

ARTS & SCIENCES

FACULTY MANUAL

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Foreword

This updated *Faculty Manual* was created to serve as an introduction and a reference for all faculty in Arts & Sciences. Our work together providing higher education to students at the undergraduate and graduate levels has never been more important. Although we work alongside one another in our separate disciplines, we are a cohesive faculty who share high aspirations for ourselves, our students, and our community. Increasingly, over the past twenty years, we also teach and do research that crosses boundaries, as our general education COLL curriculum demonstrates. Together we create and implement the curriculum followed by all our students; we inspire one another to produce innovative research in a broad range of fields, individually, collaboratively, and with our students; and we work together to uphold our joint values through shared governance. As members of Arts & Sciences, we have privileges and responsibilities. This *Manual* provides a guide to those privileges and responsibilities and establishes expectations for all of us. Deans, the Faculty Affairs Committee, faculty, and staff have contributed to this update of the 2012 edition.

We hire faculty into Arts & Sciences who show exceptional promise in research and teaching. We have high expectations that faculty who join our community will realize that promise, and we do our best to provide support for their endeavors. We have the privilege of being evaluated for and deservedly receiving tenure in our sixth year, as a recognition of our accomplishments at an important moment in a dynamic career trajectory. Tenure ensures academic freedom over the course of a long career. Successful preparation for tenure usually involves, in consultation with senior colleagues, the completion of the equivalent of a first major project or significant body of work that takes different forms according to the discipline and that draws recognition, respect, and national attention. We anticipate that approximately six years after tenure, faculty will have completed a second major project or significant body of work and that their reputations will have grown to an international level. Promotion to the rank of professor in the twelfth year should be a marker of recognition of that record of accomplishment.

In Arts & Sciences, we balance research with teaching and place high value on teaching. We have high expectations for the motivation of our faculty to excel at teaching and mentoring students at all levels. In the interest of supporting faculty with this goal, Arts & Sciences and the university offer opportunities to develop and improve teaching ability and to transform potential into success. These opportunities include mentors provided within Arts & Sciences in the first year by the Charles Center and regular offerings of seminars and workshops on teaching the COLL curriculum offered by the Center for the Liberal Arts. We take teaching very seriously into consideration in evaluations of faculty for third-year renewal, tenure, and promotion.

Shared governance is another privilege we as faculty take seriously. Participation in service gives a faculty member a stake in the community and a voice in making decisions about how

we govern ourselves and what direction we choose to take. Shared governance unifies us as a faculty as much as our COLL curriculum does. It provides faculty with the opportunity to participate in conversations about our goals and aspirations as scholar-teachers for our university, now and in the future. Participation in governance should also be measured according to one's rank within the faculty. Participation before tenure allows new faculty to step into our community, beyond the home department and/or program, to learn how Arts & Sciences functions and how varied we are across our departments and programs. More participation is desirable after tenure. At the same time, my expectation is that mid-career faculty will maintain the momentum of their research and teaching that comes with tenure. They should keep innovating and producing scholarship and success in the classroom that will lead to a substantial dossier for promotion to the rank of professor. My highest expectation for service is for full professors, as senior members of the faculty, to devote more time to providing leadership for our community.

Together, the deans in Ewell Hall have created guidelines that clarify internal processes within Arts & Sciences such as the standard practice for promotion to Senior Lecturer, or deferral of an SSRL (sabbatical leave). It is important to consult Chairs, Program Directors, and Ewell Hall "contact" deans for more information.

We have an outstanding community in Arts & Sciences, comprised of faculty and staff working together, and I am proud to be your Dean. I hope this *Manual* will be useful to you.

—Kate Conley, DOF

I. Introduction

The *Faculty Manual* contains policies and procedures directly applicable to all members of the Arts & Sciences faculty. These policies and procedures, approved by the Arts & Sciences faculty, both inform and direct the professional activities and responsibilities of Arts & Sciences faculty on matters of significant academic concern. The policies and procedures contained herein do not supplant the provisions of the *Faculty Handbook*, approved by the Board of Visitors, which are applicable to all faculties at the university. Arts & Sciences faculty members must adhere to the policies and procedures contained in the *Faculty Handbook*, the Arts & Sciences *Faculty Manual*, and departmental and program policies and procedures, which are not contained in this *Faculty Manual*. The academic policies described here overlap in some cases with the *Undergraduate Catalog* and the *Graduate Arts & Sciences Catalog*. The policies described here apply more specifically to faculty.

II. Undergraduate Academic Policies and Procedures

In keeping with the *Bylaws* of the Faculty of Arts & Sciences, the Educational Policy Committee shall recommend to the Faculty any changes in undergraduate educational or academic policies here or in the *Undergraduate Catalog*.

A. Class Rosters

Class rosters are available in Banner Self-Service and reflect real-time registration for an enrollment in classes. Faculty members are to indicate to the Registrar any discrepancies between the class roster and class attendance.

For policies on the add/drop period and course withdrawal, see the Undergraduate Catalog > [Registration and Withdrawal](#).

B. Add/Drop Policies

A period of course adjustments (adds / drops) during which dropped courses will not appear on the student's record occurs during the first 15% of classes (8 days during fall/spring). Students

may drop and/or add courses using Banner Self-Service according to procedures and deadlines published on the website of the Office of the University Registrar. Permission of faculty is not required for schedule adjustments during add/drop. A student may add a course after the add period only in unusual circumstances, and must have the consent of the instructor before a petition is considered by the Committee on Academic Status.

C. Course Withdrawal

Students may withdraw from a course without penalty through the ninth week of classes (or 60% of a shorter term) by using Banner Self-Service. The grade of “W” is assigned. Faculty are urged to assign and grade some substantial course work in each class prior to the end of the ninth week of classes. Students cannot withdraw from a course after the ninth week without the permission of the Committee on Academic Status. In cases of personal emergency, usually medical, a student may petition the Committee on Academic Status, which, if convinced of the extenuating nature of the circumstances, may assign a retroactive withdrawal. For further information, see the Undergraduate Catalog, “Academic Regulations.”

D. Course Syllabus

Each student shall receive a syllabus at the beginning of every course. The syllabus shall give the student some understanding of the intellectual content and educational goals of the course. It shall also indicate any class sessions that will be taught online or at any location other than the classroom assigned by the Registrar. The syllabus shall be in an accessible format (i.e. readable by assistive technology). It shall state the factors that will be taken into consideration in assigning a grade including grading equivalences, and to the extent feasible, the general weight that will be given to each of the factors. No major course assignment shall be added or changed during the semester. For example, a term paper should not be assigned halfway through the semester. Less important changes in reading assignments or scheduled papers or tests may be necessary, but they shall be made with as much advance notice as possible, and they shall not constitute a major increase in the responsibilities of students.

E. Meeting Classes

1. Student Responsibilities

Effective classroom instruction is predicated on the concept of regular class attendance. See the Undergraduate Catalog > Class Attendance.

2. Faculty Responsibilities

Faculty members are expected to meet their classes at the time and places designated in the schedule of classes. For courses with a *synchronous* online component, faculty members are expected to meet their classes at the time designated in the schedule of classes and in the context designated in the syllabus. When a course has a designated *asynchronous* online or virtual component, faculty members are expected to state in the syllabus requirements for participation as well as preferred methods of communication. Any changes in the regular schedule must be approved by the department chair and the Registrar.

If an emergency, illness, disability, or anticipated absence should prevent a faculty member from teaching a class, he or she shall notify the department chair and make appropriate provisions consistent with the course syllabus.

The university does not cancel classes for religious holidays, but an individual faculty member may cancel or reschedule a class if it conflicts with a day of religious observance in his or her faith. The faculty member, in consultation with the department chair, should determine whether the class should be rescheduled.

A faculty member, where feasible, should be alert to a student's frequent or prolonged absences and should contact the Dean of Students' office to ensure that the student may receive support and assistance if he or she is experiencing unexpected or difficult circumstances.

