

UNIVERSITY OF MARY WASHINGTON

# **University Faculty Handbook**

APPROVED BY THE BOARD OF VISITORS

April 14, 2016

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 *University 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 *University 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 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 *University Faculty Handbook*, which applies generally to all instructional faculty. Wherever possible, the *University Faculty Handbook* refers either by name or URL to these individual college documents, policies, and procedures.

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# **SECTION 1**

## **MISSION, HISTORY, AND GENERAL ORGANIZATION**

### **1.1 STATEMENT OF UNIVERSITY MISSION**

*[Adopted on November 20, 2010 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 regards the provision of high-quality instruction as its most important function. The University offers a wide range of undergraduate and graduate programs focusing on both disciplinary and interdisciplinary studies. These academic programs afford students opportunities to integrate and apply their knowledge within broad educational experiences, to develop their professional interests, and to practice the habits of mind necessary for life-long learning. Through a professionally engaged faculty, the University supports ongoing research appropriate to the development of student abilities and faculty interests. It especially encourages the participation of undergraduates in research.

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 supporting professional advancement and economic development and to improving the regional quality of life.

We fulfill our mission by fostering students' intellectual and creative independence, facilitating their immersion 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 developing 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 Dahlgren campus is scheduled to begin operation in January 2012.

The University of Mary Washington is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award baccalaureate and master's degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the status of the University of Mary Washington. 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**

*[As revised, February 19, 2011.]*

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 appreciation of and respect for diversity in our community and adherence to the University's Guiding Principles on Diversity and Inclusion and the University's Statement of Non-Discrimination
- The freedom of intellectual inquiry in the pursuit of truth

We accept responsibility to help create the environment we strive to achieve. We live up to these values and work to support our collective and individual successes.

As members of the University community we will not condone behavior that compromises or threatens these values.

#### 1.4 STATEMENT OF GUIDING PRINCIPLES ON DIVERSITY AND INCLUSION

***[Adopted on February 19, 2011 by the Rector and Visitors of the University of Mary Washington.]***

*The University of Mary Washington strives to create a climate of acceptance and will promote the values of diversity and inclusiveness. These values strengthen our community and are essential to our academic mission and institutional excellence.*

*The University of Mary Washington values diversity in all forms— including diversity of age, culture, disability, economic background, ethnicity, gender, gender identity and expression, marital status, national origin, opinion, political affiliation, race, religious background, sexual orientation and veteran status.*

*The University of Mary Washington recognizes its responsibility to be a model of fairness and equal opportunity, providing intellectual and institutional leadership regarding diversity issues and initiatives.*

*As a public university in the Commonwealth of Virginia, the University of Mary Washington embraces its obligation to provide educational opportunities to broader communities found locally and nationally, and to then reflect the diversity of peoples, backgrounds, and experiences in the student body, faculty, administration and staff.*

*The University is committed to providing broad administrative, programmatic and academic support to achieve its institutional goals for diversity.*

*The University seeks to prepare students from all backgrounds and identities to live, work and thrive in a global society.*

*The University seeks to provide a welcoming and inclusive environment of mutual respect for students, faculty, staff and community, internally and externally, of all backgrounds and*

*identities.*

*The University of Mary Washington recognizes that the adoption of this Statement is the responsibility of the entire University community. To ensure the successful implementation of the statement, the University is committed to a system of responsibility, accountability, and recognition for all faculty, staff, and students that carries out the institutional values on diversity and inclusion and all related goals and objectives.*

## **1.5 STATEMENT OF RIGHTS AND RESPONSIBILITIES**

***[Adopted by the Student Association, Faculty, and the Rector and Visitors, 1973. Statement updated by the Rector and Visitors in 2012. See also §1.3, Statement of Community Values, and §1.4, Statement of Guiding Principles on Diversity and Inclusion.]***

- 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 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.

**1.6 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.

## **1.7 ADMINISTRATIVE STRUCTURE** See also the organization chart, §1.13.

**1.7.1 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 Vice President for Administration and Finance; Vice President for Advancement and University Relations; Vice President for Student Affairs and Chief Student Affairs Officer (CSAO); and the Vice President for Economic Development and Regional Engagement. Also reporting to the President are: The Chief of Staff; the Special Assistant to the President for Diversity and Inclusion and Ombudsperson; and the Special Assistant to the President for University Events.

**1.7.2 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; Associate Provost for Academic Affairs; Associate Provost for Enrollment Management and Student Services; Associate Provost for Admissions and Financial Aid; Assistant Provost for Institutional Analysis and Effectiveness; the University Librarian; Executive Director, Dahlgren Campus and Center for Professional Development; and Director, Center for Economic Development.

**1.7.3 Vice President for Administration and Finance** Serves as the University's lead operations officer in all areas related to administration, business and finance, procurement, facilities, information technologies and systems, personnel, and emergency management and safety.

**1.7.4 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.

**1.7.5 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 the University Police.

**1.8 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.

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.

## **1.9 ROLE OF DEPARTMENT CHAIRS**

**1.9.1 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. Chairs are expected to ensure that essential departmental operations are carried out as needed throughout the calendar year.

**1.9.2 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; coordinating curriculum, program, outcomes assessment, and accreditation reviews as required; reviewing and correcting departmental information in the University academic catalogs; taking the lead in recruiting, hiring (or terminating), evaluating, and rewarding the department's faculty; recommending faculty reappointments, promotions, and tenure (see §7 and relevant appendices); and performing other duties as determined by the Dean and the chair in consultation. 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. Department chairs meet as a group with the dean when he/she deems it 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.

**1.9.3 Reporting and Evaluation** 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 6.1). Chairs are evaluated annually, 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 §6.1).

#### **1.9.4 Continuity and/or Termination of Department Chair Appointments**

**.1** In the event that a department chair is approved for a sabbatical or other planned leave during his or her term as chair, a temporary department chair who will serve in that capacity for the duration of the department chair's leave may be appointed. The temporary chair should meet the qualifications required for serving as a department chair. The department chair nominates the temporary chair replacement, subject to the approval of the College Dean, the Provost, and the President. The replacement chair will receive the authorized salary supplement and teaching load reduction during the chair's period of leave, prorated to the duration of the leave period.

**.2** In the event that a department chair is approved for a sabbatical or other planned leave during his or her term as chair, and the chair elects to step down as chair during the term of the sabbatical or other planned leave, a temporary department chair will serve in that capacity for the duration of the department chair's leave. The temporary chair should meet the qualifications required for serving as a department chair. The College Dean will request that the department nominate a person to serve as acting chair until the sabbatical or leave concludes, subject to the approval of the College Dean, the Provost, and the President. The replacement chair will receive the authorized salary supplement and teaching load reduction during the chair's period of leave, prorated to the duration of the leave period.

**.3** A department chair may resign the appointment at any time during its duration, subject to the acceptance of the College Dean and the Provost.

**.4** In the unusual event that a department chair's performance requires that he/she be replaced before the term has expired, a department chair's appointment may be terminated. Termination procedures may be initiated either by the faculty of the department or by the College Dean at any time during the chair's term. Termination is subject to the approval of the College Dean, the Provost and the President. The reasons for the Dean's recommendation to terminate the chair's appointment must be presented in writing to the chair. A chair wishing to contest the Dean's recommendation may write a *letter of exception* to the Provost. The *letter of exception* is due one week after the date of the Dean's written recommendation that the chair's appointment be terminated. After reviewing the Dean's recommendation and the *letter of exception* (if any), the Provost will render a decision on the Dean's recommendation and will present that decision in writing with copies to the department chair and the Dean. If the Provost disagrees with the Dean's recommendation, the review process stops. Should the Provost agree with the Dean's recommendation, the chair may write a *letter of exception* to the Provost's decision. The *letter of exception* to the Provost's decision is due one week after the date of the Provost's written recommendation supporting the Dean's recommendation that the chair's appointment be terminated. Before making a final determination about ending a department chair's appointment as chair, the President will review the recommendations from the Dean and the Provost and all

*letters of exception* from the chair before rendering a decision. The President's decision, which is final, must be presented in writing with copies to the department chair, the Dean, and the Provost.

**1.10 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 §1.9.2 of this *Handbook*.

**1.10.1 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.

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

**1.11 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.

**1.11.1 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 §1.12.

**1.11.2 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://publications.umw.edu/facultyhandbook/>.

**1.11.3 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.

**1.12 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*.

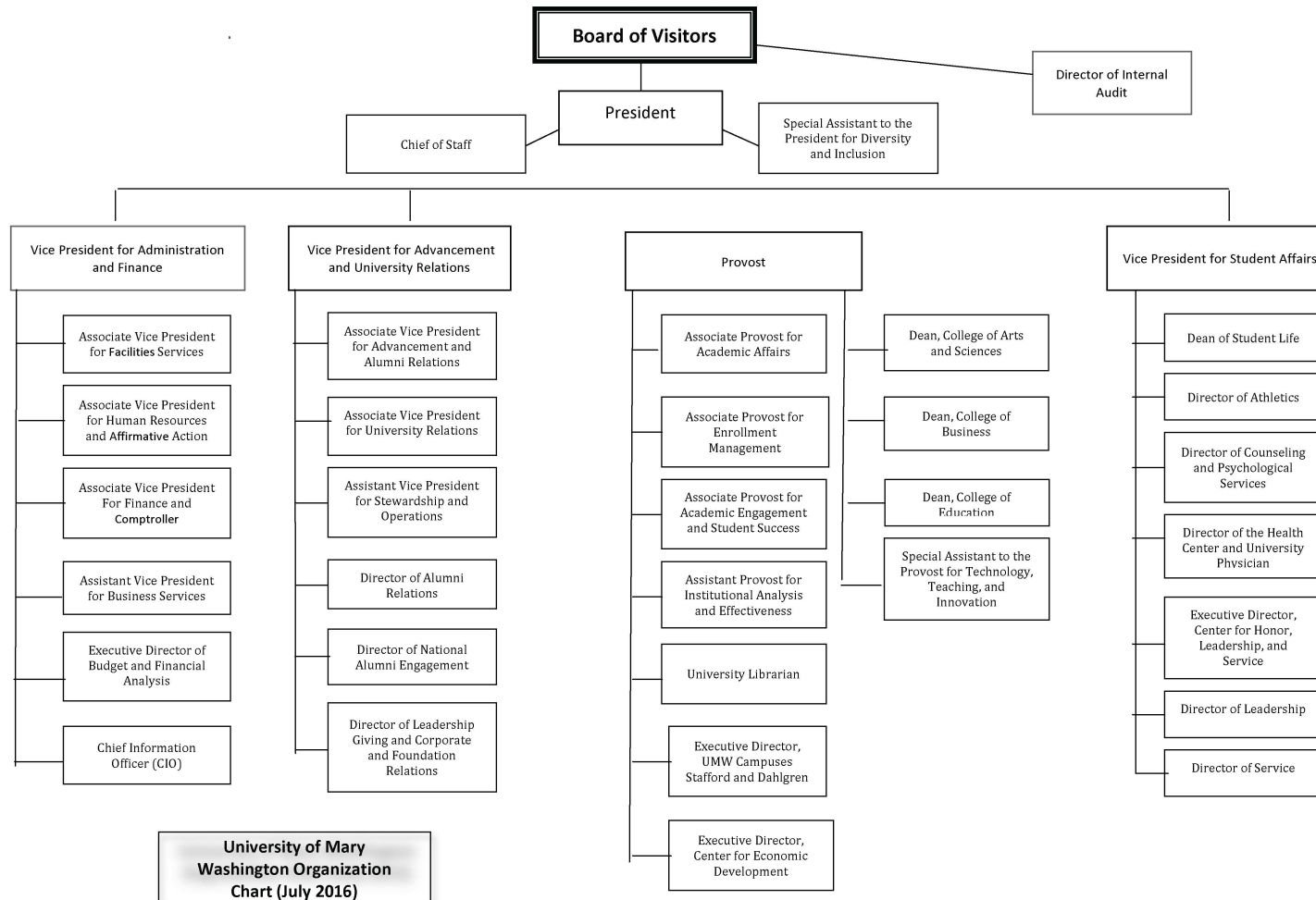
**1.12.1 Amending sections 1 – 7 of the *Faculty Handbook*** Amendments to these sections are adopted by the Board of Visitors. Recommendations for such amendments may come either from the President or directly from the University Faculty Council. In the latter case, they must first be approved formally 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. Recommendations for *Faculty Handbook* amendments may also come by a vote of the General Faculty, if reconsidering an action on an amendment that was passed by the UFC and voted on but not approved by the faculties in the colleges as stipulated in §§ 2.3.2.4 and 2.3.2.6. (See also §2.1.6.)

**1.12.2 Changes to section 8 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.

**1.12.3 Changes to appendices included in the *Faculty Handbook*** Material in each appendix is created and maintained by separate offices or groups. The appendices are included for information and reference. In some cases, an appendix outlines specific procedures followed by one of UMW's colleges (such as the college's governance and committee structure, or a particular college's tenure and promotion policies and procedures).

**1.12.4 Enacting amendments** Approved changes to the *Faculty Handbook* go into effect in August at the start of the next 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.

**1.13 ORGANIZATION CHART** See page 10.





## 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 §1.11) 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 with one member from each of the University's colleges 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 Appendix M).

**2.1.6 Meeting Rules** Meetings of the General Faculty shall be conducted according to the rules of order in Appendix M. 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** One hundred members of the *general faculty* with (1) at least five members from each of the University's colleges and (2) representation from at least ten different 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** The duties of the University Faculty Council are to:

**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 of the faculty in matters of university-wide concern, consistent with the authority of the faculty as stated in section 2.2.1.

**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 1.12 and incorporated into the *Faculty Handbook* once all necessary approvals are obtained. Any changes to section 2.3.4 shall be approved by majority votes of the faculty governing bodies 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 and monitor University-level committees and make suggestions for changes 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. Proposals for new University-wide standing committees must be developed in consultation with each college's governing bodies, and such proposals must 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). The University-level committee structure is outlined in §§2.4 – 2.8.

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

**2.3.3 UFC Authority** The UFC has the authority to propose modifications to its membership and organization as outlined in section 2.3.4; such changes must first be approved by majority votes of the faculty governing bodies of each college before being incorporated in the *Faculty Handbook*.

**2.3.4 Membership and Organization of the UFC** The UFC will be comprised of the following 18 members: three (3) faculty from the College of Education elected by COE faculty; three (3) faculty from the College of Business elected by COB faculty; nine (9) faculty members from the College of Arts and Sciences (elected by all CAS faculty) as follows: three (3) faculty elected from the health and STEM disciplines (biology, chemistry, computer science, Earth/environmental sciences, mathematics, physics, or health/physical education/recreation), three (3) faculty elected from the social sciences (economics, geography, history/American studies, historic preservation, political science/international affairs, psychology, or sociology/anthropology), and three (3) faculty elected from the arts and humanities (art/art history, classics/philosophy/religion, English/linguistics/communication, modern languages/literatures, music, or theater/dance). ***Faculty will elect members of their own division.***

Additionally, three (3) faculty will serve as at-large council members and will be elected from the instructional faculty-at-large, for a total of eighteen (18) UFC members. The President, Provost, and one student representative selected by the Student Government Association serve as nonvoting *ex officio* members.

**2.3.4.1 Eligibility** Election to the UFC is open to instructional faculty holding full-time appointments who have served at UMW for a minimum of three years at the time of election.

**2.3.4.2 Terms of service** Elected members of the UFC will serve staggered three-year terms within each division represented on the UFC.

**2.3.4.3 Elections** University Faculty Council members representing each college are elected by procedures determined by the governing bodies of their respective colleges. Elections of at-large members are conducted by the University Faculty Organization Committee. Candidates for at-large members of the UFC are required to present a brief written statement, introducing themselves and describing their preparation for service on the UFC. These statements must be made available along with the ballot.

**2.3.4.4 Temporary Replacements for Members of University Faculty Council** Faculty members who are unable to serve part of a term on the University Faculty Council (due to such factors as academic leave or illness) must, in a timely manner, notify the Chair of the expected duration of their absence. Whenever practical, the replacement of a member will take place within 10 working days of notification of the member's absence. Replacements for *members representing the colleges* will be selected by procedures determined by the governing bodies of the respective colleges. Election of replacements for *at-large members* will be conducted by the University Faculty Organization Committee following the procedures in section 2.3.4.3. Upon their return, absentee faculty members complete their original term. Service as a temporary replacement member of the University Faculty Council does not limit a faculty member's eligibility for election to a consecutive full term.

**2.3.5 UFC Officers** From among its membership, the UFC annually elects officers at an organizational meeting to be held within 30 days of elections. Whenever practical, the officers should represent different colleges of the University:

**2.3.5.1 UFC Chair** The Chair of the UFC should be a tenured member of the instructional faculty. Responsible for preparing the agenda for UFC meetings and presiding over the meetings. The Chair will also represent the faculty at meetings of the Board of Visitors. The UFC Chair shall receive a workload reduction each semester during his or her term, one (1) course release or the equivalent, and appropriate to the discipline (typically three (3) credits).

**2.3.5.2 UFC Vice Chair** The Vice-Chair of the UFC should be a tenured member of the instructional faculty, who (except in extenuating circumstances) will serve as Chair the following academic year. Responsible for serving as Chair in the absence of the Chair.

**2.3.5.3 UFC Secretary** Responsible for taking the minutes of each meeting, which are to be distributed to the University faculty after being approved by the UFC.

**2.3.5.4** The UFC Chair, Vice Chair, and Secretary represent the faculty in meetings with the President's Leadership Council and upon invitation with the Executive Committee of the Board of Visitors.

**2.3.5.5** The UFC Chair, or his or her designee, will serve as one of the two UMW representatives to the Faculty Senate of Virginia. The UFC will appoint its other representative from among its elected members.

**2.3.6 UFC Meetings** Meetings of the UFC are held and conducted according to the rules of order in Appendix L of this *Handbook*. Meetings of record of the UFC are held at least once a month during the academic year according to a schedule prepared by the Provost's office in collaboration with the UFC leadership and the presiding officers of the college governing bodies. This schedule will be announced by July 1 of each year. Special meetings of the UFC may be called by the Chair or by any three or more members of the UFC representing each of the three colleges. Any special meetings of record must be announced to all faculty. Attendance at UFC meetings is open to all members of the University community, and their participation is governed by the rules of order (see Appendix L).

**2.4 UNIVERSITY FACULTY COMMITTEES** The University faculty committee structure is designed to provide for a coherent University-wide system of shared governance on matters delegated to the faculty (see §2.2.1), while also ensuring active input from the colleges and providing colleges the autonomy to develop as they see fit. In general, the University faculty committees handle matters of central import to the University's academic mission and to general faculty and student welfare. The faculty committees established by the University Faculty Council consist of three types: *standing*, *faculty advisory*, and *ad hoc*. The University standing committees and faculty advisory committees report to the University Faculty Council and may be established or eliminated only by the UFC (see §2.3.2.6). Other University committees on which faculty may serve include *administrative advisory committees*, *boards*, and *councils* (see sections 2.4.4-2.4.7). Service on University committees is a service obligation and provides the faculty member with an opportunity to shape University policy and participate directly in the shared governance of the University. No faculty member should be burdened with excessive committee responsibilities. Usually, two concurrent University committee assignments, one standing committee, and either one faculty advisory committee or one *ad hoc* committee, constitute the maximum University committee service expected of an individual faculty member.

#### **2.4.1 Organization of University Standing Committees and Faculty Advisory**

**Committees** University faculty committee members representing each college will be selected by procedures determined by the faculty of the respective colleges. The selection of at-large members is coordinated by the University Faculty Organization Committee. A faculty member may not be appointed or elected as an at-large representative to more than one standing committee. As specified in their charges (§§2.6 and 2.8), these committees may include *ex officio* members and/or student members. Voting privileges do not extend to any *ex officio* members of

these committees. Election or appointment of the at-large faculty members of these committees is scheduled by the UFCO as specified in sections 2.5 and 2.7. Each committee shall convene an organizational meeting, prior to the last class day of the current academic year, at which a quorum of the newly constituted committee is present. The purpose of the organizational meeting is to elect officers for the following year; only those individuals who will serve on the committee the following year may vote for officers. Each committee elects a chair and a secretary, and other officers as needed to carry out its duties and notifies the Chair of the University Faculty Council and the Chair of the University Faculty Organization Committee by May 1 of the new officers. The chair must be a voting member of the committee. The secretary may be a voting member or an *ex officio* member. Ideally, chairs shall have served at least one year on the committee prior to election as chair. No member may serve as chair for more than two years during any single term of service.

**2.4.2 Authority of University Standing and Faculty Advisory Committees** These committees have the authority to consider matters delegated to the faculty under section 2.2 of this *Handbook* and to carry out their duties as defined in sections 2.6 and 2.8. In most matters, these committees report to the UFC (see §2.4.3.4), and their actions become final upon approval by the UFC. When a committee's charge so specifies, its decisions in carefully defined areas are binding unless overruled by specific action of the President, the UFC, or a decision in a meeting of the general faculty (see §2.1).

**2.4.3 Meetings of University Standing and Faculty Advisory Committees** University faculty committees consider issues mandated by their written charges or in response to motions made at meetings of the UFC. Additional items of business for consideration at any meeting of these committees may be brought, in writing, to the appropriate committee chair by the UFC, the college governing bodies, related committees of the colleges, individual members of the UMW faculty, or administrators of related offices. The committee's decisions in response to such items of business shall be communicated to the individual or body that initiated the item of business and recorded in the committee's minutes. In carrying out their business, University committees should be mindful of the constraints imposed by the overall University governance structure and approval timelines. Because the main task of these committees is to advise the UFC, each such committee is obligated to deal promptly with issues referred to it by the UFC.

**2.4.3.1 Meeting Schedules** University committees determine their own meeting schedules. Committee meetings should be coordinated with the UFC and the college faculty meeting schedule that is developed by the Provost's office in collaboration the UFC leadership and the presiding officers of the college governing bodies. The schedule of UFC and college governing body meetings is announced by July 1 of each year. The committee chairs will announce the schedule for their meetings no later than August 30 each year. Each committee's meeting schedule must be published and communicated to all faculty, preferably by posting of the meeting dates on the committee's web page. Announcements of a committee's meeting place and time must be communicated to all committee members no later than one week prior to the meeting date. Any changes from the established meeting schedule must be communicated at least one week in advance to all committee members, to the UFC chair, and to the presiding

officers of the college governing bodies. Each University committee must conduct a meeting of record at least once during the academic year.

**2.4.3.2 Special Meetings** Special meetings of record of the standing and faculty advisory committees may be called by their chairs or by any two voting members of the committee. Notice of special meetings of record should be issued to committee members, to the Chair of the UFC, and to the presiding officers of the college governing bodies at least one week in advance.

**2.4.3.3 Rules of Order** In order to have consistency among the standing and faculty advisory committees, all such committees should follow consistent rules of order to the extent possible. The general rules of order should be as follows:

- .1 The chair shall convene the meeting, and the secretary shall record the minutes.
- .2 A simple majority of the voting members of the committee shall constitute a quorum.
- .3 An agenda of items to be addressed at the meeting should be communicated to the members at least three days prior to the meeting.
- .4 Attendance at committee meetings is to be open to all faculty, administrators, and students, except during required closed sessions. If a committee is required by any provision in this *Handbook* to meet in closed session, this will be reflected in the minutes of the meeting.
- .5 Unless otherwise stated, *Robert's Rules of Order*, as recently revised, should be used for the process of business.

**2.4.3.4 Reporting** Actions and decisions of the standing and faculty advisory committees, including all motions passed by the committee, must be reported in writing to the Chair of the UFC for inclusion in the UFC agenda. Within 10 working days after a committee meets, it must submit a report or minutes containing the motions passed and summarizing any other actions taken and decisions rendered by the committee since its previous report to the UFC. All such documents must be posted on each committee's respective page on the University Faculty Governance website by the required deadline in order to provide the University community and the college governing bodies the opportunity to submit advice and comments to the UFC. When appropriate, courtesy copies of any reports from the committees to University administrators shall be sent to the Chair of the UFC. If so requested by the UFC chair, a committee's chair shall also present an oral report to the UFC. Unless otherwise specified in section 2.6 or 2.8, no action by a committee may be implemented until it has been accepted at a UFC meeting. Actions of these committees stand subject to a call for review by any member of the UFC during the meeting at which they are announced. Prior to the end of each fiscal year (June 30), secretaries of these committees must deposit copies of committee minutes for the previous academic year in the University Archives.

**2.4.3.5 Subcommittees** A standing committee or faculty advisory committee may form a subcommittee for a particular purpose if it cannot, for practical reasons, consider a matter under its normal purview as a full committee. If a committee forms a subcommittee, it shall record the



subcommittee's membership and duties in its minutes. The subcommittee must have, as voting members, at least two members of the committee that formed it. Additional members of the subcommittee are appointed by the committee that established it. The term of service for any additional subcommittee member ends when the specific issue before the subcommittee is resolved. The chair of the subcommittee must be a member of, and must be appointed by, the committee that formed it. The subcommittee reports directly to the committee that formed it.

**2.4.4 University *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 committees or other advisory and special interest committees. 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 may in no case continue beyond the second full academic year unless, by vote of the University Faculty Council, their charges are extended.

**2.4.4.1 Formation of University *Ad Hoc* Committees** *Ad hoc* committees may be formed in one of two ways: (1) the UFC Chair rules that a duly-made and seconded motion in a University Faculty Council 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 other University advisory and special interest committee, or (2) the University Faculty Council passes a motion that includes the formation of an *ad hoc* committee in order to address a matter that does not fall under the purview of any standing committee or faculty advisory committee. A charge describing the membership, duties, and duration of an *ad hoc* committee must be determined by the UFC, or by the UFOC and communicated in writing to the UFC, before any new *ad hoc* committee conducts its first meeting. All University *ad hoc* committees report to the University Faculty Council, and the motion or ruling establishing a given *ad hoc* committee may also call for reporting to the President, the Provost, or another administrative officer of the University. The establishing motion or ruling may also specify the type of membership for the committee and the method of choosing its members. If the motion does not so specify, the University Faculty Council appoints committee members. The chair of an *ad hoc* committee must be a faculty member and be elected by the committee's members. Minutes of *ad hoc* committees are taken by the committee secretary, who may be elected by the committee members or appointed by the committee chair. All current and future *ad hoc* committees' charges, membership, officers, and terms must be reported to the UFC by using the *Ad Hoc* Committee form (see Appendix L) for posting on the University Faculty Governance website.

**2.4.4.2 *Ad Hoc* Committee Meetings** *Ad hoc* committees determine, and submit to the UFC, their meeting schedules as needed to carry out their charges.

**2.4.5 Administrative Advisory Committees** An administrative advisory committee is a group which advises an administrator or program director. Such committees, on which faculty may sit, are established by an administrator or program director in consultation with the UFOC. An administrative advisory committee also may be terminated by the appropriate administrator or program director.

**2.4.5.1 Authority of Administrative Advisory Committees** Administrative 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 administrators or program directors who appoint them. Administrative advisory committees report to administrators or program directors, not to the University Faculty Council. The administrators or program directors report to the University Faculty Council when such a report is warranted.

**2.4.5.2 Faculty Participation on Administrative Advisory Committees** Faculty members are not required to sit on administrative 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.

**2.4.6 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 University Faculty Council.

**2.4.7 Boards** A board is a group which has specific authority in a non-academic area (e.g., Student Conduct Hearing Board).

## **2.5 ORGANIZATION OF STANDING UNIVERSITY FACULTY COMMITTEES**

**2.5.1 Appointment of Members to Standing Committees** Appointed faculty members of all standing committees serve staggered three-year terms beginning the fall after appointment and are not eligible for reappointment to the same committee for two academic years following a term of service. All appointments of faculty to University standing committees are coordinated by the University Faculty Organization Committee following the criteria for committee membership stated in section 2.6 of this *Handbook* and its subsections. The process of coordination should ensure that the requirements for staggered terms are met, as described above. The *at-large members* of standing committees, unless elected (see §2.5.2), are appointed by the University Faculty Organization Committee on or before its regularly scheduled meeting in April of each year. The appointed *members representing each college* shall be selected by procedures determined by the governing bodies of the respective colleges and according to a schedule provided in advance by the UFOC. In making its appointments for at-large positions, the UFOC annually polls members of the faculty of each college to ascertain their preferences for possible appointment to standing committees. In addition to these expressed preferences and the membership requirements specified in section 2.6, the UFOC considers: balance among committee members of discipline, rank, gender, and length of service; time since previous committee service; current service on other committees; and any expertise or experience of the potential appointee that can serve the committee in carrying out its charge. All at-large appointments to the committees are announced to the faculty by the chair of the UFOC prior to the final day of classes in the Spring semester.

**2.5.2 Election of Members to Standing Committees** Elected faculty members of all standing committees serve staggered three-year terms beginning the fall after election and are not eligible

for reelection to the same committee for two academic years following a term of service. All elections of at-large members on University standing committees are coordinated by the University Faculty Organization Committee following the criteria for committee membership stated in section 2.6 of this *Handbook* and its subsections. The process of coordination should ensure that the requirements for staggered terms are met, as described above. The *representatives from each college* shall be selected by procedures determined by the faculty of each respective college and according to a schedule provided in advance by the UFOC. Nominations and elections of *at-large representatives* on University standing committees are coordinated by the University Faculty Organization Committee following its charge in section 2.6.6 and the criteria for committee membership stated in section 2.6 of this *Handbook* and its subsections. Any member of the faculty who meets the stated criteria for membership may be nominated for an at-large position on a University standing committee, except for the limitations on membership stated in sections 2.4 and 2.4.1 above. The UFOC is responsible for scheduling nominations and elections for at-large committee membership so that results can be announced to the faculty by the chair of the UFOC prior to the final day of classes in the Spring semester.

**2.5.2.1 Procedures for Selecting Nominees for Elected Committee Positions** During the spring term, the UFOC solicits nominations for the at-large committee seats to be filled by election. Nominated faculty must accept nomination before their names are placed on the ballot. Nominations run for five (5) business days. On the third business day of nominations, the UFOC sends out a preliminary sample ballot to the entire faculty indicating who has been nominated for each open position.

**2.5.2.2 Procedures for Committee Elections** Once nominations close, the UFOC distributes ballots to all voting-eligible faculty. Faculty will have at least five business days after distribution to return their ballots to the UFOC. Elections will be conducted in a manner that assures anonymity. Ballots shall solicit rankings of candidates by voters, with lower numbers indicating greater preference. Ties shall be permitted on individual ballots.

**2.5.2.3 Procedures for Determining Winners of Committee Elections** In order to be elected to an at-large position on a standing committee, a nominee must be the winner of a Condorcet method calculation. If more than one position on a committee is being filled in an election, those positions shall be filled in order of Condorcet ranking.

**2.5.3 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 or illness), temporary replacements are elected or appointed for the duration of their absences. Replacements for committee *members representing the colleges* will be selected by procedures determined by the faculty governing bodies of the respective colleges. Replacements for *at-large members* are appointed or elected by the UFOC, which shall do so, whenever practical, in accordance with the principles and procedures in sections 2.5.1 or 2.5.2, respectively. Upon their return, absentee faculty members complete their original term. Service as a temporary replacement member of a standing committee shall not limit a faculty member's eligibility for appointment or election on the same or another University faculty committee.

## 2.6 MEMBERSHIP AND DUTIES OF UNIVERSITY STANDING COMMITTEES

This section of the *Handbook* lists standing committees of the faculty of the University, outlines their membership, and describes their areas of responsibility.

