, except every third year, when three persons shall be elected. The committee elects a chair from its membership. Members are nominated and elected according to the rules spelled out in §2.4.2 of this *Handbook*. The committee's duties are to:

.1 Make recommendations in the matters of promotion according to College faculty promotion policy and procedures (§§6.1 – 6.4 of this *Handbook*). In making its recommendations, the primary responsibility of the committee is to evaluate all candidates' applications according to the criteria stated in the *Faculty Handbook*.

.2 Make recommendations to the Dean in matters of tenure according to College faculty tenure policy and procedures (§§6.5 – 6.8 of this *Handbook*). In making its recommendations, the primary responsibility of the committee is to evaluate all candidates' applications according to the criteria stated in the *Faculty Handbook*.

.3 Recommend changes in promotion and tenure policy or procedure to the Faculty Senate.

.4 Review candidates nominated for the title of Distinguished Professor and make recommendations to the Dean and President.

F.8.8 Bachelor of Liberal Studies Committee The committee consists of six faculty members appointed by the FOC and as an *ex officio* member, the Director of the Bachelor of Liberal Studies (BLS) Program. Appointed faculty members serve three-year staggered terms, beginning with the fall semester following their appointment. The committee's duties are to:

.1 Evaluate BLS admissions policies and performance standards on an ongoing basis, formulating recommendations to the Faculty Senate.

.2 Review and approve BLS learning contracts with recommendations to the student and BLS director.

.3 Periodically review the mentor and portfolio processes and recommend any changes in procedures to the BLS director or to the Faculty Senate if a policy change is requested.

.4 Review the academic requirements of the BLS program to insure that they meet the standards of the Southern Association of Colleges and Schools.

.5 Periodically compare the BLS program with other continuing education programs to insure continuing high standards of performance.

F.8.9 Budget Advisory Committee The committee consists of six faculty members appointed by the FOC in accordance with guidelines in § 2.4.1. Faculty Senators may serve simultaneously as members of this committee. Appointed faculty members serve three-year staggered terms, beginning with the fall semester following their appointment. The committee's duties are to:

.1 Work in an advisory fashion with the Vice President for Administration and Finance and the Vice President for Strategy and Policy on university budget priorities, including but not limited to, the operating budget and capital improvements. The recommendations for priorities will be communicated to the President via the Vice President for Administration and Finance and the Vice President for Strategy and Policy.

.2 Communicate budgetary policy decisions to faculty via the Senate, and faculty concerns and ideas back to the Vice President for Administration and Finance and the Vice President for Strategy and Policy. Faculty concerns and ideas will be communicated to the President via the Vice President for Administration and Finance and the Vice President for Strategy and Policy.

F.9 James Farmer Multicultural Center Advisory Committee. The committee consists of four faculty members appointed by the FOC in accordance with guidelines in § F.7.1, two student members appointed by the President of the University, and the Director of the James Farmer Multicultural Center as an *ex officio* member. Faculty Senators may serve simultaneously as members of this committee. Appointed faculty members serve three-year staggered terms, beginning with the fall semester following their appointment. The committee's duties are to:

.1 Work in an advisory fashion with the Director and staff of the Multicultural Center on planning and setting priorities.

.2 Work in an advisory fashion with the Director and staff of the Multicultural Center to enhance opportunities for multicultural learning through student programming.

.3 Work in an advisory fashion with the Director and staff of the Multicultural Center on leadership development opportunities for all students, including historically underrepresented students.

.4 Facilitate communication and coordination between faculty and the Multicultural Center toward enhancing the intersection of coursework, student programming, and community involvement.

.5 Communicate Multicultural Center programming and policy decisions to faculty via the Senate, and faculty concerns and ideas back to the Director of the Multicultural Center. Faculty concerns and ideas will be communicated to the Vice President for Student Affairs via the Director of the Multicultural Center.

F.10 CURRICULUM ADVISORY COMMITTEES This section of the *Handbook* lists *Curriculum Advisory Committees* of the Faculty and describes their areas of responsibility.