F. Faculty Accessibility and Office Hours

Faculty members are expected to be available to students and colleagues during the academic calendar of registration, classes, and examinations. Especially critical times are at the beginning and end of each semester when registration occurs, grades are reported, and decisions on academic or degree status are made. Generally, regular office hours shall be held at a campus location, and the schedule of office hours shall be listed on course syllabi, posted on the office door, or otherwise made available to students. In setting this schedule, faculty should be aware

that office hours spread over different days and times of day will reduce possible conflicts with students' schedules. In the case of EPC-approved fully online or hybrid courses, faculty members shall be available synchronously, as well as asynchronously, during office hours to students off campus in a manner accessible to these students (such as by telephone or video chat). Faculty members shall also be available to students for consultation by appointment.

G. Evaluation of Students

Each faculty member has a responsibility to his or her students to evaluate the quality of their work carefully, using the documented evidence of papers, tests, reports, projects, classroom performance, and examinations, as appropriate.

H. Student Course Evaluations

Departments and programs shall offer students the opportunity to evaluate all sections of all courses, including those taught in summer school, through the university's online course evaluation site. Course exclusions must be approved through the Office of the Dean of Arts & Sciences. Although departments may have specific policies related to the use of instructor/course evaluations, all departments shall use a survey instrument that enables the collection of quantitative data on teaching performance, and shall include on this form common questions approved by the faculty. Students are to be informed that their evaluations will not be reviewed prior to submission of the final grades in the course. Faculty members shall not be present while the students are completing the evaluations, whether online or paper, and must not see the evaluations before final course grades are submitted. To this end, course evaluations will not occur during the exam period. In the event a paper evaluation is distributed (e.g. mid-term evaluation, teaching assistant evaluation), the evaluation form must be collected and tabulated by someone other than the instructor.

I. Final Examinations

A final examination is an important part of the evaluation of each student's work, and is expected in all courses except seminars, colloquia, studio, or writing courses where final examinations may be unnecessary or inappropriate. The final examination schedule can be viewed at www.wm.edu/registrar.

The time allocated for in-class final examinations is three hours, unless a shorter time is specified in the course syllabus. The deadline for returning take-home final examinations is the scheduled examination date for that class.

1. Conflicts

Except in narrowly defined circumstances, changes in the examination schedule are not allowed. Requests to reschedule a final examination may be made under the following circumstances:

- When a student has three scheduled final examinations in four consecutive exam periods on consecutive days.
- When there is a conflict between a student's scheduled examinations.
- When a student wishes to take an examination with a different section of the same course.

A student taking a course in which there are two sections taught by the same instructor may be permitted, with the instructor's approval, to choose in which of the two final examination periods they wish to take the exam. The student has the responsibility of notifying the instructor in writing four weeks before the end of classes.

A student taking a course with multiple sections taught by more than one instructor may be permitted, with the approval of the department chair and both instructors, to change examination sections. The department chair (or instructors) must certify that the multiple sections have the same or similar syllabi and final examinations.

Such requests to reschedule a final examination within the examination period should be filed with the Dean of Undergraduate Studies via the Office of Academic Advising in Room 169 of Swem Library. Requests must be made by the last day of classes for the semester.

All other requests for exceptions to the examination schedule should be filed with the Dean of Students Office, located in the Campus Center, Room 109, and may be made on the basis of extenuating circumstances such as:

- Medical circumstances (physical and psychological) verified by a healthcare professional
- International student travel complications without alternatives
- Family emergency, such as death of a close family member

- Conflict with a religious holiday/service
- Interview or training for a permanent job that cannot be rescheduled
- Interview for graduate or professional school
- Activities in which the student is formally representing the university

Supporting documentation must be provided with the request. Students should not assume that a request is approved until they receive written approval from the appropriate dean. Individual faculty members may not grant permission to reschedule or defer a final examination.

Final examinations that are deferred will be scheduled for the first full week of classes of the following regular semester. Students with deferred examinations will receive an initial grade of “I,” incomplete. In this case, the “I” grade should be changed as early in the following semester as possible.

No test or final examinations may be given during the last week of classes or during the period between the end of classes and the beginning of the examination period or during any reading period. Other assignments, such as projects, short quizzes, homework and papers may be due during the last week of classes as long as they do not total more than 25% of the final grade. There is no restriction on material due during the regularly scheduled final exam period.

This policy does not apply to final laboratory examinations, in-class presentations, oral examinations, performance courses, kinesiology activity classes, COLL400 and senior thesis projects, on-campus COLL300 courses, independent study projects and one-credit courses. In exceptional circumstances, the Dean of Undergraduate Studies may waive these requirements.

Students who are assigned tests or examinations in violation of any of these rules should contact the Dean of Undergraduate Studies in Ewell Hall.

J. Reporting Grades

Near the end of every semester, the University Registrar’s Office will send forms and instructions, including deadlines, for submitting semester grades for regular students, for submitting semester grades for graduating seniors, for resolving deferred grades (“I” & “G”) for regular students, and for resolving deferred grades (“I” & “G”) for graduating seniors. All four of these may have separate due dates. Grades for graduating students will have earlier due dates. Faculty are required to meet these deadlines so that students can be graduated, transcripts can be generated, and records can be reviewed for academic continuance in a timely fashion. It is the responsibility of each faculty member to make sure that he or she submits final course grades in Banner Self-Service before the deadline.

1. Grading System

See the Undergraduate Catalog > System of Grading.

a. Deadline for Reporting Grades

It is essential for faculty to submit grades by the published final deadlines (i.e., deadline for graduating seniors, deadline for all other grades) so that the Committee on Academic Status and the Committee on Degrees can make continuance and graduation decisions in a timely manner. The dates and hours of the published final deadlines are firm. Every semester, immediately after each deadline has passed, the University Registrar will begin to identify the missing grades and will then send the contact deans the names of faculty members who have not yet submitted grades, along with the course names and any communications that they have had with the faculty member. The deans will contact department chairs and program directors and work with them and with the Registrar's office to ensure that the late grades are turned in as soon as possible. The deans will then determine, on a case-by-case basis, whether to excuse the tardiness. If it is not excused, the deans will forward the names to the Dean of the Faculty, who will send the faculty member (and his or her Chair or Program Director) a letter explaining the seriousness of the grading deadline. Should a second offense occur within the next three years, the faculty member and the Chair or Program Director will personally meet with the Dean to discuss the matter. Subsequent offenses may be considered misconduct, and procedures described in the Faculty Handbook for Institutional Sanctions will be followed.

b. Change of Grade

To change a grade after it has been reported, an instructor must request the Dean of Undergraduate Studies to authorize the University Registrar's Office to make the change. Grade change forms are available on the University Registrar's Office web site. Included in the request shall be a brief statement about the grounds for the change. Grade changes based on clerical error (as opposed to reevaluation of student's work) may be made at any time until a student graduates. All other grade changes are regulated by the grade review procedure. As stipulated in the Undergraduate Catalog, the student record is sealed upon graduation, and no grade changes are permitted after graduation.

K. Grade Review

A student who believes that a final course grade has been unfairly assigned may request a review of the grade by the end of the sixth week of the next regular semester following the semester or summer session of record or, if the review is requested following conversion of a temporary grade to a permanent grade, six weeks following the change from the temporary to the permanent grade. Given the deadline for review requests, *no grades will be changed more than one year after initial issuance or after a student's degree is conferred, whichever comes first. This request must take the form of a written statement explaining the reasons for the request (see 2 below). The following procedures will be followed.*

1. The student must first confer with the instructor of the course to discuss the grade. The student may wish to ask about such matters as the particular strengths and weaknesses of his or her course work, the general grade scale utilized by the instructor, and the relative ranking of the student's work in the class as a whole.
2. If the student is not satisfied by this discussion, or if the instructor's absence from campus precludes a discussion, he or she may, following the schedule above, present a written statement requesting a further review and giving a full explanation of the reasons for the request. *This written statement constitutes a formal request for a grade review.* The statement shall be sent to the instructor and the chair of the department or director of the program in which the course was taught. If the course is cross-listed in two or more departments or programs, the chair of the faculty member's home department will be the one to receive the written statement. If the grade in question was given by the department chair or program director, the student will ask the Dean of Undergraduate Studies to appoint another faculty member of the department or program to oversee the further review process. Unless the chair or director (or faculty member appointed by the Dean of Undergraduate Studies, in cases where the grade in question was given by the chair or director) decides the student's case is wholly without merit, he or she shall discuss the matter with the instructor and seek to resolve the issue. This part of the review process should be completed within three weeks of receipt of the written statement from the student.
3. If the student is not satisfied with the outcome of the above procedure, she or he may appeal in writing to the Dean of Undergraduate Studies (or to the Dean of the Faculty in cases where the grade in question was given by the Dean of Undergraduate Studies, or

to the Provost, in cases where the grade in question was given by the Dean of the Faculty). Unless the Dean of Undergraduate Studies decides that the student's case is wholly without merit, she or he will ask the chair or director (or faculty appointed by the Dean of Undergraduate Studies in cases where the grade in question was given by the chair or director) to appoint a committee of at least three faculty members of the department or program. The committee shall review all relevant and available materials supplied by the student, the instructor, or other individuals. Both the student and the instructor have the right to meet with the committee.