**2.6.1 University Academic Affairs Committee** The committee consists of five faculty members: one representative from each college and two appointed from the faculty at-large. The committee also includes the following nonvoting *ex officio* members or their designees: the Provost and the Associate Provost for Enrollment Management. In addition, two students appointed by the President serve as nonvoting members. The committee's duties are to:

- .1 Evaluate academic policies, procedures, and standards on an ongoing basis, formulating recommendations as necessary to maintain policy consistency among colleges, fair and equitable treatment of all students, and the overall academic integrity of the University;
- .2 Study and recommend actions concerning all matters of academic policy including, but not limited to, the policies governing academic standards, grading, course registration, transfer credit, course evaluations, the length and scheduling of classes, the academic calendar, and international academic affairs;
- .3 Recommend changes in the academic policies to the University Faculty Council;
- .4 Evaluate and recommend actions concerning all university academic services including, but not limited to, academic advising and retention programs, readmissions, internships, disabilities resources, and international student services;
- .5 Review admissions practices of the University; and
- .6 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.6.2 University Curriculum Committee** The committee consists of the Chairs of the CAS, COB and COE Curriculum Committees or their designees and one member of the University Faculty Council. The committee also includes the following nonvoting *ex officio* members or their designees: the Provost and the Registrar. The committee's duties are to:

- .1 Work closely with the administration, the Provost, and the Board of Visitors to ensure that the undergraduate and graduate programs and courses offered by the institution meet demonstrable needs and institutional standards, reflect the mission of the University, are designed effectively, and may be feasibly implemented;
- .2 Determine University policies and procedures for curriculum development and implementation;
- .3 Provide clear direction for the college-level curriculum committees as to which curricular actions require University-level oversight and which do not, so as to prevent course and/or program duplication;

- .4 Review, approve, or reject curricular proposals and initiatives (including proposals for new degree programs and proposals to eliminate degree programs) from college governing bodies and from special committees constituted to work on specific curricular issues;
- .5 Review, approve, or reject proposals for changes in the relationship between programs or departments (for example, dissolution, division, or mergers);
- .6 Work with the Assistant Provost for Institutional Analysis and Effectiveness to ensure that curriculum changes take into account assessment findings;
- .7 Communicate to the University community through appropriate means all curricular changes; and
- .8 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.6.3 University Faculty Affairs Committee** The committee consists of six full-time faculty members with a minimum of three years' affiliation with the University at the commencement of service: one representative from each College and three elected from the faculty at-large. Members representing each college shall be tenured or tenure-track. Faculty from the renewable term ranks are eligible candidates for an at-large position (see *Handbook* section 3.3.1), and are encouraged to seek nomination. The committee's duties are to:

- .1 Serve as the liaison between the Colleges and the University Faculty Council on matters relating to faculty affairs;
- .2 Ensure that criteria and procedures for evaluation, promotion and tenure of each College (as approved by each College) adhere to the guidelines established in the *University Faculty Handbook*;
- .3 Study and recommend changes in University-level promotion and tenure policies and procedures to the University Faculty Council;
- .4 Study and recommend changes in University-level policy and procedures on faculty evaluation and merit pay to the University Faculty Council;
- .5 Study and recommend to the University Faculty Council action concerning University-level policies on continuing and adjunct faculty welfare and formulate and present to the University Faculty Council recommendations concerning workload distribution, academic leave, compensation, and employee benefits; and
- .6 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.6.4 University Faculty Appeals and Grievance Committee** The committee consists of five tenured members of the Faculty: one representative from each College and two elected from the faculty at-large. All members must have attained the rank of Associate Professor or above with

tenure. Members may not simultaneously serve on the University Faculty Council or on the Faculty Affairs, the Budget Advisory, or the Sabbaticals, Fellowships and Faculty Awards committees. Members may simultaneously serve as department chairs or on College committees whose decisions might be appealed to this committee, but must recuse themselves in any case that might present a conflict of interest. This committee meets when it has an appeal or grievance to consider. At the end of each academic year, the committee prepares for the University Faculty Council an annual summary of actions taken that year and of procedural issues that need to be addressed. The committee's duties are to:

- .1 Hear faculty appeals, review evidence, and evaluate the procedures followed in cases of dismissal or termination prior to the end of term specified in the current contract or of a tenured appointment, including terminations for cause, financial exigency, or discontinuance of a program (see §4.2);
- .2 Hear evidence regarding and make recommendations concerning faculty grievances as defined in section 5.8 of this *Handbook*. This committee will not hear grievances that are dealt with by their own specific policies and procedures, including an appeal process, as outlined elsewhere in the *Handbook*, even if such grievances satisfy the definition in section 5.8.1. These include: decisions regarding the awarding or withholding of tenure; actions awarding or withholding promotions; any action related to evaluation of performance or salary adjustment; and disciplinary action taken as a consequence of a determination of racial, sexual, or other forms of discriminatory actions or the creation of an intimidating, hostile or offensive work or study environment. (Also see §5.8.3 for what are considered non-grievable actions.)
- .3 Hear evidence, consider procedures followed, and make recommendations in those cases where appeal to this committee has been specified in the *Faculty Handbook* (e.g. denial of requests for medical leave, leave without pay, etc.)
- .4 Serve as the academic freedom committee in cases involving faculty members, as specified in Appendix C.2; and
- .5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.6.5 University Faculty Organization Committee** The committee consists of five faculty members, two from each College. All members will be college representatives and will be selected according to the procedure determined by each college. Members shall serve staggered 3-year terms beginning the fall semester after the election. The terms will be staggered in such a way that each college maintains the appropriate number of representatives. The committee's duties are to:

- .1 Coordinate elections of at-large members to University-level committees;
- .2 Oversee appointments to University-level committees. The committee shall ensure appropriate representation of each college;

- .3 Consult with administrators and program directors regarding formation of University-level standing, faculty advisory and *ad hoc* committees and make appropriate recommendations to the University Faculty Council;
- .4 Periodically review the University-level system of faculty governance and make recommendations to the University Faculty Council for revision as needed to ensure fairness and efficiency;
- .5 Periodically review the systems of faculty governance in each College to ensure that they function in accordance with section 2.9.2 of this *Handbook*;
- .6 Review and recommend for University Faculty Council action proposals for new faculty committees and for any changes in the University-level committee structure;
- .7 Monitor operation of a digital or electronic archive of all University-level committee reports; and
- .8 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.6.6 University General Education Committee** The committee consists of five faculty members appointed at-large. In addition to the criteria for committee member balance as outlined in section 2.5.1, the University Faculty Organization Committee also considers experience with the general education program as a factor when making appointments to this committee. The committee also includes the following nonvoting *ex officio* members or their designees: the Provost, the Associate Provost for Enrollment Management, and the Assistant Provost for Institutional Analysis and Effectiveness. The committee's duties are to:

- .1 Maintain the philosophy, for all undergraduate degrees, of the general education curriculum as a fundamental component of a liberal arts education;
- .2 Establish procedures and criteria for the approval, deletion, and alteration of courses fulfilling the requirements of the general education curriculum;
- .3 Review and approve or reject proposals for courses to be designated general education courses, once those courses have been approved by the University Curriculum Committee;
- .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 Review the adequacy of general education offerings and make recommendations regarding the adequacy of general education course supply in particular requirement areas;
- .6 Make information available regarding the procedures and deadlines for proposing courses to the general education committee; and

.7 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.6.7 University Sabbaticals, Fellowships, and Faculty Awards Committee** The committee consists of five faculty members: one representative from each college and two elected from the faculty at-large. The committee also includes the Associate Provost for Academic Affairs as a nonvoting *ex officio* member. The committee's duties are to:

.1 Recommend to the Provost which sabbatical applications (as sent forward to the Provost from the deans) and which Jepson Fellowship proposals should be presented to the Board of Visitors for their approval and subsequent funding;

.2 Recommend to the Provost the faculty members who should receive the Grellet C. Simpson Award, the Graduate Faculty Award, the Outstanding Young Faculty Award, and the Topher Bill Service Award;

.3 Recommend to the Provost which faculty members should be selected as UMW's nominees for the SCHEV Outstanding Faculty Award;

.4 Study and recommend to the University Faculty Council and the Provost, as appropriate, changes in policies, application procedures, and evaluation criteria to be applied concerning university-wide faculty development grants, sabbaticals, Jepson Fellowships, and UMW faculty awards; and

.5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

## **2.7 FACULTY ADVISORY COMMITTEES**

**2.7.1 General Duties of Faculty Advisory Committees** These committees report to and advise the University Faculty Council on specific areas of policy concerning relevant areas of the University's curriculum or on other matters pertinent to the University's mission. Additional responsibilities of these committees, including those for conducting meetings and reporting actions to the UFC, are explained in sections 2.4 through 2.4.3.5.

**2.7.2 Appointments to Faculty Advisory Committees** Except as otherwise indicated in section 2.8, faculty members of these committees are appointed by the University Faculty Organization Committee from the faculty at-large with the condition that they represent a balanced range of disciplines and are active in the program or work of the committee.

**2.7.3 Membership Terms on Faculty Advisory Committees** Members of all University faculty advisory committees serve staggered three-year terms beginning the fall after appointment and are not eligible for reappointment to the same faculty advisory committee for two academic years following such a term. Faculty may not serve on more than one faculty advisory committee concurrently.



**2.7.4 Chairs of University Faculty Advisory Committees** Chairs of faculty advisory committees are elected at an annual organizational meeting following procedures in section 2.4.1.

**2.7.5 Interruptions in a Term of Service** If a faculty member is unable to serve part of a term on a faculty advisory committee (due to such factors as academic leave or illness), a temporary replacement is appointed by the UFOC or by the college he or she represents on the committee. The committee chair must be notified of the replacement in a timely manner. This replacement serves for the duration of the faculty member's absence. Upon return, an absentee faculty member completes the original term. Faculty members who are appointed as temporary replacements on faculty advisory committees are eligible for appointment to the same or another faculty advisory committee.

**2.7.6 University Faculty Advisory Committees and Faculty Service** As with all faculty committees, membership on faculty advisory committees is regarded as an integral part of a faculty member's professional responsibility to the University and counted as part of the faculty member's service obligation.

## **2.8 MEMBERSHIP AND DUTIES OF FACULTY ADVISORY COMMITTEES**

**2.8.1 Bachelor of Liberal Studies Committee** The committee consists of five appointed faculty members and a non-voting ex officio member, the Director of the Bachelor of Liberal Studies (BLS) Degree Program. In addition, one student, appointed by the Director of the BLS Degree Program, serves as a non-voting member. 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 as needed;
- .2 Review and advise the Office of Admissions regarding recruitment and marketing strategies for the BLS program;
- .3 Review and approve BLS special majors;
- .4 Evaluate portfolio credit policies as needed;
- .5 Review BLS degree requirements, including general education credits;
- .6 Review BLS program assessments and make recommendations as needed;
- .7 Review and approve requests for exceptions to BLS policies; and
- .8 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.2 Budget Advisory Committee** The committee consists of seven voting faculty members: one representative from each college and four appointed from the faculty at-large by the Faculty Organization Committee. In addition, there shall be one non-voting representative from the Department of Athletics, Health & Physical Education if there is not a regular voting member already serving on the committee, one non-voting representative from the Staff Advisory Council, and one non-voting representative from the Student Government Association; these individuals shall be selected by their respective groups. The committee's duties are to:

- .1 Work in an advisory fashion with the Provost and Chief Academic Officer (CAO), the Vice President for Administration and Finance (CFO), the Vice President for Advancement and University Relations, and the Chief Executive Officer and President of the UMW Foundation on short- and long-term University budget priorities, broadly conceived, including planning, the operating budget and capital improvements, fundraising, and development. The recommendations for priorities will be communicated to the President via the CFO or the CAO;
- .2 Indicate the committee's priorities for the present budgeting year through an annual review process and summarize their priorities on future budgets to the CFO, CAO, and the UFC in a report due no later than mid-November;
- .3 Communicate the committee's recommendations to the UFC in a report no later than mid-March and the results of the President's decisions to the UFC in a report as soon as possible;
- .4 In times of financial exigency, the Budget Advisory Committee assists the President, Provost, and Vice Presidents in developing principles and setting priorities for budget reductions; and
- .5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.3 Distance and Blended Learning Committee** The committee consists of five faculty members appointed as described in section 2.7.2. The committee also includes the following nonvoting *ex officio* members or their designees: the Chief Information Officer, the Vice President for Student Affairs, the University Librarian, the Director of Teaching and Learning Technology, and the Director of the Teaching Center. The committee's duties are to:

- .1 Maintain the quality and integrity of the curriculum for courses and programs offered in a majority online format;
- .2 Establish procedures and criteria for approval, deletion, and alteration of courses and programs offered in a majority online format;
- .3 Review and approve or reject proposals from the various departments for courses to be offered in a majority online format;
- .4 Review and evaluate majority online courses on a scheduled and on-going basis to ensure that courses continue to represent the tradition of quality education at UMW, making suggestions for course revisions or removal from the curriculum as appropriate;

.5 Make information available regarding the procedures and deadlines for proposing courses to the appropriate standing committee; and

.6 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.4 First Year Seminar Committee** The committee consists of five faculty members appointed as described in section 2.7.2. The committee also includes, as a nonvoting *ex officio* member, a representative from the Office of the Provost (named by the Provost). The committee's duties are to:

.1 Study and recommend to the University Faculty Council 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 Make information available regarding the procedures and deadlines for proposing courses to the general education committee; and

.6 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.5 Honors Program Committee** The committee consists of five faculty members appointed as described in section 2.7.2 and the Director of the Honors Program. The committee chair is the faculty director of the Honors Program or one of the appointed faculty members of the committee. The committee's duties are to:

.1 Study and recommend to the University Faculty Council procedures and criteria for approval, deletion, and alteration of course offerings meeting the Honors Program requirement;

.2 Review and approve or reject proposals from the various departments for courses to be designated as Honors courses;

.3 Approve exceptions to the Honors Program curriculum including the contract-based honors courses;

.4 Develop and maintain a list of approved co-curricular and service opportunities for students participating in the Honors program;

.5 Review at its discretion the frequency of offering and general relevance of Honors Program courses and make recommendations for changes as appropriate;

.6 Make information available regarding the procedure and deadlines for proposing courses to the Honors Program Committee; and

.7 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.6 James Farmer Multicultural Center Advisory Committee** The committee consists of five faculty members appointed as described in section 2.7.2. The committee also includes, as a nonvoting *ex officio* member, the Director of the James Farmer Multicultural Center. In addition, two students appointed by the President serve as nonvoting members. 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 UFC, 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; and

.6 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.7 Journalism Advisory Committee** The committee consists of four appointed faculty members and two non-voting *ex officio* members. At least three of the faculty members are to be tenured professors, preferably full professors, to be appointed as described in section 2.7.2 of the *Faculty Handbook*. A seventh committee member who is a member of the community with journalism experience may also be appointed. This external member will be nominated by the Journalism Advisory Committee and approved by the UFOC. The non-voting *ex officio* members will be the Vice President for Student Affairs and the Faculty Advisor to the *Blue and Gray Press*. Appointed faculty members serve three-year staggered terms, beginning with the fall semester following their appointment. The committee's duties are to:

.1 Advise the Faculty Advisor on editorial policies for the *Blue and Gray Press* including print, digital platforms, and related social media accounts;

- .2 Advise administration on policies regarding student journalism including, but not limited to, the appointment and support of the Faculty Advisor for the *Blue and Gray Press*;
- .3 Convene, at the request of the Faculty Advisor for the *Blue and Gray Press*, to consider issues of concern to the Faculty Advisor, including any issues raised by individual members of the UMW community in response to student publications;
- .4 Consider expanding its purview in response to requests from faculty advisors to new student journalism groups; and
- .5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.8 Speaking Intensive Committee** The committee consists of five faculty members appointed as described in section 2.7.2 and the Director of the Speaking Intensive Program. The committee also includes, as a nonvoting *ex officio* member, the Director of the Speaking Center. The committee chair is the faculty director of the Speaking Intensive Program or one of the appointed faculty members of the committee. The committee's duties are to:

- .1 Study and recommend to the University Faculty Council procedures and criteria for approval, deletion, and alteration of course offerings in the speaking intensive Across-the-Curriculum 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 Make information available regarding the procedures and deadlines for proposing courses to the general education committee; and
- .5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.9 Student Affairs and Campus Life Advisory Committee** The committee consists of five faculty members appointed as described in section 2.7.2. The committee also includes, as a nonvoting *ex officio* member, the Vice President for Student Affairs (or his or her designee) and two nonvoting student members appointed by the President to represent the Fredericksburg and Stafford Campuses, respectively. The committee's duties are to:

- .1 Work in an advisory fashion with the Vice President for Student Affairs and the Associate Vice President and Dean of Student Life on non-academic student priorities, including but not limited to, helping identify timely issues that may put our students in high-risk situations, promoting a positive community ethos across all UMW campuses, publicizing and supporting student-service opportunities, and otherwise helping develop those aspects of campus life, including new buildings, that could enhance students' educational experiences;

.2 Communicate student-affairs and campus-life decisions to the faculty via the University Faculty Council and the governing bodies of the colleges, and faculty concerns and ideas back to the Vice President for Student Affairs and the Associate Vice President and Dean of Student Life; and

.3 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.10 Teaching Center Advisory Committee** The committee consists of five faculty members appointed as described in section 2.7.2. The committee also includes the following nonvoting *ex officio* members or their designees: the University Librarian, the Director of the Teaching Center, and the Director of Teaching and Learning Technology. The committee's duties are to:

.1 Support the creation and enhancement of a culture of teaching excellence at the University of Mary Washington;

.2 Serve as a resource for the director in planning and implementing programs of the Teaching Center;

.3 Promote and participate in the programs of the Teaching Center;

.4 Facilitate communication between the faculty and staff and the Teaching Center; and

.5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

**2.8.11 Writing Intensive Committee** The committee consists of five faculty members appointed as described in section 2.7.2. The committee also includes the Director of the Writing Center as a nonvoting *ex officio* member. The committee's duties are to:

.1 Study and recommend to the University Faculty Council procedures and criteria for approval, deletion, and alteration of course offerings in the writing intensive Across-the-Curriculum 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 Make information available regarding the procedures and deadlines for proposing courses to the general education committee; and

.5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

## 2.9 COLLEGE GOVERNANCE

**2.9.1 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 on college governance matters, including curriculum, student academic policies, budget and planning, and personnel (including evaluation, promotion, and tenure). The college governance bodies may also make recommendations to the UFC, other university faculty committees, and other appropriate bodies. 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 of the colleges are included as appendices in the *Faculty Handbook*.

**2.9.2 Principles of College Governance** The faculties of the colleges define their governing bodies and determine the processes and procedures of governance they will employ, consistent with the policies in this *Handbook*. The UFC has oversight to ensure that the policies and actions of the college governing bodies are in accordance with the *University Faculty Handbook*, and consistent with University goals, values, and mission (see §2.3.2.5). All colleges, and if so sub-divided, each of their departments, must ensure that their governing bodies:

**2.9.2.1** Operate in a democratic manner and in accordance with the best traditions of the academic profession;

**2.9.2.2** Adopt bylaws or standing rules that are made available to all members and that undergo periodic review;

**2.9.2.3** Meet as frequently as necessary to ensure good communication and the timely conduct of business, mindful of the constraints imposed by the overall University governance structure and approval timelines;

**2.9.2.4** Hold meetings that follow an agenda distributed in advance; and

**2.9.2.5** Record the proceedings of the meetings in minutes that are distributed to and approved by the faculty of the college and/or department.

**2.9.3 Meeting Schedule for College Governing Bodies** The meeting schedule for college faculty governing bodies is developed each year by the Provost's office in collaboration the UFC leadership and the presiding officers of the college governing bodies. This schedule will be announced by July 1 of each year. Any changes from the established meeting schedule must be communicated at least one week in advance to all of the college's faculty members, to the UFC chair, and to the Presidents of the other college governing bodies.





## SECTION 3

### FACULTY APPOINTMENTS, RANKS, SEARCH PROCEDURES, AND BENEFITS

**3.1 FACULTY APPOINTMENTS** The appointment establishes the employment relationship between the faculty member and the University. Members of the faculty are appointed initially and then reappointed annually by the Board of Visitors upon recommendation of the President. For full-time instructional faculty on nine-month appointments, the contract year extends from August 16 to May 15. For full-time instructional faculty on twelve-month appointments, the contract year extends from August 16 to August 15. Each year, letters are sent by the Provost, near the end of the spring semester, to all continuing full-time faculty, confirming their appointments for the upcoming year. By signing, dating, and returning the appointment letter to the Human Resources Office (HRO), a faculty member indicates acceptance of the employment offer and thereby establishes 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. 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 indicate acceptance of the employment offer and thereby establish a contract with the University for the following year. Tenured persons cannot be dismissed for cause without the due-process provisions of §4.3.

**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 appointment. Renewal of that initial appointment (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 appointment period a new appointment will be issued for the appropriate period until the next scheduled review (see §3.14). Renewal of tenure-track appointments is always preceded by a careful and thorough performance evaluation carried out by the department chair and reviewed by the dean and Provost (see §6.1). If, in the judgment of the chair and the dean, normal reappointment is not warranted (see §4.2), reappointment for less than the normal period may be recommended to the Provost; the Provost will then make final recommendations on all tenure-track 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 Athletics, 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 Department of Athletics, Health and Physical Education 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. If requested by the college dean, the Provost may grant an exception to allow the total number of RTA appointments in a particular college or department to exceed the limits described above. All exceptions must be based on sound programmatic needs. The option for an exception will be available until August 16, 2016. After that date, the limits of no more than ten percent of the number of tenured faculty appointments in the college and no more than twenty percent of the faculty in any one department will apply without exception.

**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 §§ 7.7.2 and 7.7.3).

**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,

and are issued appointment letters for the summer teaching assignment. By signing and returning a copy of the letter, the faculty member indicates acceptance of the offer for summer teaching and thereby establishes his or her summer session contract. 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 guidelines, 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 appointments 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 appointment with UMW will also be paid in accordance with the established adjunct salary matrix. Faculty on twelve-month appointments 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 paid in accordance with the established adjunct matrix.

**3.1.4.4. Overload contracts** Full-time faculty assigned to teach courses in excess of the maximum teaching load will receive a letter specifying the teaching assignment, the length of the overload assignment period, and the compensation. Overload teaching assignments must be approved by the dean and the Provost before an overload letter is issued. By signing and returning a copy of the overload letter, the faculty member indicates acceptance of the overload assignment and thereby establishes his or her overload contract. 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 §3.17, and if being dismissed for cause they are entitled to the due-process provisions of §4.3. They also are entitled to the due process afforded by §5.8 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 §§6.1 – 6.5, and they are expected to participate in their department's peer evaluation process if the department completes peer evaluations. 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://provost.umw.edu>. 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 appointment letter.

### 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://adminfinance.umw.edu/hr/policies-and-procedures/search-procedures-for-fulltime-teaching-faculty/>). 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 an appointment letter will be sent from the Provost's Office following approval of the appointment by the Board of Visitors at its next regular meeting. By signing and returning a copy of this *letter of first appointment*, the individual indicates acceptance of the offer of employment and thereby establishes a contract with the University. 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 §7.7.1 and 7.7.2), 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 (HRO), 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 §6.8.1), 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. The Office of the Provost conducts a required academic orientation for all newly-hired faculty. Individual colleges may also 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, supervisor, instructor of record, or designated academic advisor of another, nor be permitted to make judgment on the other family member concerning such matters as appointment, on-going employment, promotion, tenure, salary adjustment, or academic work, including grading and/or submitting grades on the latter. *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” (§5.6.2) and “Amorous Relationships” (§5.3.5.3)

.4 Any member of the staff holding academic rank who desires to undertake public office which will require absence from the University for any substantial period of time must inform the President of the intention to seek such office before publicly announcing for it. Subsequently, should such member become elected to such office, she/he will ask the President to recommend that the Board of Visitors grant her/him a leave of absence from the University, without salary, for a period of time mutually agreed upon by the President and the staff member who holds academic rank.

### 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 §§7.1 – 7.12.)

**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 §5.8).

**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. Approval of a sabbatical carries with it relief from the requirement to perform other duties for one semester or for one academic year (depending on the length of the sabbatical term approved). 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 faculty member's college 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. Each college dean will submit the viable sabbatical proposals simultaneously to the Provost and to the University Committee on Sabbaticals, Fellowships, and Faculty Awards by the first Friday in October.

**3.13.5.2 Announcements of Sabbatical Leaves** Recommendations from the University Committee on Sabbaticals, Fellowships, and Faculty Awards regarding sabbatical leaves are due to the Provost by the last day in October. The Provost reviews these recommendations, and announces which sabbatical recommendations will be taken to 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. Faculty have various breaks and vacation times when classes are not in session; these times are listed on the academic calendar and also 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 (§5.8).

**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 §5.8).

**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 thirty 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 one 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 about the required “break in service” period before returning to teach in a part-time capacity.

**3.17 NONREAPPOINTMENT** 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* (9<sup>th</sup> 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 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.

**3.17.2 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 §4.4 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.



## **SECTION 4**

### **PROCEDURES REGARDING TERMINATION OF FACULTY APPOINTMENTS BEFORE THE END OF THE APPOINTMENT TERM, AND SANCTIONS FOR VIOLATIONS OF POLICY**

#### **4.1 TERMINATION OF AN APPOINTMENT BEFORE THE END OF THE TERM SPECIFIED IN THE FACULTY MEMBER'S APPOINTMENT LETTER (CONTRACT)**

Termination of a tenured or tenure eligible appointment, or of a probationary or specified-term appointment before the end of the term specified in the contract, may occur (a) under extraordinary circumstances because of financial exigency that threatens the University as a whole, or (b) because of the discontinuance of a specific program or department of instruction within a college.

**4.1.1 Financial Exigency** Financial exigency is an imminent financial crisis that threatens the University as a whole and that cannot be alleviated by less drastic means than termination of academic appointments. The existence of a condition of financial exigency shall be determined and declared by the president of the university following consultation with the University Budget Advisory Committee. The criteria for selecting appointment(s) to be terminated shall be determined by the Provost following consultation with the University Faculty Council (UFC). However, ultimate authority over these decisions rests with the President and the Board of Visitors.

**4.1.1.1** Once the President and the University Budget Advisory Committee have determined the substantive standards for financial exigency (as defined above) have been met, but before any faculty appointment is terminated, the Provost will meet with the UFC and ask the UFC to affirm that a condition of financial exigency exists. Although the UFC's response is not binding on the President, should the UFC determine that the substantive standards have not been met, that opinion will be entered into the record and forwarded to the University Faculty Affairs Committee and, if necessary, to the Board of Visitors should the faculty member(s) whose positions have been reassigned or terminated appeal the decision.

**4.1.1.2** The Provost in consultation with the University Faculty Affairs Committee (UFAC) shall determine the criteria for identifying the individuals whose appointments are to be terminated. The criteria may include consideration of length of service. The Provost and the Committee should consult all concerned programs or departments as part of its deliberations, and follow to the extent possible the AAUP Guidelines "On Institutional Problems Resulting from Financial Exigency." Before recommending termination of an appointment, the Provost and the Committee shall make every effort to find another suitable position at the University for the affected faculty member(s).

**4.1.1.3** If the University terminates faculty appointments because of financial exigency, it will not at the same time make new faculty appointments, or retain non-tenured faculty while terminating tenured faculty, except in extraordinary circumstances where a serious distortion of the University's academic program would otherwise result. If the administration issues written notice to a particular faculty member of the intention to terminate his or her appointment because of financial exigency, the faculty member may appeal the decision to the University Faculty Appeals and Grievance Committee within thirty calendar days of receipt of notice of intent to terminate. The hearing will be governed by the hearing procedures set forth in §4.2.

**4.1.2 Discontinuance of a Program or Department of Instruction** A decision to terminate academic appointments resulting from the discontinuance of a program or department of instruction *not compelled by financial exigency* (as defined in 4.1.1 above) must reflect long-range institutional judgments that the educational mission of the University as a whole will be enhanced by the discontinuance.

**4.1.2.1** The determination that it is in the best interest of the University's educational mission to discontinue the program or department, and the identification of the criteria for selecting the appointment(s) to be terminated or reassigned, shall be made by the Provost in consultation with UFC (or a committee of their choosing). However, ultimate authority over these decisions rests with the President and the Board of Visitors. Once the President and the UFC have determined that the substantive standards for discontinuance of a program have been met (as defined above), but before any faculty appointment is terminated, the Provost will request that the UFC affirm that the discontinuance of a program or department of instruction reflects long-range institutional judgments that the educational mission of the University as a whole will be enhanced.

**4.1.2.2** Although the UFC's response is not binding on the President, should the UFC determine that the substantive standards have not been met, that opinion will be entered into the record and forwarded to the University Faculty Affairs Committee and, if necessary, to the Board of Visitors should the faculty member(s) whose positions have been reassigned or terminated appeal the decision (see §4.5.3).

**4.1.2.3** The Provost shall determine the criteria for identifying the individuals whose appointments are to be terminated or reassigned following consultation with the University Faculty Council or (or a committee of their choosing). The criteria may include consideration of length of service. The committee should consult all concerned programs or departments as part of its deliberations. Before terminating an appointment, the committee and the Provost shall make every effort to find another suitable position at the University for the faculty member, even if such an appointment requires retraining. If the University plans to discontinue a program or department of instruction for reasons other than financial exigency, it should likewise plan to bear the costs of relocating or retraining affected faculty members placed in another position within the University.

**4.1.2.4** If the administration issues notice to a particular faculty member of an intention to terminate or reassign his or her appointment because a program or department of instruction is to be discontinued, the faculty member may appeal the decision to the University Faculty Appeals and Grievance Committee within thirty calendar days of receipt of notice of the intent to

terminate. The hearing will be governed by the hearing procedures set forth in §4.2 (below).

**4.2 APPEAL PROCEDURES IN CASES INVOLVING TERMINATION OR REASSIGNMENT OF FACULTY APPOINTMENTS PRIOR TO THE END OF THE SPECIFIED APPOINTMENT (CONTRACT) TERM** The University Faculty Appeals and Grievance Committee (FAGC) shall make findings of fact, conclusions, and recommendations in a timely manner and issue a written report to the Provost and the faculty member(s). The findings of the University Faculty Council (UFC) shall be introduced.

**4.2.1 FAGC Consideration** The FAGC shall consider the following as part of deliberations.

**4.2.1.1** Whether the administration followed the procedures set forth above (the FAGC may consult with the UFC as needed). If the FAGC discovers a procedural irregularity, it shall indicate to the Provost in writing the nature of the irregularity and the point at which the process should resume.

**4.2.1.2** The existence and extent of the condition of financial exigency or the conclusion that the educational mission of the University as a whole will be enhanced by the discontinuance of a program or department of instruction, if the UFC has not affirmed the decision of the administration. In that case, the burden shall rest with the administration to demonstrate its case. If the UFC *has* affirmed the decision, the FAGC will not reevaluate the decision.

**4.2.1.3** The validity of the educational judgments and criteria used to determine which appointments are to be terminated.

**4.2.1.4** Whether the criteria are being properly applied in the individual case.

**4.2.2 FAGC Findings** If the Committee (.1) finds no procedural irregularities meriting reconsideration of the administrative decision to terminate, (.2) does not disagree with (or does not reevaluate) the decision as to the existence of financial exigency or that discontinuance will enhance the educational mission, (.3) does not find invalid the judgment and criteria for selecting appointments for termination, and (.4) does not find misapplication of those criteria in the case at hand, its decision shall be final, subject to appeal as described below.

**4.2.3 Provost Review of FAGC Findings** In all other cases, within thirty calendar days of receipt of the report, the Provost shall (1) provide an opportunity for written response by the faculty member, (2) accept or reject the recommendation of the FAGC, and (3) state the reasons for acceptance or rejection in writing to the FAGC and the faculty member.

**4.2.4 Appeal of Findings by FAGC and/or the Provost** If the FAGC or the Provost recommends termination, the faculty member will then have 30 calendar days after receipt of notice from the Committee or Provost, respectively, to appeal the decision to the President and the Board of Visitors per the procedures outlined in §4.5.

**4.3 IMPOSING SANCTIONS FOR ALLEGATIONS OF VIOLATIONS OF POLICY, AND DISCHARGE FOR CAUSE** Imposing sanctions for violations of University policy and/or termination of an appointment with tenure or of a non-tenured appointment before the end of the period specified in the faculty member's current contract may be effected only for adequate cause.

**4.3.1 Grounds** Adequate cause termination of a contract before the end of its specified term, is defined as:

**4.3.1.1** Incompetence, neglect of duty, or misconduct of such a nature as to render the individual unfit to continue as a member of the faculty. Adequate cause for dismissal must be related directly and substantially to the fitness of faculty members in their professional capacity as academicians. Dismissal shall not be used to restrain faculty members in the lawful exercise of any individual legal rights;

**4.3.1.2** Medical reasons of such a nature as to render the faculty member unable to fulfill his or her professional responsibilities; or

**4.3.1.3** Bona fide financial exigency on the part of the University or discontinuance of a program, department, or college of instruction (see §4.1 for procedures).

