

UNIVERSITY OF MARY WASHINGTON

University Faculty Handbook

APPROVED BY THE BOARD OF VISITORS

June 9, 2023

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 (§1.12). 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.

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 has a campus at Dahlgren in King George County to support specialized programs and training for military and contract personnel as well as community members in that area.

The University of Mary Washington is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) to award baccalaureate and master's degrees. The University of Mary Washington also may offer credentials such as certificates and diplomas at approved degree levels. Questions about the accreditation of the University of Mary Washington may be directed in writing to the Southern Association of Colleges and Schools Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097, by calling 404-679-4500, or by using information available on SACSCOC's website (www.sacscoc.org).

1.3 STATEMENT OF COMMUNITY VALUES

[As adopted by the Rector and Visitors of UMW, April 20, 2018.]

As a public, liberal arts university, the University of Mary Washington community is dedicated to providing a diverse, accepting, and supportive environment that holds all of its members to the highest standards of conduct, scholarship, integrity, inclusiveness, respect, and engagement.

SECTION 3 – FACULTY RIGHTS, RESPONSIBILITIES, AND POLICIES

Through a commitment to these values, we strive to transform our academic community into a place where all will learn, thrive, and grow. As faculty, staff, and students of the UMW community, we are committed to upholding these common values:

Accountability – we promote practices, behaviors, and attitudes where individuals take responsibility for their actions and decisions.

Scholarship – we promote intellectual inquiry by engaging ideas and one another in order to gain better understanding and contribute to knowledge.

Personal and Institutional Integrity – we are honorable in our academic and work endeavors as well as our interactions with others.

Inclusive Excellence – we strive for all members of the community to have equitable access to opportunities for participation and the resources necessary for success.

Respect and Civility – we foster an environment in which every individual is treated with dignity at all times by valuing the inherent worth of all identities, abilities, and differences.

Engagement – we develop engaged members of our community who actively participate in the community through responsible leadership and service.

We **ASPIRE** to live these values and work to support our collective and individual successes.

1.4 STATEMENT OF GUIDING PRINCIPLES ON DIVERSITY AND INCLUSION

[As adopted by the Rector and Visitors of UMW, April 20, 2018.]

UMW embraces its obligation to serve the educational aspirations of all communities and seeks to reflect the diversities of all people in its students, faculty, and staff. This philosophical approach to diversity and inclusion strengthens our community and is essential to our academic mission and institutional excellence. UMW is committed to its responsibility to be a model of fairness, inclusivity, equity, access and equal opportunity, providing intellectual and institutional leadership regarding diversity, and maintaining a welcoming, inclusive environment of mutual respect for its members of all backgrounds and identities. In keeping with these tenets, the University is committed to a system of responsibility, accountability, and recognition of all of its members, and seeks to carry out these principles of diversity and inclusion in all of its operations, 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 Title 23.1, §§23.1-1800 through 23.1-1803, 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

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 them 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 and Chief Financial Officer (CFO); Vice President for Advancement; Vice President for Student Affairs and Chief Student Affairs Officer (CSAO). Also reporting to the President are: the Chief of Staff and the Special Assistant to the President for University Events.

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1.7.2 Provost and Chief Academic Officer Serves as 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; University Registrar; Dean of Admissions; Dean for Academic Success and Integrity; Associate Provost for Institutional Analysis and Effectiveness; Associate Provost for Equity and Inclusion; Associate Provost for Career and Workforce; University Librarian; Director, Teaching Excellence and Innovation; Director, Center for International Education; Director, Center for Community Engagement; Director, Digital Learning Support; Director, Dahlgren Campus; and Executive Director, University Museums.

1.7.3 Vice President for Administration and Finance and Chief Financial Officer Serves as 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 Provides leadership in all areas related to University advancement and development, fund raising, alumni relationships and programming, and events management.

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 Student Health Center, counseling and psychological services, athletics, campus recreation, and the University Police.

1.8 ROLE OF COLLEGE DEANS The Deans of the Colleges 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 The University's policies on *Department Chair Responsibilities* and *Department Chair Compensation* provide full information on the 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. In some cases, chairs may be selected as a result of a national search designed to fill the department chair position with an external hire. 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. Work conducted over the summer by chairs, including First-Year Student Orientation, participation in Admissions and Alumni events, and strategic planning work is compensated separately and is negotiated with the School Director and the Dean.

1.9.2 Duties The implementation of academic programs is vested mainly in the academic departments, and the leadership and 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 (see §6), 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. Department chairs meet as a group with the dean when deemed 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 §6). 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).

1.9.4 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 their 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 (see §1.9.1). The department chair nominates the temporary chair replacement, subject to the approval of the College Dean, the Provost, and the President. 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.

.2 In the event of an emergency leave of absence or a sick leave that would interfere with the chair being able to exercise their expected duties, the College Dean will request that the department nominate a person to serve as acting chair until the chair is able to return to duty. The acting chair should meet the qualifications required for serving as a department chair (see §1.9.1). 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.

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.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. Upon the resignation of a department chair appointment, a new department chair will be appointed following the provisions in §1.9.1.

.4 In the unusual event that a department chair's performance requires that they 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 President. 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. Upon the termination of a department chair appointment, a new department chair will be appointed following the provisions in §1.9.1

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. Their 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 majority vote.

1.10.2 Department Committees 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.

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 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 should reference the *Handbook for Administrative/Professional Faculty, Classified and Wage Employees*.

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. The current version of the *Faculty Handbook* is published electronically 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/>

1.11.2 The Faculty Handbook and terms of employment The faculty member's most recent appointment 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 may 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 §§2.1.6, 2.3.2.4 and 2.3.2.6.

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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.

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 University of Mary Washington degrees. Administrative and professional faculty are those individuals holding academic rank who are appointed by the President to perform administrative and support functions. This *Faculty Handbook* applies exclusively to instructional faculty, and all references to faculty in the *Handbook* indicate instructional faculty. (A separate handbook applies only to administrative and professional faculty.)

2.1.2 Provisions for General Faculty Meetings The entire body of the meeting of the general faculty shall be a Committee of the Whole. 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 at any general faculty meeting, including special and emergency meetings. A smaller number may only adjourn.

2.1.3 Voting Privileges at Meetings of the General Faculty Other members of the general faculty may attend faculty meetings, and the privilege of the floor is extended to them as well 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 also 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.

2.1.4 General Procedures for Meetings of the General Faculty Meetings of the General Faculty shall be conducted according to the rules of order in Appendix M. The Provost shall 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, which may involve overruling or reconsidering UFC actions occurring during the academic year; and (2) to approve degree candidates for graduation. With respect to the first 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 when so required may be brought up for reconsideration and approved by a simple majority vote of full-time, instructional faculty. (See also §§1.11.1, 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

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included in the applicable agenda packet, in order to give all faculty members equal opportunity to attend the meeting and vote.

2.1.5 Regular Meetings of the General Faculty General faculty meetings will be held twice annually: in August at the beginning of the academic year, and in April at the end of the academic year. Attendance is a professional obligation of all members of the full-time instructional faculty, who also have the right to speak and vote in these meetings.

2.1.6 Special General Faculty Meetings Special general faculty meetings may be called by the President of the University, the Provost, or by a faculty petition; at least three days' notice in writing shall always be given. To call a special general faculty meeting through the submission of a petition, signatures of at least ten members of the faculty above the rank of instructor are required. These faculty members must represent each of the University's colleges and must come from at least five distinct departments. Any action of the University Faculty Council may be debated at such meeting, subject to the requirements contained in Appendix M. The rulings of the general faculty at these meetings will be final, subject to approval by the Board of Visitors.

2.1.7 Emergency General Faculty Meetings Emergency general faculty meetings may be called by the President of the University or the Provost 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.

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 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 in §2.2.1, 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, time limitations, 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 Southern Association of Colleges and Schools Commission on Colleges, 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, they cannot escape responsibility as the Board of Visitors holds them accountable for the overall 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, they will communicate the reasons for such action to the University Faculty Council either at the next University Faculty Council meeting or earlier by e-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 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:

- .1 Serve as the policy-review body on university-level matters related to curriculum, faculty affairs and welfare, support services, and student affairs; and to discharge the responsibilities of the faculty in matters of university-wide concern, consistent with the authority of the faculty as stated in §2.2.1.
- .2 Communicate regularly with all constituencies of the faculty in order to have a clear university-level perspective on issues of interest and significance to the faculty.
- .3 Advise and communicate with the President, Provost, and Board of Visitors regarding the interests of the faculty and other matters of university-wide importance.

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.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 §1.12 and incorporated into the *Faculty Handbook* once all necessary approvals are obtained. Any changes to §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.

.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.

.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 §2.2.1. Proposals for new university-wide standing committees, or elimination of current standing committees, must be developed in consultation with each college's governing bodies. Such proposals must be 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). Faculty advisory committees may be created or eliminated by a majority UFC vote. The university-level committee structure is outlined in §§2.4 – 2.7.

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

.8 Appoint two UMW representatives to the Faculty Senate of Virginia. The UFC Chair, or their designee, will serve as one of the UMW representatives; the other representative can be a UFC member or a member of the full-time instructional faculty.

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 (biological science, chemistry/physics, computer science, Earth/environmental sciences, mathematics, or health/physical education/recreation), three (3) faculty elected from the social sciences (economics, geography, history/American studies, historic preservation, political science/international affairs, psychological science, or sociology/anthropology), and three (3) faculty elected from the arts and humanities (art/art history, classics/philosophy/religion, communication/digital studies, English/linguistics, 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, one staff representative selected by the Staff Advisory Council, one faculty representative from the College of Arts & Science department chairs, and one student representative selected by the Student Government Association serve as non-voting 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 commencement of service.

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 (UFOC).

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 ten 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 thirty days of elections and prior to the last day of class of in the Spring semester. A quorum of the newly-constituted committee should be present, and only those individuals who will serve on UFC the following year may vote for officers. Whenever practical, the officers should represent different colleges of the University. Officers officially commence their roles on August 16.

2.3.5.1 UFC Chair The Chair of the UFC should be a tenured member of the instructional faculty. The Chair is responsible for preparing the agenda for UFC meetings, presiding over the meetings, and representing the faculty at meetings of the Board of Visitors. The UFC Chair shall receive a workload reduction each semester during their term of one (1) course release or the equivalent, as 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. The Vice Chair is responsible for serving as Chair in the absence of the Chair. Ideally, the UFC Vice Chair would be elected for their first year of UFC service to serve as Vice Chair, Chair, and Past Chair within a three-year term.

2.3.5.3 UFC Past Chair The previous year's UFC Chair will serve as the Past Chair for the year following their year as UFC Chair. If the previous year's UFC Chair was in the last year of their elected term, then their term will be extended by one year in order for them to serve as UFC Past Chair the following year. In such cases, UFOC should be cognizant of balancing staggered terms of other members of the UFC Past Chair's unit with the UFC Past Chair's extended term.

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2.3.5.4 UFC Secretary The Secretary is responsible for taking the minutes of each meeting, which are to be posted on the UFC webpage and distributed to the University faculty after being approved by the UFC. The Secretary also compiles a list of all actions taken by the UFC in the current academic year to be approved at the April general faculty meeting.

2.3.5.5 UFC Parliamentarian The Parliamentarian will assist the UFC Chair with management of UFC meetings through application of *Robert's Rules of Order* and general UFC rules of order set forth in Appendix L.

2.3.5.6 UFC Executive Committee The UFC Executive Committee should consist of the five UFC officers: UFC Chair, Vice Chair, Past Chair, Secretary, and Parliamentarian. The UFC Executive Committee will represent the faculty in meetings with the President's Leadership Council and upon invitation with the Executive Committee of the Board of Visitors. The UFC Executive Committee will meet in support of the UFC Chair as meetings are planned and issues arise that require faculty governance review and input outside of normal UFC meetings.

2.3.6 UFC Meetings Meetings of the UFC are held and conducted according to the rules of order in Appendix L. Meetings of record of the UFC are held at least once a month between August and April (though typically not in December) 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 at least three 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 in 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, presidential councils, and boards (see sections §§2.4.4-2.4.7). Serving 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 committees are composed of members representing each college (when relevant and appropriate) and at-large members representing the entire University. Members representing each college will be selected by procedures determined by the faculty of the respective colleges. Election or appointment of the at-large faculty members of these committees is scheduled by the UFC as specified in §§2.5. A faculty member may not be appointed or elected as an at-large representative to more than one standing committee

concurrently. As specified in their charges (§§2.6 and 2.7), standing and faculty advisory committees may include ex officio members and/or student members. Voting privileges do not extend to any ex officio or student members of these committees. 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, 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. New officers officially commence their roles on August 16.

