

## **CHANGES TO THE *FACULTY HANDBOOK***

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(For the *Handbook* to be adopted in April 2011 and which would take effect in August 2011)

The draft of the *University Faculty Handbook* contains a number of changes. This document summarizes the major differences between the proposed new university *Handbook* and the one approved last April (which was deliberately approved as a one-year document only).

Some *Handbook* sections were again modestly re-written to improve clarity or to correct obvious mistakes; these changes have not been individually marked.

New items representing significant changes in policy or procedure are indicated in **red** type, with these exceptions. All of section 4 is new; the red note at the start of the section indicates that (rather than writing the entire section in red). Several committees that were once part of the CAS organization (e.g. the Budget Advisory Committee) have moved to the university level; the note at the start of Appendix F indicates that several committees have been deleted from the CAS appendix and have moved to the university level.

In section 2 and Appendix F, text in **blue** indicates sections of the *Handbook* that have to undergo votes by the separate colleges in order for those changes to be official. This requirement is specified in §2.3 of the 2010-11 *University Faculty Handbook*.

This draft *Handbook* has again reorganized some material, and deleted a few items that were needlessly included in last year's version. Items that have moved location aren't indicated – there would just be too many such changes to list. Unless a deletion is particularly noteworthy, it has not been identified separately in the list of changes you will see below.

Here is a list of significant by section of the *University Handbook*.

### **SECTION 1**

- The revised mission statement approved by the Board in November 2010 is included. The section on university history notes the Dahlgren campus.
- §1.3, Statement of Community Values, is slightly revised (as adopted by the Board in February 2011).
- §1.4 includes the Principles on Diversity and Inclusion (as adopted by the Board in February 2011).
- §1.12.3 is a new section, explaining the purposes of the various appendices to the *Handbook* and indicating that material in each appendix is created and maintained by separate offices or groups.
- §1.12.4 (Enacting Amendments to the *Faculty Handbook*) clarifies that amendments take effect in August at the start of the academic year unless otherwise specified.

**SECTION 2**

- §2.1.3 adds the requirement that the five faculty members requesting a special meeting of the general faculty must include at least one representative from each college.
- §2.1.8 changes the requirement for a quorum at a general faculty meeting to be 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.
- §2.3 is revised to reflect the UFC's ongoing roles and purposes. This section was approved by the UFC on February 15, 2011, and was also approved by a separate vote by each of the colleges.
- §§2.4-2.5 describes the new university-level committee structure and specifies procedures for elections, appointments, and other details required to constitute the committees. Much of this material is adapted from earlier versions of *UMW Faculty Handbooks*.
- **By UFC Action on March 15, 2011**, §2.4.3.4 was changed to alter the timing of university-level committee reports to the UFC. The change requires that any reports by university-level committees to be made to the UFC are provided as a courtesy to the College Governing Bodies, who can then submit opinions and comments to the UFC before the UFC acts on the committee reports and proposed actions.
- §2.6 lists each of the University Standing Committees, and details their memberships and duties. This section was approved by the UFC on February 8, 2011, and was also approved by a separate vote by each of the colleges. On April 5, the UFC slightly modified the wording of §2.6.1 to make the procedures for appointing faculty members to the University Academic Affairs Committee consistent with procedures used for other appointed committees.
- §2.7 provides a general overview of Advisory and Special Interest Committees. Much of this material is also adapted from earlier versions of *UMW Faculty Handbooks*.
- §2.8 lists each of the University Advisory and Special Interest Committees, and details their memberships and duties. This section was approved by the UFC on February 8, 2011, and was also approved by a separate vote by each of the colleges.

**SECTION 3**

- In §3.1, the terms "appointment" and "contract" have been used consistently throughout; in earlier *Handbooks*, the language was not consistently applied. Rather than marking all these corrections, the general principle is noted here. As an example, this statement characterizes the relationship between an appointment and the contract: "Tenured faculty are notified each year, in writing, of their reappointment by the Board, and are asked formally to acknowledge that reappointment by signing the appointment letter. In so doing, they indicate acceptance of the employment offer and thereby establish a contract with the University for the following year."
- In §3.1.3, a provision is added to enable the Provost to grant an exception to specified limits for the percentage of Renewable Term Appointments that may exist in any one department or

college. This provision is in effect until August 2016, after which time there may be no exceptions to the limits of no more than ten percent of the number of tenured faculty appointments in the college and no more than twenty percent of the full-time faculty in any one department.

- In §3.3.3.2, the phrase “if the department completes peer evaluations” is added for clarity.
- §3.11.2 adds a statement about academic work (including grading and/or submitting grades) as among the activities that an immediate family member may not perform with respect to his/her spouse, child, sibling, etc.
- §3.11.4 was added at the request of the Office of Human Resources. This statement describes the actions a faculty member must take in the event that he/she runs for public office and what the person must do if elected. These provisions are added in the interest of ensuring compliance with conflict of interest law in Virginia.
- §3.13.5 includes some changes about sabbatical application procedures, due dates, and announcement of sabbatical awards.