Curriculum advisory committees are permanent committees, have responsibilities fixed by their written charges, and report to the Faculty Senate on matters related to overseeing and administering specific areas of the College's academic offerings.

F.10.1 General Duties of Curriculum Advisory Committees Curriculum advisory committees implement specific areas of established policy concerning the College's curriculum, including *general education* and *across-the-curriculum* (ATC) programs. As noted below, two of these committees also advise established ATC programs and their directors. The actions of these committees shall be reported to the Faculty Senate with the agenda of the meeting of the Faculty Senate at which they are announced. No action may be announced to the Faculty Senate without prior distribution, and no action by a curriculum advisory committee may be implemented until it has been announced at a Faculty Senate meeting. Actions of these committees stand subject to a call for review by a member of the Faculty Senate during the meeting at which they are announced.

F.10.2 Appointments to Curriculum Advisory Committees Each year, at the same time it solicits preferences for standing committee membership, the FOC polls members of the faculty on their preferences for possible appointments to curriculum advisory committees. The FOC maintains a list of current committee members and monitors faculty eligibility. Each spring, the FOC makes appointments to the curriculum advisory committees and forwards the names of those appointed to the committee chairs. In making appointments, the FOC considers expressed committee preferences; time since previous committee service; current service on other committees; and how the committee in question is likely to function in the immediate future; and any recommendations for appointments made by the curriculum advisory committee chairs.

F.10.3 Membership Terms on Curriculum Advisory Committees Members of all curriculum advisory committees serve staggered three-year terms, and are not eligible for reappointment to the same curriculum advisory committee for two academic years following such a term. Faculty may not serve on more than one curriculum advisory committee concurrently. Service on curriculum advisory committee does not affect a faculty member's eligibility for appointment to a standing committee, but it may influence standing committee appointments in that no faculty member should be burdened with excessive committee responsibilities. Usually, two concurrent committee assignments, one standing and one advisory, curriculum advisory or *ad hoc*, constitute the maximum committee service expected of an individual faculty member.

F.10.4 Chairs of Curriculum Advisory Committees During the spring semester, each curriculum advisory committee elects a chair from its faculty membership to serve the following year (unless the committee is to be chaired by a program director). The chair-elect will notify the FOC chair immediately of his or her election. No member may chair a committee upon which he or she has not served previously for at least one year, and no member may serve as chair for more than two years during any single term of service. At the discretion of the committee chair, a committee secretary may be elected based on committee member preference and workload distribution. The curriculum advisory chair will forward the name of the committee secretary to the FOC chair.

F.10.5 Interruptions in a Term of Service If a faculty member is unable to serve part of a term on a curriculum advisory committee (due to such factors as academic leave or illness), a temporary replacement will be appointed by the FOC and forwarded to the committee chair. This replacement will serve for the duration of the faculty member's absence. Upon return, an absentee faculty member will complete the original three-year term. Faculty members who are appointed as temporary replacements on curriculum advisory committees are eligible for consideration for a three-year term on the same or another curriculum advisory committee.

F.10.6 Curriculum Advisory Committees and Faculty Service As with all faculty committees, membership on curriculum advisory committees and/or service as a program director is regarded as an integral part of a faculty member's professional responsibility to the College and counted as part of the faculty member's service obligation.

F.11 THE CURRICULUM ADVISORY COMMITTEES OF THE COLLEGE

F.11.1 First Year Seminar Committee The committee consists of six faculty members appointed by the FOC, and, as a non-voting member, a representative from the Office of the Dean of the College of Arts and Sciences (as named by the Dean). The committee's duties are to:

- .1 Study and recommend to the Faculty Senate procedures and criteria for approval, deletion, and alteration of course offerings meeting the first year seminar requirement
- .2 Review and approve or reject proposals from the various departments for courses to be designated as first year seminars.
- .3 Review at its discretion the frequency of offering and general relevance of courses so designated and make recommendations for changes as appropriate.
- .4 Perform any and all additional duties, such as evaluating transfer credit, pertaining to this committee at the request of the committee chair.
- .5 Make information available regarding the procedures and deadlines for proposing courses to the general education committee.