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 §2.2.1 and to carry out their duties as defined in §§2.6 and 2.7. 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 (§2.2.4), 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 with 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 each semester's meetings no later than the end of the first week of classes. Each committee's meeting schedule must be published and communicated to all faculty by posting of the meeting dates on the committee's webpage. 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 and published to the committee's webpage. 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

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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 most 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 ten 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 requested by the UFC chair, a committee's chair shall also present an oral report to the UFC. Unless otherwise specified in §§2.6 or 2.7, 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. Minutes and reports posted to the committee pages on the University Faculty Governance website are automatically archived at the end of each fiscal year by University Archives. 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 or other University advisory committee. The authority and responsibilities of ad hoc committees are defined by the action or ruling that established them. Such committees expire upon the fulfillment of their charge and 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 or other University advisory 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 or other University 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 UFC appoints committee members or delegates this responsibility to UFOC. If an election process is employed to form an ad hoc committee, the existing time limits for these elections may be shortened to two business days for nominations and three business days from the time the faculty receive the ballots until the election ends. 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 M) for posting on the University Faculty Council 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

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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 Presidential Councils A presidential council is a group which advises the President. Presidential councils are established by the President and may be terminated by the President. The authority of a presidential council does not duplicate or supersede that of faculty committees. Presidential 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 UNIVERSITY STANDING AND FACULTY ADVISORY COMMITTEES Members of University standing faculty committees are either appointed or elected following the criteria for committee membership stated in §2.6, and members of faculty advisory committees are appointed following the criteria for committee membership stated in §2.7. All members of University standing and faculty advisory committees serve staggered three-year terms beginning the fall after appointment or election and are not eligible for reappointment or re-election to the same committee for two academic years following a term of service. A faculty member may not be appointed or elected as an at-large representative to more than one standing committee concurrently. Additionally, faculty may not serve on more than one faculty advisory committee concurrently.

2.5.1 Appointment of Members to University Standing and Faculty Advisory Committees All appointments of faculty to University standing and faculty advisory committees are coordinated by the University Faculty Organization Committee, following the criteria for committee membership stated in §§2.6 and 2.7. The *at-large members* of committees, unless elected (see §2.5.2), are appointed by the University Faculty Organization Committee during or prior to its regularly scheduled meeting in April of each year and announced to the faculty by the UFOC Chair prior to the final day of classes in the Spring semester. 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 requests nominations from the faculty to ascertain their preferences for possible appointment to standing and faculty advisory committees. In addition to these nominations and the membership requirements specified in §§2.6 and 2.7, 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.

2.5.1.1 Student Appointments to Standing and Faculty Advisory Committees Students serve as non-voting members on one standing committee: the University Academic Affairs Committee. They are appointed by the UFOC after being nominated by the President of the Student Government Association and confirmed by the UMW President. Student members are appointed to several advisory committees, with the number to be appointed specified in the statements of committee membership as found in §2.7. These students are non-voting members who are appointed by the UFOC after being nominated by the President of the Student Government Association and confirmed by the UMW President,

with one exception: the student representative on the BLS Committee is appointed by the UFOC on the recommendation of the Director of the BLS Program.

2.5.2 Election of Members to Standing Committees 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 §2.6. 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 §2.6.6 and the criteria for committee membership stated in §2.6. 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 §§2.4 and 2.4.1. 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.

2.5.2.2 Procedures for Committee Elections Once nominations close, the UFOC distributes ballots to all full-time instructional 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 and Faculty Advisory Committees If a faculty member is unable to serve part of a term on a committee (due to such factors as academic leave or illness), a temporary replacement is elected or appointed for the duration of their absence. 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 §§2.5.1 or 2.5.2, respectively. 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 their return, the absentee faculty member completes their original term. Service as a temporary replacement member of a standing or faculty advisory 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

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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 non-voting ex officio members or their designees: the Provost, Dean of Admissions, the Registrar, and the Provost (or their designee). In addition, two students nominated by the President of the Student Government Association and confirmed by the UMW President serve as non-voting 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, disability 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 non-voting ex officio members or their designees: the Provost, the Registrar, and the Associate Provost for Institutional Analysis and Effectiveness. 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 Associate 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. 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 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, which may include recommendations concerning workload distribution, academic leave, compensation, and employee benefits;
- .6 Conduct formal investigations of allegations of violations of University policy by a faculty member (see §4.4); allegations of incompetence, neglect of duty, or misconduct by a faculty member (see §4.6); allegations of academic misconduct in scholarly activity or research by a faculty member (see §4.8); and termination of an appointment for medical reasons (see §4.9); and
- .7 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. 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

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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 §§4.1-4.3). Additionally, hear evidence and make recommendations regarding faculty grievances, as defined in §5.8, though this committee will not hear grievances defined in §5.8.3 as non-grievable;
- .2 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.);
- .3 Serve as the academic freedom committee in cases involving faculty members, as specified in Appendix C.2; and
- .4 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 six faculty members, two from each college selected according to the procedure determined by each college. The committee's duties are to:

- .1 Coordinate elections of at-large members to university-level committees;
- .2 Oversee appointments to university-level committees, ensuring appropriate representation of each college;
- .3 Consult with administrators and program directors regarding formation and elimination 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 Review and recommend for University Faculty Council action proposals for new faculty committees and for any changes in the university-level committee structure; and
- .6 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. Experience with the general education program is a factor when making appointments to this committee. The committee also includes the following non-voting ex officio members or their designees: the Provost, Dean of Admissions, and the Associate 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 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;
- .7 Review applications for general education designations for transfer courses, including equivalencies for AP, IB, CLEP, and other courses of study; and
- .8 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 from the College of Business, one from the College of Education, and three from the College of Arts and Sciences (CAS) as follows: one (1) from the health and STEM disciplines (biological science, chemistry, computer science, Earth/environmental sciences, mathematics, physics, or health/physical education/recreation); one (1) from the social sciences (economics, geography, history/American studies, historic preservation, political science/international affairs, psychological sciences, or sociology/anthropology); and one (1) from the arts and humanities (art/art history, classics/philosophy/religion, English/linguistics/communication, modern languages/literatures, music, or theater/dance) disciplines. CAS faculty elect members of their own division. The committee also includes the Director of the Center for Teaching as a non-voting 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 which Waple Professorship applications (as sent forward to the Provost from the deans) should be awarded funding;
- .3 Recommend to the Provost the faculty members who should receive the Grellet C. Simpson Award, the Graduate Faculty Award, the Outstanding Young Faculty Award, the Waple Faculty Professional Achievement Award, and the Topher Bill Service Award;
- .4 Review applications for other awards, including the Board of Visitors Faculty Leadership Award and UMW's nominees for the SCHEV Outstanding Faculty Award, and forward materials to appropriate decision-making bodies as needed;
- .5 Study and recommend to the University Faculty Council and the Provost, as appropriate,

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changes in policies, application procedures, and evaluation criteria to be applied concerning university-wide faculty development grants, sabbaticals, Jepson Fellowships, Waple Professorships, and UMW faculty awards; and

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

2.7 MEMBERSHIP AND DUTIES OF FACULTY ADVISORY COMMITTEES

2.7.1 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. 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.

2.7.2 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 University 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, three non-voting representatives from the University Staff Council, and one non-voting representative from the Student Government Association; these individuals shall be selected by their respective groups, with the student member nominated by the President of the Student Government Association and confirmed by the UMW President. 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) and the Vice President for Advancement and University Relations 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 the beginning of December 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.

2.7.3 Distance and Blended Learning Committee The committee consists of five appointed faculty members and the following non-voting ex officio members or their designees: the Chief Information Officer, the Vice President for Student Affairs, the University Librarian, the Director of Digital Learning Support, and the Director of the Center for Teaching. 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 be offered in a majority online format; and

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

2.7.4 First Year Seminar Committee The committee consists of five appointed faculty members and a non-voting ex officio member: the Director of the First Year Experience. 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 procedure and deadlines for proposing courses for the First Year Seminar designation; and

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

2.7.5 Honors Program Committee The committee consists of five appointed faculty members and the following ex officio members: the Director and Associate Directors of the Honors Program and the Honors Program Coordinator. 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 requirements;

.2 Work with Honors Program staff to review and update the Honors Program curriculum and to identify areas of need in curricular offerings; review at its discretion the frequency of offering and general relevance of Honors Program courses and make recommendations for changes as appropriate;

.3 Work with colleges and departments to encourage development of HN-designated courses in those areas;

.4 Make information available regarding the procedure and deadlines for proposing courses for the Honors designation;

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

.6 Review and approve or reject student applications and appeals, including appeals for exceptions to the Honors Program curriculum; Honors transfer coursework proposals; and Honors Senior Capstone projects;

.7 Review and approve or reject applications for Track B admissions to the Honors Program (students who have completed less than two UMW semesters with at least a 3.2 GPA);

.8 Review and endorse student candidates for Honors-specific recognitions at the regional and national level;

.9 As needed, stand in for Honors Program staff at Admissions events, UFC meetings, or other University events; and

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

2.7.6 James Farmer Multicultural Center Advisory Committee The committee consists of five appointed faculty members and the following non-voting ex officio members: the Director of the James Farmer Multicultural Center and a staff representative appointed by the University Staff Council. In addition, two students nominated by the President of the Student Government Association and confirmed by the UMW President serve as non-voting 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 to enhance the intersection of coursework, student programming, and community involvement;

.5 Communicate Multicultural Center programming and policy decisions to faculty via the UFC, and convey 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.

2.7.7 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. 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 Weekly Ringer. The committee's duties are to:

.1 Advise the Faculty Advisor on editorial policies for the Weekly Ringer, 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 Weekly Ringer;

.3 Convene, at the request of the Faculty Advisor for the Weekly Ringer, 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.

2.7.8 Speaking Intensive Committee The committee consists of five appointed faculty members and the Faculty Director of the Speaking Intensive Program, who is also a voting member and therefore eligible to serve as chair. The committee also includes, as a non-voting ex officio member, the Director of the Speaking and Writing Center. 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;

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- .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 for the speaking intensive designation; and
- .5 Perform other duties consistent with its charge as assigned by the University Faculty Council.

2.7.9 Student Affairs and Campus Life Advisory Committee The committee consists of five appointed faculty members and a non-voting ex officio member: the Vice President for Student Affairs (or their designee). In addition, two students nominated by the President of the Student Government Association and confirmed by the UMW President to represent the Fredericksburg and Stafford Campuses, respectively, serve as non-voting members. 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 Students 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 aspects of campus life that could enhance students' educational experiences, such as construction and renovation of buildings;
- .2 Communicate student affairs and campus life decisions to the faculty via the University Faculty Council and the governing bodies of the colleges and convey faculty concerns and ideas back to the Vice President for Student Affairs and the Associate Vice President and Dean of Students; and
- .3 Perform other duties consistent with its charge as assigned by the University Faculty Council.

2.7.10 Writing Intensive Committee The committee consists of five appointed faculty members and a non-voting ex officio member: the Director of the Speaking and Writing Center. 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

for the writing intensive designation; and

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

2.7.11 Digital Intensive Committee The committee consists of three appointed faculty members and the following non-voting ex officio members or their designees: the University Librarian and the Director of Digital Learning Support. 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 digital intensive Across-the-Curriculum requirement;

.2 Review and approve or reject proposals from the various departments for courses to be designated digital 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 for the digital intensive designation;

.5 Review and coordinate support for digital coursework and pedagogy with the relevant centers and support units; and

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

2.8 COLLEGE GOVERNANCE

2.8.1 Structure Each college of the University shall determine the specific structure and membership of its governance bodies. The college faculty, college 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.

2.8.2 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:

2.8.2.1 Operate in a democratic manner and in accordance with the best traditions of the

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academic profession;

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

2.8.2.3 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;

2.8.2.4 Hold meetings that follow an agenda distributed in advance; and

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

2.8.3 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 presiding officers 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. Upon initial appointment and at any change in rank or salary, an appointment letter is sent to the faculty member by the Provost, confirming their appointments for the upcoming year. By signing, dating, and returning the appointment letter to the Office of Human Resources (OHR), a faculty member indicates acceptance of the appointment and thereby establishes their employment contract with the University for the ensuing academic year.

3.1.1 Tenured Tenured faculty have attained that status as the result of appropriate action by the Board of Visitors (BOV) upon the recommendation of the President. Tenured faculty are assured continued reappointment by the BOV, year after year, except in the case of bona fide financial exigency on the part of the University or discontinuance of program, department, or college of instruction (see §§4.1-4.2). Tenured faculty 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. Ordinarily, a newly-appointed tenure-track 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 the remaining probationary period prior to the tenure decision. If an extension of the probationary period is approved (§3.15), at the conclusion of the existing appointment period, a new appointment letter will be issued for the appropriate period until the next scheduled review. 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. If, in the judgment of the chair and the dean, normal reappointment is not warranted (see §4.3), reappointment for less than the normal period may be recommended to the Provost. The Provost will then make recommendations on all tenure-track faculty appointments to the President. 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 not tenure-track appointments and 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.