#### SECTION 4

- This entire section is new. It is modeled on procedures in place at other Virginia institutions (most notably The College of William and Mary), and it seeks to provide clearer structures and processes for actions involving financial exigency, termination of faculty appointments before the end of the appointment term, and sanctions in cases involving violations of university policy or academic misconduct in scholarly activity or research.

- The intent of the new material in §4 is to provide greater clarity and procedural guidance but not to undermine the authority of the President or the Board of Visitors. For example, §4.1.1 (Financial Exigency) states that the “ultimate authority over these decisions rests with the President and the Board of Visitors.” Throughout the section, various procedures are described as advisory and “not binding on the President.”

- **SPECIAL NOTE:** President Rick Hurley reviewed the first version of this section, and his review led to three concerns. First, he thought the original proposed new language could potentially restrict the authority of the Provost and the President too much. Even though there was language about the President and the Board retaining final authority on these matters, President Hurley was concerned that the procedures might become too confrontational given the way some of the requirements were expressed. He preferred that the language be revised to indicate that the Provost and President would lead on such matters (and collaborate with faculty) rather than react to faculty decisions.

Second, regarding the matter of appeals to the Board, President Hurley said that the only time the Board should be involved in appeals was in the case of an alleged violation of due process.

This was his sense of the Board’s preference, and it is consistent with the typical appeal role the Board has performed.

Finally, President Hurley believed the UFC should take the lead in collaborating with the Provost (and ultimately the President) rather than other specified committees. He acknowledged that the UFC could delegate such a task to other committees. His suggestion was that the language in some parts of the proposed policy might be better if it indicated “UFC or other committee of their choosing.”

The section 4 draft was revised to take these concerns into account. The Faculty Handbook Advisory Committee approved all of the adjustments, and President Hurley stated that the changes made resolved all of the concerns he had initially expressed.

## SECTION 5

- New language is added to §5.1 to better define the terms “academic freedom” and “academic responsibility.” Section 5.1 would read as follows.

**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. [This change was adopted by the UFC at its meeting on April 5, 2011.]

- §5.4.2 specifies the credit hours of a full teaching load for faculty on 9- and 12-month contracts. **Please note:** this section also states that individual teaching loads will vary, and that the department chair in consultation with individual faculty and with approval of the dean determine teaching loads each semester. The purpose in specifying the credit hours associated with a full teaching load is to be clear about the point at which overload compensation would be justified.

- §5.4.4 is a new statement about classroom teaching and academic freedom.

- **In §5.4.7 (Office Hours), the last sentence was changed by UFC action on March 15, 2011** to read as follows: “**Regarding** these general understandings, the faculty, department chairs, and dean of each college will determine the nature and scope of specific office hours expectations for the college.” (The word “regarding” replaced the word “beyond.”)

- §5.4.9 offers a reminder that failure to submit grades in a timely fashion causes problems for students as well as staff members in a variety of offices.

- §5.4.11 offers a reminder that faculty should offer to aid students who are in need of additional academic assistance by either providing the help or by referring students to the appropriate office for additional assistance (such as the Office of Academic Services).

- §5.4.14 modifies the language about participation in academic ceremonies, and indicates that each college establishes policies for faculty attendance at such ceremonies and the procedures for being excused from attendance.
- In §5.6.2, the statement on outside employment and consulting is somewhat revised in order to better clarify requirements for notification and approval of outside employment. The same section clarifies the cases in which outside employment requires prior notification and approval (it applies to “long term” employment – obligations of more than a semester in length).
- §5.6.4 advises faculty to avoid activities that might cause either an actual or a perceived conflict of interest.
- §5.6.4 advises faculty that the Code of Virginia prohibits faculty from receiving payment from a publisher as an inducement for adopting a particular course textbook (royalties from the sale of the instructor’s own writings are allowed). This section also reminds faculty that the Code of Virginia prohibits the resale of sample copies, instructor's copies, or instructional material the faculty member may have received from publishers.
- §5.8 (Grievance Policy and Procedure) is revised in several places to refer to the University Faculty Appeals and Grievance Committee (rather than the former *ad hoc* approach to establishing a committee that would hear a faculty grievance). The policy no longer includes an option to appeal to the Board of Visitor, and states that the President’s decision is final in the event of any appeals reaching the President.

## **SECTION 6**

- In §6.2.1.1, the statement is re-written to better express that all tenured, tenure-track, renewable term appointments (lecturers and senior lecturers), and any other faculty on continuing multi-year contracts are annually evaluated. (This change is needed to cover faculty still on the rolling three-year contracts that will expire in August 2012.)
- Also in §6.2.1.1, there are specifications of the weights that faculty with special assignments (such as program directors) may set for their annual evaluation categories (teaching, professional activity, service, and the special assignment).
- In §6.2.1.9, a new statement is added to emphasize that different disciplines, departments, and colleges may have varying definitions of what constitutes professional activity and that individuals should familiarize themselves with these expectations.
- §6.2.3.3 clarifies that if the dean changes a faculty member’s merit evaluation score from what was submitted by the department chair, the faculty member may appeal by writing a *letter of exception* to the Provost.
- §6.5.1 explains that faculty on 12-month contracts list summer courses on the FAAR, and that faculty on 9-month contracts may list summer courses. Some new codes are added to use when identifying, for example, graduate courses.