F.11.2 General Education Committee The committee consists of six Faculty members appointed by the FOC; and, as non-voting members, a Representative from the Office of the Dean of the College of Arts and Sciences (as named by the Dean), a representative of the Office of the Registrar, a representative of the Office of Academic Services, and a representative of the Office of Institutional Research and Reporting. The committee's duties are to:

- .1 Maintain the philosophy of the general education curriculum as a fundamental component of a liberal arts education.
- .2 Study and recommend to the Faculty Senate procedures and criteria for approval, deletion, and alteration of courses fulfilling the requirements of the general education curriculum.
- .3 Review and approve or reject proposals from the various departments for courses to be designated general education courses.
- .4 Review and evaluate general education courses on a scheduled and on-going basis to ensure that courses continue to fulfill the relevant general education course criteria, making suggestions for course revisions or removal from the general education curriculum as appropriate.

- .5 Perform any and all additional duties pertaining to this committee at the request of the committee's chair.
- .6 Make information available regarding the procedures and deadlines for proposing courses to the general education committee.

F.11.3 Speaking Intensive Committee The committee consists of the Director of the Speaking Intensive Program, the Director of the Speaking Center, and six faculty members appointed by the FOC who represent a balanced range of disciplines and who are active in the Speaking Intensive Program. The committee chair is the Director of the Speaking Intensive Program or one of the appointed faculty members. The committee's duties are to:

- .1 Study and recommend to the Faculty Senate procedures and criteria for approval, deletion, and alteration of course offerings in the speaking intensive ATC requirement.
- .2 Review and approve or reject proposals from the various departments for courses to be designated speaking intensive.
- .3 Review at its discretion the frequency of offering and general relevance of courses so designated and make recommendations for changes as appropriate.
- .4 Perform any and all additional duties, such as evaluating transfer credit, pertaining to this committee at the request of the committee's chair.
- .5 Make information available regarding the procedures and deadlines for proposing courses to the general education committee.

F.11.4 Writing Intensive Committee The committee consists of the Director of the Writing Intensive Program, the Director of the Writing Center, the ENGL 101 Coordinator, and six faculty members appointed by the FOC who represent a balanced range of disciplines and who are active in the Writing Intensive Program. The committee chair is the Director of the Writing Intensive Program or one of the appointed faculty members. The committee's duties are to:

- .1 Study and recommend to the Faculty Senate procedures and criteria for approval, deletion, and alteration of course offerings in the writing intensive ATC requirement.
- .2 Review and approve or reject proposals from the various departments for courses to be designated writing intensive.
- .3 Review at its discretion the frequency of offering and general relevance of courses so designated and make recommendations for changes as appropriate.
- .4 Perform any and all additional duties, such as evaluating transfer credit, pertaining to the committee at the request of the committee chair.
- .5 Make information available regarding the procedures and deadlines for proposing courses to the general education committee.

F.12 SUBCOMMITTEES If a standing committee or curriculum advisory committee cannot for practical reasons consider a matter under its purview, it may choose to form a subcommittee for the purpose of conducting its business. The subcommittee must have, as voting members, at least two members of the standing or curriculum advisory committee. Additional voting members of the subcommittee will be appointed by the standing or curriculum advisory committee to serve as *ex officio* members of the subcommittee. The chair must be a member of, and will be appointed by, the standing or curriculum advisory committee. The subcommittee will report directly to the committee that formed it. All current subcommittees' charges,

membership, officers, and terms must be reported to the FOC by using the *Ad Hoc* and Subcommittee form (see section F.15) for posting on the University website.

F.13 AD HOC COMMITTEES *Ad hoc* committees of faculty are formed for specific purposes to deal with matters that do not fall under the purview of any standing committee or curriculum advisory committee. The authority and responsibilities of *ad hoc* committees are defined by the action or ruling that established them. Such committees expire upon the fulfillment of their charge and in no case will continue beyond the second full academic year unless, by vote of the faculty, their charges are extended.