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

3.1.4.1 Full-time Full-time limited term appointments are not tenure-track appointments for full-time faculty in any of the visiting ranks (see §3.4). Terms may be for as short a period as one academic semester or for as long as three years, as specified in §3.4.

Ordinarily, time served in any of these full-time visiting 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 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 cannot be for 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 adjunct faculty teaching less than a full (twelve credit hours per semester) teaching load (see §5.4.2). Part-time term appointments are made for a semester only, are not tenure-track, 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 tenure-track faculty position.

3.1.4.3 Summer Session Contracts Summer courses must meet curricular needs and minimal enrollment criteria to be offered. Summer teaching for faculty on nine-month appointments is optional and may not be required of a faculty member. Full-time faculty members on nine-month appointments who teach summer session courses are paid on a per credit hour basis in accordance with the *Summer Session Teaching Compensation Policy* 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 their summer session contract. 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.

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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. Full-time faculty members who are resigning or retiring, and whose appointments will end prior to the start of the summer session; full-time faculty desiring to teach in the summer session occurring before the start of their first appointment with UMW; and adjunct faculty hired for summer teaching will be paid for summer teaching according to the established *Adjunct Salary Matrix* (available on the Provost's website).

3.1.4.4. Overload Contracts Full-time faculty assigned to teach courses in excess of the maximum teaching load (see §5.4.2, Teaching Load) will receive a letter specifying the teaching assignment, the length of the overload assignment period, and the compensation. As outlined in the *University Faculty Overload Teaching Policy*, overload teaching assignments must be approved by the college 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 their 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 based on performance to date) are for three years. There is no limit to 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. 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 to 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) 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 §3.14, 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 notice of non-reappointment as provided for tenure-track faculty in §3.18.2. If being dismissed for cause, they are entitled to the due-process provisions of §4. 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); Visiting Assistant Professor, Visiting Associate Professor, or 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

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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 they 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 §7), they 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 instructional faculty, and this *Faculty Handbook* does not apply to them. Similarly, instructional faculty are not considered administrative or professional faculty personnel and are not subject to the provisions set forth in the *UMW Employee Handbook for Administrative/Professional Faculty, Classified and Wage Employees*.

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 *UMW Employee Handbook for Administrative/Professional Faculty, Classified and Wage 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, assisting in education courses as a master teacher, or working as an assistant coach for an athletic team. These persons are not instructional faculty members, and this *Faculty Handbook* does not apply to them.

3.7 SPECIAL FACULTY APPOINTMENTS

3.7.1 Graduate Faculty 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. 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 their field and evidence of successful teaching. The listing of the

graduate faculty is included in the *Graduate Academic Catalog*.

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 these supervision duties to be fulfilled will be outlined in the appointment letter.

3.8 FACULTY WITH SPECIAL ASSIGNMENTS On occasion, the University will have a need for a faculty member to serve in an additional role such as a director of an organization or center or in another administrative capacity. The University typically offers an additional stipend and/or course release time in exchange for faculty serving in these special assignment roles. All special assignments require a contract between the University and the faculty member documenting the responsibilities, length of the position, expected time commitment, identity of the person with immediate supervisory responsibility, and compensation of the position.

.1 Faculty should discuss their plans for how to manage the increased time commitment with their supervisor before accepting any special assignment. Faculty must notify their department chair before accepting any special assignment.

.2 Generally, special assignments constitute service to the University and will be included in the service category for annual reviews.

.3 Faculty with a special assignment who have a reduced teaching load are considered to have a full teaching load for the purposes of annual evaluations; consideration for sabbaticals, fellowships, and awards; and tenure and promotion. Even if teaching a reduced load, faculty must still demonstrate evidence of teaching effectiveness.

.4 Scholarly and professional contributions derived from the special assignment activity (such as journal publications, conference presentations, etc.) should be considered professional activity. However, it is still the responsibility of each department and college to determine expectations and appropriate credit for this type of activity.

3.9 FACULTY SEARCH PROCEDURES

The process for searching for full-time, non-temporary appointments in academic departments is outlined in detail in the *Faculty Search Procedures* document (available from the Office of Human Resources). Temporary positions that are limited contract, such as visiting positions and adjunct faculty, may be filled without a full search. 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, veteran status, 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.

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3.10 FACULTY APPOINTMENT PROCEDURES

3.10.1 Letter of First Appointment When a candidate verbally accepts an offer, the dean informs the Provost, and an appointment letter is sent from the Provost's Office following approval of the appointment by the Board of Visitors at its next regular meeting. 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 §§7.7.2 and 7.7.3), the letter will acknowledge that and specify the length of the probationary period. The letter will include information about accessing the current *Faculty Handbook*, which details all policies and procedures governing evaluation, reappointment, termination, and tenure. By signing and returning a copy of this letter of first appointment to the Office of Human Resources (OHR), the individual indicates acceptance of the offer of employment and thereby establishes a contract with the University.

3.10.2 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 in the same unit with the same qualifications. In any given year, salaries for newly hired faculty members in the same unit 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 chair. 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.

3.11 ORIENTATION FOR NEW FULL-TIME FACULTY New faculty, upon reporting for work, must meet with OHR for an 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.

3.12 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, scholarships, fellowships, awards, 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 their 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 their 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 the Code of Virginia page.

.3 Outside employment and involvement in consensual amorous relationships potentially create additional conflict of interest difficulties. For additional information, see §§5.6.2 and 5.3.5.3.

.4 Any employee 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 it. Subsequently, should such member become elected to such office, they will ask the President to recommend that the Board of Visitors grant them a leave of absence from the University, without salary, for a period of time mutually agreed upon by the President and the employee who holds academic rank.

3.13 PERSONNEL RECORDS

3.13.1 Pre-employment Dossiers The completed application dossier of the appointed candidate is stored electronically by the OHR as part of the official state personnel file (§3.13.2.1). The Curriculum Vitae and official transcript of all candidates 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 (§3.13.2.2). 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 to UMW online) must be maintained by the department for three years and then destroyed.

3.13.2 Personnel Files Two official personnel files are maintained for each member of the faculty. One, the state personnel file, is maintained by the OHR and is primarily a record of the

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individual's employment and salary history. The second, 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 faculty member. These files are open for examination by the faculty member.

3.13.2.1 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 assignments.

3.13.2.2 University Personnel File The University personnel file usually contains but is not necessarily limited to: the documents cited above; all performance evaluations and accompanying documentation (these 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, letters of exception, conference summary statements, among other forms of evaluative documentation); all formal correspondence between the University and the faculty member regarding leaves, duties, special assignments, 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.

3.13.3 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 Director of Human Resources (or designee), Provost (or designee), and the President (or designee). No one else may examine a faculty member's personnel 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).

3.13.4 Grievance File Grievance proceedings documents are maintained in a special, secure grievance file (see §5.8).

3.13.5 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.)

3.13.6 Personal Files Faculty members are advised 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
- supporting documents such as student evaluations, research reports, papers presented, articles published, etc.

3.13.7 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.

3.14 FACULTY LEAVE POLICIES University policies for faculty leave for faculty not under the Virginia Sickness and Disability Program (VSDP) are outlined below. Faculty members under the VSDP should contact the Office of Human Resources for information regarding sick leave (including medical conditions resulting from pregnancy and delivery), family sick leave, and short-term and long-term disability.

3.14.1 Sick Leave The sick leave policy provides each tenured or nontenured full-time teaching faculty member disabled due to illness, injury, medical procedures, or medical conditions resulting from pregnancy and delivery with full pay and benefits for up to six months but not to exceed the faculty member's annual salary. Sick leave benefits for a non-tenured, full-time, teaching faculty member shall be limited to the length of their contract if the contract expires before six months. If any full-time teaching faculty member is unable to return to work at the end of the six-month period, they would be covered under the University's disability leave policy. If a faculty member's absences are not expected to exceed ten business days, the department chair (or associate dean in the Colleges of Business or Education) shall ask colleagues in the department to cover the courses of the absent faculty member. If the faculty member's absences exceed ten business days, the chair (or associate dean) 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 business 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.

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3.14.1.1 Application for Sick Leave To request sick leave beyond the ten-class day period, a faculty member must present to their chair (or associate dean in the Colleges of Business or Education) a written statement from the attending physician stating that they, as a result of illness, injury, medical procedures, or medical conditions resulting from pregnancy and delivery, are unable to perform their full-time teaching responsibilities with an estimate of the period of incapacitation. The chair or associate dean immediately shall forward the request and physician's statement to the dean. The dean shall inform the Provost and the faculty member of their 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 they are capable of resuming their professional duties. If the faculty member's request for sick leave is denied, they may appeal the decision through the Faculty Grievance Policy and Procedure (see §5.8).

3.14.1.2 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 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). 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.

3.14.2 Disability Leave If a full-time teaching faculty member's absence extends beyond the six months of sick leave, they will be considered for: (a) short-term disability, covered under a short-term disability leave policy provided by the University or by the Virginia Sickness and Disability Program (VSDP), whichever may apply; or (b) permanent disability, covered by the permanent disability program provided by VSDP or by Teachers Insurance and Annuity Association (TIAA), whichever may apply. Faculty members should contact the Office of Human Resources for additional information and assistance.

3.14.3 Parental Leave Parental leave is available for full-time, tenured, tenure-track, or renewable term appointment teaching faculty upon the birth, adoption, or foster placement of a child younger than 18 years of age. Parental leaves are provided without regard to sex, gender, or marital status. Adjunct faculty or persons on visiting full-time faculty appointments are ineligible for parental leave. Three forms of parental leave are available: (1) initial parental care leave, (2) extended parental care leave, and (3) alternative part-time parental care leave.

3.14.3.1 General Provisions of Parental Leave The following conditions apply to all parental leaves: (1) faculty members initiate requests for parental leaves by writing to their department chair (or associate dean in the Colleges of Business or Education) and to the dean; (2) faculty members should initiate such requests no later than ninety days prior to the date they wish to commence the parental leave; (3) parental leave shall be taken within six (6) months following the birth, adoption, or foster placement of the child; (4) faculty members granted parental leaves shall have their full-time faculty positions reserved for them until they return to their normal duties; (5) faculty members shall complete each parental leave within two consecutive semesters; (6) faculty members who apply for and receive parental leave do

so with the expectation that they will return to full-time work at the University; (7) parental leave shall only be taken once in a 12-month period and only once per child; (8) parental leave does not count against an eligible faculty member's sick leave; (9) parental leave shall run concurrently with leave provided under the Family and Medical Leave Act (FMLA), if the faculty member is eligible; and (10) parental leave may run concurrently or sequentially with the Virginia Sickness and Disability Program (VSDP), if the faculty member is eligible for VSDP. If a faculty member elects not to take parental leave when the birth, adoption, or eligible foster placement occurs, the parental leave option cannot then be used in subsequent semesters.

3.14.3.2 Initial Parental Leave Eligible full-time faculty members may receive an initial parental leave at full salary and benefits for eight weeks upon the birth, adoption, or foster placement of a child younger than 18 years of age.

3.14.3.3 Extended Parental Leave Following the initial parental leave, eligible full-time faculty members may receive a one-semester (or a part of one semester, if applicable) extended parental leave at half salary with full benefits. At the end of this extended parental leave, the faculty member may choose to take an additional extended parental leave for one semester without salary or benefits. In cases where birth, adoption, or foster placement of a child younger than 18 years of age occurs between semesters, the faculty member may take an extended parental leave for the next semester at half salary and full benefits.

3.14.3.4 Alternative Part-Time Parental Leave A faculty member may propose that they work part-time for one or two consecutive semesters upon the birth, adoption, or foster placement of a child younger than 18 years of age rather than taking the standard parental leave arrangements described above. A request for part-time parental leave must be made in writing to the department chair (or associate dean in the Colleges of Business or Education) and requires approval of the college dean. In a part-time parental leave arrangement, the salary reduction is based upon the amount of teaching to be done during the leave as stated in the written arrangements made between the faculty member and the college dean. A faculty member electing this form of leave receives a half salary for the semester plus an additional pay increment equal to one-half of the portion of the full teaching load (see §5.4.2) being taught during the extended portion part-time leave (after having eight weeks of full-time salary). For example, if the faculty member proposed to teach half time during a full semester of extended parental leave, the leave would be compensated at 3/4 pay and full benefits for the semester rather than the half pay and full benefits for the semester that would be provided if the person took a full extended parental leave for the semester.

3.14.4 Sick Leave Due to Family Emergency and Bereavement Leave Each full-time faculty member shall be provided up to ten business days of absence per academic year for an illness, injury, or death of a spouse, child, or parent. In addition, the University complies with the federal Family and Medical Leave Act (FMLA) in providing leave with or without pay to eligible employees for situations defined in that Act. Faculty should contact the Benefits Administrator in the Office of Human Resources for additional information regarding FMLA provisions that may apply in cases of leave needed for family emergency or bereavement.