4. If the instructor is no longer employed by William & Mary and repeated attempts by the student to engage the instructor in a discussion of the grade have failed, the chair or director (or faculty member appointed by the Dean of Undergraduate Studies, in cases where the grade in question was given by the chair or director) shall try to resolve the issue unless she or he decides the student's case is wholly without merit. If the student is not satisfied with the outcome, the procedures described in 3 above shall be followed.

After reviewing the matter, the committee shall either:

- determine that the grade was fairly and appropriately awarded in which case the grade stands and no further review is warranted, or
- determine that the grade was not fairly or appropriately awarded. In such cases, the committee will recommend specific actions to be taken by the instructor of record including, if warranted, changing the grade to one deemed by the committee to be fair and appropriate.

The Committee's written recommendations shall be given to the student, the instructor, and the chair of the department or director of the program (or faculty member appointed by the Dean of Undergraduate Studies, in cases where the grade in question was given by the chair or director).

5. If the instructor refuses to accept the committee's recommendations, the committee shall refer the matter to the Dean of Undergraduate Studies (or to the Dean of the Faculty in cases where the grade in question was given by the Dean of Undergraduate Studies, or to the Provost, in cases where the grade in question was given by the Dean of the Faculty). If the committee recommends actions other than changing the grade, for example giving consideration to additional student work not previously graded by the instructor, and the faculty member refuses to follow their recommendation, the committee will make a specific recommendation relative to the grade they deem fair and appropriate when they refer the matter to the Dean of Undergraduate Studies. The decision of the Dean of Undergraduate Studies to accept or reject the committee's

recommendations shall be final.

6. The entire Grade Review process should normally be completed by the end of the semester in which the Grade Review was initiated.

L. Student Complaints

If a student makes a complaint about a faculty member to a dean, and that complaint does not involve sexual harassment, affirmative action, the honor code, or grade review, the dean will first consider whether the complaint is trivial. If it is not, he or she will relay the complaint to the relevant faculty member and program director or chair for discussion. If a student requests anonymity, that request will be observed. The communication of a student complaint by a dean to a faculty member and program director or chair in no way implies that the allegation is valid, or that the faculty member is at fault.

M. Advising

Academic advising is a faculty responsibility. An incoming student is assigned a pre-major advisor who provides counsel about academic plans, course selection, academic resources, and the like for the freshman and sophomore years. Advisors are recruited, selected, and trained by the Faculty Director of Academic Advising. All questions concerning freshman and sophomore advising should be addressed to the Faculty Director. When students declare their majors, the chairs of departments or directors of programs assign them advisors who assume academic counseling responsibilities with respect both to their major and to their general degree program. Questions about major advising should be addressed to individual department chairs or program directors. A double major will have two advisors, one from each department or program.

N. Honor System

See the Undergraduate Catalog > The Honor System. For more information, see the *Student Handbook*.

O. Student Accessibility

William & Mary is committed to providing students who have documented disabilities with reasonable accommodation in any of the university's programs or activities. See University Catalog > Student Accessibility Services.

P. Auditors

Students may audit courses with permission of the instructor. See Undergraduate Catalog > System of Grading.

III. Graduate Academic Policies

In keeping with the Arts & Sciences *Bylaws*, the Committee on Graduate Studies (COGS) shall recommend to the Faculty any changes in graduate academic policies here or in the *Graduate Arts & Sciences Catalog*.

Graduate students and faculty in Arts & Sciences (A&S) face many of the same requirements and challenges as undergraduate students and faculty. But graduate students are subject to different academic standards, detailed in the [Graduate Arts & Sciences Catalog](#); their financial aid and the obligations that come with being a part-time employee of the Commonwealth of Virginia are different; and the academic progress for those who must submit a thesis or dissertation to satisfy degree requirements (roughly $\frac{3}{4}$ of the A&S graduate student population) follows a different trajectory than that of undergraduate students.

A. Basic Responsibilities of Students and Faculty

Graduate study implies a commitment by the student to achieving a high level of professional development in a particular discipline or group of closely related disciplines. It includes a significant number of advanced courses, usually includes either a significant research project or an external internship, and is usually a full-time commitment. Graduate students are expected to be able to work independently with decreasing supervision as they progress toward their degrees, and to know when they need help.

Faculty in programs and departments that offer graduate degrees have an obligation to share the responsibilities and duties that are part of the administration and operation of the graduate program. They should serve as research advisors and members of thesis and dissertation committees, when appropriate; return comments on the work of students in a timely manner; consult with and advise students, even those for whom they are not the official advisor or instructor; and, when requested, write professional recommendations and submit them on time for students who are doing satisfactory work.

Directing graduate students conducting research is a privilege that carries with it certain obligations. Chief among them is the responsibility to provide timely feedback on drafts of thesis and dissertation chapters.

Late feedback can create serious problems and vulnerabilities for graduate students:

- whose financial support has expired (or soon will),
- who have already accepted new positions that are contingent upon their graduation, or
- who are fast approaching the limit on their time-to-degree clock.

All faculty in A&S graduate programs are required to assume responsibility to ensure that graduate students receive appropriate feedback in a timely manner.

B. Academic Requirements

For the graduate programs in A&S, the [Graduate Arts & Sciences Catalog](#) is the first source you should consult regarding academic policies and administrative procedures. Important to note is that a graduate student is bound by the catalog for the year they matriculated into a graduate program. If a student is admitted to a master's-only program, and then gains admittance to a doctoral program, the requirements for their master's degree are determined by the catalog for the year in which they matriculated, while the requirements for their doctorate are determined by the catalog for the year in which they were admitted to the doctoral program.

The [Graduate Arts & Sciences Catalog](#) contains a section devoted to Graduate Regulations. Topics covered in this section include Admission, Tuition and Fees, Financial Aid, Registration, Grading and Academic Progress, Financial Obligations, and Requirements for Degrees.

In addition, each of the A&S graduate programs has its own catalog entry that details the requirements for earning one of the graduate degrees offered by the program. These requirements may *augment* the general degree requirements (e.g., A&S does not have a

language requirement for graduation, but some graduate programs require candidates to demonstrate a reading knowledge of a foreign or classical language). They may *strengthen* the general degree requirements (e.g., A&S requires all degree candidates to achieve a cumulative grade point average of 3.0 on a 4.0 scale in all courses undertaken for graduate credit at W&M after admission to a degree program, but a graduate program may define unsatisfactory academic progress in the program as failure to maintain a grade point average of 3.3 or better). However, they may not *replace* or *weaken* the general degree requirements for Graduate Arts & Sciences (e.g., A&S requires a minimum of twelve credit hours numbered 600 or higher to graduate, so a graduate program cannot reduce this to, say, only nine credit hours).

If you are either teaching a graduate course or advising or mentoring an A&S graduate student for the first time, invest the time to review the relevant sections in the [Graduate Arts & Sciences Catalog](#) so that you are aware of what is expected of you, your course, and your advisee or mentee.

Finally, many of the A&S graduate programs maintain a handbook or an internal list of academic milestones that students are expected to meet. Consult the Director of Graduate Studies for your program to learn more about such documents and the expectations they detail. Many of these requirements have been migrated to *Degree Works* (e.g., “Still Needed: By the end of the 3rd semester (in October), students must complete all Ph.D. coursework and colloquium.”) to make it easier for students, their advisors, their Directors of Graduate Studies, and their graduate dean to monitor their academic progress.

C. Academic Administration and Oversight

The degree requirements for graduate studies in A&S at William & Mary (W&M) are under the overall jurisdiction of COGS, which is comprised of the Directors of Graduate Studies for the eleven A&S departments and programs offering graduate degrees, and of the graduate committees of the individual departments and programs. Most administrative matters require the approval of the Dean of Graduate Studies & Research.