**4.3.2 Principles and Definitions** This section of the *Faculty Handbook* describes the general principles and definitions of terms applying in instances in which the University investigates alleged violations of University policy by a faculty member and imposes sanctions should clear and convincing evidence support the allegation. In certain cases, violation of University policy may also entail violation of the policies of external organizations; consequently, cases alleging discrimination/ discriminatory harassment or misconduct in scholarly activity or research require special procedures to ensure compliance with external agencies and regulations (see §5.3). Nevertheless, the following general procedures and principles apply for **all** allegations against a faculty member for violation of a University policy.

**4.3.2.1 Purview** The procedures spelled out in this section of this *Faculty Handbook* shall be the sole method for investigating and/or resolving any complaint against a faculty member, unless otherwise mandated by the law or policy of the United States or the Commonwealth of Virginia.

**4.3.2.2 Initiation of Allegations** *Allegation* means any written or oral complaint of violation of University policy made to an appropriate administrative officer. A *good faith* allegation is one made with the honest belief that a violation may have occurred. According to the U.S. Office of Research Integrity, an allegation is not made in good faith “if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.” The *Administrative Officers* empowered to receive allegations and to initiate inquiries are the program director, chair, and/or dean to whom the faculty member reports; and the Provost. Allegations of discrimination or discriminatory harassment may also be made to the AA/EEO Officer.

**4.3.2.3 Deciding Officials** The *Deciding Official* is the administrative officer who makes the

final determination that a policy has been violated and decides on the appropriate institutional action. In cases in which the complaint is resolved during the stage of informal investigation and mediation, the deciding official may be the academic dean, the AA/EEO officer (in cases alleging discrimination or discriminatory harassment), or the Provost. In cases in which the complaint is resolved during an inquiry, the deciding official may be the program director, chair, or academic dean, the AA/EEO officer (in cases alleging discrimination or discriminatory harassment), or the Provost. In cases that proceed to the stage of formal investigation and resolution, the deciding official shall be the Provost, the President, and/or the Board of Visitors.

**4.3.2.4 Inquiry, Investigation, and Mediation** *Inquiry* describes the stage in which the administrative officer suspects or receives an allegation of violation of policy, determines the validity of the allegation, and seeks resolution of the problem. An *informal investigation and/or mediation* occurs when preliminary attempts to resolve the matter fail or when the allegation makes private resolution impossible (for example, because of the gravity of the situation or because a granting agency requires at least informal investigation). Informal investigations gather and dispense information, attempt to mediate the complaint, and/or determine whether a formal investigation is warranted. *Formal investigation and resolution* describes the adjudicating committee's examination and evaluation of the evidence supporting the charge and the determining officer's decision based on the committee's findings.

**4.3.2.5 Standards of Proof** Before any sanctions are imposed, it must be determined that there is clear and convincing evidence in support of the allegation. "Clear and convincing evidence" does not require evidence that is beyond a reasonable doubt; it is defined as that degree of proof that will produce a firm belief in the allegations sought to be established. Clear and convincing evidence thus, is an intermediate standard requiring more than a preponderance of evidence, but less than the certainty required by evidence that is beyond a reasonable doubt.

**4.3.2.6 Sanctions** *Major sanctions* are normally limited to dismissal, suspension, reduction in pay, reduction in rank or status, or removal from a research project. *Minor sanctions* carry lesser or short-term consequences.

**4.3.2.7 Safeguards Against Retaliation** *Retaliation* refers to any action taken by the University or by a faculty or staff member or group of faculty or staff members against an individual or individuals because the latter have, in good faith, made or provided evidence in support of an allegation. As explained in §5.3.4, acts of retaliation violate University policy and are subject to investigation and disciplinary action if an allegation of retaliation is substantiated.

**4.3.2.8 Confidentiality** In all proceedings, confidentiality will be maintained. The mere suspicion of wrongdoing, even if totally unjustified, is potentially damaging to an individual's career. Thus, information concerning any investigation should be available only to those with a right or a need to know. An unwarranted reference to an exonerated case may in itself constitute misconduct. If a complainant desires anonymity and believes that the administrator's discussion with the accused faculty member would reveal his/her identity, the administrative officer will end the inquiry or investigation immediately, if possible, and take no further action against the faculty member. No notes, reports, files, or other written documents shall be kept about the conversation. However, should external regulations—e.g., those of the AA/EEO officer—or

concerns about community safety require an administrator to confront the accused, the administrator shall so inform the complainant in person and explain the reasons for having to confront the accused. Should external regulation or safety concerns require the administrative officer to pursue an inquiry and/or investigation, the complainant's identity will be kept confidential to the extent possible, but the faculty member shall be apprised of the allegation and have access to any written documents produced by University officials or committees.

### **4.3.3 General Procedures for Addressing Allegations**

**4.3.3.1 Inquiries** When the appropriate administrative officer receives an allegation that a faculty member has violated University policy, or when that administrative officer him- or herself finds evidence that a faculty member under his or her supervision has violated University policy, that administrative officer shall first discuss the allegation and/or offending conduct with the faculty member (see above on confidentiality). Should the administrative officer determine that there is reason to proceed, he or she shall define the violation and explain relevant policy and procedures in writing. The administrative officer shall provide the faculty member an opportunity to respond. The administrative officer shall seek a solution that is mutually satisfactory to all parties involved (e.g., an agreement to stop the offending conduct, and/or amelioration or remediation). Absent any mutually-agreed upon solution, the administrative officer may impose a minor sanction, in which case the process ends at this stage, except that the faculty member may then file an appeal (see §4.5).

**4.3.3.2 Informal Investigation and/or Mediation** Should no settlement be reached or should the appropriate administrative officer believe that action beyond the imposition of a minor sanction is called for, the administrative officer shall deliver written notice of the allegation to the accused faculty member and to the Provost; the Provost will then normally initiate an informal investigation. The general purpose of the informal investigation is to review the charges, to educate the parties where appropriate, to attempt to resolve the issue when possible, and/or to determine whether a formal investigation is warranted. The bodies conducting the informal investigation and the procedures followed will vary according to the type of alleged offense (see §4.4, §4.6, §4.7, and §4.8).

**4.3.3.3 Formal Investigation and Resolution** Formal investigation of charges may ensue when no settlement is reached during informal investigation and mediation, and/or when the appropriate officer and/or the body conducting the informal investigation concludes that the alleged violation is sufficiently grave and the evidence supporting the allegation is sufficiently convincing to warrant major sanction, as defined in §4.3.2.6 (above). *In cases alleging discrimination or discriminatory harassment by a faculty member*, the formal investigation will be conducted by the AA/EEO officer and his or her recommendations forwarded to the University Faculty Affairs Committee; the University Faculty Affairs Committee will find for or against the faculty member and may, in the latter instance, recommend a sanction. *In all other cases*, the investigation will be conducted by the appropriate faculty committee (see §4.4, §4.6, §4.7, and §4.8); the committee will find for or against the faculty member and may, in the latter instance, recommend a sanction.

**4.3.3.4 Interim Suspension or Reassignment** Pending a decision based upon the informal

and/or formal investigation, if the Provost determines that immediate or likely harm to the faculty member, other members of the University community, or the educational function of the University is threatened by continuance, the Provost may suspend the accused faculty member(s) with pay, or, in lieu of suspension, assign the faculty member(s) to other duties. Before so suspending a faculty member, the Provost will consult with the University Faculty Council concerning the propriety, length, and other conditions of the suspension (the faculty member may waive the right to have the University Faculty Council consulted and accept the suspension, but the waiver must be in writing). A suspension cannot continue indefinitely; should the suspension or reassignment continue beyond 120 days, the Provost shall justify the cause of the delay to the University Faculty Council.

**4.3.3.5 Remedies and Sanctions** Remedies and sanctions may include, but are not limited to:

- A warning not to repeat the offending conduct;
- Special monitoring of teaching or research;
- Separation of the parties involved;
- Required participation in an educational program (such as harassment, or discrimination);
- A letter of reprimand;
- Removal from a research project (including long-term disbarment);
- Suspension of access to laboratories and/or offices;
- Reassignment of duties;
- Loss of travel funds, research funds, etc.;
- Denial of a pay increase;
- Reduction in rank or salary or loss of endowed chair;
- Probation;
- Suspension with or without pay;
- Dismissal.

**4.3.3.6 Appeals of Major Sanctions** Should a faculty member, at the end of a formal investigation, receive a major sanction (as defined in §4.3.2.6), he or she may appeal to the Faculty Appeals and Grievance Committee on the grounds of procedural irregularities or of inadequate consideration. Appeals on any other grounds are made to the President and the Board of Visitors (see §4.5 for appeals process).

**4.3.3.7 Faculty Notification and Access to Files** Nothing concerning allegations against a faculty member shall be kept in writing by any committee, officer, or office of the University unless the faculty member is notified of the existence of and provided access to the written material (be that notes, reports, files, etc.). The faculty member shall also be afforded the opportunity to respond to the allegation and to have that response added to the written record. (This standard does not apply to conversations or discussions that do not result in further inquiry or investigation and/or enduring notes, reports, files or other written documents).

**4.4 PROCEDURES FOR FORMAL INVESTIGATION OF VIOLATIONS OF UNIVERSITY POLICY** This section outlines the common procedures and general guidelines used for the formal investigation of any allegation of violation of university policy by a faculty

member. The formal investigation shall be conducted by the University Faculty Affairs Committee (UFAC). Subsequent appeals, if any, are made to the Faculty Appeals and Grievance Committee (FAGC). The Provost shall submit the written statement of charges, the report prepared by the relevant faculty committee or investigative team, and the faculty member's response (if any).

**4.4.1 Challenges to Committee membership** The accused faculty member and the Provost will each have a maximum of two challenges to the composition of the UFAC for the purposes of the formal investigation, without stated cause. To prevent the perception of bias or conflict of interest, any member will step down at the request of a majority of the members of the UFAC who have not been removed by a challenge. The committee must have at least five members to conduct the formal investigation. Any necessary replacements on the committee should challenges and recusals result in fewer than five members will be made by the University Faculty Organization Committee.

**4.4.2 Pre-Hearing Meetings** The UFAC may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to (1) simplify the issues, (2) effect stipulations of facts, (3) provide for the exchange of documentary or other information, and (4) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

**4.4.3 Required Notification** Service of notice of hearing with specific charges in writing will be made at least twenty calendar days prior to the hearing. The faculty member may waive a hearing and may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges, the UFAC will evaluate all available evidence and rest its recommendation upon the evidence in the record.

**4.4.4 Conduct of Hearings** The UFAC, in consultation with the President, the Provost, and the faculty member, will exercise its judgment as to whether the hearing should be public or private. During the proceedings, the faculty member will be permitted to have an advisor and/or lawyer of the faculty member's own choice. The advisor/lawyer serves strictly as a source for the faculty member, and may not speak during the proceedings except to the faculty member. At the request of either party or the UFAC, a representative of an appropriate educational association shall be permitted to attend the proceedings as an observer. A verbatim record of the hearing or hearings will be taken and a transcript will be made available to the faculty member without cost, at the faculty member's request. The UFAC may grant adjournments to enable either party to investigate material evidence for which a valid claim of surprise is made and to prevent prejudice.

**4.4.5 Rights to Cross Examine During the Hearing** The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the UFAC determines that the interests of justice require admission of their statements, the UFAC will identify witnesses, disclose their statements, and if possible provide for written interrogatories.



**4.4.6 Evidence and Standards of Proof** The burden of proof rests with the University and shall be satisfied only by clear and convincing evidence as introduced in the record of the hearing when considered as a whole. The UFAC will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in determining the issues involved. Every reasonable effort will be made to obtain the most reliable evidence available. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence; however, the parties bear the burden of arranging for the presentation of witnesses and documentary or other evidence. The administration will cooperate to the extent practicable with the UFAC in securing witnesses and making available documentary and other evidence. In the hearing of charges of incompetence, evidence should include testimony of qualified faculty members from this or other institutions of higher education.

**4.4.7 Avoidance of Public Statements About the Proceedings** Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the cases by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including appeal to the Board of Visitors.

**4.4.8 Formal Finding** The UFAC shall render a formal finding based upon the evidence admitted at the hearing or hearings; the formal finding shall be based solely on the record as a whole and shall be in writing. The formal finding shall reflect the majority opinion of the University Faculty Affairs Committee and shall contain a summary of the committee's proceedings and deliberations. It should also describe the policies and procedures under which the investigation was conducted, how and from whom information was obtained relevant to the investigation, the findings, and the basis for the findings. The Provost and the faculty member shall receive a copy of the formal finding and, should either one request it, a copy of the record of the hearing.

## **4.5 APPEAL OF MAJOR SANCTIONS**

**4.5.1 Appeal on Grounds of Inadequate Consideration** If the faculty member alleges that a decision resulting in a major sanction was based on inadequate consideration, the FAGC shall review the allegation and determine whether the decision was the result of adequate consideration in terms of the relevant standards of the University. The term "adequate consideration" refers to procedural rather than substantive issues. It requires that the decision be arrived at conscientiously; that all relevant evidence be considered; that there be adequate deliberation by the appropriate committees and administrative officers over the import of the evidence in the light of the relevant policies; that irrelevant and improper standards be excluded from consideration; and that the decision be a *bona fide* exercise of professional academic judgment. The standard of adequate consideration does not permit the FAGC to substitute its judgment for those of the committees or administrative officers.

**4.5.1.1 Filing an Appeal Based on Inadequate Consideration** Allegations of inadequate consideration, with supporting information, maybe filed with the FAGC only after receipt of the

letter from the Provost imposing the sanction (including dismissal). The allegation must be filed no later than 14 calendar days after receipt of such letter.

**4.5.1.2 Written Report of Appeal Finding** The FAGC shall provide a written report of its findings to the accused faculty member, the appropriate committees and administrative officers involved, and the President not later than 30 calendar days after the date of the accused's request for reconsideration is filed with the Committee. If the FAGC finds that the accused's case was not given adequate consideration, it shall indicate in its report the respects in which it believes the consideration may have been inadequate and the point in the process at which reconsideration is to begin. If the FAGC finds that the accused's case received adequate consideration, the Committee's determination shall be final.

**4.5.2 Appeal to the President** In the case of dismissal or other major sanction, the faculty member may appeal to the President within 15 calendar days of receipt of the written sanction from the Provost. -If the faculty member appeals to the President, the Provost will transmit to the President the record of the case. The President's review will be based on the record of the formal hearings; the President will determine whether his/her review will provide opportunity for oral or written argument or both, by the parties at the hearings or by their representatives. The decision of the Provost will either be sustained, or the proceeding returned to the Provost or the FAGC, depending on where the earliest disagreement occurs, with specific objections and/or instructions. The Provost or the FAGC will then reconsider, taking into account the President's stated objections and receiving new evidence if necessary. The President will make a final decision only after study of the report of reconsideration; the decision will be transmitted to the faculty member in writing.

**4.5.3 Appeal to the Board of Visitors** If a decision for dismissal or major sanction is appealed to the President, the President renders the final decision on the substance of the appeal. A faculty member may request, through the President, that a further appeal to the Board of Visitors is warranted on the grounds that the faculty member's due process rights were not properly followed during the procedures for determining that violation of university policy had occurred. A claim that the faculty member's due process rights had been abridged is the only grounds for requesting that the President notify the Board of Visitors of the faculty member's request for an appeal to the Board. The determination of whether the faculty member's due process rights were violated will be made by the Office of the Attorney General of the Commonwealth of Virginia.

**4.6 ALLEGATIONS OF INCOMPETENCE, NEGLECT OF DUTY, OR MISCONDUCT** Incompetence, neglect of duty, or misconduct must be of such a nature as to render the individual unfit to continue as a member of the faculty. Adequate cause for sanctions, including dismissal, must be related directly and substantially to the fitness of faculty members in their professional capacity as academicians. Dismissal shall not be used to restrain faculty members in their lawful exercise of any individual legal rights.

**4.6.1 Inquiry** When a program director, department chair, or college dean receives an allegation or finds evidence that a faculty member under his or her supervision may be guilty of

incompetence, neglect of duty, or misconduct, that administrative officer shall discuss the allegation and/or offending conduct with the faculty member.

**4.6.1.1** Should a complainant wish a conversation with the administrative officer about an alleged violation by a faculty member remain confidential, and should the complainant believe that the administrator's discussion with the faculty member would reveal the complainant's identity, the administrative officer shall end the inquiry with no further action taken against the faculty member (subject to the conditions of §4.3). No formal notes, reports, files, or any other official documentation shall be kept about this conversation.

**4.6.1.2** Should safety considerations require the administrative officer to pursue an inquiry and/or investigation, the complainant's identity will be kept confidential to the extent possible, but the faculty member shall be apprised of the allegation and have access to any written documents produced by University officials or committees.

**4.6.1.3** Should the administrative officer determine that there is reason to proceed, he or she shall define the alleged or perceived violation and explain relevant policy and procedures in writing, and s/he shall provide the faculty member an opportunity to respond. The administrative officer shall seek a solution that is mutually satisfactory to all parties involved (e.g., an agreement to stop the offending conduct). A chair or program director may negotiate a settlement involving a minor sanction; however, only academic officers at the level of college dean or higher may impose more serious sanctions, and only with the approval of the Provost.

**4.6.2 Informal Investigation and Mediation** Should no settlement be reached during the inquiry, the appropriate administrative officer shall deliver written notice of the allegation of incompetence, neglect of duty, or misconduct to the accused faculty member and to the Provost; the faculty member will have ten calendar days to respond. Following that notification, the Provost shall attempt to reach a solution with the faculty member that is mutually satisfactory. If a settlement is still not reached at that point, the Provost will turn the matter over to by the University Faculty Affairs Committee (UFAC) for formal investigation following the procedures outlined below.

**4.6.3 Formal Investigation and Resolution** The formal investigation shall be conducted by the University Faculty Affairs Committee (UFAC) in accordance with the procedures outlined in §4.3 and §4.4. The Provost shall submit to the UFAC the written statement of charges, framed with reasonable particularity, along with any response from the faculty member.

**4.6.3.1 UFAC Findings** If the UFAC concludes that sufficient evidence has been established to prove the allegation, it may include in its formal finding a recommendation for appropriate action by the University (which might include major sanction or dismissal). Upon receipt of the Committee's formal finding, the faculty member shall have ten calendar days to submit a response to the Committee's findings to the Provost. If the UFAC concludes that sufficient evidence has not been established to prove the allegation, it will so report in writing to the Provost.

**4.6.3.2 Response by Provost to UFAC Finding** Should the Provost agree with the Committee's formal finding and recommendation about disciplinary action, he or she shall so inform the faculty member, the Committee, and the President, in writing, formalizing the action to be taken, and particularly of any sanction (including dismissal). Should the Provost disagree with the Committee's Formal Findings and/or recommendation about disciplinary action, the Provost will determine the appropriate action to be taken by the University only after consulting with the UFAC. The Provost shall then inform the faculty member, the Committee, and the President, in writing, of the action to be taken, and particularly of any sanction (including dismissal). The Provost shall include the findings and/or recommendation of the UFAC in his or her report. If the Provost rejects the Committee's formal findings, he or she will state the reasons for doing so, and describe any proposed action, in writing and within ten calendar days, to the Committee and to the faculty member; the Committee and the faculty member shall have ten calendar days in which to respond before the Provost submits his or her final decision, along with any response from the faculty member and/or the University Faculty Affairs Committee, to the President.

**4.6.4 Action in Cases of Misconduct** If misconduct is established, the Provost may take steps necessary to clarify the public record (e.g., public announcements, etc.). As appropriate, the Provost may also notify other concerned parties not previously aware of the case, including law enforcement authorities.

**4.6.5 Appeal of Formal Investigation Major Sanctions** The faculty member may appeal a major sanction on procedural grounds to the Faculty Appeals and Grievance Committee or on any grounds first to the President and then to the Board of Visitors (per §4.5).

**4.7 ALLEGATIONS OF DISCRIMINATION OR HARASSMENT** The University prohibits discrimination. See the University's policies on Discrimination, on Workplace Harassment, and Sexual Harassment and Consensual Relations Policy (§5.3). Allegations of violations of these policies are handled via the mechanisms outlined within each of those policies. In the event of repeated allegations within the same academic unit or against the same faculty member, the University reserves the right to use previous good faith reports of discrimination to identify patterns of behavior. In such cases, the AA/EEO Officer, with the approval of the Provost, may initiate an informal investigation following the procedures outlined in §4.4 (above). Should this occur, the faculty member is entitled to the notification requirements outlined in §4.3.3.7.

## **4.8 ALLEGATIONS OF ACADEMIC MISCONDUCT IN SCHOLARLY ACTIVITY OR RESEARCH**

**4.8.1 Research Responsibilities** It is the responsibility of faculty and administrators at the University to create and sustain an atmosphere where honesty and integrity are paramount in the conduct and dissemination of research and scholarly and creative activity. This responsibility extends to documentation prepared for the purpose of securing assistance in the pursuit of scholarly activity or research. It is the particular responsibility of individual scholars and

researchers to ensure that the quality of published works is maintained: products must be carefully reviewed prior to publication; the accomplishments of others must be recognized and cited; contributors must be given full acknowledgement; co-authorship must be conferred to those, and only those, who have made a significant contribution; and all (co-)authors must be willing and able to defend publicly their contribution to the published results. It is also the responsibility of the University administration and faculty to make undergraduate and graduate students aware (1) of the University's policies governing the conduct of scholarly activities and research, and (2) that students as well as faculty members are held to these policies while conducting research.

**4.8.2 Definitions of Academic Misconduct** Although it may be more specifically defined by the discipline and/or in the college or department, academic misconduct is broadly defined to include, according to the U.S. Office of Research Integrity, fraudulent behavior such as “fabrication, falsification, plagiarism,[misappropriation,] or other practices that seriously deviate from those that are commonly accepted within [the particular scholarly community] for proposing, conducting, or reporting research [or other scholarly endeavors]. It does not include honest error or honest differences in interpretations or judgments” of results of scholarly activity.

**4.8.2.1** *Falsification* ranges from fabrication to deceptively selective reporting and includes the purposeful omission of conflicting data with the intent to condition or falsify results.

**4.8.2.2** *Plagiarism and misappropriation* involve willfully appropriating the ideas, methods, or written words of another, without acknowledgement and with the intention that they be taken as one's own work, as well as the unauthorized use of privileged information (such as information gained confidentially in peer review). Academic misconduct also includes material failure to comply with legal requirements governing research, including requirements for the protection of researchers, human subjects, or the public, or for ensuring the welfare of laboratory animals.

**4.8.3 Inquiry in cases of Academic Misconduct** Any member of the University community who suspects academic misconduct in scholarly activity or research is strongly encouraged to report it. Normally, the first step should be to attempt to resolve the issue as confidentially as is possible with the party or parties involved. Should direct consultation be inappropriate or unsuccessful, allegations of misconduct should be made to the appropriate administrative officer: to the program director, chair or dean of the accused; or, if the accused is a program director, chair, or dean, to the immediate supervisor of the accused or to the Provost (or his or her designee).

**4.8.3.1** The administrative officer shall discuss the allegation or offending conduct with the accused, following §4.3.3. If an individual alleging academic misconduct (hereafter, the complainant) does not want the accused to know the complainant's identity, and believes that notifying the accused would reveal the complainant's identity, the administrative officer, if permitted by U.S. Office of Research Integrity (ORI) regulations, will end the inquiry with no further action taken against the faculty member. No notes, reports, files, or other written documents shall be kept about the conversation. Should ORI regulations require the administrative officer to pursue an investigation, the complainant's identity will be kept confidential to the extent possible, but the faculty member shall be apprised of the allegation and

shall have access to any written documents produced by any University office, administrator, or committee.

**4.8.3.2** If the administrative officer determines that the allegation results from honest error or a difference of interpretation, he or she may seek a mutually satisfactory solution. However, once the administrator finds evidence that the allegation of academic misconduct is credible and/or that any of the conditions enumerated in §4.8.4 (below) obtain, the administrator shall report the matter immediately to the Provost (or his or her designee).

**4.8.4 Reporting Requirements in Cases of Academic Misconduct** Following U.S. Office of Research Integrity regulations, the Provost (or his or her designee) will notify any appropriate funding or other relevant external agencies if, during the inquiry or investigations, any administrator or committee member discovers:

- an immediate health hazard involved;
- an immediate need to protect sponsored funds or equipment;
- an immediate need to protect the interests of the individual(s) making the allegations or of the accused or any co-investigators and associates;
- the probability that the alleged incident is going to be reported publicly; or
- a reasonable indication of possible criminal violation.

If there is a reasonable indication of possible criminal violation, the Provost (or his or her designee) must notify any appropriate funding and other external agencies within 24 hours of obtaining that information.

**4.8.5 Interim Actions During Inquiry and/or Investigation of Academic Misconduct** The University will take appropriate interim administrative actions during the inquiry and any investigations to protect from misuse any public or private funds supporting the research and scholarly activity, and to ensure that the purposes of the financial assistance are being carried out. The University will undertake diligent efforts, as appropriate during the inquiry and any investigations, to protect the positions and reputations of those who, in good faith, make allegations of academic misconduct. Even if the accused leaves the University before the case is resolved, the University has the responsibility to bring the investigation of the allegation to resolution, and the University should continue to cooperate with any other institutions involved. If the University should consider terminating an investigation for any reason before its resolution, the Provost (or his or her designee) shall first report the reasons that the University wishes to terminate the investigation to the appropriate funding or external agency.

**4.8.6 Informal Investigation and Mediation in Cases of Academic Misconduct** When a program director, chair, or college dean reports an allegation of academic misconduct to the Provost, he or she shall discuss the allegation with the accuser and the accused, and will review any evidence collected by the administrative officer. Should no external agency require further investigation, the Provost may attempt further mediation? If no settlement can be reached, or should the requirements of an external agency so mandate, the Provost shall deliver written notice to the accused and to the accuser that a formal investigation should be initiated; the notice should spell out the nature of the alleged offense. The accused shall have ten calendar days to respond to the Provost.

**4.8.7 Formal Investigation** Should the Provost determine that there is sufficient evidence in support of the allegation to warrant a formal investigation, he or she shall inform the accused, the accuser, and the University Faculty Affairs Committee (UFAC) in writing within fifteen calendar days of the receipt of the informal investigation report. The Provost shall submit to the Committee a written statement of the charges to be investigated, accompanied by any records compiled during the informal investigation and mediation efforts, including any responses from the accused. The Provost (or his or her designee) will inform the Committee of any requirements of external agencies relevant to the allegation or to the way in which the informal investigation is to be conducted. The Provost (or his or her designee) shall inform the appropriate funding agencies (if any) that a formal investigation has been initiated on or before the date the investigation begins.

**4.8.7.1 Formal Investigation Procedures in Cases of Academic Misconduct** The UFAC will conduct a formal investigation in accordance with the procedures outlined in §4.4. The Provost (or his or her designee) will inform the committee of any requirements of external agencies relevant to the allegation or to the way in which the formal investigation is to be conducted. Should the investigation disclose facts that may affect current or potential funding for the accused, or information that funding agencies need to know to ensure appropriate use of funds and otherwise protect the public interest, the committee shall promptly notify the Provost (or his or her designee), who in turn shall promptly advise the appropriate funding agencies.

**4.8.7.2 Formal Investigation Deadlines** The formal investigation shall be completed no later than 45 calendar days from the date the UFAC receives its charge from the Provost. If, during the investigation, it becomes evident that completion of the formal investigation cannot be accomplished within 45 days, the Provost will promptly be given the reasons in writing, an interim report of the work accomplished thus far, and a request for a reasonable extension. If the Provost approves the extension, he or she (or his or her designee) shall notify the appropriate funding agencies of the reasons for the delay. On completion of its formal investigation, the UFAC shall issue a written report containing its formal finding and any recommendation of action to be taken by the University.

**4.8.7.3 Formal Investigation Findings and Report** The formal finding shall reflect the majority opinion of the UFAC, shall include a summary of the proceedings and deliberations, and shall conclude one of the following:

- That the accused is guilty of academic misconduct as defined in §4.8.2;
- That the accused committed no academic misconduct, but did commit serious errors; or
- That the accused committed no academic misconduct or serious error and should be exonerated.

The report shall also include a description of the policies and procedures under which the investigation was conducted, how and from whom information was obtained relevant to the investigation, the basis for the formal finding, and if appropriate, a recommendation about disciplinary action. It will also include any response of the accused to the charges. The Provost and the accused shall receive a copy of the report and, should either one request it, a copy of the record of the hearing. Upon receipt of a report finding the accused guilty of misconduct or

serious error, the faculty member shall have ten calendar days to submit a response to the Provost. If the UFAC finds that sufficient evidence **has not** been established to prove academic misconduct or that serious errors were committed, it will so report in writing to the Provost.

**4.8.7.4 Actions by the Provost in Response to Formal Investigation Findings** If the UFAC finds that sufficient evidence **has been** established to prove academic misconduct or that serious errors were committed, it shall so report in writing to the Provost. Should the Provost **agree** with the Committee's formal findings and recommendation about disciplinary action, he or she shall so inform the faculty member, the Committee, and the President in writing, formalizing what action, if any, is to be taken. Should the Provost **disagree** with the Committee's findings and/or recommendation about disciplinary action, the Provost will determine the appropriate action to be taken by the University only after consulting with the UFAC. The Provost shall then inform the faculty member, the Committee, and the President in writing, of the action to be taken. If the Provost **rejects** the Committee's formal findings, he or she will state the reasons for doing so, in writing and within ten calendar days, to the Committee and to the faculty member, and provide the Committee and the faculty member ten calendar days in which to respond before submitting his or her final decision (including any action to be taken), along with any response from the faculty member and/or the UFAC, to the President.

**4.8.7.5 Appeal of the Formal Investigation Sanctions** The faculty member may appeal a major sanction on procedural grounds to the Faculty Appeals and Grievance Committee or on any other grounds first to the President and then to the Board of Visitors (see §4.5). In any case, any decision to remove a privilege pursuant to a grant or contract from an agency or sponsor shall be made only after consultation with that agency or sponsor.

**4.8.7.6 Formal Notifications in cases of Academic Misconduct** Within fifteen calendar days of delivering his or her decision to the accused and the Committee, the Provost shall also submit a copy of that decision, along with the report of the UFAC, to any agency or sponsor previously notified of the investigation. If the accused has been sanctioned and chooses to appeal to the Board of Visitors, the Provost shall so inform the agencies or sponsors. To the extent appropriate, the Provost shall also inform accusers, witnesses, and appropriate administrative officers of any outcome of the case that would manifest itself publicly. A full report, including the outcome of any appeal, shall be submitted to the appropriate agencies and/or sponsors with 120 calendar days of the initiation of the formal investigation. If the University cannot complete the investigation within 120 days, the Provost (or his or her designee) shall submit a written request for an extension to the appropriate funding agencies, with an explanation for the delay, a report on progress to date, an outline of what remains to be done, and an estimated date of resolution.

**4.8.7.7 Clarification of the Public Record** Where academic misconduct is established, the Provost may take steps necessary to clarify the public record (e.g., public announcements, published retractions, withdrawal or correction of published papers or abstracts, etc.). As appropriate, the Provost may also notify other concerned parties not previously aware of the case, including:

- Co-authors, co-investigators, collaborators;
- State professional licensing boards;



- Editors of journals in which fraudulent research was published;
- Professional societies; or
- Law enforcement authorities.

#### **4.8.8 Maintenance of Records of Investigations in cases of Academic Misconduct**

Regardless of the outcome of the inquiry or investigation, all records and other written material associated with the inquiry, informal investigation, and formal investigation shall be retained in the Provost's Office for five years; at the end of the five years, the records shall be destroyed. If the accused is exonerated, nothing shall be placed in his or her University Personnel File. The University, in consultation with the exonerated individual(s), shall determine whether a public announcement would be harmful or beneficial in restoring any reputations that may have been damaged; an exonerated individual has the right to prevent any public announcement of the results of the investigation as they relate to that individual. If there is a finding of academic misconduct, a copy of the letter from the Provost providing a summary of the allegation(s), the findings and recommendations of the committee, and the provost's decision as to the actions that will be taken, shall be placed in the faculty member's University personnel file.

**4.9 TERMINATION OF AN APPOINTMENT FOR MEDICAL REASONS** A faculty member in a tenured or tenure-eligible position, or a faculty member in a specified term appointment (such as an RTA or visiting appointment) who has not reached the end of his or her contract, may be dismissed for medical reasons (physical or mental) only on the basis of clear and convincing medical evidence that the faculty member, even with reasonable accommodation, is no longer able to perform the essential duties of the position.