3.14.5 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 (and be tenured) or six years of full-time teaching after the completion of a previous sabbatical leave (see

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§5.4.2). Approval of a sabbatical carries with it relief from the requirement to perform other duties for the length of the sabbatical term approved. Faculty members granted sabbatical leave will be obligated to continue employment at the University for at least one full academic year after the leave or to repay the full amount of the sabbatical support received. 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.

3.14.5.1 Application Procedures for Sabbatical Leaves A written application for sabbatical leave, together with a letter of acknowledgment from the department chair (or associate dean in the Colleges of Business or Education), 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 all sabbatical proposals simultaneously to the Provost and to the University Committee on Sabbaticals, Fellowships, and Faculty Awards (§2.6.7) by the first Friday in October.

3.14.5.2 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.

3.14.5.3 Required Final Report The faculty member is required to submit a sabbatical report to the Provost in early September for a preceding fall's sabbatical or in early January for a preceding spring's or full academic year's sabbatical. There is no standardized format for the report, but it should review the proposed sabbatical goals with respect to what was accomplished during the sabbatical period. Applications for future sabbaticals will take into account the submission of this report.

3.14.6 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. Provisions under §3.14.1 for course coverage will apply in the case of extended civil leaves. 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.

3.14.7 Annual Leave Annual leave is not earned by either full-time or part-time instructional faculty. Faculty have various breaks when classes are not in session; these times are listed on the academic calendar and published in the current *Academic Catalog*.

3.14.8 Leave of Absence Without Pay A 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 (or associate dean in the Colleges of Business or Education), 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 (or associate dean in the Colleges of Business or Education) and thereafter submit a recommendation to the Provost, who will forward

their recommendation to the President and Board of Visitors for a final action, generally in November or December of that same year. Any faculty member granted a leave of absence without pay shall have their full-time faculty position reserved until they return from their leave. The acceptance of a leave obligates the faculty member to continue their employment with the University for at least one full academic year after the leave. If a faculty member's request for a leave of absence without pay is denied, they may appeal the decision through the Faculty Grievance Policy and Procedure (§5.8).

3.15 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 (§3.14.1), disability leave (§3.14.2), and parental leave (§3.14.3). 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, of the request to extend the probationary period. Within two weeks, the dean shall inform the faculty member of their recommendation to approve or disapprove the request. All requests for extensions must be forwarded to the Provost and then to the President, who will forward their 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 (see §7). Faculty members who have requested to extend the probationary period may not subsequently elect to return to the original probationary period. If the faculty member's request for extension is denied, they may appeal the decision through the Faculty Grievance Policy and Procedure (see §5.8).

3.16 FACULTY SALARIES The timing of salary adjustments for full-time faculty varies based upon when funding is available. Action by the Virginia General Assembly is often required to provide authorization and funding for adjustments. All salary adjustments for full-time faculty are approved by the Board of Visitors before taking effect. Salary changes that take effect at the start of a contract year are conveyed in a reappointment letter. Salary changes occurring after the start of a contract year are conveyed by Salary Notification Letters, distributed after the Board of Visitors has approved salary changes. These letters are signed and returned to the Office of Human Resources.

3.16.1 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, with the portion of funds needed for promotions and for the correction of salary inequities is extracted first. Should funds be available to award merit increases to faculty, the provost will work with the University Faculty Council to develop a process for making these awards consistent with and based on the annual review process (§6). Merit pay will not be awarded to any faculty member with an overall rating of "unsatisfactory" for the previous evaluation period.

3.16.2 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 pay date is the immediately preceding workday.

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3.16.3 Salary Checks It is required that checks be electronically direct-deposited to a bank account identified by the faculty member. Applicable federal and state taxes are deducted.

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

3.17 FRINGE AND OTHER BENEFITS All new faculty are expected to contact the Office of Human Resources 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. For new full-time faculty, this is accomplished in the new faculty orientation session with OHR, while new adjunct faculty should set up an appointment with OHR. Benefit and deduction programs include social security, retirement plans, group life insurance, disability insurance, enrollment in UMW coursework, ID card privileges, etc. Any faculty member desiring detailed information pertaining to benefit programs should contact the Office of Human Resources.

3.18 SEPARATION In order to ensure 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 Office of Human Resources. 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 these procedures should be directed to the Office of Human Resources.

3.18.1 Faculty Exit Procedures Upon retirement, resignation, non-renewal of contract, or dismissal, the department chair will refer the faculty member to these exit procedures and then notify the Office of Human Resources. Prior to the effective date of separation or retirement, the faculty member will 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 Office of Human Resources. Retiring faculty will be issued a courtesy ID card and parking decal.

3.18.2 Resignation A faculty member who intends to resign their 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.

3.18.2.1 Notice of Resignation There is no set policy concerning a faculty member's obligation to give notification of their intention to resign. The following AAUP statement (1961, revised 1990) 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 their 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 their 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 [their] position during an academic year for which they hold an appointment.

3.18.3 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 Office of Human Resources.

3.18.3.1 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 Office of Human Resources before writing the retirement letter.

3.18.3.2 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 of twenty-six weeks before returning to teach in a part-time capacity.

3.19 NONREAPPOINTMENT The University is guided by the AAUP concerning the timing of notice of nonreappointment as set forth in the following statement "Standards for Notice of Nonreappointment" (1940, revised 1964 and 1990) from *American Association of University Professors Policy Documents and Reports* (9th edition).

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3.19.1 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, except for cause, the faculty member will receive written notice of the decision and an explanation of the basis for the decision. See §§4.3-4.4 for policies and procedures regarding termination for cause. For any tenure-track faculty member, the deadline for notification of nonreappointment is May 15 of the academic year when the nonappointment decision is made. The University will offer 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.

3.19.2 Non-Renewal of Renewable Term Contracts If the department chair, dean, and Provost agree not to renew a faculty member's renewable term appointment (RTA) contract, except for cause, the faculty member will receive written notice of the decision and an explanation of the basis for the decision. See §§4.3-4.4 for policies and procedures regarding termination for cause. For RTA faculty under an initial appointment, the deadline for notification of non-renewal is December 15 of the academic year in which the appointment ends. For RTA faculty under a reappointment, notification of non-renewal is due 12 months prior to the expiration of the reappointment. If written notification of non-renewal is not provided by the required deadline, the faculty member will be offered, at the Provost's sole discretion, either: (1) a final one-year limited term contract for the academic year following the one in which the appointment ends; or (2) equivalent separation pay calculated on the basis of the faculty member's annual salary multiplied by a factor of 1.20 (to account for the value of fringe benefits).

3.19.3 Limited Term Appointments Faculty on limited term appointments (see §3.1.4) may assume termination at the end of the specified term, regardless of performance. Appointments of this type are provided for a fixed term of service as specified in the contract, usually one semester, one summer session, or one academic year. Because these contracts are non-renewable, notification of non-renewal is not required. Reappointment may be offered by the University as needs may dictate, with as much notice as can conveniently be given.

SECTION 4

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

4.1 DEFINITIONS AND GENERAL PROCEDURES This section of the Faculty Handbook describes the general principles and definitions of terms applying in instances in which the University terminates faculty appointments before the end of the appointment term and/or 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.

4.1.1 Grounds Adequate cause for termination of a contract before the end of its specified term is defined as:

.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.

.2 Medical reasons of such a nature as to render the faculty member unable to fulfill their professional responsibilities; or

.3 Bona fide financial exigency on the part of the University or discontinuance of a program, department or college of instruction (see §4.4 for procedures)

4.1.2 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.

4.1.3 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 §4.1.2 above) must reflect long-range institutional judgments that the educational mission of the University as a whole will be enhanced by the discontinuance.

4.1.4 Incompetence, neglect of duty, or misconduct Incompetence, neglect of duty, or

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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.

4.1.4.1 Allegations of discrimination The University prohibits discrimination. See the University’s policies on Discrimination, on Workplace Harassment, and the Policy on Sex and Gender-Based Harassment and Other Forms of Interpersonal Violence (§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 §4.2.2. Should this occur, the faculty member is entitled to the notification requirements outlined in §4.2.6.

4.1.4.2 Allegations of academic misconduct in scholarly activity or research

4.1.4.2.1 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.

4.1.4.2.2 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.

.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.

.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).

.3 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.

4.1.5 Purview General 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

4.1.6 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, or in the case of sex/gender discrimination, to the Director of Compliance.

4.1.7 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.

4.1.8 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 deciding official’s decision based on the committee’s findings.

4.1.9 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.

4.1.10 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. See section §4.2.5 for examples of major and minor sanctions.

4.1.11 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.

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4.1.12 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 their 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.

4.2 GENERAL PROCEDURES FOR ADDRESSING ALLEGATIONS

4.2.1 Inquiries When the appropriate administrative officer receives an allegation that a faculty member has violated University policy, or when that administrative officer themselves finds evidence that a faculty member under their supervision has violated University policy, that administrative officer shall first discuss the allegation and/or offending conduct with the faculty member. 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 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 their designee). Should the administrative officer determine that there is reason to proceed, they 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).

.1 Should a complainant alleging incompetence, neglect of duty, misconduct, or academic misconduct 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. No formal notes, reports, files, or any other official documentation shall be kept about this conversation.

.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.

.3 Should the administrative officer determine that there is reason to proceed, they shall define the alleged or perceived violation and explain relevant policy and procedures in writing, and they 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.

4.2.2 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 cause. In the case of allegations of academic misconduct, should no external agency require further investigation, the Provost may reach a settlement at this stage. If no settlement can be reached, or should the requirements of an external agency so mandate, the Provost shall deliver written notice, spelling out the nature of the alleged offense, to the accused and to the accuser that a formal investigation should be initiated. The accused shall have ten calendar days to respond to the Provost.

4.2.3 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. In case alleging academic misconduct, the Provost shall inform the accused, the accuser, and the University faculty Affairs Committee in writing within fifteen calendar days of the receipt of the informal investigation report. In cases alleging discrimination or discriminatory harassment by a faculty member, the formal investigation will be conducted by the AA/EEO officer and their 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.

4.2.4 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 Affairs Committee concerning the propriety, length, and other conditions of the suspension (the faculty member may waive the right to have the University Faculty Affairs Committee 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 Affairs Committee.

4.2.5 Sanctions Minor sanctions cannot be appealed; major sanctions can be appealed. Minor and major sanctions may include, but are not limited to:

4.2.5.1 Minor Sanctions

- 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.

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4.2.5.2 Major Sanctions

- 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.

4.2.6 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.)

4.3 PROCEDURES FOR FORMAL INVESTIGATION OF VIOLATIONS OF UNIVERSITY POLICY

This section outlines the common procedures and general guidelines used for the 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) (see §4.5). 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). The Provost (or their designee) will inform the committee of any requirements of external agencies relevant to the allegations or to the way in which the investigation is to be conducted. The Provost (or their designee) shall inform the appropriate funding agencies (if any) that a formal investigation has been initiated on or before the date the investigation begins.

4.3.1 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. Replacements will serve for the duration of the investigation and will not perform the other duties of the UFAC.

4.3.2 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.

4.3.3 Required Notification 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.

4.3.4 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.

4.3.5 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.

4.3.6 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.

4.3.7 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.

4.3.8 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. 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.

4.3.8.1 Response by Provost to UFAC Finding Should the Provost agree with the Committee's formal finding and recommendation about disciplinary action, they shall so inform the

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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 their report. If the Provost rejects the Committee's formal findings, they 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 their final decision, along with any response from the faculty member and/or the University Faculty Affairs Committee, to the President.

4.3.8.2 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.

4.3.8.3 Appeal of Formal Investigation Major Sanctions The faculty member may appeal a major sanction (see §4.2.5.2) 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).

4.3.9 Specific Procedures Regarding Allegations of Academic Misconduct

4.3.9.1 Determination of Academic Misconduct If the administrative officer determines that the allegation results from honest error or a difference of interpretation, they 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 §4.3.9.2 obtain, the administrator shall report the matter immediately to the Provost (or their designee).

4.3.9.2 Reporting Requirements in Cases of Academic Misconduct Following U.S. Office of Research Integrity regulations, the Provost (or their 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 their designee) must notify any appropriate funding and other external agencies within 24 hours of obtaining that information.

4.3.9.3 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 their designee) shall first report the reasons that the University wishes to terminate the investigation to the appropriate funding or external agency.

4.3.9.4 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, they (or their 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.

4.3.9.5 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 §4.1.4;
- 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.

4.3.9.6 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, they 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, they 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 their final decision (including any action to be taken), along with any response from the faculty member and/or the UFAC, to the President.

4.3.9.7 Appeal of the Formal Investigation Sanctions The faculty member may appeal a major sanction (see §4.2.5.2) 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

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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.