1. Committee on Graduate Studies

For A&S graduate students, COGS is the sole committee responsible for the functions similar to those of the undergraduate A&S [Educational Policy Committee](#), the [Committee on Degrees](#), and the [Committee on Academic Status](#). The Dean of Graduate Studies & Research serves as

the convener and chair of this committee; the Graduate Ombudsperson serves as an ex officio member of this committee. COGS bears responsibility for any changes to the [*Graduate Arts & Sciences Catalog*](#). Petitions to make changes to the catalog must be submitted for review and approval by COGS. COGS members also review and approve any petitions for degree exceptions (e.g., course substitutions or waivers). Finally, while a student's graduate program bears primary responsibility for monitoring a student's academic progress, effective with the *2015-2016 Graduate Arts & Sciences Catalog*, the time-to-degree clock for all students earning the [*Degree of Doctor of Philosophy*](#) starts with the first term of enrollment in the Ph.D. program, excluding periods of approved leave and military service. The clock's termination is spelled out in the formal offer of admission each student receives from the Dean of Graduate Studies & Research. If a student needs an extension to their time to degree clock, then a petition must be filed for review and possible approval by COGS.

COGS members meet every two weeks during the regular academic year. If you have an advisee who requires an exception, work with the Director of Graduate Studies for your program to submit a petition for review by COGS.

2. Graduate Programs and Graduate Faculty

There are eleven A&S graduate programs: three doctoral programs in the humanistic social sciences (American Studies, Anthropology, and History), three doctoral programs in the computational and natural sciences (Applied Science, Computer Science, and Physics), three terminal research master's programs (Biology, Chemistry, and Psychological Sciences), and two professional master's programs (Computational Operations Research and Public Policy). The doctoral programs also grant master's degrees.

Each of the eleven A&S graduate programs has an internal graduate committee to handle recruitment, curriculum, and academic oversight for the graduate program and its students.

The faculty in the graduate programs are responsible for creating the graduate curriculum, developing graduate courses, and establishing graduate degree requirements. Changes must be submitted to COGS for review and possible approval. Approved changes appear in the [*Graduate Arts & Sciences Catalog*](#) immediately following the academic year in which they were approved by COGS.

The six doctoral programs conduct an annual review of the doctoral students in their program and send a written assessment of their progress to each doctoral student – a particularly valuable form of input once a student has finished all graduate coursework, their qualifying examination, and the attainment of candidacy, and is in full dissertation mode. As a member of

the graduate faculty in a doctoral program, you are expected to participate fully in this process and provide information and advice designed to keep each doctoral student in the program on track to earn their degree in a timely fashion.

The performance of graduate students in courses, on comprehensive or qualifying examinations, and in teaching and research must be based on objective, ethical, and professional criteria. These same requirements hold for defense examination committees.

To continue in a program, a student must make satisfactory progress toward the degree, as defined in the [Graduate Arts & Sciences Catalog](#) and the regulations of the student's graduate program. If the faculty of a program determines that satisfactory progress is not being made, a student may be withdrawn due to academic deficiency.

3. Dean of Graduate Studies & Research and the Office of Graduate Studies & Research

The Dean of Graduate Studies & Research and the staff in the Office of Graduate Studies & Research (OGSR) provide overarching oversight to ensure that all federal, state, university, and A&S regulations, guidelines, and policies that pertain to graduate students and the graduate programs, along with the academic requirements spelled out in the [Graduate Arts & Sciences Catalog](#), are enforced. These must be enforced in order of precedence (i.e., all federal, then all state, then all university, then all A&S, and then all graduate catalog requirements).

a. Admissions

The Dean of Graduate Studies & Research works with the staff in the OGSR – particularly, the Registrar & Administrator of Graduate Student Services – to ensure that all the information required for admission has been received (e.g., transcripts from previous institutions, GRE scores, letters of recommendation, etc.). The majority of the information submitted as part of the application process becomes part of any admitted student's academic record at W&M, and is curated by the Office of the University Registrar under document retention guidelines set by the Library of Virginia.

The OGSR works closely with the graduate administrator(s) for your program to ensure that all these documents are in place once a recommendation for admission is sent forward by either the Director of Graduate Studies or the chair of the graduate admissions committee for your program. While the graduate administrator(s) should be providing active administrative support of this process, it is the graduate faculty who are responsible for recruiting applicants,

reviewing applications, and ultimately submitting recommendations for admission to the Dean of Graduate Studies & Research.

Only the Dean of Graduate Studies & Research has the institutional authority to offer admission to an applicant following a recommendation from the Director of Graduate Studies or the chair of the graduate admissions committee for the program to which the candidate applied. Only the faculty member designated to speak on behalf of the program has the authority to forward a recommendation for admission. The Dean of Graduate Studies & Research has the authority to decline a recommendation for admission. While historically a rare occurrence, this can happen when the Dean judges the applicant's credentials for admission to be insufficient to be successful in the graduate program.

b. Financial Aid

The majority of graduate students in A&S receive some form of financial aid. Ideally, this comes in the form of a full Graduate or Research Assistantship appointment, combined with a tuition waiver. To thrive and be successful in an A&S doctoral program, a student needs adequate financial support. The Dean of Graduate Studies & Research looks askance at any recommendations for admission – particularly to a doctoral program – that does not include a fully funded Graduate or Research Assistantship, along with a tuition waiver. While exceptions are possible (e.g., the applicant is matriculating into a professional master's program, holds an external fellowship, or is eligible for military educational benefits), any exceptions must be cleared first with the Dean of Graduate Studies & Research before anyone in the program makes any representations to the applicant regarding admission.

Each of the graduate programs receives an annual budget allocation from the Dean of Graduate Studies & Research to support a fixed number of incoming and continuing graduate students as Graduate Assistants. The majority of these assistants serve as either a Teaching Assistant or a Teaching Fellow. In addition, graduate programs with external grant support appoint graduate students as Research Assistants in their graduate program.

Teaching Assistants (TAs) are graduate students who assist an instructor by teaching undergraduate lab sections or conducting undergraduate discussions sessions, grading course assignments, or providing instructional assistance in some other capacity. They are not instructors of record, and are not responsible for assigning final grades.

Teaching Fellows (TFs) are graduate students who are instructors of record for an undergraduate course and responsible for assigning final grades for the course. The only graduate students eligible to serve as TFs are those who meet all the following conditions:

- earned a master's degree in the same, or a closely related discipline;
- passed their doctoral qualifying exams;
- met their graduate program's definition of ABD (all but dissertation); and
- been trained and will be supervised by the program responsible for the course or courses involved.

Research Assistants (RAs) are graduate assistants conducting research in support of a funded external grant or contract.

Graduate students holding assistantships are considered part-time employees of W&M, and thus of the Commonwealth of Virginia. There are firm conditions on the appointments of Graduate Assistants to ensure compliance with both university and state regulations. As noted in the section on Financial Aid in the [*Graduate Arts & Sciences Catalog*](#):

- Graduate students on assistantship are considered students first, and employees second (except by Parking & Transportation Services). Thus, they must make satisfactory academic progress in their degree program or they risk losing their assistantships.
- Graduate students who hold assistantships are considered part-time W&M employees who work on average up to twenty hours a week.
- Duties for students on an assistantship are assigned by their graduate program. Typically, these involve either instructional or research support, but they may include working for other units on campus (e.g., the University Libraries, the Omohundro Institute of Early American History & Culture, the Cohen Career Center, and the Lemon Project). They must satisfactorily carry out the duties assigned to them or they risk losing their assistantships.
- Students on assistantship *may not* take on any additional employment or an appointment of a remunerative nature during the term of their assistantships without securing prior approval. If they fail to secure prior approval they risk losing their assistantships.
- Approval for taking on additional work of a remunerative nature consists of first submitting supporting written statements (email documentation is fine) to the Dean of Graduate Studies & Research from the student's advisor and the student's Director of Graduate Studies. These statements must assert that the additional work is not anticipated to adversely affect the student's progress toward the degree. The statements must also make clear the term of the additional work: one week, one month, one semester, one year, etc. The Dean of Graduate Studies & Research must agree, and approve in writing before the additional work is started. The Dean of Graduate Studies & Research reserves the right to either shorten or lengthen the term of the approval, depending on the circumstances.