**4.9.1 Informal Inquiry** When a program director, department chair, or college dean finds evidence that a faculty member under his or her supervision may be unable to perform the essential duties of his or her position, that administrative officer shall discuss the problem with the faculty member or with the faculty member's representative. The administrative officer shall provide the faculty member (if necessary, via the representative) an opportunity to respond; he or she shall use all reasonable means to seek a solution that is mutually satisfactory. Should no settlement be reached, the administrative officer shall notify the Provost in writing and provide a copy of the notification to the faculty member; the faculty member will have ten calendar days to respond. Following that notification, the Provost shall attempt to reach a solution with the faculty member that is mutually satisfactory. If a settlement is still not reached at that point, the Provost will turn the matter over to by the University Faculty Affairs Committee (UFAC) for formal investigation following the procedures outlined below.

**4.9.2 Formal Investigation** The formal investigation shall be conducted by the (UFAC) as per the procedures outlined in §4.4. The burden of proof that the faculty member is no longer able to perform the essential duties of the position, even with reasonable accommodation, rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

**4.9.3 Appeal** Should the formal investigation proceedings result in the decision to dismiss the faculty member for medical reasons, the faculty member may appeal to the President or to the

Board of Visitors as per the procedures outlined in §4.5.

## SECTION 5

# FACULTY RIGHTS, RESPONSIBILITIES, AND POLICIES

**5.1 ACADEMIC FREEDOM AND RESPONSIBILITY** Academic freedom is the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to speak or write without institutional discipline or restraint on matters of public concern as well as on matters related to professional duties and the functioning of the University. Academic responsibility implies the faithful performance of professional duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that when one is speaking on matters of public interest, one is not speaking for the institution.

**5.1.1 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 C of this *Faculty Handbook*.

**5.1.2 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 C.

**5.1.3 First Amendment Rights** The Policy on Academic Freedom, contained in Appendix C, defines rights under the policy, specifies who is covered by the policy, and notes that the process for hearings in cases of alleged violation of free expression or inquiry rights is under the jurisdiction of the University Faculty Appeals and Grievance Committee (see §2.6.5).

**5.2 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.

**5.2.1 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.

**5.2.2 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.

**5.2.3 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). Assignments under review by the Honor Council should not be assigned a grade until a final verdict has been determined. In cases where an honor accusation is outstanding on the day final grades are due, the Honor Council will request a 'G' grade on the faculty member's behalf. Faculty will be notified in all instances when this act occurs. 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.

### **5.3 EQUAL OPPORTUNITY AND RESPECTFUL WORKPLACE POLICIES**

**5.3.1 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>.

**5.3.2 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.

**5.3.3 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://adminfinance.umw.edu/hr/policies-and-procedures/respectful-workplace-policies/workplace-violence/>.

**5.3.4 Retaliation** The University prohibits 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 Equal Employment Opportunity policies. It is the responsibility of the University's AA/EEO officer to establish and enforce policies and procedures, consistent with applicable federal and state laws, for preventing such retaliation and for addressing complaints of retaliation. If retaliation occurs, the employee(s) should report the retaliation as outlined in the discrimination and harassment complaint procedures.

**5.3.5 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. Harassment is 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 one or more of that person's protected characteristics or statuses, and 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. It is the responsibility of the AA/EEO officer to establish and enforce policies and procedures, consistent with applicable federal and state laws, for preventing harassment and for addressing complaints of harassment. All students and employees of the University have the right to file a complaint of harassment. Policies for preventing and addressing harassment shall not allow curtailment or censorship of constitutionally protected expression. The University's policies regarding harassment and additional information are available at <http://adminfinance.umw.edu/hr/policies-and-procedures/respectful-workplace-policies/workplace-harassment-policy/>

**5.3.5.1 Sexual Harassment** The University of Mary Washington does not tolerate sexual harassment. Sexual harassment is a form of sexual discrimination and as such is illegal behavior. Moreover, sexual harassment subverts the mission of the University by undermining the positive working and educational environment the University is committed to providing for all students, University personnel, and visitors. The University's policies for preventing and addressing sexual harassment and additional information are available at <http://adminfinance.umw.edu/hr/policies-and-procedures/respectful-workplace-policies/university-sexual-harassment-and-consensual-relations/>.

**5.3.5.2 Consensual Relations** Although consensual relationships between persons of different power levels (e.g., between a faculty member and a student or between a supervisor and an employee) do not constitute sexual harassment, they raise serious concerns and may give rise to claims of sexual harassment. The University's policies and additional information regarding consensual relations are available at <http://adminfinance.umw.edu/hr/policies-and-procedures/respectful-workplace-policies/university-sexual-harassment-and-consensual-relations/>.

**5.3.5.3 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 §5.3.3.1). 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 (see §3.11). 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.

**5.4 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 *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.

**5.4.1 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 with 9-month appointments, and between August 16 and August 15 for those faculty with 12-month appointments. Any exceptions are considered to be leaves of absence, and must be approved under the appropriate leave policy in section 3.13. The various breaks and vacation times listed on the University Academic Calendar, and as published in the current *Academic Catalogs*, are to be strictly observed.

**5.4.2 Teaching Load** 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, to engage in professional development, and to contribute to the creative and/or scholarly advancement of their disciplines. Individual teaching loads will vary accordingly, and it is the responsibility of the department chair in consultation with individual faculty and with approval of the dean to determine teaching loads each semester. The standard full teaching load for a faculty member on a nine-month contract is 24 credits or the equivalent spread over the fall and spring semesters. For a faculty member on a twelve-month contract, the standard full teaching load is 30 credits or the equivalent spread over the fall and spring semesters and the summer session.

**5.4.3 Schedule of Class Meetings** Class meetings are to be held at the times listed for each course as published in the *Schedule of Courses* each semester. The determination of course schedules is the responsibility of the department chair in consultation with the department faculty and the dean. Faculty are to be assured of opportunities for attendance at professional meetings or engagement in other scholarly activities during the academic year. (See §3.13.1 Sick Leave, §5.5 Faculty Development, and §8.4.1 Inclement Weather.)

**5.4.4 Classroom Teaching** As the AAUP “Statement on Freedom and Responsibility” points out, “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, within their obligations to follow standards of their discipline, course descriptions as published in the *Academic Catalogs*, and requirements and expectations of student learning outcomes assessment procedures as established by the University and its departments, faculty are afforded pedagogical discretion in defining course objectives and in deciding how best to present and explore course material. The academic policies and regulations of the departments, colleges and university relating to classroom teaching shall have an overall goal of ensuring the quality of instruction while also protecting essential academic freedoms.

**5.4.5 Student Absences from Class Sessions** 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.

**5.4.6 Course Plans and the Syllabus** 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 they teach, based on the course description as published in the appropriate *Academic Catalog* and within the limitations of college, department and university policy. Faculty should provide students with a course syllabus containing, at a minimum, the following: (a) instructor identification and contact information, (b) course identification, (c) course goals and objectives, (d) required materials (textbooks, lab manuals, etc.), (e) course calendar (assignment due dates, tests, etc.), (f) guidelines for class participation, (g) basis for determining final grades and mid-semester progress reports (in undergraduate courses, where required), (h) accommodations for students with disabilities, and (i) instructor’s statement of adherence to the Honor System. Individual colleges and departments may determine additional requirements for syllabus preparation.

**5.4.7 Office Hours** It is essential to the mission of the University that faculty be accessible to students, and faculty are required to post and maintain regular office hours. 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. Regarding 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.

**5.4.8 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.

**5.4.9 Reporting Student Enrollment, Progress, and Final Grades** Each faculty member is 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. Each faculty member must submit final course grades, and mid-semester progress reports in undergraduate courses when required, no later than each semester's published dates and times for doing so. Failure to submit grades by established deadlines causes serious problems for students about to graduate and creates additional and needless work for staff members in many offices. Mid-semester reports of unsatisfactory academic performance (when issued) and final course grades are made available to the student and the student's academic adviser.

**5.4.10 Student Advising** Full-time faculty members are expected to serve as academic advisers to students when assigned. Advising includes guiding the student in deciding on his or her overall (long range) course and potential career plan and approving the student's schedule of courses each semester. It may also include providing information on graduate study and suggesting opportunities such as internships, undergraduate research, summer institutes, or study abroad.

**5.4.11 Academic 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 the students in their classes for academic support, and to offer individual assistance or refer the student to an appropriate person or office for assistance, such as the Office of Academic Services.

**5.4.12 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.

**5.4.13 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.

**5.4.14 Participation in Academic Ceremonies** 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. Each college shall



establish policies for faculty attendance at such ceremonies and for procedures for being excused from attendance.

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

**5.5.1 UMW Grants** The University and its colleges 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.

**5.5.2 Professional Development and Travel** Funding for professional development and 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 professional development and professional travel.

**5.5.3 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 by the Provost's Office.

**5.5.4 Center for Teaching Excellence and Innovation** Through the Center for Teaching Excellence and Innovation, UMW works to promote and sustain excellence in teaching, explore and develop innovative pedagogy and curriculum, and advance student learning. The Center is more than a place; it is a community of faculty, staff and students passionate about learning, a focal point for conversations about and taking action to enhance teaching and learning. The Center seeks to promote a culture of teaching innovation and teaching excellence through scholarly inquiry. A culture of teaching innovation and excellence goes beyond knowledge of pedagogy and course design. For faculty, a culture of excellence embodies knowledge and the application of best practices to one's teaching. For students, it involves the willingness to open up to the challenges of engagement and genuine learning. Through a variety of means, the Center works to support faculty who are interested in scholarly inquiry, developing teaching strategies to support meaningful learning, implementing meaningful approaches to student assessment, or exploring emerging academic technologies or other instructional and creative resources.

**5.5.5 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: [www.umw.edu/dtlt](http://www.umw.edu/dtlt)

**5.5.6 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 attend courses for no credit, no fees will be paid and no permanent record of work will be maintained in the Office of the Registrar.

**5.5.7 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 requesting 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 external funding agency, group, or organization. Once notified of the action taken by the funding agency, the faculty member contacts the Provost's Office to report whether the proposal was funded or not. Faculty should consult the external grants guidelines and procedures posted at the Provost's Office's web page for further information: <http://provost.umw.edu/grantsoffice/>.

## **5.6 PROFESSIONAL ISSUES**

**5.6.1 Institutional Review Board** Any generalizable 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 the University's Institutional Review Board (IRB). The role of the IRB is to ensure that such 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://provost.umw.edu/irb/manual-of-procedures-and-policies/>.

**5.6.2 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. 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, other than University business, during the contract year) may be sought out and entered into by faculty members, provided that (1) the employment does not interfere with the individual's assigned duties and obligations to the University, and (2) the employment does not constitute a conflict of interest (see §5.6.4). To protect the faculty member from possible criticism regarding conflicts of interest, a written request for approval prior to taking long-term (e.g. one semester or more) outside employment must be submitted to and approved by the department chair and the dean. Notice of such approval will be given by the return to the faculty member of a signed and dated copy of the written request with a copy to the Provost. Colleges may establish additional procedures, consistent with this policy and standards of their disciplines, regarding engagement in and reporting of outside employment.

**5.6.2.1 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 §5.6.2.2); and (d) annual statements regarding consulting arrangements are included with the FAARs. Faculty members engaged in approved paid outside activities other than consulting shall attach statements to their Faculty Annual Activities Reports (FAARs) each year (see §§6.3 and 6.5), indicating both the amount of normal working time allocated to the outside activities and the names of the employers.

**5.6.2.2 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 that provides the necessary services, including personnel services, as a *sponsored project* (see §5.5.7, External Grants). 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.

**5.6.3 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.

**5.6.4 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. Faculty are to avoid participation in activities that create an actual or potential conflict of interest. (See §3.11 for additional details.) 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.

**5.6.5 Policies Addressing Textbook Sales and Bookstores** The Code of Virginia §23-4.3:1 states that no employee at a Virginia public college or university shall demand or receive any payment, loan, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring students to purchase a specific textbook required for coursework or instruction; with the exception that the employee may receive (1) sample copies, instructor's copies, or instructional material, not to be sold; and (2) royalties or other compensation from sales of textbooks that include such instructor's own writing or work.

## **5.7 WORKING CONDITIONS AND RELATED POLICIES**

### **5.7.1 Intellectual Property**

*[Policy adopted by the Board of Visitors on September 19, 1987 and updated in 2004.]*

**5.7.1.1 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.

**5.7.1.2 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.

**5.7.1.3 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.

#### **5.7.1.4 Intellectual Property in Instances of Outside Employment, Grants, and/or Contracts**

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.

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

**5.7.1.6 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.

**5.7.1.7 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).

**5.7.1.8 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.

**5.7.2 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.

**5.7.3 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 also must meet certain responsibilities and are subject to certain limitations, which are listed in the Network and Computer Use Policy. 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. Additional details about the Network and Computer Use Policy and periodic updates to it are available at [technology.umw.edu/it-policies/](http://technology.umw.edu/it-policies/)

**5.7.4 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.

**5.7.5 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.

## **5.8 FACULTY GRIEVANCE POLICY AND PROCEDURE**

**5.8.1 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.

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

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

- .1 non-reappointment of non-tenured faculty (see §3.17);
- .2 decisions regarding the awarding or withholding of tenure (see §7);
- .3 actions of dismissal of faculty for cause or financial exigency (see §4.1 – 4.2);
- .4 actions awarding or withholding promotions (see §7);
- .5 any action related to evaluation of performance or salary adjustment (see §§6.1 – 6.8);
- .6 disciplinary action taken as a consequence of a determination of racial, sexual, or other forms of discriminatory actions (see §5.3.2);
- .7 violations of university policy by individual faculty members (see §4.3).

**5.8.4 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. See the [policy](#) for additional details about the Bias Offense and Incident Reporting Procedure.

**5.8.5 Pre-Faculty Appeals and Grievance Committee Procedure** The faculty member should first make every effort to resolve the potential grievance directly with the individual(s) involved.

**5.8.6 First Filing of the Grievance** All grievances shall be presented as soon as possible and in no event later than ten (10) business 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 college dean.
- .3 A faculty member with a grievance against the college 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 the Provost, or a University policy or procedure or the application thereof shall present the grievance to the President.

**5.8.7 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 or harassment is involved, the matter will be immediately referred to the University AA/EEO Officer. Within ten (10) business days of receiving the grievance, the individual receiving it will schedule a first meeting with the grievant to initiate a process of informal resolution. This meeting is required. Within fifteen (15) business days from the date of that initial meeting, the grievance will either be resolved or the person receiving the grievance will determine that it cannot be resolved through informal means. In the event that informal resolution fails, the person receiving the grievance advises the grievant regarding the next step in the process (§5.8.8).

**5.8.8 Formal Procedures to Hear the Grievance** If the grievance of a faculty member is not resolved through the informal procedure, the faculty member may, within ten (10) business days thereafter, pursue a formal grievance procedure and request a hearing by the University Faculty Appeals and Grievance Committee, a standing committee of the faculty whose charge is to investigate the grievance and recommend to the Provost (or President as per §5.8.9) a resolution.

**5.8.9 Formal Request to the University Faculty Appeals and Grievance Committee** A faculty member requesting a hearing by the University Faculty Appeals and Grievance Committee shall present a written *statement of charges* to the Provost; if the grievance is against the Provost or a University policy, decision, action, then the statement of charges shall be presented to the President.

**5.8.10 Statement of Charges, Preparation and Distribution** The written statement of charges submitted by the grievant 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; note that the Faculty Handbook defines a good faith allegation as follows: “a *good faith* allegation is one made with the honest belief that a violation may have occurred. An allegation is not made in good faith ‘if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.’ It is misconduct to make an allegation “with reckless disregard for or willful ignorance of facts that would disprove the allegation.” (See sections 4.8.2 and 4.8.3);
- 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 or University 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; and
- A written statement prepared by each witness that the grievant would expect to call for the hearing in support of the grievance that summarizes the information or evidence that the witness would testify to at a hearing. The grievant shall also identify any witnesses believed to have relevant information who have refused to prepare a written statement or to testify at a hearing and the nature of the relevant information at issue.

#### **5.8.11 Composition of the University Faculty Appeals and Grievance Committee (UFAGC)**

The formal hearing shall be conducted by the UFAGC, a standing committee of the faculty.

**5.8.11.1** Prior to the Provost turning the formal statement of charges over to the UFAGC, both the accused faculty member (or unit representative) and the grievant will have one opportunity to challenge the membership of the UFAGC that will hear the grievance. The accused faculty member (or unit representative) and the grievant will each be allowed one challenge to the existing composition of the UFAGC without stated cause. This is the only time at which committee membership may be challenged.

**5.8.11.2** At this time (prior to the Provost disseminating the statement of charges), the recusal of any member(s) of the Committee should also be determined. Any member of the University UFAGC should remove him or herself from the case if she or he has or could be perceived to have a bias or a conflict of interest. To prevent the perception of bias or conflict of interest, any member will step down at the request of a majority of the members of the UFAGC who have not been removed by a challenge.

**5.8.11.3** The Committee must have at least five members to conduct the formal investigation. Replacement of Committee members will be determined by the remaining members from the pool of elected “back-up members.” When UFOC conducts (annual staggered-term) elections for the UFAGC membership, it will ensure the election of both five active members and five back-up members. Should the existing chair of the Committee be removed through challenge or recusal, the final five members shall elect a new chair for the purposes of the formal hearing.

**5.8.12. Conduct of Formal Committee Deliberations** The chair of UFAGC shall prepare and distribute a complete copy of the statement of charges to each member of the committee and to the Provost (or President per 5.8.9).

**5.8.12.1 Confidentiality** It is expected that confidentiality will be maintained in the conduct of the formal committee deliberations. The mere suspicion of wrongdoing, even if totally unjustified, is potentially damaging. Information concerning any grievance proceedings must be held in strictest confidence and should be available only to those with a right or a need to know.

**5.8.12.2 Preliminary Review and Decision** The UFAGC shall, within ten (10) business days after receipt of the statement of charges, review the charges and determine whether or not the Committee will request a reply to the statement of charges. If the Committee determines by a majority vote that the charges (a) do not constitute a grievance, (b) are frivolous and/or without merit, (c) do not involve actions taken by a person in an official capacity, or (d) cannot be addressed by an official university policy or procedural remedy, then the chair of the Committee shall advise the grievant in writing of this finding with a copy provided to the Provost (or the President as per §5.8.9). The action of the Committee at this stage is final.

**5.8.12.3 Request for a Reply to Statement of Charges** The UFAGC requests a reply to the statement of charges for one of two reasons: (1) because additional information is required to decide if the matter is grievable, or (2) because the Committee determined that the matter is grievable and a reply to the statement of charges is called for. If the UFAGC requests a reply to the statement of charges, 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 represent the department against which 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 appropriate dean, or the Provost shall represent the relevant institutional unit against which the grievance is made.

**5.8.12.4 Reply to Statement of Charges** Upon receipt of the statement of charges, the person(s) against whom or representing the unit against which the grievance is lodged shall, if he or she wishes to reply, have twenty (20) business days to present a response to the charges to the chair of the UFAGC. The response must be in writing, and shall include:

- A full statement of the position taken by the person(s)/institutional units 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; and
- A written statement prepared by each witness that the respondent would expect to call for the hearing in response to the grievance that summarizes the information or evidence that the witness would testify to at a hearing. The respondent may also identify any witnesses believed to have relevant information who have refused to prepare a written statement or to testify at a hearing and the nature of the relevant information at issue.

Within five (5) business 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 Committee shall have prepared and distributed to the grievant and to each member of the UFAGC a complete copy of the response.

**5.8.12.5 Review of Reply to Statement of Charges, and Decision** Within ten (10) business days of the distribution of the reply to the statement of charges, the Committee will either make a final decision or determine that a hearing should be held. Should all members of the UFAGC, after reading the statement of charges and the response thereto, determine that there are sufficient grounds to recommend a remedy or a correction without conducting a full hearing, then the Committee shall by formal resolution offer its recommendation for the remedy or correction that should be taken to address the grievance. (The Committee may also recommend that no corrective action be taken.) The Committee's recommendation shall be promptly transmitted, in writing, to the parties concerned and to the Provost (or President as per §5.8.9), and the action shall be final. If the Committee determines that a hearing should be held, the chair of the UFAGC shall schedule a hearing to begin no later than thirty (30) business days after the date that the Committee decided that a hearing should be held.

**5.8.13 Pre-Hearing Conference** At least ten (10) business day before the Hearing, the UFAGC will hold, with all parties present, a pre-hearing conference to define the issues involved and to resolve procedural matters for the Hearing. For instance, the Committee will inform both parties of their option to request the right to call witnesses for the Hearing. Such witnesses will be expected to submit written statements to the Committee as part of the request. The Committee may also choose to call witnesses based on its deliberations of the facts to this point.

**5.8.14 Procedure for the Hearing** The Hearing shall be conducted according to the following procedures:

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

**5.8.14.2 Record of Hearing** The full and complete Hearing shall be recorded by and for the Committee and all recordings shall be preserved until thirty business days following action by the Provost (or the President as per §5.8.9), or in the case of an appeal (see §5.8.14.6 below) until final and conclusive action is taken, at which time the recordings shall be destroyed.

**5.8.14.3 Conduct of Hearing** The Hearing shall be convened and conducted by the UFAGC chair. Counsels, advisers, or other observers may not speak or participate; they are to silently observe the proceedings. The purpose of the Hearing is to allow the Committee to complete its work of determining a recommendation, given the charge(s) made, which may require further fact-finding through questioning of the parties or other witnesses. In principle, the facts will already have been presented in writing from both sides; the hearing provides the Committee the opportunity to clarify issues by asking questions of either or both parties and to hear from witnesses it feels the need to hear from. The Committee will afford both the grievant and the

accused the opportunity to provide a brief, five-minute statement at the beginning of the Hearing, should either choose to do so, and it reserves the option of asking questions of them at that time. Either party may make a written request no less than five (5) business days in advance of the Hearing to call and interrogate witnesses, if either believes that such witnesses will bring new and important information to the Committee's attention. The reasons for the need of such witnesses must be provided in the written request, along with a statement from each witness. The Committee will rule on requests to call witnesses at least two (2) business days before the Hearing begins. The Committee will afford both the grievant and the accused the opportunity to provide a brief, five-minute statement at the conclusion of the Hearing, should either choose to do so, and it reserves the option of asking questions of them at that time.

**5.8.14.4 Order of Hearing Activities** The general outline of a Hearing (with all possible steps included) would follow this procedure:

- Convening of the Hearing by committee chair
- Opening statement by grievant
- Opening statement by respondent to the grievance
- Questions by Committee to clarify issues raised in written materials, including witness statements, and points raised by the two opening statements
- Witnesses called by the grievant (questions by the Committee and the respondent would follow the witness's initial responses to questions asked by the grievant)
- Witnesses called by the respondent (questions by the Committee and the grievant would follow the witness's initial responses to questions asked by the respondent)
- Witnesses called by the committee (questions by the grievant and the respondent would follow the witness's initial responses to questions asked by the Committee)
- Closing statement by grievant
- Closing statement by respondent to the grievance
- Committee adjourns to deliberate and reach a decision

**5.8.14.5 Decision** After all testimony has been presented, the chair of the UFAGC shall recess the Hearing, and the Committee shall go into closed session to determine its findings and prepare its report and recommendations. If the grievance is against an individual faculty member and he/she is found by the committee to be responsible, recommended remedies and sanctions may include but are not limited to those in §4.3.

**5.8.14.6 Distribution of Decision** Within ten (10) business days after the recess of the Hearing, the UFAGC shall present its written report and recommendations, showing the vote of the Committee on the recommendations, to the Provost (or the President as per §5.8.9) 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 Committee. Within ten (10) business days after receipt of the Committee's report and recommendations, the Provost (or the President as per §5.8.9) shall communicate, in writing, to the parties involved and to each member of the Committee, his or her acceptance or rejection, in whole or in part, of the UFAGC recommendations.

**5.8.14.7 Appeal to the President** Ordinarily the decision of the Provost shall be final and conclusive. However, an affected party may present a request, in writing, to the President within ten (10) business days after receipt of the Provost's decision, asking to review the record of the hearing. Within twenty (20) business days after receipt of a request from an affected party, the President will either affirm the decision of the Provost or make additional or different determinations. The decision of the President is final.



# SECTION 6

## FACULTY EVALUATION PROCEDURES

**6.1 ANNUAL EVALUATION PRINCIPLES FOR FULL-TIME INSTRUCTIONAL 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 step is not part of the department's process), 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 outlined in §6.2-§6.9 apply to full-time instructional faculty. For evaluation of adjunct faculty, see §6.10

### 6.2 ANNUAL EVALUATION POLICY AND PROCEDURES

**6.2.1 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, renewable term appointments (lecturers and senior lecturers), and any other faculty on continuing multi-year contracts 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, see Appendix A). 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%

Faculty members with special assignments (such as program directors) 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%  
Special Assignment: 10 – 30%

.2 Each departmental faculty member, including the chair (see §6.2.1 - .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 §6.5.1.4). 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 §6.1, 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 §6.2.2.2 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 annual 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 annual evaluation 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. (See Appendix A, “Department Chair Evaluation Commentary” form.) The chair will provide each of the documents specified in §6.2.1.2, which department members will then consult for their evaluation of the chair.

.7 In order to provide formative feedback for tenure track 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 that person’s college for 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.

.9 Different disciplines, departments, and colleges may have varying definitions of what constitutes professional activity. Individuals should familiarize themselves with these expectations.

### **6.2.2 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 3s 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 §§6.2.2.1–3, an individual's score is changed after the individual has signed the APR completed by the chair (§6.2.1.3), the dean will write to that individual, explaining the change.

### 6.2.3 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. If any individual's APR or SAPR is not received by the stipulated deadline (see §6.6), 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.

.3 In a case where the dean has changed a faculty member's merit evaluation score from what was submitted by the department chair, the faculty member may appeal by writing a **letter of exception** to the Provost. The individual is entitled to a written reply from the Provost.

.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 (§§6.2.3.1–3).

**6.3 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 (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.

**6.3.1 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.

### 6.3.2 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.

### 6.3.3 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.

#### 6.3.4 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.

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

**6.4.1 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 §6.5.

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

**6.4.3 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.

**6.4.4 Annual Performance Review (APR)** A brief form executed for the record by the

department chair (see §6.2.1.3). With reference to teaching, professional activity, and service (weighted according to an adjustable percentage scale set by the faculty member, §6.2.1.1) and using the 0–3 scale of §6.1, 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.

**6.4.5 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 §6.2.1) detailed in the faculty member’s original letter of appointment.

**6.4.6 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.

## 6.5 GUIDELINES FOR COMPLETING THE FAAR

### 6.5.1 Teaching

**.1** List courses by semester, including summer session courses for faculty on twelve-month contracts (faculty on nine-month contracts may include summer courses). List course number, course name, and enrollment (class size after drop-add period). Indicate, using the following abbreviations if you wish, whether any of these conditions holds:

<b>N New</b> —you are teaching the class for the first time	<b>RM</b> — Required for majors
<b>U Updated</b> — made current with recent work	<b>GE</b> — General education course
<b>R Revised</b> —some of the material and/ or method is new.	<b>WI</b> — Writing intensive course
<b>SR Significantly Revised</b> —most of the material and/or method is new.	<b>SI</b> — Speaking intensive course

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”—§6.3); *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 record keeping 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. When syllabi are provided as part of peer review, include syllabi for each different course taught (see §5.4.6 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).

### **6.5.2 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, or 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, University Teaching Center, 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 §5.6.2 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; and 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.

### 6.5.3 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, Family Weekend; 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.

## **6.6 THE SCHEDULE FOR ANNUAL EVALUATION**

**6.6.1 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.

**6.6.2 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 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.

**6.6.2.1 Sample Annual Faculty Evaluation Calendar for Nine Month Faculty**

<i>Nine-Month Faculty — Annual Faculty Evaluation Action</i>	<i>Period/deadline</i>
FAARs, modified APWFs, and special assignment performance reviews submitted to chairs/supervisors (§§6.2 – 6.5)	May 15
peer review materials (§§6.2.1.1–2) available for examination by peer reviewers	May 15–August 20
(optional) annotations of course evaluation results submitted to chairs (§§6.5.1.3)	August 21
department chair evaluation commentaries (§6.2.1.6) submitted to dean	August 21
peer reviews if required (§6.2.1.2) submitted to chairs	August 21
all departmental materials (§6.2.1.3) 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 (§§6.2.2.2–4); <i>all APRs must be signed by faculty members prior to the chair-dean conference</i>	Sept. 4–October 2
letters of exception (§6.2.3.1 - 3) submitted to dean and Provost, respectively	October 10
written resolutions completed (§6.2.3.1-3)	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

**6.6.2.2 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 (§§6.2 – 6.5)	August 16
peer review materials (§§6.2.1.1–2) available for examination by peer reviewers	August 16 – August 31
(optional) annotations of course evaluation results submitted to chairs (§§6.5.1.3)	August 31
department chair evaluation commentaries (§6.2.1.6) submitted to dean	September 7
peer reviews if required (§6.2.1.2) submitted to chairs	September 7
all departmental materials (§6.2.1.3) 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 (§§6.2.2.2–4); <i>all APRs must be signed by faculty members prior to the chair-dean conference</i>	September 14 – October 7
letters of exception (§6.2.3.1-3) submitted to dean and Provost, respectively	October 14
written resolutions completed (§6.2.3.1-3)	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

**6.6.3 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.

**6.7 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 full-time instructional faculty annually in late November or early December. These letters are for information only and need not be signed or returned to the Human Resources Office.

## **6.8 ANNUAL SALARY ADJUSTMENTS**

**6.8.1 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%.

**6.8.2 Salary Adjustment Process** All full-time, continuing faculty members are subject to annual performance review (§6.1) 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 (§6.9) with the potential ultimate recommendation to the President that the faculty member be dismissed for cause (see §4.3).

**6.8.3 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.

**6.8.4 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.

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

## **6.9 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 §§6.3 and 6.4), 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:

**6.9.1 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.

**6.9.2 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 (§6.9.3) is mandated.

**6.9.3 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 of the faculty member's college. 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 §6.9.2) undertaken during that period. Following a careful review of the materials, the Promotion and Tenure Committee of the faculty member's college shall report its findings in writing to the President, along with one of these recommendations:

- no additional sanction (meets basic responsibilities and minimal performance expectations as set forth in §6.3);
- sanction other than dismissal for cause; and
- dismissal for cause (professional incompetence or lack of teaching effectiveness) -- see also §4 of the *Handbook*.

**6.9.4. 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 §4.3.

**6.9.5 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 §§5.1 and 5.4.4 of this *Faculty Handbook*, nor does this policy limit, constrain, or supersede the provisions of §4.3 with respect to discharge for cause.

**6.10 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 "meets expectations" rating in evaluations to continue employment at the University.





## SECTION 7

### PROMOTION AND TENURE PROCEDURES

***NOTE:** This section contains general guidelines, expectations, and deadlines that apply to the promotion and tenure processes at the University. Each college has a separate tenure and promotion policy document containing additional information about tenure and promotion criteria and procedures. Each of these documents appears as an appendix in this Handbook; see the appendices I, J, and K. Applicants for promotion and/or tenure should be mindful of both the general requirements, expectations, and deadlines as expressed in this section of the Handbook and the specific evaluative criteria, procedures, expectations, and other details that pertain to the promotion and tenure process as it is carried out in the faculty member's college and as detailed in the relevant appendix.*

**7.1 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 University's 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.

**7.2 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 in professional activity as one moves up the ranks.

#### **7.2.1 General Minimum Requirements for Consideration for Promotion to Senior Lecturer**

- .1** Promotion to this rank can come after a minimum of five years of service at the rank of lecturer.
- .2** Fulfillment of professional responsibilities.

#### **7.2.2 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.

### **7.2.3 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.

### **7.2.4 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.

**7.3 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. However, successful candidates for promotion and tenure must meet the criteria in all three areas. Each college at the University has its own set of promotion criteria that will be applied in individual promotion cases. For the College of Arts and Sciences promotion criteria, see Appendix I; for the College of Business promotion criteria, see Appendix J; and for the College of Education promotion criteria, see Appendix K.

**7.4 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.

**7.5 PROMOTION PROCEDURE** Each college has its own set of promotion procedures. For the College of Arts and Sciences promotion procedures, see Appendix I; for the College of Business promotion procedure, see Appendix J; and for the College of Education promotion

procedure, see Appendix K.