4.3.9.8 Formal Notifications in Cases of Academic Misconduct Within fifteen calendar days of delivering their 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 within 120 calendar days of the initiation of the formal investigation. If the University cannot complete the investigation within 120 days, the Provost (or their 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.

4.3.9.10 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.

4.3.9.11 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 their 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

4.4 Termination of an appointment before the end of the term specified in the faculty member's appointment letter (contract) due to financial exigency or discontinuance

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.

4.4.1 Financial Exigency

.1 Once the President and the University Budget Advisory Committee have determined the substantive standards for financial exigency (as defined in §4.1.2) 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.

.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).

.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 their 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 §4.3.

4.4.2 Discontinuance of a Program or Department of Instruction 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.

.1 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.

.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).

.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.

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.4 If the administration issues notice to a particular faculty member of an intention to terminate or reassign their 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 §4.3.

4.5 APPEAL PROCEDURES

4.5.1 Appeal Procedures in cases involving termination or reassignment under §4.4 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 regarding financial exigency or discontinuance shall be introduced.

4.5.1.1 Basis for Appeal In considering the basis for appeal, the FAGC shall consider:

.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.

.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.

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

.4 Whether the criteria are being properly applied in the individual case.

4.5.1.2 FAGC Findings If the Committee does not find a basis for appeal as outlined in §4.5.1.1, its decision shall be final, subject to appeal to the President and the Board of Visitors per the general procedures outlined below (see §§4.5.3 - 4.5.4).

4.5.1.3 Provost Review of FAGC Findings If the FAGC finds a basis for appeal, in all other cases, within thirty (30) 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.

4.5.1.4 Appeal of Findings by FAGC and/or the Provost If the FAGC or the Provost recommends termination, the faculty member will then have thirty (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 general procedures outlined below.

4.5.2 Appeal on Grounds of Inadequate Consideration If the faculty member alleges that a decision 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.

4.5.2.1 Filing an Appeal Based on Inadequate Consideration Allegations of inadequate consideration, with supporting information, may be 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.

4.5.2.2 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 no 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.

4.5.3 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 their 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.

4.5.4 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 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 their 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.

4.6.1 Informal Inquiry When a program director, department chair, or college dean finds

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evidence that a faculty member under their supervision may be unable to perform the essential duties of their 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; they 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.

4.6.2 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.

4.6.3 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 1940, 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 §5.8).

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 their 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. Faculty honor advisors and procedural advisors are available to support faculty and answer questions. A listing can be found in *Appendix B (Honor Constitution)*.

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 their relationship with students is expected to act within this framework. All written and oral statements about academic matters made by a student to a faculty member are subject to the *UMW Honor Code*.

5.2.2 Faculty Actions Related to the Honor Code Expectations for cheating must be made clear in the course syllabus. Faculty members should make clear in their assignments with regard to sources, paraphrasing, and citation for all class activities. In particular, faculty should indicate any activities in which source material is allowed, required, or prohibited. Faculty should also explain the extent and manner in which they consider help from (or collaboration with) other

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individuals and/or technological resources to be legitimate. It is expected that faculty members will conduct tests and examinations according to the expectations of the Honor System. Faculty members may choose not to 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. Faculty may proctor online assessments using video meetings, but may not require students to use automated proctoring service.

The Honor Council does not view the use of Artificial Intelligence as a separate issue from other incidents that fall under Academic Integrity. Clear expectations should be identified on the syllabus and samples of syllabus statements can be found on the [Provost's web site](#). (See §5.4.6)

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. 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 for reporting procedures and can file a report on the [Academic Integrity site](#). Repeated and deliberate failure to comply with the Honor Code may lead to the implementation of sanctions against a faculty member.

5.2.4 Grading in the Context of an Honor Report Assignments under review by the Honor Council should not be assigned a grade until a final finding has been determined. In cases where an honor report 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. In cases where a student is found responsible for an honor code violation, but not sanctioned loss of credit in the course, faculty should grade the assignment in light of the Honor Council finding. In cases where a student is found not responsible for an Honor Code violation, faculty should grade the assignment according to the grading policy outlined in the course syllabus. While faculty may not unilaterally sanction students for Honor Code violations, grading decisions are the prerogative of faculty and disputes about grades in the context of an Honor case will be resolved by the [grade dispute policy](#) outlined in the Academic Catalog.

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, religion, color, sex, gender identity or expression, sexual orientation, parental status (including pregnancy), national origin, age, disability, family medical history or genetic information, political affiliation, military service, or other non-merit based factors. 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, religion, color, sex, gender identity or expression, sexual orientation, parental status (including pregnancy), national origin, age, disability, family medical history or genetic information, political affiliation, military service, or other non-merit based factors in recruiting, admitting, enrolling students or hiring and promoting faculty and staff members. Complaints of discrimination should be directed to the AA/EEO officer of the University. (Approved by the Board of Visitors, September 2018.)

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, religion, color, sex, gender identity or expression, sexual orientation, parental status (including pregnancy), national origin, age, disability, family medical history or genetic information, political affiliation, military service, or other non-merit based factors. 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, and the Director of Compliance, 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/> and <http://diversity.umw.edu/title-ix/policy>.

5.3.5.1 Sexual or Gender-Based Discrimination or Harassment The University of Mary Washington prohibits sexual assault, sexual harassment, sexual exploitation, stalking, intimate partner violence, retaliation, and complicity (Prohibited Conduct). These forms of Prohibited Conduct subvert 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 adopted the *Policy on Sexual and Gender Based Harassment and Other Forms of Interpersonal Violence* with a commitment to: 1) eliminate, prevent, and address the effects of Prohibited Conduct; 2) foster a community of

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trust and mutual respect in which Prohibited Conduct is not tolerated; 3) cultivate a climate where all individuals are well-informed and supported in reporting Prohibited Conduct; 4) provide a fair and impartial process for all parties; and 5) identify the standards by which violations of this Policy will be evaluated and disciplinary action may be imposed. Employees who violate this Policy may face disciplinary action up to and including termination. The University will take prompt and equitable action to eliminate Prohibited Conduct, prevent its recurrence, and remedy its effects. The University conducts ongoing prevention, awareness, and training programs for employees and students to facilitate the goals of this Policy. The University's policy for preventing, addressing, investigating, and resolving Prohibited Conduct is the [Prohibited Conduct Policy - Title IX](#).

5.3.5.1.1 Responsible Employees All faculty members are considered “responsible employees” who are required to report any incidents of Prohibited Conduct. During the course of employment, faculty may obtain information (whether directly or indirectly) about an incident of Prohibited Conduct that involves a student and may have occurred on campus, in or on a non-campus building or property, or on public property. (See definition for “Campus,” “Non-campus Building or Property,” or “Public Property” in Va. Code §23.1-806 (the “Virginia Reporting Statute”).) As responsible employees, all faculty shall report such information, including dates, times, locations, and names of the parties and witnesses, to the Director of Compliance as soon as practicable after addressing the immediate needs of the victim.

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 is available at [Consensual Relationships Policy - Human Resources](#).

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. Even in cases where the faculty member does not directly supervise the student, participation in an amorous relationship with a student may raise serious concerns and give rise to claims of sexual harassment. Such relationships, particularly when the faculty member and student are in the same academic unit, create the potential for conflicts of interest (see §3.12). 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 their 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 Catalog](#), which are brought up to date each year.

Faculty members are responsible for familiarizing themselves with these regulations and for participating in their implementation. Failure to comply with these academic policies and regulations may result in sanctions for the faculty member, as outlined in §4.3.3.5.

5.4.1 The Academic Year The [University Academic Calendar](#) is published at least a year in

advance. Faculty with 9-month appointments 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. Any exceptions are considered to be leaves of absence and must be approved under the appropriate leave policy in §3.14. Academic breaks and holidays are listed on the University Academic Calendar and 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. [Overload teaching assignments](#), for which the faculty member was compensated and received an overload contract or special payment form, are excluded from the calculation of what constitutes the faculty member's assigned standard teaching load.

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 A primary responsibility of students is class attendance and the University policy on student absences can be found in the [Academic Catalog](#). Guidance on accommodating student absence due to disability, religious observances, jury duty, military service, and schedule and unscheduled absences can be found in the Catalog.

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, office hour schedule; (b) course identification; (c) course goals and objectives; (d) student learning outcomes, including when applicable general education learning outcomes; (e) required materials (textbooks, lab manuals, etc.); (f) course calendar (assignment due dates, tests,

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etc.); (g) guidelines for class participation; (h) basis for determining final grades and mid-semester progress reports (in undergraduate courses); (i) accessibility statement; (j) course recording policy statement; (k) Title IX policy statement; (l) the course Artificial Intelligence policy, and (m) instructor's statement of adherence to the Honor System. Individual colleges and departments may determine additional requirements for syllabus preparation.

Sample syllabi statements for addressing accessibility, the recording policy, Artificial Intelligence policy language, and the Title IX policy are available at the [Provost's web site](#). Instructors should distribute the syllabus to students no later than the first scheduled meeting of the course or the first day of the semester/term for fully online courses. Instructors are required to submit a digital copy of the syllabus to the department chair and/or college dean's office in each semester/term they are teaching.

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. Each full-time faculty member is expected to schedule and post at their office door at least five formal office hours each week, arranged at times that meet students' needs for consultation. Adjunct faculty are 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.

5.4.8 Final Examinations A final examination or equivalent final assessment such as critiques or final projects will be due in all courses during final exam week (according to the published final exam schedule) unless a 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 required to maintain access to 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 grades in undergraduate courses no later than each semester's published dates and times for doing so.

Faculty must also report the date of last attendance for students with failing grades. Mid-semester reports of unsatisfactory academic performance and final course grades are made available to the student and the student's academic advisor.

5.4.10 Student Advising Ultimately, it is the student's responsibility to see that all degree requirements have been met. Full-time faculty members are expected to serve as academic advisors to students when assigned. Advising includes guiding the student in deciding on their overall (long range) course and potential career plan, approving the student's schedule of courses each semester, and completing senior degree progress checks. It may also include providing information on graduate study and suggesting opportunities such as internships, undergraduate research, summer institutes, or study abroad. Advisors should keep accessible records of advising meetings, complete necessary paperwork in a timely manner, meet with students prior to registration, and lift the advising hold.

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 or Office of Disability Resources.

5.4.12 Student Recommendations It is a responsibility of each faculty member to provide recommendations for students who request them. When a faculty member is not able to provide a supportive recommendation, they 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. At the final general faculty meeting, 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 honor convocation, graduation ceremonies, and other formal academic ceremonies, as notified, in appropriate regalia. Exceptions must be approved by the appropriate college dean. The University does not pay for regalia but provides procedures for renting it.

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 make 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. The awarding unit 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 may be available in the departmental operating budgets and/or 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 their 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 Fellowships 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 Waple Fellowships The Waple program offers support for faculty to engage in a specific two-year project. Projects may include research, writing, performances, creative work, and the scholarship of pedagogy. Any tenured faculty member with a minimum of 6 years of service at UMW is eligible. The Dean and Associate Dean of the College of Arts and Sciences will review

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all applications and make recommendations to the Provost's Office for final adjudication. The Provost's Office will also receive recommendations from the Committee on Sabbaticals, Fellowships, and Faculty Awards of the University Faculty Council.

Faculty who are on or expect to be on a sabbatical or Jepson Fellowship or some other forms of educational/research leave are eligible to apply, although it is unlikely that a candidate would be recommended to receive two awards for the same project. University policy stipulates that faculty cannot earn more than 33% of their contracted salary from other sources during the academic year (from grants, summer teaching, UMW research stipends, etc.). Faculty should consider this information when deciding on the amounts they wish to budget for supplies, course buyouts, travel, and the salary supplement.

5.5.5 William M Anderson Distinguished Professors The William M. Anderson, Jr. Distinguished Professors honor the sixth president of the University, William M. Anderson Jr. Dr. Anderson served Mary Washington for 23 years as president, starting in 1983. Under his leadership, the institution rose to prominence among liberal arts institutions throughout the United States. The William M. Anderson, Jr. Distinguished Professors are made possible by a generous endowed gift to the University from Richard and Sara Page Mayo '64.

The following criteria guide the selection of recipients: 1) The recipient of an Anderson Professorship must be a tenured full professor of the UMW faculty, primarily known for their commitment to the teacher-scholar model, and have a passion for teaching students in and out of the classroom. Anderson Professors demonstrate exceptional teaching, professional work, and service. 2) Anderson Professors are faculty who excite and inspire students to excel. They provide outstanding academic strength in their home discipline and serve as a resource in matters of faculty development. 3) Once appointed as an Anderson Professor, the recipient will remain in the position for five years. After that, renewal is at the discretion of the University's chief academic officer. The University reserves the right to withdraw an Anderson Professorship if circumstances arise that reflect adversely upon the University. 4) The selection of recipients is through a competitive process initiated by the chief academic officer in collaboration with the deans. The President of the University will recommend to the University's Board of Visitors the recipient(s) of the professorship(s) as well as the accompanying remuneration.