- Because state regulations do not allow any part-time employee to work on average thirty or more hours a week, students on graduate assistantships *may not work on average more than nine additional hours per week.*

Since a graduate student's primary responsibility at W&M is as a student, taking on additional employment that does not relate in a substantive way to the student's academic progress is discouraged. Opportunities for employment that deepen and enrich a student's scholarly or professional development are welcomed, so long as the student is in good academic standing and the opportunity is deemed one that will enhance – rather than hinder – the student's academic progress.

c. Registration

Upon admission to an A&S graduate program, students are required to maintain a registration or enrollment status for both the fall and spring semesters until they satisfy all requirements for their graduate degree. There are three possible choices in A&S:

- **Standard.** The student registers for classes and pays full tuition (or pro-rated tuition, if they are part-time). This is the typical status for all incoming students until they finish their required coursework.
- **Research Graduate Student.** A student becomes eligible for this reduced tuition status when the student has successfully completed all required coursework, excluding the required semester credit hours of 700, Thesis, or 800, Dissertation, necessary to satisfy the requirements for their degree and their degree program, while sustaining a minimum cumulative grade point average of 3.0 on a 4.0 scale. Also, it must be the case that the student is not employed significantly in any activity other than research and writing in fulfillment of degree requirements, and that the student is either present on campus or engaged in approved fieldwork.
- **Continuous Enrollment.** This status is reserved for students who have satisfied all the conditions for Research Graduate Student status, but are no longer resident on campus. The student pays a fee that allows the student to maintain an active status at W&M and to access W&M resources such as the libraries and email. Continuous enrollment does carry significant implications with regard to the repayment of student loans or visa status, if an international student, so a student should consult the Registration section of the [*Graduate Arts & Sciences Catalog*](#) to determine, in consultation with the Director of Graduate Studies for their program, if this is an appropriate status.

Students receiving a Graduate or Research Assistantship must be registered, full-time, during the terms of their assistantship. No exceptions. For the purposes of financial aid, the state requires a minimum of nine credit hours per term to be considered as a full-time graduate student. Standard in A&S is twelve credit hours per term. More than sixteen credit hours per term is considered excessive, given the responsibilities most graduate students carry as part-time employees.

d. Grading and Academic Progress

Graduate courses in A&S use the same grading system used in undergraduate courses. As for undergraduates, effective with the 2016-2017 *Graduate Arts & Sciences Catalog* there is a Continuance Requirement for graduate students that recognizes that a graduate student must secure a cumulative GPA of 3.0 (out of 4.0) to earn any graduate degree in A&S, and that the horizon over which this must be achieved is typically no more than four semesters.

The [*Graduate Arts & Sciences Catalog*](#) spells out the policies in place for repeating a course or reviewing a grade, should either be requested by a graduate student.

Once students submitting a dissertation or thesis to satisfy degree requirements have finished the coursework needed for their degree, academic progress is assessed by the graduate faculty in their program. The doctoral programs have milestones they use to assess progress at their annual reviews of doctoral students.

Since the fall of 2015, graduate students have been admitted under a time-to-degree clock whose expiration date is set in their letter of admission. Students admitted to a terminal master's program must be completed within six years from the first term of enrollment in the master's program. The expectation is that terminal master's students will finish in no more than two years, unless they are part-time. Students admitted to a doctoral program must be completed within seven years from the first term of enrollment in the doctoral program. The expectation is that doctoral students will take no more than seven years and, ideally, appreciably less time. For a student enrolled in a master's program in A&S who subsequently advances to candidacy in the doctoral program in the same field, the term of enrollment in the master's program will count toward the seven-year limit for the doctoral degree unless otherwise stated in the letter of admission. Such exceptions are granted only at the time of admission, and typically for no more than one additional year (i.e., a total of no more than eight years to satisfy the degree requirements for both the master's and the doctorate).

The time to degree clock can be suspended for periods of *approved* leave or military service. As of fall 2018, A&S graduate students may request either a medical or non-medical leave of

absence for either one semester or one year. A leave of absence may not exceed one year and may not be repeated, except under extraordinary circumstances. Requests for medical leave must be handled through the Dean of Students Office, working with the Medical Review Committee. Requests for non-medical leaves of absence must be made to and approved by the Dean of Graduate Studies & Research.

Only the Committee on Graduate Studies can grant extensions to a student's time-to-degree clock or an exception to the approved leave policy.

e. Requirements for Degrees

The requirements for a student's graduate degree from A&S are set in the [*Graduate Arts & Sciences Catalog*](#) for the year in which they entered the program. Only the Committee on Graduate Studies can grant exceptions to the published degree requirements.

The graduate administrator(s) in the degree candidate's program are required to review the student's academic record to ensure that all degree requirements are met. They must generate a memo certifying that all degree requirements have been met, which the student's Director of Graduate Studies is required to sign as affirmation. This means that if you are serving as the Director of Graduate Studies, you should be sure to confirm that the degree verification memo you sign is accurate!

Once the graduate program's degree certification memo is received in the OGSR, the Registrar & Administrator of Graduate Student Services also reviews the student's academic record to ensure that all degree requirements have been met. If so, the A&S graduate registrar generates a degree certification memo which the Dean of Graduate Studies & Research is required to sign and submit to the University Registrar as final certification of the degree.

When certifying degrees, the major checklist includes:

- All required courses have been taken.
- The cumulative graduate GPA is 3.0 (or higher, if required by the graduate program).
- A sufficient number of graduate credit hours has been earned, and enough of each type required (e.g., a minimum of 12 credit hours in courses numbered 600 or higher, the minimum number of 700, Thesis, or 800, Dissertation, credit hours required, etc.).
- All examination and proficiency requirements have been met.
- If a dissertation or thesis is required to satisfy degree requirements, then that the student successfully passed a defense examination conducted by an approved

committee, that the dissertation or thesis satisfied all formatting requirements, that the forms required for copyright, embargoes, institutional compliance, etc. have all been signed and submitted, and that a final copy of the dissertation or thesis has been submitted and accepted by the Dean of Graduate Studies & Research for archiving by the University Archivist.

All requirements but those in the last bullet in this checklist are straightforward to confirm. But the final submission of a dissertation or thesis often seems like a complex process to both the student and advisor. Common pitfalls that can be avoided with sufficient foresight:

- Conducting a defense examination without a committee that has been approved by the Dean of Graduate Studies & Research *in advance of the defense*. If the committee was not approved in advance, the outcome of the defense examination is invalid.
- Collecting the signatures of the committee members on an approval page whose format was not approved in advance. Because dissertations and theses are archival documents, they must conform to a format established in consultation with the University Archivist. Failure to follow the W&M [Editorial Guidelines](#) – particularly using forms of the university’s name that are expressly prohibited – means that the approval page will have to be reset and a second round of signatures collected.
- Making missteps when arranging for proxy signatures. Ensure that defense examination committee members who participated remotely send written notification to the Dean of Graduate Studies & Research as soon as possible *after* the examination confirming that the student passed and giving permission for proxy signatures, as outlined in the [Process for Proxy Signatures](#). There is no need to secure permission for proxy signatures in advance of the defense examination.
- Neglecting the License and Embargo form requirement. Graduate Arts & Sciences has an exceptionally generous embargo policy; W&M has an equally generous license agreement that allows authors to retain their copyright. But the student must submit a form confirming the terms of the license and embargo (if any) that they are requesting. This form must be signed by either the chair or co-chair of their defense examination committee, and additional signatures are required if a lengthy embargo term is being requested.

The dissertation and thesis submission process is overseen by the Administrative Coordinator in the OGSR, in consultation with both the Registrar & Administrator of Graduate Student Services and the University Archivist. The process goes most smoothly when the student contacts the Administrative Coordinator well in advance of the deadlines for their graduation term to seek their guidance and assistance, *and* both the student and the chair(s) of their defense examination committee heed the deadlines and familiarize themselves with the submission requirements.

f. Graduate Courses and Graduate Degree Credit

In keeping with both federal and accreditation agency guidelines and expectations, A&S graduate students are expected to do graduate-level coursework with sufficiently advanced learning outcomes to warrant the award of graduate degree credit. This leads to two observations worth keeping in mind as both an advisor and an instructor.