**7.6 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. Any such decisions in these instances must result as a consequence of strict adherence to the procedures outlined in §4.1-.3 of this *Handbook* regarding termination of a tenured appointment in the instance of financial exigency that threatens the University or because of the discontinuance of a specific program or department of instruction within a college. Dismissals for cause must follow procedures specified in §4.4-.10.

**7.6.1 Purpose of Tenure** 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.

**7.6.2 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.

## 7.7 TENURE REQUIREMENTS

**7.7.1 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.

**7.7.2 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.

**7.7.3 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.

**7.8 GENERAL PROMOTION AND TENURE 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 sample 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 candidate's APR to be completed	August 15
Deadline for all solicited letters to be received by chair (from tenured members of the department, institutional colleagues, and external reviewers when relevant)	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

<i>Tenure and promotion action (sample calendar)</i>	<i>Deadline</i>
P&T Committee recommendations to dean	January 5
College dean notifies candidates of P&T Committee's recommendations	January 10
Deadline for candidates to file appeals to college dean	January 17
Deadline for dean to establish tenure and/or promotion appeal advisory committee(s)	January 24
Recommendation(s) of appeal committee(s) to college dean	February 20
College dean informs appellants of the recommendations of the appeal advisory committee(s)	February 24
College dean makes recommendations to the Provost with copy to faculty member and his or her chair	March 10
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.

**7.9 CONTENTS OF THE PROMOTION AND TENURE FILE** Each college has its own set of requirements for the preparation of the promotion and tenure credentials file. For the promotion and tenure file requirements followed by the College of Arts and Sciences, see Appendix I; for the requirements applying in the College of Business promotion, see Appendix J; and for the College of Education, see Appendix K.

**7.10 EXPECTATIONS FOR THE CONSTITUENTS IN THE PROMOTION AND TENURE PROCESS** Each college has expressed a set of expectations for each of the constituents in the promotion and tenure process. For the expectations expressed by the College of Arts and Sciences, see Appendix I; for the College of Business, see Appendix J; and for the College of Education, see Appendix K.

**7.11 THE UNIVERSITY'S EXPECTATIONS FOR THE PROMOTION AND TENURE PROCESS** The University Faculty Affairs Committee (UFCA) is charged with oversight of the promotion and tenure criteria and processes used by all colleges at the University. The goal of this oversight process is to ensure that the promotion and tenure criteria and procedures as established by each college are clearly stated and in parallel with one another. Additionally, the UFCA is charged with ensuring that promotion and tenure criteria and procedures of each college adhere to the guidelines established in the *University Faculty Handbook*, and that any changes undergo an oversight review prior to implementation.

## **7.12 PROMOTION AND TENURE APPEALS**

**7.12.1 Appeal of the P & T Committee's Recommendation** When the College P&T Committee submits a recommendation to withhold promotion and/or tenure, the dean shall inform the faculty member of the P&T Committee's recommendation, of the justifications for the recommendation, and of the faculty member's right to appeal. Details regarding procedures for appealing the P & T Committee's recommendation are contained in the relevant appendix outlining the college's tenure and promotion policy and procedures. For the College of Arts and Sciences, see Appendix I; for the College of Business, see Appendix J; and for the College of Education, see Appendix K.

**7.12.2 Appeal of the Dean's Recommendation** The dean shall review all information and recommendations contained in the promotion and/or 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 promotion credentials files to the Provost. A copy of this letter will be sent to the faculty member and his or her department chair. When the dean recommends that promotion and/or 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 seven days to the Provost.

**7.12.3 Appeal of the Provost's Recommendation** The Provost shall review the recommendation letter from the P & T 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. 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 and/or 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 seven days to the President and the Board of Visitors.

**7.12.4 Appeal of the President and Board of Visitors** 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 college dean, and the Provost in writing. Action by the Board of Visitors (or the Executive Committee thereof) shall be final.

## SECTION 8

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

**8.1 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.

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

**8.2.1 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.

**8.2.2 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.

**8.2.3 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.

**8.3 FACULTY AWARDS** With the exception of the Mary Pinschmidt Award, the Committee on Sabbaticals, Fellowships, and Awards selects nominees for these awards and presents those recommendations to the Provost.

**8.3.1 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.

**8.3.2 Award for Excellence in Graduate Teaching** This award is given to one member of the full-time faculty for her/his outstanding teaching in a UMW graduate program. Additional details are provided in the annual call for nominations.

**8.3.3 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.

**8.3.4 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. The senior class selects the winner of this award.

**8.3.5 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.

**8.3.6 Waple Faculty Award for Professional Achievement** Established in 2013, this award will be based on the significance/impact of the faculty nominee’s scholarly, creative, and/or professional achievement(s). All full-time, continuing faculty with at least seven years employment at UMW are eligible. Achievement(s) must have been undertaken during the nominee’s years at UMW.

**8.3.7 Outstanding Faculty Award (OFA)** Each year, the State Council of Higher Education for Virginia Education (SCHEV) selects a small number of faculty from throughout the State to be honored with Outstanding Faculty Awards. SCHEV annually announces the procedures to be followed in this statewide competition. UMW is authorized to nominate a certain number of faculty for the award competition, following guidelines determined by SCHEV. The University Committee on Sabbaticals, Fellowships, and Awards will recommend to the Provost the faculty members that UMW should put forward into this competition. The Office of the Provost will work with nominees to assist them in compiling the required nomination packet.

## **8.4 ASSORTED ADMINISTRATIVE SERVICES, PROCEDURES, AND POLICIES**

### **8.4.1 Campus Closings**

**8.4.1.1 Breaks and Official Closings** The University officially closes for Spring and Fall breaks, semester breaks, and for the following holidays: Thanksgiving, Martin Luther King Jr. Day, Memorial Day, and Independence Day. At these times, classes are not in session and services are curtailed—faculty should check for hours of service and on mail delivery. Specific dates for these periods are included in the University Academic calendar, available at [www.umw.edu/calendar/](http://www.umw.edu/calendar/).

**8.4.1.2 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 (540-654-2424). Notice will also be given to radio and television stations serving the Fredericksburg, Washington/Northern Virginia, and Richmond areas.

**8.4.2 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. Lost keys should be reported to the University Police Office ([www.umw.edu/police](http://www.umw.edu/police)) or the Locksmith (540-654-1643). For additional information, consult the department office manager, department chair, or the University Police or the Locksmith.

**8.4.3 Mail** Each faculty member has a box in his/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.

**8.4.4 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 dining hall. 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. Each college may establish additional rules and exceptions to this policy as needed for student elections and special events. For additional information about scheduling and promoting events on campus, consult the Office of University Relations and Communications.

**8.4.5 Telephones** Faculty office phones use “Voice over 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.

**8.4.6 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://adminfinance.umw.edu/purchasing/>.

**8.4.7 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 to be used for professional travel. 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://adminfinance.umw.edu/ap/travel/>.

**8.4.8 Accident Reporting** In the event of a workplace accident, faculty should consult the procedures for “Accident Reporting” as contained in the UMW Safety Plan chapter 4: <http://adminfinance.umw.edu/safety/safety-plan/chapter-accident-reporting/>. In the event a faculty member is involved in a car accident involving pool cars or university vehicles, he or she should adhere to the vehicle accident reporting procedures as contained in chapter 20 of the UMW Safety Plan: <http://adminfinance.umw.edu/safety/safety-plan/chapter-vehicle-safety/>.

**8.4.9 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 his or her health from the effects of tobacco smoke will take precedence over an individual’s desire to smoke. Additional details about this policy may be found at <http://adminfinance.umw.edu/hr/policies-and-procedures/smoking-policy/>. Persons may also contact the Human Resources Office for information.

**8.4.10 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://students.umw.edu/judicialaffairs/alcohol-policy/>. The legal drinking age in Virginia is twenty-one.

**8.4.11 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. Information about applying for external funding is available at: <http://provost.umw.edu/grantsoffice/>.

## 8.5 ACADEMIC SUPPORT SERVICES

**8.5.1 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.

**8.5.2 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://academics.umw.edu/dtlr/>

**8.5.3 University Teaching Center** The University of Mary Washington Center for Teaching Excellence and Innovation supports excellence in teaching and advances student learning at the University through a variety of programs. The Teaching Center also provides resources for faculty to access and contribute to the scholarship on teaching and learning. Additional information about the University Teaching Center is available at: <http://academics.umw.edu/teach>

**8.5.4 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 Lee 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.

**8.5.5 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 [www.umw.edu/bookstore](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 six weeks prior to the beginning of classes.

## 8.6 ACADEMIC SERVICES AND SUPPORT FOR STUDENTS

**8.6.1 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

and Career Services on the Fredericksburg Campus offers a variety of services for students, including general advising, free tutorial services and study skills workshops. The Office works to counsel students in academic jeopardy (i.e., those placed on academic probation and/or suspension). Advising on the Stafford Campus is provided by designated advisors who offer such services for students as: pre-admission and pre-enrollment advising, counseling for non-traditional academic credit options and academic jeopardy, career services, information related to financial assistance, and degree audits.

**8.6.2 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 ([20 U.S.C. §1232g; 34 CFR Part 99](#)). 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.

**8.6.3 Office of Disability Resources** 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 Resources. Documentation guidelines for specific disabilities may be found on the Disability Resources website 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.

**8.6.4 Writing Center** Located on the Fredericksburg campus, the Writing Centers is 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.

**8.6.5 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 are also prepared to offer advice on special types of oral communication activities, such as speeches, group presentations, debates, or interviews.

**8.6.6 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 served as a Distinguished Professor of History and American Studies at UMW from 1985 to 1998.

**8.6.7 Center for International Education** Students considering studying abroad work with the Center for International Education (CIE) to plan their overseas experience. CIE assists students in program selection and approval, transfer credit, and administrative and cultural preparations, while providing support for students while abroad and upon re-entry to the University. The University sponsors a wide range of UMW Faculty-Led programs during winter, spring, and summer breaks with destinations based on the expertise of the instructor. Students are awarded either transfer credit or UMW credit for coursework completed during their study abroad experience. In addition, there are many summer, semester, and full-year study abroad programs available to UMW students, offering courses in a variety of academic disciplines. CIE also assists international scholars and students (short-term/exchange and degree-seeking) with immigration details as well as academic and social adjustments.

**8.6.8 Career Services** The Office of Academic and Career Services coordinates undergraduate academic internships (designated by the course number 499) through which qualified students work in on- and 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. The Office maintains files of internships both on-line and in print. Current internship policy and procedure guidelines are available from the Office of Career Services. The Office also offers career planning programs and services for freshmen through graduate students, and for alumni as well. The Office helps students decide areas of academic interest and career direction, and can help students assess their strengths and learn how to research occupational areas and employment opportunities. Career fairs hosted by the Office bring prospective employers to campus each year. Varieties of resources are available online through the office website at [www.umw.edu/careerservices](http://www.umw.edu/careerservices).

**8.6.9 Student Services** The Student Affairs Division of the University provides a number of resources and services designed to provide support for students and to create opportunities for productive and engaging co-curricular, recreational, and entertainment activities for students. Additional information about specific programs and services may be found at: [www.umw.edu/studentaffairs](http://www.umw.edu/studentaffairs).

**8.6.10 Violence Prevention and Threat Assessment** UMW promotes a safe and secure environment in which to learn and work by prohibiting threats or acts of violence by or against

members of the University community. In addition, UMW prohibits threats and acts of violence on University property and within University facilities. The violence prevention and threat assessment process promotes campus safety and aims to prevent violence through comprehensive threat management oversight and the identification and evaluation of possible threats to an individual or to the campus. Additional information is available at:

<http://students.umw.edu/threat-assessment/>

## **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;
- 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 that 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* §6.2.1.3). I (do \_\_\_\_\_ / do not \_\_\_\_\_) intend to write a letter of exception (§6.2.3.1) 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 §6.2.1. 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%) -- <i>35% is the minimum for faculty with special assignment</i>		Teaching (35 – 45%)	
Professional Activity (20 – 50%)		Professional Activity (20 – 35%)	
Service (10 – 35%)		Service (10 – 25%)	
Special Assignment percentage (if any, between 10 – 30%)		Chair Responsibilities (20 – 30%)	
<b>Total</b> (must equal 100%)		<b>Total</b> (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

### *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.** When a student is found not responsible, all records of the hearing shall be destroyed expeditiously.

**B.** When a student is found responsible, 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 12 [name of violation].** At the time of graduation from the University, this notation shall be removed from the official academic record.

**2. Sanctioned restitution by the Honor Council on [date] for the Honor Code offense of stealing.** At the time of graduation from the University, this notation shall be removed from the official academic record.

**3. Sanctioned by the Honor Council on [date] to complete Honor Education 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.

**4. 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.

**5. 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.

**6. 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.

*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 19, 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*  
*Amended by student body referendum, April 8, 2011*  
*Amendments to Appendix A approved by Board of Visitors, May 6, 2011*  
*Amendments to Constitution approved by Board of Visitors, May 6, 2011*  
*Amendments to Appendix A approved by student body referendum, March 14, 2012*  
*Amendments to Appendix A approved by Board of Visitors, May 11, 2012*  
*Amendments to Appendices A and B approved by student body referendum, March 27, 2013*  
*Amendments to Appendices A and B approved by the Board of Visitors, April 19, 2013*  
*Amendments to Appendix A approved by student body referendum, April 1, 2014*  
*Amendments to Appendix A approved by the Board of Visitors, April 10, 2014*  
*Amended by student body referendum, April 8, 2015*  
*Amendments approved by Board of Visitors, April 17, 2015*

**For details about Honor Council procedures (Appendix A and B), go to:**

**<http://students.umw.edu/fredericksburghonorcouncil/guidebook-and-constitution/>**

# 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 a hearing by the University Faculty Appeals and Grievance Committee (see §2.6.5).

**C.3 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.4 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.5 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**

### **GENERAL COMPLAINT PROCEDURE FOR STUDENTS**

This policy applies to written student complaints that do not concern grade appeals or claims of discrimination or harassment. Policies concerning those matters are outlined elsewhere. A student complaint concerns a decision, action, or lack of action by a faculty or staff member acting in an official capacity that has adversely affected the student and may be corrected by the University.

**D.1** To initiate the complaint procedure, the student must submit to the academic unit head (e.g. department chair or program director) a written statement explaining the complaint. The complaint must indicate how the faculty or staff member's decision or action directly and adversely affected the well being of the student.

**D.2** If the academic unit head is the party against whom the complaint is filed, the College Dean will receive the complaint and stand in the place of the academic unit head for the purpose of making a decision on the matter. If the College Dean is the party against whom the complaint is filed, the Provost will receive the complaint and stand in the place of the academic unit head.

**D.3** The academic unit head will meet with the student, confer with the relevant faculty or staff member, contact the faculty or staff member's direct supervisor, and gather any other additional information needed to thoroughly investigate the matter and render a decision. The academic unit head will write a summary of her/his decision about the complaint, outlining any steps that have been or will be taken to remedy the issue, or explaining why further action was unnecessary. Copies of the written summary are provided to the student (complainant), to the faculty and or staff members named in the complaint, to the faculty/staff member's immediate supervisor, and to the academic unit head's immediate supervisor.

**D.4** If either the student or the faculty/staff member named in the complaint is dissatisfied with the action taken by the academic unit head, the decision may be appealed to the College Dean. The Dean's decision is final.

**D.5** If the Dean was acting in the place of the academic unit head, any appeal would be made to the Provost, whose decision is final. If the complaint was against the College Dean, and the decision was made by the Provost, any appeal would be made to the President (and the President's decision is final).

**D.6** Following exhaustion of campus-based procedures, students may direct complaints to the State Council of Higher Education for Virginia. Additional information is available from their website at <http://www.schev.edu/students/studentcomplaint.asp>.



## 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*. Contact the Office of University Relations and Communication for additional information.

**E.1.2** The following are spelled out fully when first used in *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):  
§3.13.5 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 FACULTY FACULTY COUNCIL (CASFC) AND CAS FACULTY COMMITTEES**

In this appendix, except where otherwise noted, the College shall refer to the College of Arts and Sciences, the Dean to the CAS Dean, the Faculty Council to the CAS Faculty Council, Faculty Committees to CAS Faculty Committees, and faculty members to members of the full-time instructional CAS faculty.

### **F.1 ORGANIZATION OF THE CAS FACULTY COUNCIL**

**F.1.1 Role of the CAS Faculty Council** The CAS Faculty Council (CASFC) is a representative body, which shall serve as the official voice of the CAS instructional faculty on all matters that fall within its jurisdiction. The purpose of the Faculty Council is to create an effective legislative and advisory body to ensure representation of CAS faculty interests and to fulfill the authority and responsibilities delegated to the faculty in §2.2.1 in this Handbook as it relates to CAS (see F.3.2). In addition, the CASFC is responsible for communicating with CAS departments and administrators and the UFC. Service on the CSFC is considered an important part of a faculty member's professional responsibility.

**F.1.2 CAS Faculty Council Membership** The CASFC shall be comprised of the elected CAS representatives to the UFC. If elected as a CAS UFC representative, a faculty member must relinquish any position currently held on any college or university faculty standing committee and is prohibited from serving on any standing committee while serving as CAS UFC representative.

### **F.1.3 CAS Faculty Council Representatives**

**F.1.3.1 Terms of service** Elected members of the UFC will serve staggered three-year terms as described in §2.3.4.

### **F.1.3.2 Elections**

Elections will be conducted by the CAS representative on the University Faculty Organization Committee. CAS UFC representatives will be nominated and elected after at-large UFC representatives have been announced. There are no restrictions on the number of representatives from a single department. CAS UFC representatives may serve unlimited, consecutive terms. In the event a CAS UFC representative position becomes vacant, the Faculty Organization Committee (FOC) will conduct a special election in order to fill the vacated seat.

**F.2 OFFICERS OF THE CAS FACULTY COUNCIL** CASFC officers will be elected by members of the new CASFC as soon as possible after elections each Spring. The outgoing president of the CASFC will conduct the election of new CASFC officers. The three officers of the CASFC shall represent each of the three divisions. The CASFC officers are responsible for ensuring communication between the departments in their division and the UFC.

**F.2.1 CAS Faculty Council President** The CAS Faculty Council President must have attained the rank of associate professor or above with tenure at the time of election. The CASFC President will serve a one-year term. There is no limit on the number of terms a faculty member may serve as CASFC President. The CASFC President is responsible for communication between the CASFC and the CAS Dean.

The Faculty Council President shall be eligible for a one course workload reduction each spring semester during his or her term. The Dean of CAS will allocate the hire behind each May, as recommended by the outgoing CASFC President, based on the workload experience of the previous year and expectations for the coming year.

**F.2.2 CASFC Vice President** The Vice President will assume the role of President in the event the President is absent or unable to serve. The CASFC Vice President must have attained the rank of associate professor or above with tenure at the time of election.

**F.2.3 CASFC Secretary** The CASFC Secretary will be responsible for providing minutes of all CASFC meetings to be approved by the CASFC and distributed by the CASFC President to all CAS faculty members.

### **F.3 MEETINGS OF THE CAS FACULTY COUNCIL**

**F.3.1 CASFC Meeting Chair** The CASFC President shall normally preside at CASFC meetings. In the absence of the CASFC President, the CASFC Vice President will preside.

**F.3.2 Business of the CAS Faculty Council** The CAS Faculty Council has the following responsibilities:

- .1 To facilitate communication between the UFC and CAS departments and faculty.
- .2 To review changes to academic offerings considered by the CAS Curriculum Committee and address any concerns through the UFC;
- .3 To review changes to the requirements for all degrees, majors and minors considered by the CAS Curriculum Committee and address any concerns through the UFC;
- .4 To approve the creation of or changes to general admissions policies for the College prior to their consideration by the UFC;
- .5 To approve the creation of or changes to academic regulations for CAS students in matters of attendance, examinations, grading, scholastic standing, honors, and awards prior to their consideration by the UFC;
- .6 To review proposed changes to the annual faculty evaluation system and address any concerns through the UFC;



- .7 To recommend policies concerning College faculty welfare to the UFC;
- .8 To review proposed changes to policies and procedures for tenure and promotion and address any concerns through the UFC.

**F.3.3 CASFC Meeting Dates and Times** CASFC meeting dates and times will be set by the CASFC President in consultation with CASFC members. The CASFC will typically meet briefly immediately prior to each scheduled UFC meeting. Additional or longer CASFC meetings may be called at the discretion of the CASFC President or the request of another CASFC representative. The CASFC President will determine the time and location for additional or longer CASFC meetings subject to availability of CASFC representatives. The agenda of CASFC meetings will be set by the CASFC President, with clerical assistance provided by the CASFC Secretary. The CASFC President will provide the complete agenda for each meeting of the CASFC to all CAS faculty members one week in advance and will include the minutes of the previous CASFC meeting with the agenda.

**F.3.4. Quorum for CASFC Meetings** Five CASFC members shall be a quorum for the transaction of business. A smaller number may only adjourn.

**F.4 CAS FACULTY COMMITTEES** Since most detailed work of the 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.

**F.4.1 Organization of and General Procedures for 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. Faculty committees, except the Promotion and Tenure Committee, will submit copies of their approved committee meeting minutes or reports to the CASFC President after each of their meetings. Prior to the end of each fiscal year (June 30), secretaries of faculty committees, except the Promotion and Tenure Committee, will deposit copies of committee minutes for the previous academic year in the University Archives.

**F.4.2 Consideration of Business by Faculty Committees** Faculty committees consider issues mandated by their written charges. Individual faculty members may also informally bring issues to the attention of any committee by writing to the committee's chair. CAS faculty 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.5 ORGANIZATION OF CAS STANDING COMMITTEES** Standing committees are permanent, have responsibilities fixed by their written charges, have members elected from the CAS faculty and report to the CASFC.

**F.5.1 Election to Committees** The CAS representatives to the University Faculty Organization Committee (UFOC) are charged with CAS faculty organization. The duties of the CAS representatives on the UFOC include:

- .1 Elect members of CAS standing committees according to the procedures outlined in this section of the faculty handbook.
- .2 Elect CAS representatives on University standing committees (including the UFOC) according to the procedures outlined in Section 2.5 of the Faculty handbook.
- .3 Appoint or elect CAS representatives on any advisory or ad hoc committees as specified in each committee's charge.

**F.5.2 Elected Members of Standing Committees** Members of the CAS Standing committees are elected by the CAS full-time instructional faculty. Any member of the faculty who meets the criteria for membership may be elected to a standing committee.

**F.5.2.1 Procedures for Selecting Nominees for Elected Committee Positions** Nominees for elected positions will be determined as described in §2.5.2.

**F.5.2.2 Procedures for Committee Elections** Once nominations close, electronic ballots will be distributed to all voting-eligible faculty members. Voting eligible faculty includes all persons holding academic rank (see sections 3.2-3.6.1). Faculty will have at least five business days after distribution to submit ballots or record their votes electronically. This will be done in a manner that assures anonymity and confidentiality. Faculty may only be candidates for one committee or office. Ballots shall solicit rankings of candidates by voters, with lower numbers indicating greater preference. Ties shall be permitted on individual ballots.

**F.5.2.3 Procedures for Determining Winners of Committee Elections** In order to be declared the winner of an election, a nominee must be the winner of a Condorcet method calculation. If more than one position on a committee is being filled in an election, those positions shall be filled in order of Condorcet ranking. Election results are announced by early April.

**F.5.3.4 Procedures for Other Elections** Any other elections conducted will follow the procedures outlined in §F.8.3.1-F.8.3.3. Election results will be announced when final.

**F.5.3.5 Procedure for Nominating and Electing External Member for Promotion and Tenure Committee** At the beginning of every third spring term, the nominations for the external

position (three-year term) on the Promotion and Tenure Committee will be solicited. Nominees (1) may come from either the College of Education or the College of Business faculties, (2) may be nominated by any member of the University Faculty, any College, (3) must have attained the rank of Associate or above with tenure, and (4) must agree to the nomination. Once the Call for Nominations has closed, ballots will be distributed to all voting-eligible CAS faculty according to procedures outlined in §F.8.3.2. Run-off elections will be conducted according to the procedures outlined in §F.8.3.3. Any temporary replacement for an external member who is on sabbatical or leave will be elected according to the procedures outlined in §2.5.3 and §F.8.4.

**F.5.3.6 Limitations on Membership to Standing Committees** Members of the CAS instructional faculty may serve simultaneously on only one of the following: UFC, CAS standing committee, University standing committee.

**F.5.4 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.5.5 Administrative and Student Representatives to Standing Committees** All standing committees except the Promotion and Tenure Committee have at least one permanent member representing the administration with all the privileges of non-voting ex officio members. In addition, students serve as non-voting members of the CAS Curriculum Committee. They are appointed by the Dean on the recommendation of the President of the Student Government Association.

**F.5.6 Schedule of Meetings for Standing Committees** Standing committees determine their own meeting schedules. Committee meetings should be coordinated with the UFC and the college faculty meeting schedule that is developed by the Provost's office in collaboration the UFC leadership and the presiding officers of the college governing bodies. The schedule of UFC and college governing body meetings is announced by July 1 of each year. Standing Committee chairs will announce the schedule for their meetings no later than August 30 each year.

## **F.6 THE STANDING COMMITTEES OF THE CAS FACULTY**

Standing committees implement specific areas of established policy. These committees report to, and the recommendations of these committees shall be reviewed, by the CASFC.

**F.6.1 CAS Curriculum Committee** The committee consists of six elected faculty members, two non-voting student members appointed by the Dean, and, as non-voting ex officio members, the Associate Dean of the College of Arts and Sciences, and a representative of the Registrar's Office.

The committee's duties are to:

- .1 Study and recommend to the CASFC action concerning policy on procedure and criteria for approval, deletion, and change of all CAS course offerings and numbering, prerequisites, co-requisites, departmental majors and programs, minors, general degree requirements, proposed new majors and minors, study abroad, and exchange programs.
- .2 Review and approve or reject proposals from the various CAS departments for new degree programs, majors, minors, concentrations, certificates, or courses; for changes to degree programs, majors, minors, certificates, or concentrations; and for changes to individual existing courses, including changes in course numbering, title, credit hours, catalogue description, or pre-and co-requisites; and requests to delete a course from the catalogue. Such approvals are then reviewed by the CASFC and referred to the UCC. In its deliberations, the committee will consider general philosophy, departmental and general university 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 or the CAS Dean as appropriate.
- .4 Review and approve or reject criteria for special majors and applications for special majors in the College.

**F.6.2 CAS Promotion and Tenure Committee** The committee consists of nine elected faculty members, eight from the College of Arts and Sciences and one faculty member external to CAS, all to be elected by the CAS faculty. All members must have attained the rank of associate professor or above with tenure, and at least four members shall have attained the rank of full professor, by the date of election. Members serve staggered three-year terms, with three persons elected each year. The committee elects a chair from its membership. Members are nominated and elected according to the rules spelled out in §F.8.3 and §F.8.3.5 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 (§§7.1 -7.5 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 (§§7.6 –7.12 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 CASFC.

**F.7 SUBCOMMITTEES** If a standing 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 committee. Additional voting members of the subcommittee will be appointed by the standing committee to serve as ex officio members of the subcommittee. The chair must be a member of the standing committee. The subcommittee will report directly to the committee that formed it.

**F.8 OTHER COLLEGE COMMITTEES** Faculty members may also be appointed to serve on other CAS committees. Unless otherwise specified when the committee is created, appointed faculty members on CAS advisory committees serve staggered three-year terms beginning the fall after appointment and are not eligible for reappointment to the same committee for two academic years following a term of service. All appointments of faculty to CAS advisory committees are coordinated by the CAS representatives on the University Faculty Organization Committee. Appointed members of CAS committees are determined in April of each year. The appointed Committee members shall be selected following an annual poll of members of the faculty to ascertain their preferences for possible committee appointments. In addition to these expressed preferences and any membership requirements for the committee, the CAS UFOC members will consider: balance among committee members of discipline, rank, gender, and length of service; time since previous committee service; current service on other committees; and any expertise or experience of the potential appointee that can serve the committee in carrying out its charge. All appointments to committees are announced to the faculty by the CAS UFOC members prior to the final day of classes in the Spring semester.

**F.8.1 Faculty Development and Grants Committee** The committee consists of six appointed faculty members, and the Dean (or designee) as an ex officio member. The committee's duties are to:

- .1 Study and recommend policies concerning faculty development to the CASFC or CAS Dean as appropriate.
- .2 Provide recommendations with regard to the funding of faculty development grant proposals as requested by the CAS Dean.
- .3 Advise the Dean of any concerns with application procedures and evaluation criteria for faculty development grants.

**F.8.2 Advisory Committees** The CASFC may, at its discretion, create an advisory committee. An advisory committee is a group which advises the CASFC, an administrator or program director. The responsibilities and process of appointing members on these committees and the duration of the committee must be specified when a new committee is created.

**F.9.2.1 Faculty Participation on Advisory Committees** Service on advisory 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, constitute the maximum committee service expected of an individual faculty member.

## **F.9 MEETINGS OF THE CAS GENERAL FACULTY**

**F.9.1 Meeting Rules** Meetings of the CAS general faculty shall be conducted according to Robert's Rules of Order.

**F.9.2 CAS General Faculty Meeting Chair** The CASFC President shall normally preside at CAS general faculty meetings.

**F.9.3 Business of the CAS General Faculty** The business of the CAS general faculty is: (1) to debate and vote on CASFC actions of concern; and (2) at any special meeting of the CAS general faculty to discuss matters of concern to the CAS instructional faculty. The President of the CASFC is responsible for calling meetings of the CAS general faculty when the CASFC votes that a general faculty meeting is necessary. At least three days notice in writing shall always be given, unless an emergency meeting is deemed necessary in order to deal with a specific issue, in which case the CASFC President may call such a meeting. In addition, the submission of a petition with the signatures of ten members of the CAS faculty above the rank of instructor representing five or more departments shall be sufficient for a General meeting of the CAS faculty to be called.

**F.9.4 Quorum** One half plus one of the members of the CAS full-time instructional faculty, representing at least ten departments, shall be a quorum for the transaction of business. A smaller number may only adjourn.

# APPENDIX G

## RULES OF ORDER FOR THE COLLEGE OF BUSINESS (CoB) FACULTY COUNCIL AND CoB FACULTY COMMITTEES

### G.1 ORGANIZATION OF THE FACULTY COUNCIL

**G.1.1 Role of the Faculty Council** The Faculty Council is an all inclusive body, which shall serve as the official voice of the instructional faculty on all matters which fall within its jurisdiction. The purpose of the Faculty Council 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 it pertains to the CoB. Service on the Faculty Council is considered an important part of a faculty member's responsibility. The Faculty Council is responsible for the academic, curricular, self governance and faculty evaluation policies of the College.

**G.1.2 Faculty Council Membership** The membership of the Faculty Council consists of participating, full-time instructional faculty.

**G.1.3 Ex Officio Members** The Dean and the Advisors with no academic faculty rank sit as *ex officio* members of the Faculty Council. The Provost, Associate Provost and administrative representatives will be invited to attend meetings.

### G.2.3 Officers of the Faculty Senate

**G.2.3.1 Faculty Council President** The President of the College of Business Faculty Council presides over meetings of the College of Business Faculty Council. The President of the Council is elected for a term of two years commencing at the beginning of the Fall Semester and ending with the Summer Session at the end of the second year of the term.

**G.2.3.2 Faculty Council President-Elect** During the second year of the term of the President and no later than the last meeting of the Fall Semester, a successor President shall be elected by majority vote of the membership if only two candidates and a plurality if more than two candidates, and will automatically become President for a term of two years at the end of the current President's second year in office.

**G. 2.3.2.1 Requirements for Faculty Council Presidential Election** The Faculty Council President annually appoints a member of the faculty to serve as Secretary of Faculty Council. The Secretary is responsible for supervision of recording and distribution of minutes of meetings, and other administrative tasks, duties, and responsibilities the Faculty Council President deems appropriate. In the event the Faculty Council President is unable to preside at a meeting of Faculty Council, the Secretary presides at such meeting.

**G.2.3.2.2 Removal of Faculty Council President** The President may be removed at any time by a majority vote of the membership.

**G.2.3.3 Secretary of Faculty Council** The Faculty Council President annually appoints a member of the faculty to serve as Secretary of Faculty Council. The Secretary is responsible for supervision of recording and distribution of minutes of meetings, and other administrative tasks, duties, and responsibilities the Faculty Council President deems appropriate. In the event the Faculty Council President is unable to preside at a meeting of Faculty Council, the Secretary presides at such meeting.