5.5.6 Center for Teaching Through the Center for Teaching, UMW works to promote and sustain excellence in teaching, explore and develop innovative pedagogy and curriculum, and advance student learning. Through a variety of means, the Center works to support faculty who are interested in pursuing the Scholarship of Teaching and Learning (SoTL), developing teaching strategies to support meaningful learning, implementing meaningful approaches to student assessment, or exploring emerging academic technologies or other instructional and creative resources. See the Center's [website](#) for additional details.

5.5.7 Digital Learning Support Digital Learning Support provides faculty with assistance and resources, including consultations around integration of digital tools into courses, creation of digital projects, and design of hybrid or fully online courses, and development of new general education and Digital Intensive courses. Workshops around digital tools and techniques as well as partnerships with the Center for Teaching provide opportunities for faculty to expand and improve their use of digital tools in teaching and learning. Additional details are available at their [website](#).

5.5.8 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 faculty duties as defined by

their appointment. 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 enrollment 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. Upon approval by the Office of Admissions, the faculty member will register for the class through the Office of the Registrar and pay the appropriate tuition and fees. A transcript 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 permanent record of work will be maintained in the Office of the Registrar. Information on tuition assistance can be found on the Office of Human Resource's [website](#).

5.5.9 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 institutional approval to proceed, the faculty member is responsible for 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 their 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. Upon notice of approval, a copy of the written request will be forwarded 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

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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 Faculty Annual Activities Reports (FAARs). Faculty members engaged in approved paid outside activities other than consulting shall attach statements to their 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. 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. When significant resources of the University are required, an agreement, grant, or contract must 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 their 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 §3.14.6).
- 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 them 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 §3.12 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, as well as decisions on student employment, scholarships, and fellowships. 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 § 23.1-1308 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 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. 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. This provision includes the 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 University assignment. It also includes patenting of inventions, unless the patentable invention was developed as a specific 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 a specific University assignment 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 teach and 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.

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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 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 them. 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 or electronic access 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 available at 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 University Relations and Communications. 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, phone 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 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 §5.8.1 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 §3.18);
2. actions of dismissal of faculty for cause or financial exigency (see §§4.1.1 & 4.3.1);
3. violations of university policy by individual faculty members (see §4.3);
4. disciplinary action taken as a consequence of a determination of racial, sexual, or other forms of discriminatory actions (see §5.3);
5. any action related to evaluation of performance or salary adjustment (see §§6.8-6.9);
6. decisions regarding the awarding or withholding of tenure or promotion (see §7.12).

5.8.4 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.

5.8.5 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 their department shall

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present the grievance to the department chair.

.2 A faculty member with a grievance against another faculty member not in their department, with a grievance against their 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.

.5 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.

5.8.6 Attempt at Informal Resolution The individual receiving the grievance shall seek to mediate a prompt and satisfactory solution of the grievance. If a bias offense or incident 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 (§5.8.7).

5.8.7 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 (see §2.6.4) whose charge is to investigate the grievance and recommend a resolution to the Provost (or President as per §5.8.8).

5.8.8 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.

5.8.9 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 they have been adversely affected and the specific relief requested. All allegations must be made in good faith (see §4.3.2.2).
- 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.

5.8.10 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 (see §2.6.4).

.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.

.2 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 UFAGC should remove themselves from the case if they have 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.

.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. Should the existing chair of the Committee be removed through challenge or recusal, the final five members shall elect a new chair for the formal hearing.

5.8.11 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.

5.8.11.1 Confidentiality 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.

5.8.11.2 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 §5.8.8). The action of the Committee at this stage is final.

5.8.11.3 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

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the statement of charges, the committee 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.

5.8.11.4 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 they wish 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 a complete copy of the reply to the statement of charges to the grievant and to each member of the UFAGC.

5.8.11.5 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.

5.8.12 Pre-Hearing Conference At least ten (10) business days 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.

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

5.8.13.1 Attendees The hearing shall be private, with only the parties involved, witnesses, counsel, advisors, 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. See §4.4.4 for more information about the role of advisors and designated observers.

5.8.13.2 Record of Hearing The full and complete Hearing shall be recorded by and for the Committee and all recordings shall be preserved until thirty (30) 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) until final and conclusive action is taken, at which time the recordings shall be destroyed.

5.8.13.3 Conduct of Hearing The Hearing shall be convened and conducted by the UFAGC chair. Counsels, advisors, or designated 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.

5.8.13.4 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

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5.8.13.5 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 they are found by the committee to be responsible, recommended remedies and sanctions may include but are not limited to those in §4.2.5.

5.8.13.6 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 §5.8.8) 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 §5.8.8) shall communicate, in writing, to the parties involved and to each member of the Committee, their acceptance or rejection, in whole or in part, of the UFAGC recommendations.

5.8.13.7 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. All tenured, tenure-track, renewable term appointments (lecturers and senior lecturers), and any other faculty on continuing multi-year contracts will be reviewed. The evaluation system is required to be multi-sourced and to include peer review (unless this step is not part of the department's process). Each faculty member's performance in the areas of teaching, scholarly, creative, and professional activity, and service during the annual evaluation period will be rated using the following three levels:

- Meets expectations: the faculty member is effective, productive, and meets standards expected of all faculty. This rating represents the standard performance of UMW faculty. This rating should always be interpreted in a favorable light.
- Exceeds expectations: exceptional performance; well above the effective level of expectations.
- Does not meet expectations: the faculty member fails to meet standards expected of all faculty.

An overall performance rating of satisfactory or unsatisfactory is then applied. An overall rating of unsatisfactory is applied when the faculty does not meet expectations in teaching OR does not meet expectations in both scholarly and professional activity and service. Additionally, should a faculty member receive a rating of "does not meet expectations" in any one area for two years in a row, the overall performance evaluation in the second year will be unsatisfactory.

Procedures outlined in §§6.2-6.8 apply to full-time instructional faculty. For evaluation of adjunct faculty, see §6.9.

6.2 ANNUAL EVALUATION POLICY AND PROCEDURES For the calendar of dates for the annual evaluation process, see §6.6.1.

6.2.1 The Role of the Department The chair of each department will be responsible for ensuring 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, scholarly, creative, and professional activity, and service. The evaluation plan should be accessible to the department and should be reviewed regularly.

.1 Each departmental faculty member, including the chair, will make available to fellow department members for peer review (if peer review is part of the approved department evaluation plan) 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.

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.2 In accordance with the approved department evaluation procedures, the chair will write an annual performance review (APR) for each faculty member that includes a rating, as listed in §6.1, determined according to the department's defined procedure. 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. The APR should include individual ratings indicating evaluation levels for teaching, scholarly, creative, and professional activity, and service and should assign an overall evaluation of “satisfactory” or “unsatisfactory.” This rating shall be thoroughly justified in the commentary and ratings for the aforementioned areas. 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 by the dean in accordance with §6.2.2.2 to the performance ratings assigned to a faculty member will be identified and appended to the faculty member's APR.

.3 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. A faculty member on leave will automatically receive an overall rating of “Satisfactory.”

.4 Department members will review their chair anonymously in the areas of teaching, professional activity, service, and administration on a separate form distributed and collected by the dean. (See Appendix A, “Department Chair Evaluation Commentary” form.) The chair will provide each of the documents specified in §6.2.1.1, which department members will then consult for their evaluation of the chair.

.5 In order to provide formative feedback for faculty, departments will conduct a pre-tenure, pre-promotion review for tenure-track faculty who will be applying for promotion or tenure and for RTAs who will be applying for promotion. Procedures for this review will be developed by each department or college and approved by the dean as part of the overall department evaluation plan. In all cases, the file is to be submitted at the beginning of the spring semester of their third year or by a deadline established at the time of hire if the probationary time frame has been shortened. This pre-tenure, pre-promotion file will include evidence of effective teaching, scholarly, creative, and professional activity, and service. These materials shall be reviewed by a pre-tenure, pre-promotion review committee, consisting of tenured faculty and following procedures outlined in the department's evaluation plan. The department shall provide formative written feedback to the candidate about whether the candidate is on track to be successfully recommended for tenure and/or promotion at the end of the probationary period. A copy of this review shall be shared with the dean by March 1st.

6.2.2 The Role of the Dean and Provost

.1 The individual department evaluation plan, approved by the dean, offers the most accurate means for rating individual faculty members within the department. Except for rare instances, it is not the dean's responsibility to adjust the rankings within the department (see §6.3.1.2).

.2 The dean's primary function in the evaluation process is to ensure equitable scoring across the college, across departments, and in rare circumstances within a department. Part of the dean's role is to ensure that individual faculty members are compared with their colleagues across campus to determine their rating and that they are not penalized if they happen to be in a department with many outstanding colleagues. If 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 rating of its faculty members. 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 a 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 on the case. The decision of the Provost in these cases is final.

.3 The dean will incorporate results from department chair evaluation commentaries submitted by department members in the writing of special assignment performance reviews (SAPRs) for chairs (see §6.4.5).

.4 If, as a result of actions described in §6.3.1.2, an individual's rating is changed after the individual has signed the APR completed by the chair (§6.2.1.2), the dean will write to that individual, explaining the change. Any changes made by the dean or Provost will be appended to the faculty member's APR (see §6.6.2.1 for schedule).

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 (see §6.3.1.4). 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. The decision of the Provost is final.

.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 supervising administrator. The individual shall be entitled to a written reply from the Provost. The decision of the Provost is final.

.3 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.

.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).

.5 All formal correspondence in the appeals process is added to the University personnel file, including letters of exception, written replies, and conference summaries, as applicable (see §3.13.2).

6.3 MINIMAL PERFORMANCE CRITERIA AND ANNUAL EVALUATIONS Faculty performance is evaluated in three areas of endeavor: teaching, scholarly, creative, and professional activity, and service. In all three areas, certain activities and performance levels are recognized as basic and minimal professional responsibilities for faculty. 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;

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the provision of appropriate course syllabi (see §5.4.6); the prompt return to students of graded work; the reading and other preparation one must do to keep instruction current and engaging; the maintenance of memberships in appropriate professional and disciplinary organizations and societies; the maintenance of currency in one's profession or discipline through readings, conferences, and workshops; attendance at faculty meetings; meeting all advising responsibilities; and the willing acceptance of one's fair share of departmental, college, and University service roles. For more information on the full evaluation criteria see §§6.3.2-4.

6.3.1 Evaluation Criteria The assignment of annual evaluation ratings 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. It is also not expected that a particular performance rating requires that a faculty member accomplish all of the examples provided within each category, but a faculty member should rather show a set of achievements consistent with these descriptions. Evaluators are also urged to consider the impact of implicit bias. For example, research shows that student evaluations of faculty can be affected by gender and/or race.

6.3.2 Teaching

Of the three areas to be evaluated, teaching is preeminently important (§7.3). Given the emphasis on excellence in teaching at the University of Mary Washington, faculty must meet expectations in the category of teaching in order to achieve a “satisfactory” overall performance rating.

Meets expectations. Expected performance in teaching includes a clear record of effectiveness in the classroom, as evidenced by the following: scores and comments by students reported by the student course surveys; acceptable peer evaluations of teaching and/or course materials; a record of consistently meeting all scheduled teaching obligations and holding office hours as expected by the University; course content updated as necessary to reflect current knowledge in the discipline; course syllabi that conform to the expectations of instruction at UMW (see §5.4.6).

Exceeds expectations. 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 reported by students in the student course surveys; strong positive peer evaluations of teaching and/or course materials; involvement in new course development and/or teaching innovation; documented collaborative activity with colleagues in course design; contributions to interdisciplinary student learning experiences; involvement and success in individual instruction or mentoring of students, as evidenced by student research, creative work, presentations, or publications in departmental or campus venues (note that external venues are ordinarily considered professional activity, see §6.3.3); or successful fulfillment of other unusual or particularly demanding teaching assignments.

Does not meet expectations. This rating implies that the faculty member is not meeting the minimum expected level of performance and that significant improvement is needed. 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: a pattern of problematic scores and/or problematic comments reported by students in 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 significant record of student complaints reported directly to the chair or dean; failure to meet assigned classes; failure to fulfill minimum performance criteria listed in §6.3 as they relate to teaching. This rating may also be assigned for failure to take steps for improvement that emerged from consultation with the chair as a consequence of a previous year's performance.

6.3.3 Scholarly and Professional Activity Different disciplines, departments, and colleges may have varying definitions of what constitutes scholarly and professional activity. Individuals should familiarize themselves with these expectations.