First, while an A&S graduate student can petition to take an undergraduate course, the credit hours earned cannot be used to satisfy their graduate degree requirements. Such petitions are best made when a student enters an A&S graduate program with insufficient prior training in a domain of importance to their graduate studies. Otherwise, such requests should be discouraged since it makes it far more likely the student's progress will subsequently lag behind that of the other members of their incoming cohort.

Second, it is important to realize as an instructor that cross listing an undergraduate and a graduate course is restricted to 400-level (advanced) undergraduate courses and 500-level (introductory) graduate courses; in other words, no course numbered below 400 may be cross-listed with a graduate course and no course numbered 600 or higher may be cross-listed with an undergraduate course. Any courses cross-listed at the 400/500-level must either have a separate syllabus for the 500-level version of the course, or a special section on a shared syllabus, that details what additional learning outcomes will be required for students in the graduate-level course to warrant the award of graduate degree credit. Two courses offered at the same time, in the same location, by the same instructor count as "cross-listed" for the purposes of this restriction on cross listing. Any instances of a cross listing that violates this restriction will lead to the cancellation of the graduate-level version of the course.

g. Forms

Given the complex nature of degree certification and the multiple milestones in a graduate career, the OGSР relies on forms to track almost every aspect of an A&S graduate student's life at W&M, as can be seen on the OGSР's [Forms](#) webpage. Each of these forms comes with a cover page containing instructions, a checklist of required signatures before the form is submitted to the OGSР, as well as a deadline, if relevant.

Note that original signatures are required on all forms submitted to the OGSР. This requirement is intentional as it means that a graduate student making a decision regarding an event in their

academic life at W&M must speak to their Director of Graduate Studies (at a minimum), quite probably their advisor, and their instructor if permission to take a course other than a graduate course in their program is being sought. This facilitates academic oversight at the level of the program, and enables further discussion if the request reveals a cause for concern. The OGSR recognizes that faculty travel to conduct research, attend conferences, etc., and thus may not always be available to sign off directly, so there is a [Process for Proxy Signatures](#) in place for faculty, including the external member of a dissertation defense examination committee. Two important notes: First, except in truly extraordinary circumstances for which approval must be secured from the Dean of Graduate Studies & Research, the graduate student's signature must be original. Second, faculty members do not need to secure permission for a proxy in advance; the acceptance of proxy signatures has been a long-standing practice in the OGSR. But they do need to send an email message to the Dean of Graduate Studies & Research that clearly states their approval (e.g., "The defense examination was successful.") and permission for either the Director of Graduate Studies, the Chair, or the Program Director to sign off on their behalf.

D. Procedures for Grievances Involving Graduate Students and Faculty

Certain types of concerns or grievances fall under the purview of university-wide offices that must adhere to federal, state, and/or university regulations and policies. Examples include:

- [Compliance and Equity Office](#): harassment, bias, and hate incidents; sexual violence and Title IX compliance; discrimination, harassment, and retaliation;
- [W&M Police](#): immediate concerns of physical harm;
- [Office of Sponsored Programs](#): research compliance;
- [Community Values and Restorative Practices](#): violations of the Honor Code or the Student Code of Conduct;
- [Student Accessibility Services](#): approved accommodations for students; and
- [Care Support Services](#): medical leaves, medical withdrawals, and medical returns.

When a graduate student has a grievance or concern that falls in one of these domains, you should immediately direct them to the appropriate university office. Odds are good that you are not aware of all the regulations at stake and the protocols to be followed; so, hand such instances off to the experts. It helps to remind yourself that while you hold a doctorate, you are not a medical doctor and, more likely than not, you do not hold a law degree and are not familiar with federal, state, and university regulations governing such matters.

So what to do when a grievance does not rise to the level of a university office, but has more to do with bad behavior between two graduate students or between a graduate student and a

faculty member? Unless your graduate program has an *approved* process in place for handling grievances in such instances (unlikely), here are the options:

The student(s) or faculty member involved should first try to resolve the issue amicably. A good resource for facilitating such conversations is the [A&S Graduate Ombuds](#) who is required to maintain confidentiality except in cases that fall under the domain of the Compliance and Equity Office (mandatory reporting for cases involving sexual violence/sexual assault) and the W&M Police (when there is imminent physical danger to the student or others). The Graduate Ombuds can talk to each party separately or, if they are willing, convene a meeting for a conversation.

If the matter remains unresolved, either party may report the grievance to the program's Director of Graduate Studies. If the grievance involves the Director of Graduate Studies, then it should be reported to either the Chair or the Program Director in the academic unit that is home to the graduate student. This report should be made within two weeks of the beginning of the semester following the incident – or the last of several incidents – on which the grievance is based. The Director of Graduate Studies, Chair, or Program Director will meet with both parties to discuss the matter.

If either party is dissatisfied with the outcome of the discussion, the matter may be brought to the attention of the Dean of Graduate Studies & Research, who will inform the Chair or Program Director of the grievance. This step must be initiated within four weeks of the receipt of the initial grievance by the Director of Graduate Studies, Chair, or Program Director. The Dean of Graduate Studies & Research will discuss the grievance with both parties. If an agreement satisfactory to both parties can be reached, the Dean will record the agreement in writing and inform the Chair or Program Director.

If no agreement satisfactory to both parties is reached, and the dean feels the case to be without sufficient merit, the dean will inform the parties and require the matter to be dropped. Otherwise, within four weeks following the time the Dean of Graduate Studies & Research was notified by the Director of Graduate Studies, the Chair, or the Program Director, the dean will consult with the Dean of the Faculty of Arts & Sciences, who will decide whether or not to pursue the matter further following university procedures (i.e., the [Faculty Handbook](#)).

If you are involved at any point in a grievance process, proceed with caution to ensure that you and your faculty colleagues do not exceed your authority, and that you do not violate the student's rights. Graduate students are keenly aware of the power differential, even when faculty members are not. Further, in times of stress a graduate student is far more likely to view a faculty member as a figure of authority – and quite possibly as an adversary – rather than as a friend, whatever their good intent. When in doubt, consult widely before proceeding.

E. Avoiding Grievances: Be a Good Faculty Advisor

The preponderance of complaints – some of which do lead to formal grievance charges – are due to soured relationships between a student who must submit a dissertation or thesis to satisfy degree requirements and the student’s faculty advisor or co-advisors. Complaints range from inattentive to irresponsible to abusive.

There are certainly cases where the student has set unrealistic expectations for themselves and their advisor(s). Situations like this can be avoided by managing expectations from the outset, meeting with your advisee(s) on a regular basis, and being frank about their progress – or lack thereof.

But there are also cases where the complaints about the advisor hold up under further scrutiny:

- advisors who provide no guidance or input at all and leave the student to “figure it out for themselves”;
- advisors who fail to respond to repeated attempts by their advisee to contact them;
- advisors who promise to write letters of recommendation and then do not;
- advisors who sit on drafts of chapters for months and months and months – and months;
- advisors who refuse to sign off on an advisee’s dissertation or thesis, instead trying to squeeze more research results and publications out of the student before letting them go.

While the percentage of graduate faculty against whom such complaints are made is small, the fact that the complaints are recurring over years and multiple students is unacceptable. Do not be one of these advisors because these behaviors are precisely what can lead to formal grievance complaints.

Graduate student training – especially Ph.D. student training – in most disciplines is similar to an apprenticeship: It is the advisor who has the most influence on the student’s professional development, and who carries the most responsibility for the timely completion of the student’s dissertation or thesis.

Advisor duties include regularly scheduled research meetings with the graduate student – on a weekly basis is wise – to ensure that the student is pursuing research paths that are valuable and rewarding. While securing research results is a prerequisite to the writing of the dissertation or thesis, training students to write well in order to be able to convincingly present their results to the community is integral to graduate advising. To this end, providing timely feedback to the student on a chapter-by-chapter basis, rather than insisting on a draft of the entire dissertation or thesis before providing feedback, is crucial for productivity and to ensure that the deadlines for

degree completion are met in a timely fashion. If you have an advisee who has trouble writing well or who simply suffers from writer's block, insist that they take advantage of the resources available to them on campus to improve their writing and to engage in write-ins with other students to help overcome their writer's block.