F.13.1 Formation of *Ad Hoc* Committees *Ad hoc* committees may be formed in one of two ways: (1) the CAS Faculty President rules that a duly-made and seconded motion in a CAS Faculty Senate meeting must be referred to an *ad hoc* committee, because the subject matter of the motion does not come under the purview of any standing committee or curriculum advisory committee, or (2) the Faculty Senate passes a motion that includes the formation of an *ad hoc* committee because that motion addresses a matter that does not fall under the purview of any standing committee or curriculum advisory committee. In the latter case, the motion shall come from or be referred to the FOC for a recommendation prior to a vote on the motion by the Faculty Senate. In any case, a charge describing the membership, duties, and duration of an *ad hoc* committee must be communicated to the Faculty Senate in writing before any new *ad hoc* committee conducts its first meeting. All faculty *ad hoc* committees report to the Faculty Senate, and the motion or ruling establishing a given *ad hoc* committee may also call for reporting to the President, the Provost, the CAS Dean, or another administrative officer of the College. The establishing motion or ruling may also specify the type of membership for the committee and the method of choosing its members. If it does not so specify, the Faculty Senate will appoint committee members. The chair and secretary of an *ad hoc* committee must be faculty members and will be elected by the committee's members. All current *ad hoc* committees' charges, membership, officers, and terms must be related to the FOC by using the *Ad Hoc* and Subcommittee form (see section F.15) for posting on the University's website.

F.13.2 *Ad Hoc* Committee Meetings Meetings of *ad hoc* committees are held according to the schedule published at the beginning of each academic year by the Dean. *Ad hoc* committees are neither required to convene at their reserved times nor prohibited from convening at other times; the schedule merely serves to prevent conflicts among standing committee, department, and other College meetings. Meeting dates may be changed if a committee unanimously agrees to the proposed change. Attendance at *ad hoc* committee meetings is a professional responsibility.

F.13.3 *Ad Hoc* Academic Freedom Committee See Appendix C, University of Mary Washington Policy on Academic Freedom; to be constituted as needed.

F.14 OTHER COLLEGE COMMITTEES Faculty members may also be asked to serve on *advisory committees, presidential councils, or boards.*

F.14.1 Advisory Committees An *advisory committee* is a group which advises an administrator or program director. An advisory committee on which faculty sit is established by an administrator or program director in consultation with FOC. An advisory committee also may be terminated by the appropriate administrator or program director.

F.14.1.1 Authority of Advisory Committees Advisory committees do not have authority in any academic area; they merely advise an administrator or program director. The responsibilities of these committees are determined by the administrator or program director who appoints them. Advisory committees report to the administrator or program director, not to the Faculty Senate. The administrator or program director reports to the Faculty Senate when such a report is warranted.

F.14.1.2 Faculty Participation on Advisory Committees Faculty members are not required to sit on advisory committees. Service on such committees does not affect a faculty member's eligibility for appointment to a standing committee, but it may influence standing committee nominations and appointments in that no faculty member should be burdened with excessive committee responsibilities. Usually, two concurrent committee assignments, one standing and one advisory or curriculum advisory or *ad hoc*, constitute the maximum committee service expected of an individual faculty member.

F.14.2 Presidential Councils A *presidential council* is a group which advises the President. Councils are established by the President and may be terminated by the President. The authority of a council does not duplicate or supersede that of faculty committees. Councils report to the President, not to the Faculty Senate.

F.14.3 Boards A *board* is a group which has specific authority in a non-academic area (e.g., Student Conduct Hearing Board).

F.15 AD HOC AND SUBCOMMITTEE FORM On next page.

***AD HOC* AND SUBCOMMITTEE NOTIFICATION FORM**

Date of Creation:

(Note: the duration of the committee cannot exceed two years. *Faculty Handbook §F.13*)

Name of the Committee:

Charge of the Committee:

Membership:

Reason for Formation (e.g. Faculty Senate motion, motion of general Faculty, etc.)

Signature of Convener (e.g. Faculty Senate President, Dean, etc.)

Print Name

Date

Send completed form to the Chair of the Faculty Organization Committee