Meets expectations. Evidence of effective performance in scholarly and professional activity includes not only engaging in the work necessary to maintain currency in the profession or discipline, but also demonstrating contributions to the discipline and/or scholarship of teaching through activities directed toward professional peers beyond the university. Evidence of such contributions may include the following: participation in regional, national or international conferences through presentations, panel organization or participation, or workshop participation; preparation, submission, or revisions of texts for possible publication; participation in exhibitions or performances; applications for external grants or funding; winning internal grants; the extensive employment of a faculty member's professional expertise in the community (for instance, large-scale activities involving local schools or businesses); service on the editorial board of a journal or as an officer in a professional organization; or evidence of progress on a professional project. Documented contributions to professional organizations may also be considered in this category.

Exceeds expectations. This rating should be applied to a faculty member whose scholarly and professional contributions are well above the average level of expectations. Evidence of outstanding performance includes publication, performance, exhibition, or conference presentation in peer-reviewed venues. 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 significant contributions to professional organizations, such as election/appointment to a leadership role or receiving an award for work by a professional organization, may be considered in this category. Other criteria include obtaining external sources of funding that are peer-reviewed.

Does not meet expectations. This rating implies that the faculty member is not meeting the minimum expected level of performance and that significant improvement is needed. 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 university. Failure to fulfill minimum performance criteria listed in §6.3 as they relate to professional activity is also cause for this rating. This rating may also be assigned for failure to take steps for improvement that emerged from consultation with the chair as a consequence of a previous year's performance.

6.3.4 Service

Meets expectations. All faculty are expected to participate in the work of their departments and colleges outside of the classroom, to provide academic advising to students, and to serve in shared governance of the university. All faculty are expected to attend department and general faculty

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meetings as well as graduation ceremonies and other formal academic ceremonies (see §5.X). Evidence of effective service consists of meeting all one's advising responsibilities; serving in at least one formal service role at the college or University level (e.g., committee, working group, advisory council, etc., as well as roles such as special assignments, faculty fellows, search advocates, etc.) during the evaluation period and demonstrating responsible participation in that role; or providing documentation and explanation for the lack of service in such a role. There are times when a faculty member is not assigned to a committee (or has recently completed a term on a major committee). Willingness to serve on a committee is a minimum requirement for meeting service expectations (for example, making oneself available for election to a major committee—even if the election is won by a competing candidate). A faculty member may demonstrate service through an accumulation of other activities such as participation in department hiring activities; admissions recruiting activities, including participation in on-campus admissions events, reaching out to prospective students when asked and/or meeting with prospective students and their families; attending special events for students such as receptions for graduating majors and career panels; 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 also be recognized in this category. Service to the profession may also be included in this category, but it alone does not constitute evidence of effective service. Faculty members in their first year shall automatically be considered to have met expectations in service.

Exceeds expectations. This rating should be applied to a faculty member whose service contributions have been determined to be well above the average level of expectations. Evidence of outstanding service includes such activities as serving in a leadership role on an active college or University committee and/or documentation of significant contributions to an active committee. In addition, serving in multiple service roles, evidence of other leadership, innovation, or other significant service responsibilities may also be considered in this category.

Does not meet expectations. This rating implies that the faculty member is not meeting the minimum expected level of performance and that significant improvement is needed. 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 no or only slight department, college, or university service when options for service were available, consistent failure to attend department meetings and/or significant department functions, consistent failure to attend general faculty meetings and/or participate in academic ceremonies including graduation and honor convocation, or failure to satisfactorily fulfill advising responsibilities. However, a faculty member should not be penalized for having a lighter service load immediately after completing a major service role. Failure to fulfill minimum performance criteria listed in §6.3 as they relate to service is also cause for this rating. This rating may also be assigned for failure to take steps for improvement that emerged from consultation with the chair as a consequence of a previous year's performance.

6.4 ANNUAL EVALUATION DOCUMENTS For templates 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 the annual performance evaluation, pre-tenure, promotion and/or tenure, and unsatisfactory performance review (see §6.8.3). Categories to be addressed and guidelines to complete the FAAR appear at §6.5.

6.4.2 The Curriculum Vitae The formal academic resumé 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 they see 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 §6.2.1.2). The APR will provide a rating for each area of evaluation (teaching, scholarly, creative, and professional activity, and service), as well as an overall rating (See §§6.1 and 6.3). 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 improvement for a stated future period.

6.4.5 Special Assignments Performance Review (SAPR) Supervisors of faculty members with special assignments (e.g., department chair, Director of the Speaking Intensive Program, etc.) should use this form to complete a performance evaluation that specifically speaks to the performance criteria detailed in the faculty member’s original letter of appointment. The SAPR should then be submitted to the faculty member’s department chair or dean (in the case of department chairs) for incorporation into the APR. While special assignments vary, these assignments are generally additional service activities or projects and ordinarily will be included in the service category for the annual review evaluation.

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). If FAAR enrollment numbers differ from those reported to the dean by the Registrar or other record keeping office, include additional explanation. The following abbreviations may be used to indicate whether any of these conditions hold:

N New — course was taught for the first time	RM — Course required for majors
U Updated — course made current with recent work	GE — General education course
R Revised — some of the course material and/or method is new.	WI — Writing intensive course
SR Significantly Revised — most of the course material and/or method is new.	SI — 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 engaging”—§6.3); “Significantly Revised” denotes a thorough course overhaul; “Revised” should be used for courses changed, but neither merely updated nor thoroughly overhauled.

.2 Include all teaching related assignments, such as undergraduate research Identify if any, for undergraduate research projects.

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.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 designation. Note whether project proposals for curriculum enrichment are funded.

.4 List any awards or recognition of exemplary teaching.

.5 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, such as final examinations or their equivalent, representative handouts, additional evaluation tools, or other course materials. If the department participates in peer review as part of their evaluation plan, student course evaluation data must not be included among materials for peer review. In this case, a separate document may be provided to the chair with 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). If the department does not participate in peer review, student course evaluation data and contextual information may be included in the FAAR.

6.5.2 Scholarly 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 for research in the discipline or for professional development (either for university faculty development grants or for external funding) 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 Speaking and Writing Center, Center for Teaching, 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. List as professional service 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 active service on all standing, ad hoc, advisory, and university-wide committees and any office held or leadership role played on special committee projects. List any other university-level service roles.

.2 College List active service on all standing, ad hoc, advisory, and other college-wide committees and any office held or leadership role played on special committee projects; 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 admissions, recruiting, and advancement events; support of student activities; committees, service roles, special tasks or assignments at the departmental level.

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

.5 Recognition List any awards or recognition of exemplary service.

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 specific 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

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appeals, etc., following the sample calendar with dates adjusted to conform with business days. The full calendar applies only if every step is appealed.

Annual Faculty Evaluation Calendar (to be adjusted as described in §6.6.2):

Annual Faculty Evaluation Action	Period/deadline
FAARs and SAPRs (if applicable) submitted to chairs/supervisors (§§6.2 – 6.5)	May 15
Peer review materials (§§6.2.1.1–2) available for examination by peer reviewers (if applicable). Candidates for tenure and promotion follow a modified schedule for peer review (see §7.8).	May 15–August 31
(optional) Annotations of course evaluation results submitted to chairs (§6.5.1.4)	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
Chair-faculty conferences/negotiation as specified in departmental plan	Starting September 8
All departmental materials (§6.2.1.3) submitted to dean; APRs (with evaluation rating) and FAARs are to be given to the dean even if they are not yet signed by the faculty member	September 13
Chair-dean conferences/negotiation (§§6.2.2.2–4); all APRs must be signed by faculty members prior to the chair-dean conference	Sept. 18–October 17
Letters of exception (§6.2.3.1-3) submitted to dean and Provost, respectively	October 25
Written resolutions completed (§6.2.3.1-3)	November 8

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 business days of 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 MERIT PAY ADJUSTMENT PROCESS Should funds become available to award merit increases to faculty, the provost will work with the University Faculty Council to develop a process for making these awards, a process consistent with and based on the annual review process. Merit pay will not be awarded to any faculty member with an overall rating of “unsatisfactory” for the previous evaluation period. See §3.16.

6.8 ADDRESSING UNSATISFACTORY PERFORMANCE [Approved by the Board of Visitors May 16, 1997.]

6.8.1 Addressing a Rating of “Does Not Meet Expectations” Should any faculty member receive a rating of “does not meet expectations” in any one of the three areas (teaching, scholarly, creative, and professional activity, service) on the APR (described in §6.3), then the faculty member and department chair will agree on a plan to improve the faculty member’s performance in that area. The faculty member may appeal the evaluation as described in §6.2.3. 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 meets or exceeds expectations in that area. Per §§6.1 and 6.3, a rating of “does not meet expectations” in the category of teaching will result in an “unsatisfactory” overall performance rating. Additionally, should a faculty member receive a rating of “does not meet expectations” in any one area for two years in a row, the overall performance evaluation in the second year will be unsatisfactory.

6.8.2 Addressing an Overall Rating of Unsatisfactory Should the faculty member receive an overall rating of unsatisfactory, 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 their 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 (§6.8.3) is mandated. One or more overall “unsatisfactory” performance ratings may result in non-renewal of an untenured faculty member’s contract, subject to the due process provisions of §4.5.

6.8.3 Unsatisfactory Performance Review Should a faculty member receive two additional overall “unsatisfactory” performance ratings in a three-year period, they will participate in an unsatisfactory performance review. An unsatisfactory performance review consists of an in-depth examination of the teaching, scholarly, creative, and 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

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review credentials file for those years, the contents and organization of which address the three areas (teaching, scholarly, creative, and 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 §6.8.1) 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 Provost, 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 (see §4.2.5 for possible sanctions); or
- dismissal for cause (see §4.1.1).

6.8.4 Action Taken on Unsatisfactory Performance Review Recommendations The Provost will then make the final decision concerning what action, if any, is to be taken. If the Provost's decision is no additional sanction or a minor sanction, the process ends. Should the faculty member receive a subsequent overall performance rating of "unsatisfactory," that rating would be counted as the first of three before that faculty member would again undergo Unsatisfactory Performance Review (see §§6.8.2 and 6.8.3). If the Provost's decision is a major sanction, including dismissal for cause, the case shall be dealt with according to the provisions specified in §4.

6.8.5 Commitment to Academic Freedom and Tenure Nothing in these procedures for 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 with respect to dismissal for cause.

6.9 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 (§3.13.2). Adjunct faculty must receive at least a "meets expectations" rating in teaching (as defined in §6.3.2) 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 (see §3.X). Academic rank symbolizes and rewards the individual's performance as a teacher, scholar, and faculty member. Promotion to a higher rank is a decision made on an individual basis and is independent from 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 faculty member and the needs of the University (see §4.X).

7.2 GENERAL MINIMUM PROMOTION REQUIREMENTS Promotion in rank is based on achievements in three areas: teaching, scholarly, creative, and professional activities, and service to one's department, the college, and the University. The expectations for achievements are greater in scholarly and 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 contractual responsibilities (see §§5.4.1-5.4.10).

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 or, in unusual circumstances, an equivalent combination of professional education and achievement.

.3 Fulfillment of contractual responsibilities (see §§5.4.1-5.4.10).

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 contractual responsibilities (see §§5.4.1-5.4.10).

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 unusual circumstances, an equivalent combination of professional education and achievement.

.4 Fulfillment of contractual responsibilities (see §§5.4.1-5.4.10).

7.3 INDIVIDUAL CRITERIA FOR PROMOTION Faculty performance is evaluated in three areas of endeavor: teaching, scholarly, creative, and professional activity, and service to the department, the college, and the University. 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

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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, 4.2, and 4.3 of this *Handbook*.

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; decisions of the Board of Visitors on these matters are final. The Board of Visitors fully supports and abides by the statements regarding requirements, criteria, and procedures in this section of the *Faculty Handbook* (and the relevant appendices). 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 (see §3.X). 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. In the case of a faculty hire or an administrative faculty hire, where the administrative faculty member will also be hired with tenured faculty status (for example, a dean who will also be tenured in an academic department), absent any special circumstances, the proposed home academic unit (department and/or college) would be informed of the intent to award academic rank (and tenure) to the new faculty member and will be given the opportunity to review the person's CV and any other supporting information and to express its response to the Provost. The relevant college Promotion and Tenure Committee will be asked to review the person's CV and any other supporting information to determine if the person's academic record qualifies them to be a tenured member of the college's teaching faculty; they will present the results of their review to the Provost. The Provost will then make their final recommendation to the President and Board of Visitors.

7.7 TENURE REQUIREMENTS

7.7.1 General Requirements To become tenured, a tenure-track 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 non-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 (see §7.6.2). 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 §3.15. 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, after consulting with the faculty member and their department chair, 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 The Provost's office will distribute a specific calendar of dates to be followed in a particular academic year, with dates adjusted to conform with business days. The full calendar applies only if every step is appealed.