**G.2.3.4 Parliamentarian** By the fall of each year, the Faculty Council President solicits nominations for a Faculty Council Parliamentarian. The Faculty Council elects a Parliamentarian from the nominations. The Parliamentarian will serve a one-year term.

### **G.3 MEETINGS OF THE FACULTY COUNCIL**

**G.3.1 Meeting Rules** Faculty Council meetings shall be conducted according to *Robert's Rules of Order*, except as otherwise provided herein.

**G.3.2 Faculty Council Meeting Chair** The Faculty Council President shall normally preside at Faculty Council meetings and will rule on the disposition of motions. In the absence of the Faculty Council President, the President-Elect will preside, when that position is occupied, otherwise the Faculty Council Secretary shall preside.

**G.3.3 Business of the Faculty Council** Faculty Council 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 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.

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

**G.3.5 Committees of the Meeting** Committees as defined below are committees of the meeting: (1) Standing Committees (see section G.9); (2) *Ad Hoc* Committees (see section G.9.4).

### **G.4 CONDUCT OF BUSINESS FOR FACULTY COUNCIL**

**G.4.1 Order of Business** The agenda of the Faculty Council meetings will be set by the Faculty Council President, with clerical assistance provided by the Secretary of the Faculty Council. Usually, it will follow this sequence: (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 and administrators); (5) Report of Student Representative; (6) Reports of university level committees; (7) Reports of the CoB Standing committees; (8) Reports of the CoB ad hoc committees; (9) Unfinished business; (10) New business; (11) Announcements; (12) Adjournment.

**G.4.2 Recognition by Faculty Council** President Members shall speak only when recognized by the Faculty Council President. When two or more members ask to be recognized at the same time, the Faculty Council President shall decide who is entitled to the floor.

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

## **G.5 INTRODUCING MOTIONS AT FACULTY COUNCIL MEETINGS**

**G.5.1** Motions made from the floor by members, after being properly seconded, shall be referred to an appropriate standing committee of the meeting by the Faculty Council President. If the Faculty Council 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.

**G.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.

**G.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.

**G.5.4** Any member may move to consider a motion before the Faculty Council 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 Council and shall be deemed in the possession of the Faculty Council as would be the case with the report of a standing committee.

**G.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 at the discretion of the President of the Faculty Council.

### **G.5.6 Regulations and Restrictions of Main Motions**

**G.5.6.1** When a motion is made and seconded, it shall be stated by the Faculty Council 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.

**G.5.6.2** Every motion shall be reduced to writing if the Faculty Council President or any member requires it.

**G.5.6.3** Upon request of any five members, 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.

**G.5.6.4** The status of motions referred to committees from the floor must be reported upon by the second regular Faculty Council 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.

### **G.5.7 Subsidiary Motions**

**G.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.

**G.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.

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

### **G.5.9 Amending a Motion**

**G.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.

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

**G.5.9.3** 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.

**G.5.9.4** The following questions cannot be amended.

- The call for the Order of the Day
- An appeal from the decision of the Faculty Council President
- 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.

**G.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.

**G.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)

**G.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.

**G.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 faculty member calls for the question without moving the previous question formally, the Faculty Council President is not obliged to close debate, and other members may properly be recognized. Any faculty 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.

## **G.6 VOTING ON MOTIONS, FACULTY COUNCIL MEETINGS**

**G.6.1 Voting Privileges** All full-time faculty members appointed by the President of the

University have voting privileges related to Faculty Council matters or issues. Nonmembers and *ex officio* members may not vote.

Nonmembers may attend Faculty Council meetings as guests if invited by the Faculty Council President, the Dean, or any member. Upon recognition by the Faculty Council President, or at the request of a faculty member, nonmembers may be granted privileges of the floor.

Any member who wishes for his/her leave to be noted in the minutes must communicate this in writing to the Faculty Council Secretary. Once the note is received by the Secretary, the member is no longer recognized as being present. Proxy votes are admissible (except in the case of the Council presidential election); however, it must be in writing. A simple majority of the Faculty Council membership shall constitute a quorum.

**G.6.2** 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 Council President declares the voting closed.

**G.6.3** Unless otherwise indicated in the rules of order, motions may be passed by a simple majority of those voting.

**G.6.4** 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.

**G.6.5** Any member may call for the number of abstentions after the taking of any vote.

**G.6.6 The Faculty Council 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 Council 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.

## **G.7 FACULTY COMMITTEES**

Since most detailed work of the faculty is accomplished through committees, committee service provides the faculty member with an opportunity to shape academic policy. In addition to teaching, scholarly productivity and advising, participation on faculty committees is regarded as an integral part of a faculty member's responsibility. Service on faculty committees is expected and is counted as part of the faculty member's service obligation. 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 Council and may only be established or eliminated by the Faculty Council. Faculty committees are of two types: *standing* and *ad hoc*.

**G.7.1 Organization of and General Procedures for 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 Promotion and Tenure Committee, will deposit copies of committee minutes for the previous academic year in the CoB Faculty Council Repository and the University Archives.

**G.7.2 Consideration of Business by Faculty Committees** Faculty committees consider issues mandated by their written charges or in response to motions made at meetings of the Faculty Council. 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 Council. Otherwise it is the responsibility of the committee Chair or designated committee member to bring recommendations to the Faculty Council for formal action.

Because the main task of faculty committees is to advise the Faculty Council, 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. Committees are not obligated to address 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.

### **G.7.3 Final Authority of Council Action**

Actions of the Faculty Council may be binding or they may be advisory to the University President, College Dean, or other administrative officials. Most actions of the Council are advisory. However, where the University President has delegated specific authority to the College of Business faculty as stipulated above, actions of the Council are binding unless overridden by the University President or the Board of Visitors.

#### **G.7.3.1 Constraints on Council 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, or other accrediting bodies and policies of the Board of Visitors.

### **G.7.3.2 Action by the University President in Areas of Authority Delegated to the Faculty**

Though the University 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 University President, therefore, must reserve the right not only to initiate action affecting the above but also to veto any action taken by the Faculty Council. Should the University President, however, take final action in an area of Council authority prior to a formal recommendation from the Council, or exercise the veto prerogative, he or she will communicate the reasons for such action to the Council either at the next Faculty Council meeting, or earlier by mail. If the Council is not persuaded by the University President's reasons, it may by majority vote at a subsequent meeting direct a delegation of the Council to represent and explain the Council's position to the Executive Committee of the Board of Visitors

**G.8 ORGANIZATION OF STANDING COMMITTEES** Standing committees are permanent, have responsibilities fixed by their written charges, and report to the Faculty Council.

**G.8.1 Appointment or Election of Members to Standing Committees** New committee members to standing committees normally are appointed or elected during the spring semester and begin their term in the fall. Each year the COB representatives on the UFOC (hereinafter called "UFOC representatives") poll members of the faculty on their preferences for possible membership on faculty committees. In making appointments or nominations for elected positions on standing committees, the UFOC representatives carefully consider balance among members (academic program and discipline, gender, rank, and length of service), expressed committee preferences, and previous and current committee service. The UFOC representatives, in consultation with the Dean and Department Chairs, may reserve some appointed positions to be filled in the fall by newly-hired faculty members.

**G.8.1.1 Elected Members of Standing Committees** Members of the Faculty Promotion and Tenure Committee are elected by the faculty for staggered three-year terms. Representatives to the UFC are elected for a two-year term. The UFOC representatives solicit nominations and conduct elections according to the following procedures:

- The call for nominations and the date for the close of nominations shall be announced in a meeting of the Faculty Council preceding the Council's final meeting of the spring semester;
- Nominations will reflect balanced representation as described in Section G.8.1;
- Nominees must be given the opportunity to accept or decline nomination for elected positions before their names are placed on a ballot;
- After the announced date for the close of nominations, no further nominations are accepted;
- Ballots are distributed electronically to all full time members of the faculty prior to the final meeting of the Faculty Council in the spring semester;

- Voting shall be completed no later than the last Faculty Council meeting of the spring semester or as otherwise agreed to by the Faculty Council.

Terms of committee service begin in the fall semester following election. In the event that a vacancy occurs for any elected position during the academic year, the UFOC representatives shall seek nominees and organize a special election in a timely manner following procedures outlined above.

**G.8.1.2 Appointed Faculty Representatives and Procedures for Appointment** Faculty members of standing committees, except the UFOC representatives, and the Faculty Promotion and Tenure Committee, are appointed by the UFOC representatives and serve staggered three-year terms. Each year in spring semester, the UFOC representatives poll members of the faculty on their preferences for possible membership on standing committees. Appointments are made according to the criteria in Section G.8.1 and are announced at the final meeting of the Faculty Council in spring semester, and terms begin in the subsequent fall semester. Vacancies in appointed faculty committee positions are filled in a timely manner by the UFOC representatives. The Dean appoints administrative members of committees.

**G.8.2.1 Procedures for Selecting Nominees for Elected Committee Positions** At the beginning of the spring term, the UFOC representatives solicit 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, UFOC representatives will send out a sample ballot to the entire faculty indicating who has been nominated for each open position.

**G.8.2.2 Procedures for Committee Elections** Once nominations close, the UFOC representatives distribute electronic ballots to all voting-eligible faculty. Faculty will have at least five business days after distribution to return ballots to the UFOC representatives. This will be done in a manner that assures anonymity.

**G.8.2.3 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 section G.8.2.2. 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 UFOC representatives in a manner that assures anonymity. Election results are announced at the final Council meeting.

**G.8.2.4 Procedures for Other Elections follow the procedures outlined in G.8.2.2** Any other elections conducted by UFOC representatives will Election results will be announced when final.

**G.8.2.5 Procedure for Nominating and Electing External Member for Promotion and Tenure Committee** At the beginning of every third spring term, the UFOC representatives solicit nominations for the external position (3-year term) on the Promotion and Tenure Committee. Nominees (1) may come from either the College of Education or the College of Arts

and Sciences faculties, (2) may be nominated by any member of the University Faculty, or any College, (3) must have attained the rank of Associate or above with tenure, and (4) must agree to the nomination. Once the Call for Nominations has closed, UFOC representatives will distribute ballots to all voting-eligible CoB faculty according to procedures outlined in G.8.2.2. Run-off elections will be conducted according to the procedures outlined in G.8.2.3. Any temporary replacement for an external member who is on sabbatical or leave will be elected according to the procedures outlined in G.8.2.2 and G.8.2.3.

**G.8.3 Limitations to Service on Committees** Members may serve on multiple standing or advisory committees simultaneously.

**G.8.4 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.

**G.8.5 Administrative and Student Representatives to Standing Committees** All standing committees except the Promotion and Tenure Committee have at least one permanent member representing the administration with all the privileges of *ex officio* members.

#### **G.8.6. Meeting Schedules, Agendas, and Records**

Each fall the Dean in conjunction with the Provost 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.

In order to discharge its responsibilities and exercise its authority, the Faculty Council meets regularly, according to a schedule of dates and locations announced by the Provost prior to the beginning of each academic year. Meetings are not scheduled during breaks or recesses in the academic calendar. The Secretary distributes minutes following each meeting. Prior to the beginning of each academic year, the Secretary circulates to members a summary of formal actions taken by the Faculty Council during the previous academic year. The Secretary, at the direction of the Faculty Council President, is also responsible for circulating an agenda prior to each meeting date.

**G.9 THE STANDING COMMITTEES OF THE 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 CoB Faculty Council with the



agenda of the meeting of the Faculty Council at which they are announced. No recommendation may be announced to the Faculty Council without prior distribution, and no recommendation by a committee may be implemented until it has been announced at a Faculty Council meeting and/or approved (if required). Recommendations of these committees stand subject to a call for review by any member of the Faculty Council during the meeting at which they are announced. The Role of organizational issues shall be carried out by the two COB representatives on the UFOC and they are responsible for studying and recommending revision to the Faculty Handbook and shall be referred to the Faculty Council.

**G.9.1 Organization of and General Procedures for Faculty Committees:** Unless its charge provides otherwise, each faculty committee elects a Chair at its first meeting in the fall, and the Chair appoints a Secretary to keep minutes. Meetings of faculty committees shall be called by their Chairs or by fifty percent of the members of the committees. No meetings of faculty committees shall be scheduled during holidays, breaks or recesses in the academic calendar. Prior to each meeting, the Chair will circulate an agenda to each committee member. The Chair will also summarize the minutes of each meeting, except business of a proprietary nature, for the Faculty Council and have the minutes archived in the Dean's office. A simple majority of the committee membership shall constitute a quorum.

**G.9.2. Standing Committees of the College Consist of the Following:**

- Academic Policy and Admissions Committee
- Curriculum Committee
- Outcome Assessment Committee
- Promotion and Tenure Committee

**G.9.2.1 Academic Policy and Admissions Committee** This is a standing committee of the faculty charged by the Faculty Council to study, recommend action on, and establish policies and procedures for the following areas of responsibility and authority delegated to the faculty by the Board of Visitors (see Section 2.1.2.1). The duties of this committee are to:

- Decide and establish admission criteria for both Undergraduate and Graduate programs in the College of Business,
- Decides and establishes admissions policy regarding review, evaluation, and approval of applications for admission to the College of Business,
- Decide and establish Criteria regarding CoB Honor Code, Academic Rules, Academic Standing, Probation/Suspension/Expulsion, and Graduation policy,
- May wish to decide and establish CoB policy regarding Student Leave of Absence, Re-application, and Re-admission,
- May need to coordinate with the CoB Curriculum Committee with regard to certain policy issues of concern to both committees, and/or related to some of the above, and shall
- Make policy recommendations regarding the above listed matters to the CoB Faculty Council.

**G.9.2.3 Curriculum Committee** This is a standing committee of the faculty charged by the

Faculty Council to study, recommend action on, and establish policies and procedures for the following areas of responsibility and authority delegated to the faculty by the Board of Visitors (see Section 2.1.2.1). The duties of this committee are to:

- Decide and establish policy regarding Curriculum Evaluation
- Review, evaluate, and issue proposed new courses and academic programs to determine if they are needed, and whether they fit under the umbrella of the CoB Mission Statement,
- Evaluate proposed new courses and academic programs to determine if they meet the high standards of the CoB.
- Communicate with the Outcome Assessment Committee any actions and decisions made by the Curriculum Committee

**G. 9.2.4 Outcome Assessment Committee** This is a standing committee of the faculty charged by the Faculty Senate to study, recommend action on, and establish policies and procedures for the following areas of responsibility and authority delegated to the faculty by the Board of Visitors (see Section 2.1.2.1). The duties of this committee are to:

- Establish guidelines for the assessment of student learning outcomes
- Review and evaluate assessment of student learning outcomes
- Communicate with the Curriculum Committee any actions and decisions made by the Outcome Assessment Committee

**G.9 .2.5 Promotion and Tenure Committee** This is a standing committee of the faculty charged by the Faculty Council to study, recommend action on, and establish policies and procedures for the following areas of responsibility and authority delegated to the faculty by the Board of Visitors (see Section 2.1.2.1).

The committee consists of five faculty members elected by the College of Business faculty. If feasible, all members must have attained the rank of associate professor or above with tenure, at least three of whom shall have attained the rank of full professor, by the date of election. If there are not enough available ranked faculty members from within the College of Business, the College of Business may – at the discretion of the College of Business faculty – elect College of Business faculty who do not meet the normal qualifications and/or elect faculty who meet these criteria from outside the College of Business.

Members will serve staggered three-year terms. In 2011-2012, there shall be one member from the College of Business faculty elected for a one-year term, one for a two-year term, and two for three-year terms. In 2011-2012 the external member shall be elected for a one-year term.

The committee's duties are to:

- Make recommendations in the matters of promotion according to College and University faculty promotion policy and procedures. 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* §7 and in Appendix J.
- Make recommendations to the Dean in matters of tenure according to College faculty tenure policy and procedures. 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* §7 and in Appendix J.

- Recommend changes in promotion and tenure policy or procedure to the College of Business Faculty Council.
- Faculty development and grant awards

**G.10 SUBCOMMITTEES** If a standing 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 committee. Additional voting members of the subcommittee will be appointed by the standing committee to serve as *ex officio* members of the subcommittee. The Chair must be a member of, and will be appointed by, the standing 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 UFOC representatives by using the *Ad Hoc* and Subcommittee form (see section G.10) for posting on the University website.

**G.11 AD HOC COMMITTEES** *Ad hoc* committees of faculty are formed for specific purposes. 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 Council, their charges are extended.

**G.11.1 Formation of *Ad Hoc* Committees:** *Ad hoc* committees may be formed in one of two ways: (1) the Dean rules that a duly-made and seconded motion must be referred to an *ad hoc* committee, either because the subject matter of the motion does not come under the purview of any standing committee, or because the appropriate standing committee cannot, for practical reasons, consider the matter; or because (2) the Faculty Council passes a motion which includes the formation of an *ad hoc* committee.

A charge describing the membership, duties, and duration of an *ad hoc* committee must be communicated to the Faculty Council in writing before any new *ad hoc* committee conducts its first meeting. All faculty *ad hoc* committees report to the Faculty Council, and the motion or ruling establishing a given *ad hoc* committee may also call for reporting to the President, the Dean, or another administrative officer of the University. 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 Council will appoint committee members. The Chairperson and Secretary of an *ad hoc* committee may be appointed by the Dean or elected by the committee's members.

**G.12 OTHER COLLEGE COMMITTEES** Faculty members may also be asked to serve on *advisory committees, presidential councils, or boards.*

**G.12.1 Advisory Committees** **Advisory Committees** An *advisory committee* is a group which advises an administrator. An advisory committee on which faculty sit is established by an administrator in consultation with the UFOC representatives. An advisory committee also

may be terminated by the appropriate administrator.

**G.12.1 Authority of Advisory Committees** Advisory committees do not have authority in any academic area; they merely advise an administrator. The responsibilities of these committees are determined by the administrator who appoints them. Advisory committees report to the administrator, not to the Faculty Council. The administrator reports to the Faculty Council when such a report is warranted.

**G.12.2 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.

**G.12.2 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 Council.

**G.12.3 Boards** A *board* is a group which has specific authority in a non-academic area (e.g., Student Conduct Hearing Board).

**G.13 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.)

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**Print Name**

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**Date**

*Send completed form to the Chair of the Faculty Organization Committee*



# APPENDIX H

## RULES OF ORDER FOR THE COLLEGE OF EDUCATION (CoE) FACULTY AND CoE FACULTY COMMITTEES

### H.1 ORGANIZATION OF THE COE GENERAL FACULTY

**H.1.1 Role of the COE Faculty** The College of Education Faculty as a whole comprise the legislative and advisory body which governs the College of Education. It shall serve as the official voice of the COE instructional faculty on all matters which fall within its jurisdiction. The purpose of the College of Education Faculty is to fulfill the authority and responsibilities delegated to the College of Education Faculty in §2.1.3 in this Handbook as pertinent to the COE. Service on the College of Education Faculty is considered an important part of a faculty member's professional responsibility.

**H.2 COE FACULTY MEETING MEMBERSHIP** The College of Education Faculty shall be comprised of all full time instructional and administrative faculty members in the College of Education.

#### H.2.1 Officers of the COE Faculty

**H.2.1.1 COE Faculty Chair** The COE Faculty Chair must have attained the rank of associate professor or above. The Faculty Chair will serve a two-year term.

**H.2.1.3 COE Faculty Secretary** The faculty will elect a Secretary of the Faculty from among its members every other spring semester. The COE Secretary will serve a two-year term. In the absence of the Secretary, the presiding officer shall appoint a substitute *pro tempore*. In preparing minutes of the Faculty meetings, the Secretary will work with the COE Faculty Chair. In the formulation and implementation of measures passed by the Faculty involving changes to the COE Faculty Rules of Order, the Secretary of the COE Faculty will work with the COE Faculty Chair and the Dean of the College of Education to ensure that these changes are incorporated into the COE Rules of Order. The Secretary will be responsible for posting meeting minutes on the COE website at least four days before the next faculty meeting and depositing the minutes in the University Archives.

**H.2.1.4 Parliamentarian** By the spring of each year, the COE Faculty Chair solicits volunteers for a COE Faculty Parliamentarian to serve during the subsequent academic year. The Faculty Chair selects a Parliamentarian from the volunteers.

### H.3 MEETINGS OF THE COE FACULTY

**H.3.1 Meeting Schedule** Regular meetings of the faculty of the College of Education are held each month in the Fall and Spring semesters. Attendance at each meeting is a service requirement of all faculty members. A calendar of meeting times and locations will be prepared

by the Executive Committee, ensuring that meeting times do not conflict with the teaching schedule of any faculty members. The annual schedule of faculty meetings will be published in August of each year. Special meetings may be called by the chair or by the Dean in consultation with the Executive Committee. Notice of special meetings shall be provided at least three days in advance of the meeting time.

**H.3.2 Meeting Rules** Faculty meetings shall be conducted according to *Robert's Rules of Order Newly Revised* unless noted otherwise. A two-thirds majority of voting members shall constitute a quorum for the conduct of business.

**H.3.3 COE Faculty Meeting Chair** The COE Faculty Chair shall normally preside at Faculty meetings and will rule on the disposition of motions. In the absence of the Faculty Chair, the Faculty Secretary will preside.

**H.3.4 Business of the COE Faculty** Faculty have 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.

**H.3.5 Committee Business** The College's faculty committees will report to the COE Faculty and will, when appropriate, submit motions to the COE Faculty.

**H.3.6 Committees of the Meeting** The Committees of the Meeting are: (1) Standing Committees of the meeting—permanent committees dealing with academic policy and (2) *Ad Hoc* Committees of the meeting – *ad hoc* committees are established by the Dean or the Faculty resulting from business conducted on the floor of the meeting.

## H.4 CONDUCT OF BUSINESS FOR COE FACULTY

**H.4.1 Order of Business** The agenda of COE Faculty meetings will be set by the Executive Committee and circulated by the chair to all members of the COE faculty at least twenty-four hours before the meeting. Usually, it will follow this order of business: (1) Call to Order; (2) Recognition of Guests and other constituencies (e.g., part-time and adjunct faculty) (3) approval of minutes; (4) Report of Dean; (5) Report of Faculty Chair; (6) Report of UFC Representatives; (7) Reports of the standing committees; (8) Reports of ad hoc committees; (9) Unfinished business; (9) New business; (10) Announcements; (11) Adjournment.

**H.4.2 Recognition by Faculty Chair** Members and guests shall speak only when recognized by the Faculty Chair. When two or more members rise at once, the Faculty Chair shall decide who is entitled to the floor.



**H.4.3 Main Motions, Initiating Business, and Committee Reports** Committees of the meeting and faculty shall have the right to bring business before the Faculty, either through a motion duly made and seconded from the floor or by communicating directly with the appropriate committee. All faculty and faculty committees intending to propose a motion must submit the motion(s) in writing to the Executive Committee through the Faculty Chair at least eight days before the Faculty meeting.

**H.4.3.1** Only full-time Instructional Faculty may vote on matters before the Faculty.

**H.4.3.2** Non-faculty members of the College community may attend Faculty meetings. However, such persons may not vote and may speak only by invitation of the Faculty Chair or by request of a faculty member.

## **H.5 INTRODUCING MOTIONS AT FACULTY MEETINGS**

**H.5.1** Motions made from the floor by faculty, after being properly seconded, shall be referred to an appropriate standing committee of the meeting by the Faculty Chair. If the Faculty Chair 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.

**H.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.

**H.5.3** Motions from Committees other than those defined here may be introduced as motions of individual members of the meeting.

**H.5.4** Any faculty 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. 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 and shall be deemed in the possession of the Faculty as would be the case with the report of a standing committee.

**H.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.

### **H.5.6 Regulations and Restrictions of Main Motions**

**H.5.6.1** When a motion is made and seconded, it shall be stated by the Faculty Chair 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.

**H.5.6.2** Every motion shall be reduced to writing if the Faculty Chair or any faculty requires

it.

**H.5.6.3** Upon request of any five faculty, 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.

**H.5.6.4** The status of motions referred to committees from the floor must be reported upon by the second regular Faculty 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.

### **H.5.7 Subsidiary Motions**

**H.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.

**H.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.

**H.5.8 Initiating Business and Committee Reports** Committees of the meeting and faculty shall have the right to bring business before the Faculty, either through a motion duly made and seconded from the floor or by communicating directly with the appropriate committee.

### **H.5.9 Amending a Motion**

**H.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.

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

**H.5.9.3** 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.

**H.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 Chair
- .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.

**H.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.

**H.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)

**H.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.

**H.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 faculty call for the question without moving the previous question formally, the Faculty Chair is not obliged to close debate, and other members may properly be recognized. Any faculty 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.

## H.6 VOTING ON MOTIONS, FACULTY MEETINGS

**H.6.1** Once a vote has begun on any question, no faculty shall be recognized for any purpose whatsoever until the voting is completed and the Faculty Chair declares the voting closed.

**H.6.2** Unless otherwise indicated in the rules of order, motions may be passed by a simple majority of those voting. The chair shall determine if votes are cast by voice, show of hands, or written ballot. In some cases, the Executive Committee may decide before the meeting that an electronic vote of all eligible faculty members is appropriate. This shall take place after the completion of the meeting at which the proposal is discussed.

**H.6.3** The following motions may be approved only when two-thirds of the faculty 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.

**H.6.4** Any faculty member may call for the number of abstentions after the taking of any vote.

**H.6.5 The COE Faculty Chair and Appeal from His or Her Ruling** The duty of ruling on questions of parliamentary procedure in the meeting shall rest with the Faculty 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.

**H.7 COE FACULTY COMMITTEES** Since most detailed work of the COE 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. COE 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 and may only be established or eliminated by the Faculty. Faculty committees are of three types: *standing*, *ad hoc*, and *advisory*.

**H.7.1 Organization of and General Procedures for COE 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 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 Promotion and Tenure committee will deposit copies of committee minutes for the previous academic year in the University Archives.

**H.7.2 Consideration of Business by COE Faculty Committees** Faculty committees consider issues mandated by their written charges or in response to motions made at meetings of the COE Faculty. 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. Because the main task of COE faculty committees is to advise the COE Faculty, 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. COE 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.

**H.8 ORGANIZATION OF STANDING COE COMMITTEES** Standing committees are permanent, have responsibilities fixed by their written charges, and report to the COE Faculty.

**H.8.1 Appointment of Members to Standing Committees** Each year the Executive Committee 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, 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 Executive Committee and serve staggered three-year staggered terms. *Ex officio* members are members by virtue of their office and are normally non-voting members.

**H.8.2 Procedure for Nominating and Electing External Member for Promotion and Tenure Committee** At the beginning of the spring term, the College of Education Executive Committee solicits nominations for members for the Promotion and Tenure Committee from the faculty of the College of Education. Nominees will include internal and external members. Nominated faculty must accept nomination before their names are placed on the ballot. Nominations for the Promotion and Tenure Committee will be presented at the regularly scheduled March meeting of the College of Education faculty. The ballot shall be circulated according to the election calendar of the University, or at least one week before the April meeting when elections will be conducted. If there are more nominees than slots to fill on the committee, the election will be conducted on a confidential electronic ballot. For the 2011-2012 election, nominations shall be made separately for the one-year, two-year and three-year terms. The election for the three-year terms (both internal and external) will be conducted first, then for the two-year terms (both internal and external), and then for the 1-year term (internal only). A candidate may be nominated for each of the slots and his or her name removed for subsequent elections if selected.

**H.8.3 Schedule of Meetings for Standing Committees** Each committee will schedule monthly meetings during Fall and Spring semesters and publish dates, times, and locations on the COE calendar at the beginning of each semester. Minutes of the meetings will be posted on the COE website.

**H.9 THE STANDING COMMITTEES OF THE COE FACULTY** Standing committees implement specific areas of established policy. The recommendations of these committees shall be reported to the COE Faculty with the agenda of the meeting of the Faculty at which they are announced. No recommendation may be announced to the Faculty without prior distribution, and no recommendation by a committee may be implemented until it has been announced at a

Faculty meeting and/or approved (if required). Recommendations of these committees stand subject to a call for review by any member of the Faculty during the meeting at which they are announced.

**H.9.1 Executive Committee** The committee consists of the Dean, College of Education Faculty Chair, Faculty Secretary, Department Chairs, and Chairs of all the Standing Committees. The committee's duties are to:

- .1 Prepare and publish the Agenda for College of Education Faculty meetings three days prior to each regular meeting.
- .2 Coordinate membership on College and University committees.
- .3 Make decisions regarding disbursement of faculty supplemental development funds.
- .4 Coordinate and oversee the periodic review of the Rules of Order, Bylaws, and Policies and Procedures of the COE within the purview of the faculty, as stipulated in the University Faculty Handbook.

**H.9.2 Faculty Affairs Committee** The committee consists of six faculty members be appointed by the Executive Committee for three year staggered terms. A chair and secretary shall be elected by the committee membership. The committee will select one of its members to serve as the COE representative to the University Faculty Affairs Committee. The committee's duties are to:

- .1 Review the criteria and procedures for tenure and promotion within the College for all ranks and propose changes as necessary.
- .2 Review the policies and criteria for selection and term length of members of the College Tenure and Promotion Review Committee and propose changes as necessary.
- .3 Review criteria and procedures for awarding faculty supplemental development funds and propose changes as necessary. Solicit and compile faculty requests for supplemental funds and forward to the Executive Committee.
- .4 Solicit input and formulate a plan for enriching and enhancing collegiality among faculty.
- .5 Formulate and monitor a colleague-mentoring program that supports faculty as they progress toward tenure and promotion, expand their expertise into new but relevant areas, develop grant and publication/presentation and other scholarly work.
- .6 Other functions as the Committee identifies and brings to the COE faculty for approval.

**H.9.3 Curriculum and Assessment Committee** The committee consists of six faculty members appointed by the Executive Committee for three year staggered terms. A chair and secretary shall be elected by the committee membership. The chair of this committee serves as the COE representative to the University Curriculum Committee. The committee's duties are to:

- .1 Monitor and coordinate programs, pathways, courses, credits, assessments of student learning, requirements, course and program delivery.
- .2 Review new, revisions, deletions, alternatives, waivers, substitutions, quality and coherence of courses and programs as these come to them from programs and departments.
- .3 Initiate reviews in relation to accreditation for purposes of shepherding the curriculum/assessment components of SACS, SCHEV, and State and national accreditation.

**H.9.4 Student Affairs Committee** The committee consists of five faculty members appointed by the Executive Committee for three year staggered terms, two student members selected by the

Committee for one year terms, and the Associate Dean of Advising. A chair and secretary shall be elected by the committee membership. The chair of this committee serves as the COE representative to the University Student Affairs Committee. The committee's duties are to:

- .1 Formulate, review, and monitor implementation of policies related to student academic eligibility and progress.
- .2 In consultation with the Department Chair receive and adjudicate student petitions, appeals.
- .3 Maintain documentation of student appeals for accreditation requirements.
- .4 Formulate and shepherd plans for enriching students' experiences as members of the College community.
- .5 Formulate and bring to the faculty for approval the criteria and procedures for awarding student research awards.
- .6 Document and manage the student research awards procedures.

**H.9.5 Promotion and Tenure Committee (Refer to Appendix K in the *University Faculty Handbook*.)**

**H.9.6 Budget Advisory Committee** The Committee consists of five members appointed by the Executive Committee for three year staggered terms. The Committee shall elect a chair and secretary. The committee's Duties are to:

- .1 Work with the dean and chairs in formulating policies and procedures for seeking external resources and in setting priorities for resource allocations within the College's mission.
- .2 Bring issues related to resource needs to the dean and chairs, contribute collaboratively to addressing our resource challenges.

**H.9.7 Clinical Collaboration and Partnerships Committee** The Committee consists of five members appointed by the Executive Committee for three year staggered terms, and the Director of Clinical Experiences and Partnerships. The Committee shall elect a chair and secretary. The Committee's Duties are to:

- .1 Work with the Dean to develop a strategic plan and benchmarks for enriching and expanding our work with P-12 educators and schools, other universities and professional associations to establish our identity and distinct contributions to the profession and its knowledge base.
- .2 Provide professional development support for our P-12 colleagues.
- .3 Monitor the clinical experiences of programs in relation to accreditation standards.