Beyond technical training, the advisor plays a major role in communicating to the student the code of ethical conduct within their academic discipline. Each of the research graduate programs is required to engage in formal training for incoming students; many in the sciences start with the [CITI Online Training Modules](#). But this training requirement for incoming students should be simply the start of an ongoing conversation you have with your advisees about the ethical – and honorable – conduct of research in the discipline. Under stress, an anxious student might feel pressure to take shortcuts. You need to help your advisees understand that in research, their reputation is everything. Should they lose their reputation over an ethical violation, recovering it could be difficult – if not impossible. Honor and integrity are essential components of an atmosphere where advanced studies and research can flourish. W&M's commitment to integrity in all academic and scholarly endeavors is embedded in the W&M [Honor System](#), which applies to all members of the W&M community. Make sure that your advisees understand – and adhere to – these expectations.

The university provides professional development opportunities for graduate students: The Director of the A&S Graduate Center coordinates most of these opportunities, in addition to facilitating partnerships with other units on campus. The GRAD courses offered through the Graduate Center are one option. But the Writing Resource Center, the William & Mary Libraries, and the Cohen Career Center provide workshops, boot camps, write-ins, etc., that specifically focus on graduate students. Such events and opportunities are routinely advertised in the weekly newsletter issued by the OGSR during the regular academic year. Advisors should strongly encourage their students to take advantage of such opportunities. It is not enough to get your advisees to complete their degrees; your reputation depends, in part, on the next step they take in their professional career after they earn their doctorate or master's. So, encourage your advisees to engage in opportunities at W&M that will strengthen their CVs or resumes, being mindful of their career aspirations and goals.

Attending and presenting work at professional conferences at the regional, national, or international levels is an important milestone for a graduate student. Preparing the student before attending a conference, especially if this is one of the first meetings that the student attends, is an important task for any advisor. Again, your reputation will be impacted by the impression your advisee makes when giving a talk, presenting a poster, participating on a panel, or simply interacting with your professional colleagues in social/networking situations. You want to be sure that the impressions your advisees make reflect well on you. Encouraging your advisees to actively participate at the annual A&S Graduate Research Symposium, by

submitting a talk or poster presentation, is a great way to allow students to practice in a friendly professional setting before attending a regional, national, or international meeting. And if you have advisees who are to present at the Graduate Research Symposium, show up to their sessions! Not only is this a way for you to signal your support for their professional development, it provides you with an opportunity for constructive feedback on how to further strengthen their presentation. They will appreciate your support, and this modest investment of your time is likely to pay off in terms of improving your reputation as both a researcher and an advisor.

IV. Educational Policy Committee: Policies and Procedures

The *Bylaws* of the Faculty of Arts & Sciences give the Educational Policy Committee (EPC) responsibility for the undergraduate educational program. EPC regularly reviews all requests for changes to the curriculum. EPC may approve or disapprove these changes so long as they do not affect educational policy.

When a change affects educational policy, EPC brings the matter to the Faculty of Arts & Sciences with a recommendation. FAS must approve all changes in educational policy. It is up to EPC to decide when a curricular matter rises to the level of a change in educational policy.

A. Changes Requiring EPC Approval

- **Catalog changes.** All substantive changes in the *Undergraduate Catalog* relating to Arts & Sciences need EPC approval. Exceptions: minor changes such as staff or semesters a course is taught, minor typographical errors, and minor (stylistic) changes can be approved by the Registrar's Office.
- **Prerequisites.** Please send requests for removing, adding, or changing prerequisites to the Registrar; the Registrar will inform EPC if it is the sort that needs to go to EPC. Changes in prerequisites sometimes need EPC approval. For instance, a prerequisite in another department/program must be approved by both units and EPC.
- **Course restrictions.** Enrollment restrictions based on graduating class or major do not need EPC approval. Departments and programs may decide whether courses require instructor permission.
- **Cross-listing.** Cross-listing creates a number of administrative difficulties and should be avoided where possible. Both cross-listing units must approve of the cross-list. Cross-listing normally does not need EPC approval unless a new course must be created.
- **Topics courses.** Topics courses allow faculty to experiment with new courses before

adding them permanently to the curriculum. The general policy is that a specific topic in a topics course may be offered three times without EPC approval. The exceptions include all COLL 100 and COLL 150 courses. If a course is taken for the fourth time, a permanent number should be requested and approved by EPC. In order to avoid formally changing major/minor requirements, this number could be the usual topics course number followed by a letter (such as 350K) if the department or program so wishes.

When a specific topic carries a COLL attribute, it must be approved the first time it is offered. The same topic will normally retain the same attribute(s) when taught for the second and third time as long as the basic content has not changed. The exception includes all on-campus COLL 300 courses; they may not be repeated without EPC approval. Departments and programs should be aware that the retention of this attribute(s) will need to be explicitly requested of the University Registrar. Permanent COLL attributes can be assigned to topics course numbers if the department/program can guarantee that all courses offered under that number will fulfill the requirement specific to the COLL attribute in question. In such cases, the attribute will continue indefinitely once the permanent number is assigned.

- **Credit and contact hours.** In keeping with the Academic Credit Hour Policy, EPC, chairs and directors, and deans are all responsible for monitoring credit hours. One credit hour in most courses consists of one hour of class time per week between students and instructors (where the teaching is face-to-face in the same room) for fifteen weeks. When more than 20% of a course departs from that traditional format (e.g., 25% of a course is online or involves watching movies outside of class), EPC must approve the change. Broad exceptions include internships and independent studies (including Honors), where expectations differ.

B. Changes Requiring FAS Approval

- **New majors and minors.** New majors and minors must be approved by FAS with a recommendation by EPC. The same is true for major or minor concentrations within Interdisciplinary Studies. New concentrations or tracks within majors may be approved by EPC alone.
- **Changes in the names of majors and minors** must be approved by FAS with a recommendation by EPC.
- **Changes in major or minor requirements** generally only need EPC approval unless the new requirements are especially heavy, light, or might impact other departments or programs. EPC will determine what changes of this sort need FAS approval.
- **Changes in general education requirements**, and substantive changes in other requirements and policies listed in the *Undergraduate Catalog*.

When an educational program involves two or more schools (e.g., FAS and Law), changes must be approved by each school and by the Faculty Assembly. *Significant* changes (e.g., establishing a new degree, changing the name of a degree) require approval at higher levels (e.g., BOV, SCHEV, SACSCOC). See the **Institutional Change Policy** for further information.

V. Nominations & Elections Committee: Policies and Procedures

A. Overview

The Committee on Nominations and Elections (N&E) is charged with recruiting candidates and administering elections for various A&S *elected* committee positions. N&E does not handle A&S *appointed* positions. Questions about appointed positions that come to the Chair of N&E should be referred to the Dean's office (for A&S appointed committees) or Provost's office (for university-wide appointed committees).

All rules governing N&E can be found in the [A&S Bylaws](#). The *Bylaws* also describe other committees and their various duties.

A&S has a [Nominations & Elections Committee website](#), which, importantly, contains prior reports from the committee to A&S. The site also includes links to all A&S committees.

Only a small fraction (about 5-8%) of A&S faculty members volunteer for committee service via N&E surveys. In order to identify and recruit candidates for service on particular committees, N&E therefore strives to nominate those faculty members who would conscientiously, diligently, and fairly pursue the tasks described in the A&S *Bylaws*. In order to effectively generate each ballot, the qualifications and positions of potential candidates may be considered, and any such discussions are to be kept confidential.

A separate N&E Blackboard site entitled "Nominations & Elections" contains several items that can help the committee in performing its duties. These items include spreadsheets of current and past committee members, the [NTE Personnel Policies](#), as well as a spreadsheet of all faculty members who are eligible to serve on A&S elected committees.

The Executive Administrative Assistant in the office of the Dean of the Faculty of Arts & Sciences maintains a spreadsheet of committee memberships. The Chair of N&E notifies that person of election results after each election. The Chair of N&E also notifies the Executive Assistant to the Provost.

B. Guidelines for Identifying Potential Nominees and Appointees

The following are hard and fast rules covering nominees and appointees.

- Current members of N&E are ineligible to be nominated for or appointed to any other elected committee. They may, however, volunteer for appointed committees.
- Potential nominees should be from an Area maintaining balanced committee representation.