- In §6.5.1.4, the phrase “as part of peer review” is added for clarity.
- In §6.9.3, the change makes clear that Promotion and Tenure Committee of the faculty member’s college is the one that conducts an unsatisfactory performance review (when warranted).  
§ In §6.10, the term “meets expectations” replaces satisfactory (in order to be consistent with the evaluation language explained in §6.1).

## **SECTION 7**

- This section contains general guidelines, expectations, and deadlines that apply to the promotion and tenure processes at the University. In several places, the section points out that each college has a separate tenure and promotion policy document containing additional information about tenure and promotion criteria and procedures. (Those documents appear as appendices I, J, and K.) Applicants for promotion and/or tenure are reminded to 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 are detailed in the relevant appendix.
- §7.2 has revised wording to indicate that the expectations for achievements are greater in professional activity as one moves up the ranks. Previously, the statement said all expectations were greater, but the wording of P & T standards does not actually support that generalization.
- In §7.2.1, the statement that minimum standards for promotion to senior lecturer require a pattern on annual merit level 2 evaluations is deleted in favor of a statement that promotion requires “fulfillment of professional responsibilities” (and at least five years in rank as a lecturer). This change makes this section of minimum promotion standards consistent with the language used for expressing minimum standards promotion to other ranks.
- §7.3 adds the statement that candidates must meet the criteria in all three areas of evaluation after the statement that the area of teaching performance is “preeminently important.”
- §7.11 makes reference to the University Faculty Affairs Committee (UFAC) and the fact that it is charged with oversight of the promotion and tenure criteria and processes used by all colleges at the University. This section also mentions that the UFAC has developed a set of guidelines and expectations for those processes and procedures and is also charged with oversight duties to ensure that each college upholds the University’s general standards as expressed by the UFAC, other University standards, and expectations as articulated in section 7 of the *Faculty Handbook*.

## **SECTION 8**

- Trimmed down and reorganized slightly (again). The biggest change is the deletion of the procedures for nomination of Distinguished Professors (§8.1). This change was made at the request of the UFC.

- The award for graduate teaching is listed (§8.3.2), and short descriptions of available students services (§8.6.8) and the UMW Cares Team (§8.6.9) are provided.

**APPENDIX A**

- Includes all the evaluation forms; the weighting form has been updated to include proposed weights for faculty with special assignments.

**APPENDIX B**

- Will include the most current version of the Honor Constitution.

**APPENDIX C**

- Policy and statements on academic freedom – the only change is to make reference to the University Faculty Committee on Appeals and Grievances as the group to hear allegations involving a violation of academic freedom.

**APPENDIX D**

- Procedures for student grievances against faculty members – the only change is to make reference to the Faculty Committee on Appeals and Grievances.

**APPENDIX E**

- The *Handbook* Style Guide is unchanged.

**APPENDIX F**

- The Rules of Order for the College of Arts and Sciences Faculty Senate and CAS Faculty Committees. Several committees that were CAS Committees will migrate to be university-level committees (pending all necessary approvals) and are therefore deleted from this section. The membership of the P & T Committee now reflects the requirement of including an external member (one faculty member from outside CAS).

**APPENDIX G and H**

- These will include the governance procedures and committee structure for the College of Business and College of Education, once those are documented in a form that can be included as an appendix. At this point, Appendix H has a description of the current College of Education Committee structure (in place for 2010-2011); this information serves as a placeholder until the document describing faculty governance and the committee structure in the College of Education is prepared. The College of Business governance section (Appendix G) contains blank pages at the moment, pending receipt of material from that College.

**APPENDIX I**

- The Promotion and Tenure Procedures for the College of Arts and Sciences, as reviewed and endorsed by the University-level oversight committee. These are by and large the procedures that were formerly in the CAS Faculty Handbook with only a few changes.

**APPENDIX J**

- The Promotion and Tenure Procedures for the College of Business, as developed by that college and reviewed and endorsed by the University-level oversight committee.

**APPENDIX K**

- The Promotion and Tenure Procedures for the College of Education, as developed by that college and reviewed and endorsed by the University-level oversight committee.

**APPENDIX L**

- The rules of order for University Faculty Council meetings are provided here, along with the form to be used to report the formation and membership of a university-level *Ad Hoc* Committee.

**APPENDIX M**

- The rules of order for general faculty meetings are provided here (this material was in §2 of the 2010-2011 *University Faculty Handbook*).

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