**H.10. THE *AD HOC* COMMITTEES OF THE COLLEGE OF EDUCATION** *Ad hoc* committees are established by the Dean or the College of Education Faculty for a specific purpose and shall continue to exist, unless discharged, until the duty assigned is accomplished.

**H.10.1 Technology Committee** The committee consists of six faculty members appointed by the Executive Committee for three year staggered terms. A chair and secretary shall be elected by the committee membership. The committee's duties are to:

- .1 Seek input from faculty, staff, and students regarding technology equipment and software needs and needs for specific technology related professional development.

- .2 Provide input to the Curriculum & Assessment Committee regarding the quality of technology integration in our academic programs.
- .3 Compile the master list of equipment needs for the next ETF (Educational Technology Funds) cycle.
- .4 Preliminarily formulate a working plan for the College's technology needs.

**H.10.2 Research Committee** The committee consists of six faculty members appointed by the Executive Committee for three year staggered terms. A chair and secretary shall be elected by the committee membership. The committee's duties are to:

- .1 Examine similarities and differences across programs related to how students are prepared for and go about completing their research projects.
- .2 Look at how faculty workload (credits) is assigned and how it should be structured given scope and scale of this work (which might vary across programs).
- .3 Look into the issue of adequate resources to support materials or equipment costs that students might face as they formulate their research projects—that we as a College should be endeavoring to support.

## H.11 ADVISORY COMMITTEES

**H.11.1 Advisory Committees** An *advisory committee* is a group which advises an administrator. An advisory committee on which faculty sit is established by an administrator in consultation with Executive Committee. An advisory committee also may be terminated by the appropriate administrator.

**H.11.1.1 Authority of Advisory Committees** Advisory committees do not have authority in any academic area; they merely advise an administrator. The responsibilities of these committees are determined by the administrator who appoints them. Advisory committees report to the administrator, not to the Faculty. The administrator reports to the Faculty when such a report is warranted.

**H.11.1.2 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.



# APPENDIX I

## COLLEGE OF ARTS AND SCIENCES (CAS) PROMOTION AND TENURE PROCEDURES

### I.1 INDIVIDUAL PROMOTION CRITERIA

**I.1.1 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 high 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 scholarly, creative, and 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).

**I.1.2 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 high 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, creative, 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.

### **I.1.3 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 high 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, creative, 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 and contextualize the kinds of activities appropriate to the discipline that constitute equivalent professional activity.

## I.2 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 CAS member of the University 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 CAS members of UFC will appoint the representative to the PAAC from among the current or previous CAS members of UFAC. 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. (see §7.12.2.)

**.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. (see §7.12.3.)

**.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. (see §7.12.4.)

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

**I.3 TENURE CRITERIA IN THE COLLEGE OF ARTS AND SCIENCES** All persons involved in the tenure determination process are expected to weigh with care all of the following individual criteria as established by the college in arriving at each tenure recommendation. Decisions should also consider carefully the rank and tenure profiles of the college, 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 college, 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.

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, creative, 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.

## **I.4 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 CAS member of the University 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 CAS members of UFC will appoint the representative to the TAAC from among the current or previous CAS members of UFAC. 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. (see §7.12.2.)

**.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. (see §7.12.3.)

**.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. (see §7.12.4.)

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

**1.5 CONTENTS OF THE PROMOTION AND TENURE FILE** The file must contain: (1) Table of Contents; letter of application to chair/dean; (2) personnel data sheet; (3) *curriculum vitae*; (4) all applicable 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 (§7.2) and specific (§7.3) criteria for promotion and/or tenure. The explanations about the general criteria could be as short as a sentence. However, discussion of specific performance in the areas of teaching, professional activity and service will normally be fairly lengthy and substantive.

**.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.

## **I.6 EXPECTATIONS FOR THE CONSTITUENTS IN THE PROMOTION AND TENURE PROCESS**

**.1 Departmental Colleagues** Departmental colleagues should write letters that assess the candidate's performance as measured against the relevant criteria for tenure and/or promotion in the areas of teaching, professional activity, and service. Such letters should explain the candidate's role in the department in terms of both teaching and service. 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 department chair assumes two roles in the tenure and promotion process. First, the chair should solicit the required letters from departmental colleagues and invite institutional colleagues and colleagues in the discipline, as identified by the candidate, to submit letters for the file. The chair will advise all persons writing letters of the deadlines and of the criteria for tenure and/or promotion. Second, the chair's letter assessing the candidate should draw on these letters and the chair's own review of the candidate's performance over time to explain the candidate's role in the department. Specifically, 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 as measured against the relevant criteria for tenure and/or promotion. 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.

# APPENDIX J

## COLLEGE OF BUSINESS (CoB) PROMOTION AND TENURE PROCEDURES

*This appendix contains the criteria and the procedures for faculty evaluation for tenure and promotion within the College of Business. These provisions supplement those in Section 6 of the University Faculty Handbook as revised effective August 2011.*

### **J.1 INDIVIDUAL CRITERIA FOR PROMOTION**

Faculty performance is evaluated in three areas of endeavor: teaching effectiveness, research, scholarship and professional development, and service to the University, the college and department. The first area, teaching, is preeminently important.

**J.1.1 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 Research, Scholarship and Professional Development 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 Research, Scholarship and Professional Development appropriate for a faculty member seeking promotion to this rank. Examples of Research, Scholarship and Professional Development 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).

**J.1.2 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 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: advising, 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 profession through activities that are directed toward professional peers beyond the campus. The University expects to see a *pattern* of research, scholarship and professional development 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 which results in research and scholarship activities; editing a journal; publishing book reviews, journal articles, or other printed works; winning a grant. 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 Research, Scholarship and Professional Development.

**J.1.3 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, 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 research, scholarship and professional development 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 which results in research and scholarship activities; editing a journal, publishing book reviews, journal articles (especially refereed), books, or other printed works; winning a grant. 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 research, scholarship and professional development.

**J.1.4 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.

## J.2 PROMOTION PROCEDURE

**.1** By May 1, in order for individuals writing letters of recommendation to have sufficient time to review the file, candidates for promotion will submit to their department chair documents that demonstrate the candidate's record of Teaching Effectiveness, Research, Scholarship and Professional Development, and Service to the University, College and Department by including: (1) current Curriculum Vitae, (2) all Faculty Annual Activity Reports to date, (3) performance evaluations to date, (4) course evaluations to date, and (5) any other pertinent information. Also by May 1, candidates for promotion shall submit to their department chair a list from which to solicit letters of recommendation. This list shall include three to five individuals who are faculty or professionals outside the College of Business. Upon request by the candidate, the chair will solicit letters from other individuals on the candidates list, including faculty or professionals outside the College of Business. All of the letters solicited shall be from individuals knowledgeable about the candidate's Teaching, Research, Scholarship or Professional Development, or Service to the University, College and Department or professional Discipline. The department chair's request for letters of recommendation shall include the College of Business criteria for promotion. Letters of recommendation should clearly identify accomplishments of the candidate that substantiate specific criteria for promotion. All persons asked to write letters of recommendation shall be informed that these documents will be accessible to the faculty member. The department chair shall promptly provide the candidate with a list of those from whom letters have been requested. The deadline for receipt of letters is August 22. The department chair shall be responsible for transmitting these recommendations to the candidate for inclusion in the candidate's promotion file.

**.2** The faculty member being considered for promotion and/or his or her department chair shall solicit by August 15 from institutional colleagues letters of recommendation as to whether or not promotion to the next higher rank should be granted to the faculty member.

**.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. For the remainder of the decision making process, this file shall constitute the exclusive official written record of the procedure. After the file is transmitted to the P&T committee, no additional material will be added to, included in the file, or used in the tenure consideration to insure the same documentary record forms the basis for promotion recommendations at each level of review.

**.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 COB Faculty Organization and Welfare 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

**J.3 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.

### **J.3.1 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.

**J.3.2 Individual Qualifications** Possession of the doctorate, special competence, or a terminal degree appropriate to the teaching field.

**J.3.3 Performance Criteria** Faculty performance is evaluated in three areas of endeavor: 1) teaching effectiveness 2) , **Research, Scholarship, and Professional Development** and 3) service to the college, the University, department and discipline, profession including professional service activity and community at large. The first area, teaching, is preeminently important. In order to be granted tenure, the candidate must:

- .1** demonstrate effective teaching outcomes 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 teaching effectiveness during the evaluation period, as indicated by evidence from multiple sources, including (but not limited to): student feedback from course evaluations, quality of syllabi, assignments, tests, and contributions to the teaching profession, such as innovation. The University also recognizes the value of substantial contributions to the curriculum, course improvement through revision of content, development of new courses, development of writing and speaking intensive courses, and innovative teaching methods.
- .2** Demonstrate that he or she has contributed to his or her discipline and/or profession through activities that are directed toward professional peers beyond the campus. The committee expects to see a *pattern* of research, scholarship and professional development activities and output 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: publication of articles in peer reviewed journals, conference proceedings, books, edited books, chapters in edited books, monographs and paper presentations at the regional, national or international conferences; program development and participation; holding office in professional organizations which results in research and scholarship activities; editing a journal; publishing book reviews or other printed works; winning a grant. The P&T Committee expects the candidate and his or her department to provide information about the kinds of activities appropriate to the discipline that constitute activities entailing research, scholarship and professional development. Generally,

**professional service activities** are **not** considered research, scholarship or professional development. Organizational and managerial activities while holding office in professional organizations would be considered service to the profession.

A candidate for tenure is required to provide the Promotion and Tenure Committee with evidence of publications and scholarship appropriate to the time allocated for promotion and tenure. However, as expressed in §J.7, under the definition of professional development, the Promotion and Tenure Committee should take into consideration the time spent in this area when considering the amount of research and scholarly activity of the candidate.

**For specific definition and types of items entailing research, scholarship, And professional development** (see §J.7)

**.3** demonstrate a consistent 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, advising, 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.

These may include activities pertaining to the faculty member's professional expertise being used for providing service to the community or professional discipline. The following categories will be considered for evaluating service component;

1. Departmental, college, and university service
  - a. Advisement and counseling
  - b. Special service arrangements
  - c. Sponsoring of student activities
  - d. Cooperation with Grants/Funding Office
  - e. Service on department, college and university committees and taskforces
  - f. Cooperation with the Office of admissions in recruitment
  - g. Other departmental, college and university service
  - h. Leadership and substantial contribution in the departmental, college or university service activities
2. Community service
  - a. Service to the outreach programs
  - b. Workshops, projects and colloquia
  - c. Speaking activities – generally considered a service activity, but in some cases may be considered a professional development activity or even scholarship activity provided it involves some degree of juried review process lesser than publication activity.
  - d. Any other ways in which the faculty member is using professional knowledge to serve the community
3. Service to the professional discipline
  - a. Service to scholarly/ professional societies/organizations – holding office, active as a member, organize sessions etc.
  - b. Service as a member of the advisory board for a scholarly journal in the field of business disciplines. But, service as a member of the editorial board for the purpose of reviewing scholarship works, would be classified as scholarship. The differentiation is made on the basis of the nature of services rendered – organizational, management or scholarly.
  - c. Contribution to the advancement of the discipline
  - d. Serve on governance boards

## J.4 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, in order for individuals writing letters of recommendation to have sufficient time to review the file, candidates for promotion will submit to their department chair documents that demonstrate the candidate's record of Teaching Effectiveness, Research, Scholarship and Professional Development, and Service to the University, College and Department by including: (1) current Curriculum Vitae, (2) all Faculty Annual Activity Reports to date, (3) performance evaluations to date, (4) course evaluations to date, and (5) any other pertinent information. Also by May 1, candidates for promotion shall submit to their department chair a list from which to solicit letters of recommendation. This list shall include three to five individuals who are faculty or professionals outside the College of Business. Upon request by the candidate, the chair will solicit letters from other individuals on the candidates list, including faculty or professionals outside the College of Business. All of the letters solicited shall be from individuals knowledgeable about the candidate's Teaching, Research, Scholarship or Professional Development, or Service to the University, College and Department or professional Discipline. The department chair's request for letters of recommendation shall include the College of Business criteria for tenure. Letters of recommendation should clearly identify accomplishments of the candidate that substantiate specific criteria for tenure. All persons asked to write letters of recommendation shall be informed that these documents will be accessible to the faculty member. The department chair shall promptly provide the candidate with a list of those from whom letters have been requested. The deadline for receipt of letters is August 22. The department chair shall be responsible for transmitting these recommendations to the candidate for inclusion in the candidate's tenure file.

**.3** 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 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*. 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 university 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 promotion credentials file to the P&T committee. For the remainder of the decision making process, this file shall constitute the exclusive official written record of the procedure. After the file is transmitted to the P&T committee, no additional material will be added to, included in the file, or used in the tenure consideration to insure the same documentary record forms the basis for tenure recommendations at each level of review.

**.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 COB Faculty Organization and Welfare 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.

**J.5 CONTENTS OF THE PROMOTION AND TENURE FILE** 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.

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 (§7.2) and specific (§7.3) 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, research, scholarship and professional development, 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 Research, Scholarship and Professional Development** 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.

## **J.6 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 research, scholarship and professional development. 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 research, scholarship and professional development. 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.

## **J.7 DEFINITIONS OF RESEARCH, PUBLICATION, SCHOLARSHIP AND PROFESSIONAL DEVELOPMENT**

### **J.7.1 Definition of Research**

**.1 Contribution to knowledge** generally considered appropriate to a discipline having gone through a quality peer reviewed assessment, and resulting in publications in the form of journal articles, books, research reports, conference proceedings, poster sessions at academic or professional practice conferences.

**.2 Definition of a Publication** The presentation of research in forms appropriate to the discipline—books, chapters in books, articles, research reports, on-line publications etc.—that have been subject to a process of **peer review in the academic sense**.

It will be the responsibility of the faculty member under review to demonstrate that his/her publications were subject to a peer review process by reviewers.

**.3 Definition of Scholarship** It constitutes activities as a result of engagement in the research process, study or professional knowledge or skills related to a discipline involving **some form of peer exposure or consideration**, but will not have the blind peer review scrutiny as research publications do.

**.4 Definition Professional Development** These activities are neither considered research nor scholarship, but are activities primarily in the faculty member's discipline. Business disciplines, such as law and accounting, are considered practices, and as such, require application to remain current and effective in the field. The hours required to remain current can range widely, and could require several hundred hours annually. The amount of time spent by the faculty member performing professional activities, including activities such as paid consulting, should be considered when evaluating research and scholarship production. This is not to suggest that professional activities are a substitute for research and scholarship, but rather could reduce the amount of time a faculty member may devote to it. Other professional activity could include activities primarily organizational or managerial in development and execution, and may not be in faculty member's discipline per se. These could include **teaching material development, skill development**

**workshops, university or community service or service to a professional organization.**

There are activities that could stem from professional development which contribute to the body of knowledge in a given field. These items could be considered research or scholarship provided those are appropriately juried. Examples of professional development would include changes in operating methods in the field in which the faculty member practices, such as a change in tax law for an attorney or creation of a new accounting standard from an accountant. The change in the field's body of knowledge should be attributable to the specific faculty member.

### **J.7.2 Items and Activities Considered Publication**

**.1 The first edition of authored books of all types** (e.g., monographs, textbooks, dissertations turned into a book, book-length works of creative writing)

**.2 For subsequent and revised editions of textbooks and other books**— Evidence must be provided that these new or revised editions were peer reviewed.

**.3 Editing a book with one or more contributions (articles/chapters) by the editor**  
- Note: An edited book should not be equivalent to an authored book

**.4 Peer-reviewed articles, book chapters, research notes, conference proceedings, case studies etc.** This includes those published electronically if peer reviewed.

*Note:* A paper presented at a conference and subsequently included in the conference proceedings will be counted **once only**. That is, it cannot be counted under the category of scholarship as well as under the category of publications.

**.5 Peer-reviewed, collaboratively written articles, books, or chapters**— multiple authors of a published work would be assigned lesser value as compared to single authored publications

### **J.7.3 Items and Activities Considered Scholarship (Not Considered Publication)**

**.1 Papers and poster sessions presented at national and international conferences at which a paper is required** - This does not include other forms of presentation equivalent to a paper or poster presentation when they are the accepted form of conference presentation in certain disciplines such as education.

**.2 Paper is not required at a poster session**

**.3 Papers and poster sessions presented at regional and local conferences where a paper is required as well as where paper is not required at a poster session**

*Note:* A paper presentation at a conference that is subsequently included in the conference proceedings can be counted **once only**

**.4 Works published by a third party but not peer reviewed:** book reviews, reference book articles, research notes, co-authored articles, case studies, bibliographies, and other scholarly publications

**.5 Acting as a discussant or respondent** on a conference panel

**.6 Securing Grants:** This provision applies to grants awarded on a **competitive basis** of an amount above \$1,000. Thus, automatically awarded grants, such as UMW - COB summer stipends, are excluded from this provision. It is incumbent upon the faculty member to demonstrate that the grant was competitively awarded and preferably peer-reviewed.

*Note:* If the grant is a University of Mary Washington grant (an additional award for the same grant will **not** be considered as a separate grant and will be counted only once).

**.7 External grants—** (similarly, a supplementary award for the same grant will **not** be considered as a separate grant and will be counted only once).

**.8 Unpublished articles and manuscripts—** if evidence can be shown that the faculty member is actively working toward publication (e.g., a “revise and resubmit” letter from an editor) it would be considered a scholarship activity for the purpose for tenure and promotion to Associate Professor and for promotion to Full Professor.

**.9 Editing a journal or annual review for at least one year**

**.10 Membership on the editorial board of a journal or annual review that involves faculty for the purpose of peer reviewing scholarship works such as articles, monographs and research.**

**.11 Reviewing manuscripts** - for journals, publishers and for conference proceedings; This type activity cannot be used in lieu of published research of scholarship works.

**.12 Newspaper articles:** but only if evidence can be provided that they were commissioned based on the faculty member’s discipline and expertise broadly defined— lesser weight would assigned to this type of scholarship activity

**.13 Unpaid consulting:** Only if the faculty member obtains acceptance from his/her faculty group about the value of the project to the faculty member’s academic advancement. However, this provision does not preclude the faculty member from obtaining data/information from the project that can be used for publications or scholarship.

**.14 Unpaid or paid applied research/collaborative research with a government or non-profit agency:** Similar to consulting, faculty members must obtain acceptance from their faculty group of the value of the project to their academic advancement. Again, this provision does not preclude the faculty member from obtaining data/information from the project that can be used for other scholarship or publications.

#### **J.7.4 Items and Activities Considered Professional Development (Not Considered Research or Scholarship)**

**.1 Explanation/Definition** Items and activities not considered publication or other scholarship are those not subject to the peer review process or some form of peer exposure. They may be items or activities, primarily organizational or managerial in development and execution, or those that would not generally be viewed as scholarship within the faculty member’s discipline. Such items and activities may more appropriately be considered as teaching or developing teaching materials, University or community service, or service to a professional organization. These items include:

**.2 Paid consulting and applied/collaborative research**, unless the results of this are presented in a form and through a medium appropriate to the faculty member's discipline.

**.3 An identical or very similar piece of research** published in a second outlet or presented in a second forum. In other words, the same piece of work cannot be counted twice.

**.4 Books, articles, works of creative writing, and collections which are not peer reviewed.**

**.5 Self-published** books, articles, reports, etc. which are not peer reviewed will not be considered published research or scholarship.

**.6 Publications and scholarship not related to a faculty member's discipline broadly defined.** This provision should not discourage interdisciplinary work and interdisciplinary collaboration if the faculty member is using his/her discipline or the substantive knowledge from that discipline in the research or creative activity. The provision is meant to apply to products that are outside the faculty member's field (such as a business faculty member is writing a novel or producing a landscape painting) that cannot be reasonably considered as publication, scholarship and professional development activity.

**.7 Newspaper articles** which are not commissioned and/or not based on the faculty member's discipline and expertise.

**.8 Letters to the editor.**

**.9 Chairing conference panels.**

**.10 Supervising students on research projects or mentoring faculty on research and scholarly projects.**

**.11 Presenting seminars, delivering speeches, etc.** unpaid or paid are not considered research or scholarship instead a professional development or activity.

**.12 Materials placed on a personal or other Internet Website** including academic Websites unless these materials have been subject to peer review.

## **J.8 COB PROMOTION AND TENURE COMMITTEE**

The committee consists of five faculty members elected by the College of Business faculty. If feasible, all members must have attained the rank of associate professor or above with tenure, at least three of whom shall have attained the rank of full professor, by the date of election. If there are not enough available ranked faculty members from within the College of Business, the College of Business may – at the discretion of the College of Business faculty – elect College of Business faculty who do not meet the normal qualifications and/or elect faculty who meet these criteria from outside the College of Business. Members will serve staggered 3-year terms. In 2011-2012, there shall be one member from the College of Business faculty elected for a 1-year term, one for a 2-year term, and two for 3-year terms. In 2011-2012 the external member shall be elected for a 1-year term. The committee's duties are to:

**.1** Make recommendations in the matters of promotion according to College and University faculty promotion policy and procedures. 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* §7 and in Appendix J.

**.2** Make recommendations to the Dean in matters of tenure according to College faculty tenure policy and procedures. 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* §7 and in Appendix J.

**.3** Recommend changes in promotion and tenure policy or procedure to the College of Business Faculty Senate.



# **APPENDIX K**

## **COLLEGE OF EDUCATION (CoE) PROMOTION AND TENURE PROCEDURES**

### **Preamble**

This document articulates the criteria and the procedures for faculty evaluation for tenure and promotion within the College of Education. These provisions are intended to be supplemental to and consistent with Section 6 of the University Faculty Handbook as revised effective August 2011. In any case where an inconsistency emerges, the University Faculty Handbook shall supersede any provisions in the present document and shall govern.

### **K.1. TENURE CRITERIA**

#### **K.1.1 Criteria for the Evaluation of Teaching.**

The award of tenure in the College of Education requires evidence of the faculty member's sustained commitment to classroom instruction as well as sustained effectiveness as a contributor to the intellectual development of students. The College subscribes to a vision of teaching consistent with the University Faculty Handbook and also exemplified in Ernest Boyer's (1990) statement on the Scholarship of Teaching. This statement expresses the belief that knowledge acquired through teaching is a co-constructed dynamic endeavor that requires a reciprocal act between teachers and learners. The scholarship of teaching thus increases both students' and faculty's capacities for continuous instructional improvement through reflection, critical and creative thinking, and action. Thus teaching is an intellectual commitment on the part of both teachers and learners.

The following criteria for tenure in the category of Teaching emphasize and are based on the College's Mission Statement and Conceptual Framework. The teaching criteria are met through such indicators and artifacts as evidence of student learning associated with the faculty member's teaching, course design, and materials, interaction with students outside of formal instructional periods, and other mechanisms of enhancing student learning. Student evaluation data must be a part of the evidence in all cases, but by themselves they are not enough. Students are important judges of a teacher's fairness, organization, and personal qualities in the classroom, the field, or the office; but the faculty member's colleagues within and outside of the College are also significant judges of the content of the candidate's pedagogy. Popular teaching and good teaching are not necessarily the same thing.

##### **K.1.1.1 Teaching Criteria, Indicators and Evidence.**

The following table identifies the key criteria, upon which candidates for tenure in the College of Education are to be evaluated for teaching. Candidates are required to meet every criterion but are not required to meet every indicator under a criterion. The expectation is that the cumulative record of the faculty member's teaching during the probationary period

demonstrates a broad and sustained pattern of achievement and growth in teaching involving the criteria listed, and with emphasis on the standards most relevant to the candidate's areas of specialization.

Criteria	Indicators	Evidence
<ul style="list-style-type: none"> <li>Demonstrates effective classroom teaching and/or clinical supervision which results in significant student learning</li> </ul>	<ul style="list-style-type: none"> <li>Models effective instruction to meet the needs of diverse learners</li> <li>Demonstrates and promotes critical thinking and problem solving among colleagues, educators, and/or prospective educators</li> <li>Models reflective practice for professional growth and improvement</li> <li>Demonstrates a variety of instructional methods including use of technology</li> <li>Grounds practice in current policy and research related to education and educator preparation.</li> <li>Encourages and facilitates demonstrations of student learning such as presentations and publications</li> </ul>	<ul style="list-style-type: none"> <li>Positive student evaluations</li> <li>Evaluations from supervisors, colleagues, students, or other</li> <li>Course syllabi</li> <li>Video and/or audiotapes of instructional materials (e.g., lessons, units, courses of study, presentations)</li> <li>Teaching awards and/or other forms of recognition</li> <li>Logs or other documentation of classroom activities</li> <li>Journals of reflections on teaching practices</li> <li>Evidence of technology-based teaching and learning</li> <li>Evidence of student learning in courses and field placements, such as student reflections, student work products, instructor feedback, and performance assessment data.</li> </ul>



Criteria	Indicators	Evidence
<ul style="list-style-type: none"> <li>Adheres to college approved content of courses, providing current and innovative curriculum</li> </ul>	<ul style="list-style-type: none"> <li>Incorporates current and accurate content in the education field</li> <li>Facilitates professional development experiences related to effective teaching practices.</li> <li>Demonstrates knowledge of programs and procedures</li> <li>Designs, develops, or modifies educator preparation programs based on theory, research, and best practice</li> </ul>	<ul style="list-style-type: none"> <li>Revisions to course or program based on changes in state requirements</li> <li>New material developed to meet ones' course or program requirements</li> <li>Relevant credentials (e.g., certificates, licenses)</li> </ul>
<ul style="list-style-type: none"> <li>Adheres to standards of the profession and discipline</li> </ul>	<ul style="list-style-type: none"> <li>Maintains current knowledge related to the profession and specific discipline</li> <li>Revises courses to incorporate current research and/or best practices</li> </ul>	<ul style="list-style-type: none"> <li>Statement that reflects underlying knowledge and values of the profession and discipline</li> <li>Documentation of participation in activities, workshops, and/or conferences designed to improve teaching/supervision</li> <li>Course revisions that reflect current thinking in the discipline</li> </ul>

### K.1.2 Criteria for the Evaluation of Scholarship and Professional Development.

Scholarship includes professional activity, scholarly activity, and creative activity that have undergone some type of peer review indicating that it has been accepted as a contribution to the education field. This peer review can take several forms, such as publication or demonstration juries, presentation invitations, or professional service invitations. Professional activity involves shared expertise for the benefit of educators beyond the faculty member's instructional activities within the College of Education. Scholarly activity involves the scholarship of discovery and integration, usually shared through more traditional publication methods. Creative activity may include such things as development and dissemination of innovative classroom teaching materials, instructional media, etc. Candidates for tenure in the College of Education should demonstrate significant engagement in scholarship activities. An additional category, professional development, refers to growth experienced by the individual as a result of scholarship or professional development activities that did not undergo or pass the peer review process.

**K.1.2.1 Scholarship and Professional Development Criteria, Indicators and Evidence.**

The following table identifies the key criteria upon which candidates for tenure in the College of Education are to be evaluated for scholarship. The expectation is that the cumulative record of the faculty member's scholarship during the probationary period demonstrates a broad and sustained pattern of achievement and growth in scholarship involving the criteria listed, including scholarship that contributes to the field of education and/or the faculty member's academic discipline.

Criteria	Indicators	Evidence
Engages in scholarship related to dissemination of knowledge – <i>Scholarship of discovery</i> or integration	<ul style="list-style-type: none"> <li>Pursues new knowledge in relationship to teaching, learning and/or educator preparation</li> <li>Connects new knowledge to existing contexts and perspectives</li> <li>Acquires research-based grants.</li> </ul>	<ul style="list-style-type: none"> <li>Publications in refereed journals or books</li> <li>Presentations at professional meetings</li> <li>Funded grants obtained to conduct research</li> <li>Published works cited in publications by other scholars</li> <li>Publication of textbooks that integrate the knowledge base,</li> <li>Publication of instructor manuals, workbooks, study guides</li> <li>Translation of scholarly/literary works</li> <li>Referee or reviewing articles, chapters, books, or other professional materials</li> <li>Editor for a book of readings (published by a professional organization or nationally recognized publishing house)</li> <li>Editorial Board responsibilities for an international, national, regional or state journal</li> <li>Research awards and recognitions</li> </ul>
Engages in scholarship related to professional service or the use of professional expertise—Scholarship of Engagement or Application	<ul style="list-style-type: none"> <li>Investigates theoretical and practical problems in teaching, learning, and/or educator preparation</li> <li>Applies research to teaching practice and/or program or curriculum development</li> <li>Disseminates research findings to the broader educator preparation community</li> </ul>	<ul style="list-style-type: none"> <li>Contracted to help solve practical problems in educational settings by applying professional theory, conceptions, methods, and findings, such as action research projects, grants obtained to conduct such scholarship, etc.</li> <li>Disseminate research findings to the broader educator preparation community through consultation,</li> </ul>

Criteria	Indicators	Evidence
	<ul style="list-style-type: none"> <li>Conducts or contributes to research that focuses on effective educator preparation programs.</li> <li>Acquires service-based grants.</li> <li>Conducts external program evaluation</li> </ul>	<p>professional development workshops and/or seminars</p> <ul style="list-style-type: none"> <li>Course materials designed for professional development seminars</li> <li>Professional consultancies resulting in professional development</li> <li>Commissioned to prepare evaluation and research reports</li> <li>Editorial, curatorial, or community education projects</li> <li>Preparation of accreditation reports. (Development of narratives, explications, and analyses for a program area or specific standard)</li> </ul>
Engages in scholarship related to classroom based research – Scholarship of Teaching and Learning	<ul style="list-style-type: none"> <li>Mentors colleagues and/or students toward professional excellence</li> <li>Develops resources designed to advance the profession</li> </ul>	<ul style="list-style-type: none"> <li>Collaboration with students on extensive projects and research that involve-professional peer review.</li> <li>Development of software and other course materials (professionally disseminated)</li> <li>Articles on pedagogy or curriculum design</li> <li>Develop new materials to meet program requirements</li> </ul>
Engages in professional development activities	<ul style="list-style-type: none"> <li>Engages in advanced study enhancing teaching effectiveness, adding new areas of expertise, or to keep apprised of developments in the academic field</li> </ul>	<ul style="list-style-type: none"> <li>Unfunded grant applications (The individual must provide evidence that the grant was submitted and reviewed.)</li> <li>Articles submitted for review but not accepted for publication (The individual must provide evidence that the article was submitted and reviewed.)</li> <li>Attendance or completion of continuing education, conferences, workshops, symposia, or other specialized training programs</li> </ul>

**K.1.3 Criteria for the Evaluation of Service to the University and Profession.**

Service to the University, the College, one's program and department is an obligation of every faculty member. This service demonstrates the faculty member's commitment to the institution's integrity and governance and to the advancement of our institutional missions. All faculty members are required to make genuine contributions to institutional governance, through committees and otherwise; to participate in activities related to curriculum and program development and to engage in activities that benefit the profession. While quality and effectiveness of service are difficult to assess, the effort must nevertheless be made. At times the service expectations of faculty may be greater than other times, and service can appropriately be given substantial weight in the tenure evaluation process.

**K.1.3.1 Service to the University and Profession Criteria, Indicators, and Evidence.**

The following table identifies the key criteria, upon which candidates for tenure in the College of Education are to be evaluated in the category of Service. Candidates are required to meet every criterion. The expectation is that the cumulative record of the faculty member's service demonstrates a commitment to the University, the College, one's department and program during the probationary period involving the criteria listed. Both the quantity and quality of one's participation and leadership in service will be considered.