Tenure and promotion action (sample calendar)	Deadline
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 (peer review for candidates, in departments requiring peer review, may need to be expedited)	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; chair's evaluation and all letters solicited by chair due	August 31
File available to candidate to review materials and to write letter of exception or explication	August 31
File closed to candidate and made available to P & T Committee	September 7
P&T Committee recommendations to dean	January 5
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	January 24
Recommendation of appeal committee to college dean	February 20
College dean informs appellants of the recommendations of the appeal advisory committee	February 24

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College dean makes recommendation to the Provost with copy to faculty member and their chair	March 10
Deadline for candidate to appeal to the Provost	March 17
Provost makes recommendation to the President	April 1
Deadline for candidate to file appeal to President and Board of Visitors	April 8
Candidate 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 followed in the College of Business, 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 (UFAC) is charged with oversight of the promotion and tenure criteria and processes used by all colleges at the University (see §2.6.3). 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 UFAC is charged with ensuring that promotion and tenure criteria and procedures of each college adhere to the guidelines established in the *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 Promotion and Tenure Committee's Recommendation When the College Promotion and Tenure (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. The faculty member must appeal this decision within seven days of the recommendation. Upon receiving an appeal, the dean will form an appeals advisory committee. See §7.8 for deadlines involved in this process. 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 their recommendations with reasons, and shall forward these and the promotion and/or tenure credentials files to the Provost. A copy of this letter will be sent to the faculty member and their 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 their 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 their recommendation and shall submit this letter to the President. A copy of this letter shall be sent to the faculty member, their 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 their 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, their 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 FACULTY MARSHALS Faculty Marshals direct the faculty during graduation, honor convocation, and at any other event where faculty formally process in regalia. The Grand Marshal leads the party platform, carries the mace, and convenes and concludes the Commencement Ceremony from the podium. There are three to five Faculty Marshals in total: one to two undergraduate Faculty Marshals, one to two graduate Faculty Marshals, and one Grand Marshal. While preference will be given for undergraduate faculty to serve as undergraduate Faculty Marshals and graduate faculty to serve as graduate Faculty Marshals, teaching in the specified area for service for Faculty Marshals is not required. Faculty Marshals shall be full-time members of the faculty with at least five years of service; Grand Marshals must have at least 10 years of service. All Marshals shall be appointed by the University Faculty Organization Committee by the same process used to appoint members of faculty committees, as specified in sections §§2.5 and 2.7. Both Faculty and Grand Marshals serve three-year terms and may serve consecutive terms.

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

8.3.1 DISTINGUISHED PROFESSOR EMERIT A member of the faculty who has retired with the title of Distinguished Professor may be appointed Distinguished Professor Emerit by the Board of Visitors.

8.3.2 PROFESSOR EMERIT A member of the faculty who has served the University in some capacity for at least fifteen years and has retired with the rank of professor may be appointed Professor Emerit by the Board of Visitors.

8.3.3 ASSOCIATE PROFESSOR EMERIT A member of the faculty who has served the University in some capacity for at least fifteen years and who has retired with the rank of associate professor may be appointed Associate Professor Emerit by the Board of Visitors.

8.4 FACULTY AWARDS With the exception of the Mary Pinschmidt Award, the University Committee on Sabbaticals, Fellowships, and Awards (see §2.6.7) selects nominees for these awards and presents those recommendations to the Provost.

8.4.1 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.

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

8.4.3 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.

8.4.4 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.

8.4.5 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.

8.4.6 Board of Visitors Leadership Award This award was established by members of the Board of Visitors to recognize a faculty member who has exhibited exemplary leadership in advancing the mission and priorities of the institution. It was first presented in 2021. Additional details are provided in the annual call for nominations.

8.4.7 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.

8.4.8 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

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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.

8.5 ASSORTED ADMINISTRATIVE SERVICES, PROCEDURES, AND POLICIES

8.5.1 Campus Closings

8.5.1.1 Breaks and Official Closings The University officially closes for Spring and Fall breaks, semester breaks, and for the following holidays: Labor Day, Thanksgiving, Martin Luther King Jr. Day, Memorial Day, Juneteenth, and Independence Day. Specific dates for these periods are included in the University Academic calendar, available at [Academic Calendar - Academic Calendar](#).

8.5.1.2 Inclement Weather Closing If weather conditions or other emergency circumstances dictate a change in the University's schedule, the decision to close will be announced as soon as possible through the University hotline (540-654-2424). Notice will also be given on the UMW website, UMW social media accounts, and through campus emails. Every effort will be made to post an inclement weather announcement by 6 a.m. on the day of closing or delayed opening. A decision about evening class changes will be made by 3 p.m. on the day in question. Students, faculty and staff are urged to check these communication outlets periodically for up-to-date information. When the weather conditions permit return to normal operations following a closure or delay, that information will be disseminated as stated above.

8.5.2 Keys Faculty members will be issued building and office keys (or key card access) 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) or the Locksmith (540-654-1643). For additional information, consult the department office manager, department chair, or the University Police or the Locksmith.

8.5.3 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.

8.5.4 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.

8.5.5 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 Procurement Services with questions about specific purchasing procedures. Information is also available at <https://adminfinance.umw.edu/procurement/>.

8.5.6 Travel Regulations Faculty professional travel is governed by Commonwealth of Virginia 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 approvals are required in order for Commonwealth funds to be used for professional travel. UMW uses an online Travel Pre-Approval and Reimbursement system called Chrome River. Faculty travelers need to allow sufficient time for submitting the pre-approval for travel through Chrome River and obtaining all requisite approvals prior to travel. Complete details governing University-supported travel are available at [Travel - Accounts Payable](#).

8.5.7 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: [Accident Reporting - Safety](#). In the event a faculty member is involved in a car accident involving pool cars or university vehicles, they should adhere to the vehicle accident reporting procedures as contained in chapter 20 of the UMW Safety Plan: [Vehicle Safety - Safety](#)

8.5.8 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 their 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 [Smoking - Human Resources](#) information.

8.5.9 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 and Drug-Related Policy, found at [Alcohol and Drug Related Behavior - Human Resources](#). The legal drinking age in Virginia is twenty-one.

8.5.10 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

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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/>.

8.6 ACADEMIC SUPPORT SERVICES

8.6.1 Simpson Library The University's library strives 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 over 367,000 printed volumes and a Government Resources Depository Collection, as well as the University Archives and Rare Book Collection. Simpson Library also offers access to over 100 databases and 42,000 electronic books.

8.6.2 Digital Learning Support Digital Learning Support (DLS) is a service organization that helps students and faculty develop the skills they need to integrate digital technologies into their teaching, learning and research at the University. Support for students is provided by the Digital Knowledge Center (DKC) with student peer-tutoring on a wide variety of digital projects, tools, and techniques. Students can sign up for consultations around different technologies used in their classes or meet with peer consultants to discuss projects and learn new skills. For faculty, support is provided by DLS staff including consultations around integration of digital tools into courses, creation of digital projects, or design of hybrid or fully online courses.

8.6.3 Center for Teaching The University of Mary Washington Center for Teaching supports excellence in teaching and advances student learning at the University through a variety of programs. The Center: offers resources and support for evidence-based teaching and learning practices that create opportunities for applied, impactful learning experiences; cultivates a collegial culture of teaching excellence on campus; serves as a hub connecting the university community across centers, services and departments; and provides holistic support for faculty throughout their careers. Additional information about the University Center for Teaching is available the [Center's website](#).

8.6.4 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.

8.6.5 University Bookstore Operated by Barnes and Noble College, the Bookstore serves as a primary agent through which course textbooks are ordered and sold. Instructors will find the textbook adoption details on the Bookstore website. The Code of Virginia §23.1-1308 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.

8.7 ACADEMIC SERVICES AND SUPPORT FOR STUDENTS

8.7.1 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 Handbook* (see §5.4.10). The Office of Academic Services offers a variety of student services 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).

8.7.2 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. The Office is also responsible for managing an electronic degree auditing system enabling faculty advisors to track the progress of advisees' graduation requirements.

8.7.3 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 Office of Disability Resources [website](#) 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.

8.7.4 Speaking and Writing Center The Speaking and Writing Center is open to all students. Operating within the Honor Code, the Speaking and Writing Center offers free tutorial assistance.

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to students, regardless of major, both for course assignments and for personal speaking and writing needs. Trained tutors work with students one-on-one to improve 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. The Center also 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. Consultants are also prepared to offer advice on special types of oral communication activities, such as speeches, group presentations, debates, or interviews.

8.7.5 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.

8.7.6 Center for International Education Students considering studying abroad work with the Center for International Education (CIE) to plan their 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 and academic and social adjustments.

8.7.7 Career Services The Center for Career and Professional Development provides instruction on career planning and search strategy, individualized coaching, and a variety of resources and programs designed to empower students for success in life and career. The Center supports these efforts by facilitating connections between students, alumni, and employers. The Center also offers career planning programs and services for first-year through graduate students, and for alumni as well. The Center 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. Through a portal called [Handshake](#), students can search for internship opportunities. Counselors at the Center help students navigate an internship search through one-on-one appointments and workshops. Finally, Career Fairs hosted by the Center bring prospective employers to campus each year. Varieties of resources are available online through the website at www.umw.edu/careercenter.

8.7.8 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 <https://students.umw.edu/>.

8.7.9 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/>.

8.7.11. Digital Knowledge Center The Center provides peer support to all University students on digital projects and assignments. Students can schedule one-on-one or small group consultations with a trained student consultant on a variety of subjects relating to common systems, technologies, and tools used in courses at UMW. Students interested in sitting down with a consultant to discuss an extracurricular project are also welcome to schedule appointments.

APPENDIX A

FACULTY PERFORMANCE EVALUATION FORMS

FACULTY ANNUAL ACTIVITIES REPORT

For the period _

Name: _Date: _

Department: _Signature: _

Please complete this form (instructions at §6.5) 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 §§6.5.1.1–3)

1. List all courses taught and enrollments (class size after drop-add period). Note any special features of the course (see §§6.5.1.1–2).
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 §6.5.1.2).
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 §6.5.1.3).

Scholarly, Creative, and Professional Activity (see §§6.5.2.1–3)

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 §§6.5.3.1–4)

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 University personnel file (§3.13.2.2); 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 University 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 University 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 not supply marital status, age, ethnicity, 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 Provost'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"*).

SECTION 2 —GOVERNANCE

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

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- 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

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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. 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

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 All language defaults to gender-neutral pronouns.

E.1.5 Rules on Capitalization

1. Avoid ad hoc capitalization.
2. Capitalize the word university when referring directly to the University of Mary Washington as a title or entity. Do not capitalize informal or general references, such as referring to a university-wide policy.
3. Do not capitalize seasons or semesters.
4. Capitalize only the official and complete names of colleges, schools, departments, divisions and offices. (Ex: UMW Theatre or the Department of Theatre & Dance) Do not capitalize informal or general references. Examples: the theatre department.
5. Capitalize the full, official names of buildings and places on campus, such as The Jepson Center or James Farmer Hall.
6. Capitalize when referring to the faculty as a governance unit. Lowercase when used as a general term.
Ex: The proposal must be voted on by the University Faculty.
Ex: An invitation to the pancake breakfast was sent to all university faculty.
7. Proper nouns and official names are capitalized. Common nouns and informal forms of official names are not capitalized. Capitalize a job title if it immediately precedes a name.
8. Sections of the *Faculty Handbook* should be capitalized, though not italicized:
Ex: §3.13.5 Sabbatical Leaves, Appendix A, Section 2
9. Items in lists are not normally capitalized in the *Handbook* (cf. E.4) unless they are part of a full sentence.
10. Standard style guides, including The Chicago Manual of Style and Associated Press Stylebook and Briefing on Media Law require lowercase letters in running text for things like job descriptions and unofficial department names.

E.1.6 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

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Board of Visitors for approval.

E.2 GENERAL *FACULTY 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 E.4.

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 or names of individuals occupying specific job titles.

E.3 TYPEFACES

E.3.1 Use of *Italics*

1. *Italics* should be used for all *publications*, both of the University and external; for the introduction of *technical and specially treated terms*; for *foreign* words (excluding words common to academia such as curriculum vitae, ex officio, and ad hoc); and not for common Latin abbreviations (e.g., i.e., cf., et al., etc.).
2. 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”).
3. 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.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.3.4 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:

- | | |
|---|---|
| <p style="text-align: center;"><i>List 1</i></p> <ul style="list-style-type: none"> • academic advising • career advising • club sponsorship | <p style="text-align: center;"><i>List 2</i></p> <ul style="list-style-type: none"> • 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.4.2 Lists are normally single-spaced. For three or fewer items, incorporation into the paragraph is usually preferable.

E.5 NUMBERS IN 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:

Ex: 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:

Ex: 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; 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.

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