Criteria	Indicators	Evidence
<b>University Service</b> <ul style="list-style-type: none"> <li>Makes genuine contributions to program, department, college and/or university governance</li> <li>Participates in activities related to curriculum and program development</li> </ul>	<ul style="list-style-type: none"> <li>Holds membership on university, college or departmental standing committee, administrative committee, or ad hoc committees</li> <li>Takes on a leadership role or make a significant contribution to university, college or departmental standing committee, administrative committee, or ad hoc committees</li> <li>Participates in University, College, or program promotional/recruitment events</li> <li>Plans promotional/recruitment events</li> <li>Performs special responsibilities for colleges or other discipline-related agencies</li> <li>Performs special responsibilities such as administrative assignments</li> <li>Mentors colleagues toward professional excellence</li> <li>Provides leadership in obtaining approval or accreditation for new or modified educator preparation programs</li> <li>Assists in development and implementation of program assessment tools</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of active participation on university, college, and departmental committees</li> <li>Evidence of active participation in university, college, and departmental governance</li> <li>Evidence of leadership on university, college, and/or departmental committees</li> <li>Evidence of an award for service to the university or college</li> <li>Reports and evaluations of projects/advancement programs.</li> </ul>

Criterion	Indicators	Evidence
<b>Professional Service</b> <ul style="list-style-type: none"> <li>Demonstrates a commitment to professional integrity and advancement</li> </ul>	<ul style="list-style-type: none"> <li>Contributes to local, state, regional, national or international educational bodies</li> <li>Supports student organizations to advance educator preparation</li> <li>Participates actively in professional organizations at the local, state, national or international level.</li> <li>Provides leadership that focuses on establishing standards for educator preparation programs or on developing, approving, and accrediting educator preparation programs at the local, state, national or international level.</li> <li>Leads or actively contributes to the ongoing assessment of educator preparation courses or programs</li> <li>Performs professional services for school divisions in ways that do not involve presentations</li> <li>Serves on a state or local education advisory committee</li> <li>Serves on an accreditation team in leader or member roles</li> <li>Provides professional testimony at a public hearing</li> <li>Serves as an officer or member of a community educational/family organization such as ARC</li> <li>Obtains and manages a grant that supports educators</li> <li>Serves as a participant in a grant that supports educators</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of active participation in professional organizations</li> <li>Conference programs and proceedings indicating leadership activity</li> <li>Letters from colleagues describing professional service</li> <li>Evidence of support of student organizations</li> <li>Evidence of professional leadership in state and/or national professional associations directly related to areas of expertise and/or the good of the profession</li> <li>List of conference responsibilities performed</li> <li>Governing body membership list</li> <li>Award(s) or recognition for service</li> <li>Letters from school divisions describing service</li> <li>Letters of appreciation for service</li> <li>Copy of grant award letter and description of activity</li> </ul>

## K.2. PROMOTION AND TENURE COMMITTEE

### K.2.1 Membership.

The committee will consist of 5 members. There will be three members from the College of Education and two members external to the College, all five of whom must be tenured. All members will be elected by the faculty of the College of Education. At least one member of the committee shall hold the rank of full professor and all other members the rank of associate

professor or higher. Among the members elected from the College of Education, there shall be representatives from both departments; department chairs of the College of Education are not eligible to serve on the promotion and tenure committee. Members will serve staggered 3-year terms. In 2011-2012, there shall be one member from the College of Education elected for a 1-year term, one for a 2-year term, and one for a 3-year term. In 2011-2012 one of the external members shall be elected for a 2-year term, and the other external member for a 3-year term.

### **K.2.2 Election.**

At the beginning of the spring term, the College of Education Executive Committee solicits nominations for members for the Promotion and Tenure Committee from the faculty of the College of Education. Nominees will include internal and external members. Nominated faculty must accept nomination before their names are placed on the ballot. Nominations for the Promotion and Tenure Committee will be presented at the regularly scheduled March meeting of the College of Education faculty. The ballot shall be circulated according to the election calendar of the University, or at least one week before the April meeting when elections will be conducted. If there are more nominees than slots to fill on the committee, the election will be conducted on a confidential electronic ballot. For the 2011-2012 election, nominations shall be made separately for the 1-year, 2-year and 3-year terms. The election for the 3-year terms (both internal and external) will be conducted first, then for the 2-year terms (both internal and external), and then for the 1-year term (internal only). A candidate may be nominated for each of the slots and his or her name removed for subsequent elections if selected.

### **K.2.3 Duties of the Committee**

#### **K.2.3.1 Chair.**

The Committee shall annually elect from among its College of Education members a chair to serve a one-year term.

#### **K.2.3.2 Review Decisions.**

The committee shall review the promotion and tenure files of the faculty members who have met the eligibility criteria and have submitted their files for review. The review shall be conducted according to the procedures, criteria, standards and policies for promotion and tenure of the College and the University. The committee's recommendation for approval of a candidate for promotion or tenure requires a majority vote of the committee members. Candidates will not be ranked. (See section 7.5 below regarding expectations for participants in the process.)

#### **K.2.3.3 Report to Dean.**

Upon completion of the review, the Committee shall provide a written recommendation to the College of Education Dean for each candidate reviewed. A written rationale will accompany each recommendation, explaining the extent to which the College of Education promotion and/or tenure criteria have been met by each candidate based on the contents of the candidate's promotion or tenure file. In all other respects, the deliberations of the Committee

shall be held in strictest confidence. (See also section 5.6 below regarding review by the Promotion and Tenure Committee).

**K.2.3.4 Follow-up Meeting.**

Following his or her review of the candidates, the Dean, at his or her discretion, may call a meeting of the Promotion and Tenure Committee to discuss the reviews of the Dean and of the committee.

**K.3. ELIGIBILITY FOR TENURE**

The College of Education shall follow the University's eligibility requirements as specified in section 7 of the Faculty Handbook. Candidates for tenure in the College of Education must possess a doctorate degree, special competence, or a terminal degree appropriate to the teaching field.

**K.4. PROBATIONARY PERIOD AND PRE-TENURE REVIEW****K.4.1 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 section 4.2 below and other applicable University policies.

For faculty without a traditional probationary period who are transitioning from renewable contracts, 2011-2015, the timelines in the President's letter of August 20, 2010 and the Provost's memo entitled "Stafford Campus Faculty Contract Transition Process" shall be adhered to.

**K.4.2 Extension of the Probationary Period.**

A faculty member may request an extension in the probationary period under the following circumstances that would seriously impair the faculty member's capacity to build the record of accomplishment he/she judges appropriate for tenure review:

- a. Pregnancy, adoption or foster child placement;
- b. Significant responsibilities with respect to elder or dependent care obligations, disability, serious illness or circumstances beyond the control of the faculty member;
- c. Military service or obligations; or
- d. Legal concerns, including but not limited to the processing of divorce, custody deliberations or disputes, or civil suits.

This list of circumstances is not intended to be exhaustive, but instead is intended to be illustrative in nature.

**K.4.2.1 Leave of Absence.**

An unpaid leave of absence will not alter the probationary period unless a request for extension is approved.

**K.4.2.2 Request and Approval Process.**

The request will be submitted in writing, prior to or during the semester in question, to the Department Chair for review and recommendation to the Dean. The Dean will review the request and, if approved, forward the recommendation to the Provost for review/approval. If a request for extension of the probationary period is approved, the faculty member will enter into a written agreement which sets out the specific time period of the extension and which establishes the year of the faculty member's tenure review.

**K.4.2.3 Effect on Review for Tenure.**

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).

**K.4.3 Mentoring.**

During the probationary period, new faculty will have a tenured faculty member selected as a mentor who serves to provide positive career support and guidance about faculty matters. In the role of mentor, one does not serve as a formal evaluator of the new faculty member. However, mentors may serve on a Peer Review Team.

**K.4.3.1 Selection of Mentors**

Upon the appointment of a new full-time faculty member, the Associate Dean of Academic Programs, Assessment and Accreditation (ADAPAA), shall select a tenured faculty member to serve for one year as the **Orientation Mentor** for the new faculty. Selected Orientation Mentors will be notified in the spring of the year preceding the beginning of their mentorship. A selected mentor must accept or decline the appointment within two weeks of being selected. The decision to decline must be in writing with an explanation. The Orientation Mentor will serve as a resource for the new faculty member's first contract year as he/she becomes acclimated to the College and University, and the Mentor will provide assistance to that new faculty member in understanding and performing the new faculty member's teaching and advising responsibilities as listed in subsection 4.3.3 below.

Before the end of the first contract year, the new faculty member will select his or her **Tenure-Track Mentor** from among the tenured faculty in the College, who will serve as the new faculty member's mentor for the next two years until the new faculty member completes preparation of his or her pre-tenure review portfolio. A selected mentor must accept or decline the appointment within two weeks of being selected. The decision to decline must be in writing with an explanation. The Orientation Mentor may serve as the Tenure-Track Mentor if both the mentor and the new faculty member agree. Each selected Tenure-Track Mentor should be able to perform all the responsibilities listed in subsection 4.3.3 below.

The Associate Dean of Academic Programs, Assessment and Accreditation (ADAPAA) will ordinarily not serve as a mentor, as it is important for effective mentorship that the mentor not be responsible for annual evaluation of the faculty member. No faculty member should be



required to mentor more than one individual at a time. Selection as a mentor stands as strong recognition of a tenured faculty member's record, as well as being a service responsibility.

#### **K.4.3.2 Mentor Criteria**

- The mentor must be tenured
- The Orientation Mentor must commit to meeting with the new faculty member once per month during the his/her first academic year
- The Tenure-Track Mentor must commit to serving for the second and third years of the new faculty member's employment (i.e. until submission of his/her pre-tenure review portfolio) and to meeting with the new faculty member at least two times per semester during those two academic years.

#### **K.4.3.3 Mentor Responsibilities** These include, but are not limited to, the following:

- Serving as a resource to the new faculty member as he/she becomes acclimated to the College and University
- Assisting with advising
- Explaining the academic policies of the college and the requirements of the faculty member's program(s)
- Assisting in preparation of course syllabi, understanding of teaching responsibilities, and orientation to the Faculty Handbook
- Aiding the new faculty member in fostering relationships and networking opportunities within the College and University-wide
- Providing guidance on preparing effective documentation in the annual performance review process
- Advising the new faculty member regarding documents to keep and track for the promotion and tenure file
- Assisting the new faculty member in creating his/her pre-tenure review file and giving feedback about the file, in writing if requested, prior to submission

#### **K.4.4 Pre-tenure Review.**

During a candidate's third year of the probationary period, the candidate will submit a pre-tenure review file (excluding letters of recommendation) to a Pre-tenure Review Committee. This committee serves to provide feedback to the candidate on the file contents and presentation with regard to the College's criteria for tenure, and to advise the candidate about whether, in the judgment of the committee, the candidate is on track to be successfully reviewed for tenure at the end of the probationary period.

##### **K.4.4.1 Pre-tenure Review Committees.**

Each committee shall consist of the candidate's mentor and two additional members selected by the department chair.

##### **K.4.4.2 Pre-tenure Review Schedule.**

Pre-tenure review credentials files will be submitted to the committee by October 1 of the candidate's third year of the probationary period, and the committee will provide its feedback to the candidate by November 1 of the same year.

Transitioning faculty, 2011 to 2015, may submit a pre-tenure review file, or a file previously submitted for promotion, to a Pre-tenure Review Committee to receive feedback about whether, in the judgment of the committee, the candidate's file is adequate to be submitted to the Promotion and Tenure Committee, and to provide advice about how to update it. The committee shall consist of one senior faculty member appointed by the Dean in consultation with the candidate's department chair, and two members selected by the department chair from a list provided by the candidate. Pre-tenure review credentials files of transitioning faculty may be submitted to the committee at any time during the probationary period, upon approval of the dean. This must be done no later than March 15 of the year preceding the final year of probation (see Provost's memo entitled "Stafford Campus Faculty Contract Transition Process").

#### **K.5. STEPS IN THE TENURE REVIEW PROCESS**

The College of Education will adhere to the calendar determined by the Provost according to section 6.9 of the University Faculty Handbook. The dates below are given to provide a general timeline.

##### **K.5.1 Request for Review.**

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 by 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 department 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 renewable term contract without tenure.

##### **K.5.2 Letters of Recommendation.**

By June 1 candidates for tenure shall submit to their department chair a list from which to solicit letters of recommendation. This list shall include, but not be limited to, all tenured faculty in the department, and also three to five individuals who are faculty or professionals outside the College of Education. It is the department chair's responsibility to solicit a written evaluation and recommendation for or against tenure or a written statement of abstention from each tenured member of the candidate's department. In addition, the chair will solicit letters from other individuals on the candidate's list, including faculty or professionals outside the College of Education. All of the letters solicited shall be from individuals knowledgeable about the candidate's teaching, scholarship, professional development, and/or service. The department chair's request for letters of recommendation shall include the College of Education criteria for tenure. All persons asked to write letters of recommendation shall be informed that these documents will be accessible to the faculty member. The department chair

shall promptly provide the candidate with a list of those from whom letters have been requested. The deadline for receipt of letters is August 15. The department chair shall be responsible for transmitting these recommendations to the candidate for inclusion in the candidate's tenure credentials file. (See section 5.4 below.)

**K.5.3 Department Chair's Recommendation.**

By August 26, the department chair (or the appointee of the Dean, in the case of a department chair seeking tenure) 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 department chair shall submit the candidate's request for tenure, the department chair's recommendation and reasons for the recommendation, and all letters of recommendation to the candidate by August 31 for inclusion in the candidate's tenure credentials file.

**K.5.4. Tenure Credentials File.**

By August 31, each candidate for tenure shall prepare a tenure credentials file and submit it to the Dean's office. It shall be the responsibility of the faculty member to include all pertinent data he or she wishes to have included in the file, in addition to the required contents listed in section 6 below. For the remainder of the decision-making process, this file shall constitute the exclusive official written record of the procedure. The file shall be accessible only to the faculty member involved, the P&T Committee, the Dean, the Provost, the President, and the Board of Visitors. In case an appeal is submitted by the candidate, the associated appeals committee shall also have access to the candidate's tenure credentials file.

**K.5.5 Candidate's Access to File.**

From August 31 until the candidate's tenure credentials 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 from the candidate's tenure credentials file shall be inserted in the faculty member's University personnel file (see University Faculty Handbook, §3.12.4); materials submitted by the candidate shall be returned to him or her.

**K.5.6 Review by Promotion and Tenure Committee.**

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. The P&T Committee shall carefully review each tenure credentials file according to its duties listed in section 1.3, the criteria for tenure listed in section 1 above and the expectations for participants in the process listed in section 7 below. The recommendations and justifications of the committee shall be included in the appropriate credentials files and submitted to the Dean by January 5. Within one week (five working days), the Dean shall inform each candidate for 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.

#### **K.5.7 Appeal of Committee Decision.**

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. 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 COE 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 should be a member of the Promotion and Tenure Committee that rendered the tenure recommendation being appealed. 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 tenure file. All members serving on the TAAC shall be tenured. If there is no member of the COE Faculty Affairs Committee eligible to serve on the TAAC, then the COE Faculty Affairs Committee appoints a replacement member of the TAAC from among the eligible members of the COE faculty. 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. The TAAC, with access to all information about the candidate and the tenure criteria available to the original P&T Committee as well as the original Committee's recommendation and the candidate's letter of appeal, shall reconsider the recommendations of the original committee. The TAAC shall make its recommendation in writing to the dean within four working weeks. The dean shall inform the appellant of the TAAC's recommendation within two working days.

#### **K.5.8 Review by the Dean**

The Dean shall review all information and recommendations contained in each candidate's tenure credentials file, 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 the Dean's written recommendations will be sent to the faculty member, his or her department chair, and the Promotion and Tenure Committee.

##### **K.5.8.1 Factors in Consideration.**

When considering tenure decisions, the dean must consider each candidate's credentials according to criteria expressed in the University Faculty Handbook and the College of Education

Bylaws. 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.

**K.5.8.2 Appeal of Dean's Decision.**

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. (see §7.12.2.)

**K.5.9 Final Steps in the Tenure Review Process.** Procedures for review by the Provost, for appealing the Provost's decision, and for review by the President and Board of Visitors are spelled out in the University Faculty Handbook (see § 7.12.3 - 7.12.4).

**K.6. CONTENTS AND APPEARANCE OF PROMOTION OR TENURE CREDENTIALS FILE**

The tenure credentials file will cover the candidate's activities during the probationary period and the promotion credentials file will cover the candidate's activities since the previous promotion.

For faculty without a traditional probationary period who were reviewed for a promotion prior to the tenure application, the tenure credentials file may consist of the candidate's previous promotion credentials file updated to the date of the submission of the tenure credentials file.

**K.6.1 Table of Contents.**

The credentials file shall include a table of contents listing the following major sections of the file:

- 1) Official Communications in the Tenure Process
- 2) Faculty Data Sheet and Appointment/Promotion Letters
- 3) Faculty Annual Activity Reports
- 4) Annual Performance Reviews
- 5) *Curriculum Vitae*
- 6) Letters of Recommendation
- 7) Rationale Statement
- 8) Evidence in Support of Teaching Criteria
- 9) Evidence in Support of Scholarship and Professional Development Criteria
- 10) Evidence in Support of Service Criteria

**K.6.2 Official Communications in the Tenure or Promotion Process.**

The file shall include all communications and documents developed as part of the process arranged in reverse chronological order. The candidate's letter to the Dean requesting to be reviewed for tenure (see section 5.1 above) should be no longer than one paragraph, describing

the eligibility criteria that have been met (e.g., the completion of degree requirements). The Dean's response to this letter of request shall also be included.

For transitioning faculty, following the Dean's review conducted in 2010, the Dean shall provide a recommendation in writing to each transitioning faculty member stating the reasons for the recommendation, with a copy to the department chair. A copy of this recommendation shall be included in this section of the candidate's tenure credentials file.

### **K.6.3 Faculty Data Sheet and Appointment/Promotion Letters.**

The faculty data sheet provides information contained in the candidate's state personnel file (see University Faculty Handbook, §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 and countersigned by the candidate before it is inserted in the candidate's tenure credentials file. The faculty data sheet should be accompanied by the candidate's appointment letters during the probationary period and by the promotion letters, if any, received by the candidate; these letters should be arranged in reverse chronological order.

### **K.6.4 Faculty Annual Activity Reports (FAARs)**

Copies of these reports for each of the preceding years of the probationary period or the equivalent amount, (at least 5 years) should be included in reverse chronological order. Be sure these are signed.

### **K.6.5 Annual Performance Reviews (APRs)**

Include these for each of the preceding years of the probationary period, or the equivalent amount, (at least 5 years) in reverse chronological order. Be sure these are signed. If any are missing or late, make sure that the Department Chair/Dean addresses this in his or her letter.

### **K.6.6 Curriculum Vita**

The candidate's *curriculum vita* (CV) provides a detailed account of his or her career(s) and accomplishments. In order to provide uniformity, the CV should be organized in the following order, with individual items under each category presented with the most recent first:

- 1) **Professional Experience** listed by year(s), academic rank, and institution
- 2) **Education** listed by year(s), degree, field, granting institution; include dissertation title
- 3) **Honors, Grants, and Awards**
- 4) **Publications** with full bibliographic information and with reviews, editions, or collaborative work so indicated
- 5) **Publications in Progress**
- 6) **Scholarly and Professional Presentations** with title of presentation, identification of conference or audience, place, date
- 7) **Professional Memberships** with offices held and dates
- 8) **Subjects Taught**
- 9) **Committee Service**
- 10) **Community Service**

- 11) (Additional categories may be added here)
- 12) **References** (usually “Available on request”).

#### **K.6.7 Letters of Recommendation**

Section 5.2 provides requirements for the sources of the letters. The letters should come from diverse sources who can address different areas covered by the criteria for tenure. The letters should clearly substantiate specific claims in the candidate’s rationale (below). The Department Chair’s recommendation shall be included in this section (see section 5.3).

#### **K.6.8 Rationale Statement**

The candidate should explain as clearly, objectively and concisely as possible (in no more than ten pages) how he or she meets all the general and specific criteria for promotion or tenure based on activities during the period under review. In many instances, the explanation could be as short as a sentence. Discussion of performance in the areas of teaching, scholarship and professional development, and service to the University and profession will normally be fairly lengthy and should include references to specific documents in evidence of the criteria.

#### **K.6.9 Evidence in Support of Teaching Criteria**

Include a summary of student course evaluations during the probationary period. The summary should be in the form of a numeric table with descriptive explanation as needed. If you include student comments, provide a clear interpretation of them. Do not include all the individual pages. The inclusion of selected favorable student comments is unpersuasive. Because teaching is very difficult to evaluate, make a concerted effort to include other useful sources of information about quality of teaching. Include representative syllabi, peer observation reports (if any), teaching awards, representative curriculum development documents, evidence of student learning, and any involvement in programs focused on improving your teaching that are not included in the Scholarship and Professional Development category. Select examples which, with explanatory annotations if necessary, will help the committee understand what you are trying to accomplish in the classroom and how you go about it. Point out evidence related to meeting professional standards as appropriate. Demonstrate reflection and improvement of teaching over time. Provide commentary on student advising load and effectiveness

#### **K.6.10 Evidence in Support of Scholarship and Professional Development**

Include material representative of your achievements during the probationary period, with explanatory annotations as needed. It is sufficient to include 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. Describe electronic or digital products clearly, explaining what they do and how you designed them. Do not include books, videotapes, films, or computer programs. Brief contextualizing comments may accompany representative materials and documents.

#### **K.6.11 Evidence in Support of Service to the University and Profession**

Include material representative of your achievements during the probationary period, with explanatory annotations as needed. Brief contextualizing comments may accompany representative materials and documents.

#### **K.6.12 Physical Appearance of the File**

The amount of material should fit within a 3-ring binder no more than two inches thick. Avoid using plastic sleeves and folders with pockets. Number the pages in an organized fashion. Use section dividers. The committee prefers Times New Roman, font 12, with one-inch margins.

### **K.7. EXPECTATIONS FOR PARTICIPANTS IN THE PROMOTION AND TENURE PROCESS**

#### **K.7.1 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.

#### **K.7.2 Department Chair**

The department chair's letter should explain the candidate's role in the department. The department 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 department chair's letter should also explain the significance and quality of the candidate's professional activity. The department chair's letter should then give an honest summative evaluation of the candidate's work in all three areas. The committee asks for the department 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 APRs that the file contains. Finally, the department chair shall have verified the accuracy of all substantive claims in the candidate's *curriculum vita*.

#### **K.7.3 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.

#### **K.7.4 Colleagues in the Discipline**

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.

#### **K.7.5 Promotion and Tenure Committee**

The committee's duty is to evaluate each candidate individually and objectively based on the contents of the candidate's tenure or promotion credentials file (see additional duties in section 2.3 above). The evaluation of file contents should take into consideration both the quality and the quantity of a candidate's activities and achievements in each category, taking care to recognize significant variables in the candidate's duties. In no case is the Committee to



grant any credence to anonymous or informal claims about the candidate's performance. The following guidelines are to be followed in evaluating each section of the file:

**K.7.5.1 Official Communications in the Tenure Process.**

These documents verify that the candidate is eligible to seek promotion or tenure. They must be signed. If the documents do not support the candidate's eligibility, there should be no further evaluation of the credentials file.

**K.7.5.2 Faculty Data Sheet and Appointment/Promotion Letters.**

These documents verify the candidate's current rank as relevant to the promotion process. In the tenure review process, a candidate's appointment to or prior promotion to Associate Professor, along with any supporting evidence cited in the promotion letter, may be considered as positive factors in the recommendation to approve tenure. A candidate's prior promotion to Professor, along with the supporting evidence cited in the promotion letter, shall be considered as positive factors in the recommendation to approve tenure.

**K.7.5.3 Faculty Annual Activity Reports and Annual Performance Reviews.**

These documents summarize the activities the candidate was evaluated on during the period under review. Criteria for evaluation should be aligned with the criteria for promotion and tenure. For any years represented by these documents in which the criteria for evaluation are not aligned with the criteria for promotion and tenure, the Committee shall evaluate them based on the categories given in the evaluation forms. In other words, the Committee shall not attempt to re-calculate the candidate's prior evaluations based on changes in the categories since the time the FAARs and APRs were submitted. The candidate's overall evaluation ratings on the APRs may be considered in the review for promotion or tenure, but shall not carry more weight than evidence in any other section of the credentials file. The weighting of categories on FAARs and APRs should also be a factor in their evaluation, especially as they may represent assigned duties and responsibilities of the candidate.

**K.7.5.4 Curriculum Vita.**

The *curriculum vita* (CV) is a listing of professional activities over the candidate's career(s). Activities during the period under review will be supported by evidence in the file. The CV also gives evidence of the candidate's overall productivity over time; the Committee is to evaluate such productivity according to expectations stated in the criteria for promotion and tenure.

**K.7.5.5 Letters of Recommendation.**

The letters of recommendation should be considered as evidence in evaluating the candidate's recognition in his or her field. Because these are letters of recommendation available to the candidate, and not confidential evaluations of the candidate, they must be evaluated by the Committee in that context.

**K.7.5.6 Rationale Statement.**

The rationale statement is the candidate's opportunity to explain how he or she has met the criteria for tenure or promotion during the period under review. The candidate is not expected to mention every detail of his or her activity during this period in the Rationale; such detail is available to the Committee in the candidate's FAARs and CV. Therefore, the committee should not evaluate the Rationale in terms of comprehensiveness. However, the committee may consider factors relating to the accuracy of information in the Rationale Statement.

**K.7.5.7 Evidence in Support of Teaching Criteria.**

Candidates are expected to meet all criteria in the category of Teaching. The variety of courses taught, the number of preparations each semester, and the number of new and revised courses may be considered in evaluation of teaching, as these impact quality. Teaching of individual courses, such as field placement supervision, research, and individual study, should be included.

**K.7.5.8 Evidence in Support of Scholarship and Professional Development Criteria.**

Candidates are expected to demonstrate significant engagement in scholarship. The candidate's rationale should provide a context for the evidence included and reference supporting materials.

**K.7.5.9 Evidence in Support of Service Criteria.**

Much of a faculty member's institutional service is related to the needs of the different colleges or departments in which he or she works, and may vary greatly over time as reflected in the FAARs and APRs. The candidate's rationale statement should provide a context for any unusual demands.

**K.7.6 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.

**K.7.7 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.

## **K.8. PROMOTION**

### **K.8.1 General Policy and Academic Ranks**

The general promotion policy and academic ranks in the College of Education are the same as outlined in section 6.1 of the University Faculty Handbook. The College of Education also adheres to the University's policy on rank structure in section 6.3.4 of the Faculty Handbook. Procedures for compiling and evaluating the promotion credentials files are described in sections 6 and 7 above.

### **K.8.2 Eligibility**

The minimum requirements for promotion in the College of Education are the same as outlined in section 6.2 of the University Faculty handbook.

### **K.8.3 Individual Criteria for Promotion**

Faculty performance is evaluated in three areas of endeavor: teaching, scholarship and professional development, and service to the University and profession.

**K.8.3.1 Individual Criteria for Promotion to the Rank of Senior Lecturer.** Faculty in the ranks of renewable term contracts are expected to devote most attention to the category of teaching, but not to the exclusion of scholarship and service.

#### **K.8.3.1.1 Teaching.**

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. Candidates also fulfill assigned duties in academic advising. Similarly, the University recognizes the value of contributions to the curriculum, course improvement based on reflection on content and method, and development of new courses and/or programs.

#### **K.8.3.1.2 Scholarship and Professional Development.**

The candidate must 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.

#### **K.8.3.1.3 University and Professional Service.**

The candidate must demonstrate continuing and active participation on department, college and university committees, beyond attendance at meetings. Participation in curriculum and program development, as well as participation in service to the Profession outside the University is expected.

**K.8.3.2 Individual Criteria for Promotion to the Rank of Associate Professor.**

The candidate must demonstrate activities meeting the same criteria as for tenure (see section 1 above). Tenure is not automatically granted upon promotion to Associate Professor.

**K.8.3.2 Individual Criteria for Promotion to the Rank of Professor.**

The candidate must demonstrate continued activities demonstrating the criteria for tenure throughout the period since the promotion to Associate Professor, as well as demonstrating leadership in each category below.

**K.8.3.2.1 Teaching.**

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' recommendations, and quality of syllabi, assignments, and tests. Similarly, the University recognizes the value of contributions to the curriculum, course improvement based on reflection on content and method, and development of new courses and/or programs. The rank of Professor carries with it a recognition that the candidate has made significant value added contributions to teaching and student success in his or her field.

**K.8.3.2.2 Scholarship and Professional Development.**

The candidate must 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 rank of Professor carries with it a recognition that the candidate is highly regarded in his or her field and has maintained a continuing record of scholarship and professional development activities. Evidence supporting such recognition should appear in external letters of recommendation and from sources such as 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; or winning a grant.

**K.8.3.2.3 University and Professional Service.**

The candidate must demonstrate continuing and active participation on department, college and university committees, beyond attendance at meetings. Candidates also fulfill assigned duties in academic advising. Participation in curriculum and program development, as well as participation in service to the Profession outside the University is expected. The rank of Professor carries with it a recognition that the candidate has taken a leadership role in service during the period since the previous promotion.

**K.8.4 Promotion Procedures.**

The College of Education adheres to the promotion procedures stated in Appendix I, section 2 (I.2) of the University Faculty Handbook, and to the calendar as posted by the Provost's office.

# APPENDIX L

## RULES OF ORDER FOR MEETINGS OF THE UNIVERSITY FACULTY COUNCIL

University Faculty Council has established the following rules of order for conduct of its meetings.

**L.1 Meeting Rules** University Faculty Council meetings shall be conducted according to *Robert's Rules of Order, Newly Revised*, unless noted otherwise in these Rules of Order.

**L.2 Voting Privileges** Voting privileges extend to the elected members of the University Faculty Council.

**L.3 Quorum** A quorum for UFC meetings of record is a majority of voting members that includes at least one member from each member election category (CAS, COE, COB, At-large).

**L.4 Attendance** Attendance at University Faculty Council meetings is open to all faculty, administrators and students.

**L.5 Order of Business** The agenda of University Faculty Council meetings will be set by the Chairperson, with assistance provided by the Secretary. The agenda will be distributed to all members of the Council and all teaching faculty at least two working days before a scheduled meeting. The Chairperson may include additional items on the agenda after it has been distributed. The order of business in regularly scheduled meetings of the UFC will include the following: Call to order; reading of and approval of Minutes; Reports from President, Provost, Deans; Chair's report (e.g., from meetings w/ admin, other committees, groups); reports from University-level standing committees; Reports from UFC subcommittees/study groups; other unfinished business; other new business; announcements; adjournment. Written reports are preferred.

**L.6 Recognition by Chairperson** An individual may speak when recognized by the Chairperson. Unless more time is granted by the chair, visitors must conclude their remarks within 5 minutes.

**L.7 Motions from the Floor** Motions for consideration by the UFC shall be made from the floor by UFC members during regularly scheduled meetings. After being seconded, motions from the floor shall be discussed and considered unless or until the UFC Chair orders referral to a committee or the motion is tabled. Approval of motions from the floor shall be by a majority of those present and voting, upon determination that a quorum is present.

**L.8 Motions Recommended by Report** Standing committees of the University and *ex officio* members of the UFC may include recommended motions in their reports to the UFC (see §L.5).

In order for such recommended motions to be considered by the UFC, the motion must be made from the floor by a UFC member during a regularly scheduled UFC meeting. Debate and consideration of the motion shall follow the procedure in section L.7.

**L.9** Motions normal to the operations of organized groups but which are not central to the functions of the University (e.g., resolutions of sympathy, congratulations, etc.) may be acted upon immediately.

**L.10** Every motion shall be reduced to writing if any member of the UFC requires it.

**L.11 Proxy Voting** Proxy votes are allowable. The written designation of one's proxy must be given to the secretary of the University Faculty Council at the beginning of the meeting at which the vote is to be taken. The secretary of the UFC will indicate which member is holding the absent member's proxy at the opening of the meeting.

# UNIVERSITY *AD HOC* COMMITTEE NOTIFICATION FORM

**Date of Creation:**

(Note: the duration of the committee cannot exceed two years. *Faculty Handbook §2.4.4*)

**Name of the Committee:**

**Charge of the Committee:**

**Membership:**

**Reason for Formation** (e.g. UFC Chair ruling, motion by the UFC, etc.)

**Signature of *Ad Hoc* Committee/Convener**

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**Print Name**

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**Date**

*Send completed form to the Chair of the University Faculty Organization Committee*





# APPENDIX M

## RULES OF ORDER

### FOR GENERAL FACULTY MEETINGS

Except as otherwise provided in Section 2.1 of this *Handbook*, the following rules of order shall be observed in General Faculty meetings:

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

**M.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.

**M.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.

**M.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.

**M.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.

#### **M.6 Amending a Motion**

**M.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.

**M.6.2** The amendment or the substitute shall be debatable only when the main question is debatable.

**M.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.

**M.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.

**M.7 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.

**M.8 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)

**M.9 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.

**M.10 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.

**M.11 Voting**

**M.11.1** 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.

**M.11.2** Unless otherwise indicated in the rules of order, motions may be passed by a simple majority of those voting.

**M.11.3** 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.

**M.11.4** Any member may call for the number of abstentions after the taking of any vote.

**M.11.5** Secret balloting shall apply upon request.

**M.12 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.