The A&S *Bylaws* specify that the following committees are limited to tenured faculty:

1. Faculty Affairs Committee (FAC)
2. Retention, Promotion, & Tenure (RPT) (restricted to full professors)
3. Committee on Faculty Awards, Prizes, & Professorships (CFAPP)

In addition, in keeping with the A&S [NTE Personnel Policies](#), non-tenure-eligible (NTE) faculty members may not serve on committees dealing with personnel issues. N&E takes this to include the above A&S committees and the following university-wide elected committees:

University-Wide Committees:

1. Faculty Compensation
2. Faculty Hearing
3. Procedural Review
4. Personnel Policy

Senior Lecturers may be eligible for election to key committees, including N&E, Committee on Degrees, Committee on Academic Status, Educational Policy Committee, the Committee on Honors & Interdisciplinary Studies, International Studies Advisory Committee, and Faculty Assembly.

The following are customary practices regarding nominees and appointees. It is best to follow these, but, with input from other N&E committee members, the Chair may follow a different practice when circumstances warrant it.

- Potential nominees should be senior lecturers, tenured, or senior tenure-eligible faculty.
- Pre-tenure faculty should not be nominated for particularly burdensome committees (EPC, etc.).
- Potential nominees should not be scheduled for leave during the upcoming academic year.
- Potential nominees should not be serving on another major policy committee simultaneously.
- Two members of the same department do not serve on a committee.

- Two members of the same department do not run against one another.

Partial terms (for example, leave replacements) can be appointed rather than elected, providing a faculty member from the correct area who has served on the committee in question sometime in the previous three years is willing to serve. Faculty remaining in the area while on leave may retain their positions if they wish. For efficiency, the Chair of N&E may arrange appointments of recent past members without consulting the rest of N&E. Before appointing a leave replacement, the N&E chair should contact the faculty member going on leave in order to see if she or he would like to remain on the committee during leave.

C. Guidelines for Election Ballots, Voting and Notification

N&E meets to generate names of potential nominees four or more weeks before each needed election. The list is divided among committee members, who call and/or e-mail potential nominees until two faculty members willing to run for each open position have been confirmed. If the original list is exhausted before identifying two candidates for the ballot, the committee confers again, usually by e-mail, to generate more names of potential nominees. In the case of last minute recruitment, new names can be added at the Chair's discretion. For elections where more than two people are to be chosen (e.g., there might be two Area III positions to fill on a committee), the ballot should contain three or four names, with the winners being the top two vote getters.

The slate of nominees should be published as part of the A&S meeting agenda. Therefore, the Dean's Office and the FAC Chair must have the slate no later than the Monday eight days before the regular A&S meeting. All positions are included in the committee report for the A&S meeting agenda. Nominees are only provided if both have been identified. Note: N&E may alternatively email the slate to the faculty through the fas-d@wm.edu listserv one week before the FAS meeting at which either the chair or ballot master reads the list of nominees.

At the A&S faculty meeting, a member of N&E, typically the chair, submits the ballot by reading out the entire list of nominees for all positions, then collectively calls for nominations from the floor for all of the positions. Nominations from the floor must be faculty members of the appropriate area who accept the nomination either in person or in writing. After calling for nominations from the floor, the Chair closes the ballot and announces that electronic balloting opens as soon as possible following the end of the faculty meeting and closes at 5 pm the following Tuesday, one week after the A&S meeting.

At the close of the election, the Chair first informs the individual candidates about the outcome of the election, then the entire faculty (fas-d@wm.edu), plus the Dean's and Provost's assistants.

D. General N&E Election Schedule (as established by FAC)

September

- N&E chair should ask the Dean's office for an updated leave list including spring faculty for the Washington Program and dependent care leaves.
- Determine whether faculty taking short term leaves wish to retain their positions or be replaced.
- Ballot Master obtains updated list of instructional faculty from Human Resources and emeritus faculty from Provost.
- Ballot Master circulates first call for volunteers to instructional faculty.

October

- No election unless committee replacements are needed.
- Second call for volunteers circulated by Ballot Master.

November

- No election unless committee replacements are needed.

December

- Faculty Affairs Committee (3-year term; some are joint positions with Faculty Assembly).
- International Studies Advisory Committee (3-year term).

February

- Faculty Assembly (3-year term; no more than six consecutive years of service).
- Procedural Review Committee (Also Personnel Policy Com.) (3 year active + 3 year alternate).
- Committee for Faculty Awards, Prizes and Professorships (3-year term).
- Ask the Dean's Office for an updated leave list.

March

- *Nomination & Elections Chair elected by continuing N&E Committee members to allow for observation; N&E replacements needed for the following year, due to expiring terms, are communicated to Chair of FAC who will seek nominees to run.*
- Retention, Promotion & Tenure (3-year term), only full professors.
- Education Policy Committee (3-year term), customarily not pre-tenure faculty.
- Committee on Academic Status (3-year term).

April

- Nominations & Elections Committee (3-year term) (*FAC recruits & announces nominees; N&E runs actual election*).
- Committee on Degrees (4-year term).
- Faculty Compensation Board (4-year term).
- Faculty Hearing Committee (3 year active + 3 year alternate).

May

- Chair of Faculty Affairs Committee** (*This person is nominated by FAC, so N&E does not recruit for it, but simply administers the election.*)
- Chair of Education Policy Committee** (*Like the chair of FAC, the EPC committee nominates a potential chair for the following year; N&E simply administers the election.*)
- Address any additional committee replacements needed for the following year by appointment or election. It is best to end the year without any loose ends hanging so the next N&E chair does not begin the fall semester with lots of replacements to fill.

** Elections for the chairs of FAC and EPC can occur any time after new members of those committees have been elected and before the end of the academic year.

E. Arts & Sciences Areas

For convenience, the three A&S areas specified in the A&S *Bylaws* are repeated here.

- Area I: Art & Art History, Classical Studies, English Language & Literature, Modern Languages & Literatures, Music, Philosophy, Religious Studies, Theatre, Speech & Dance.
- Area II: Anthropology, Economics, Government, History, Kinesiology & Health Science, Military Science, Psychological Sciences, Sociology.
- Area III: Applied Science, Biology, Chemistry, Computer Science, Geology, Mathematics, Physics.

Appendices: Bylaws, Personnel Policies and Procedures

BYLAWS
Faculty of Arts & Sciences
William & Mary
April 3, 2012
as amended March 12, 2019, April 7, 2020 and April 21, 2022

Article I
Definition of the Faculty of Arts & Sciences

Section 1. The Faculty of Arts and Sciences (or the Faculty, Arts & Sciences, A&S) is one of the constituent faculties of the College of William and Mary in Virginia (or William & Mary). All persons holding full-time teaching or research appointments as professors, associate professors, assistant professors, instructors, or lecturers in Arts & Sciences are members of the Faculty and are entitled to vote in Arts & Sciences meetings. Faculty members shall retain voting privileges on becoming faculty emeriti/ae. All persons holding appointments as research associates, adjunct faculty or postdoctoral fellows are non-voting members of the Faculty.

Section 2. The President and Provost of William & Mary, the Dean of University Libraries, the Dean of the Faculty of Arts & Sciences (hereinafter referred to as the Dean), Vice-Deans, and Assistant Deans for Undergraduate Education are members *ex officio* of the Faculty.

Section 3. For certain organizational purposes, Arts & Sciences departments are grouped into three areas:

1. Area I - Art & Art History, Classical Studies, English Language & Literature, Modern Languages & Literatures, Music, Philosophy, Religious Studies, Theater, Speech & Dance;
2. Area II - Anthropology, Economics, Government, History, Kinesiology & Health Sciences, Military Science, Psychological Sciences, Sociology;
3. Area III - Applied Science, Biology, Chemistry, Computer Science, Geology, Mathematics, Physics.

Article II
Officers of the Faculty

Section 1. The Dean, appointed by the Board of Visitors on the recommendation of the President of the university, is the chief administrative officer of Arts & Sciences.

Section 2. The Dean shall preside at Arts & Sciences faculty meetings. The Dean may appoint a Parliamentarian to assist with the meeting. In the absence of the Dean, the Faculty may elect a temporary presiding officer or accept the Dean's designee.

Section 3. A Secretary of the Faculty shall be elected from among the members of the Faculty for a term of three years. The Secretary shall record the minutes of each meeting and post them on the A&S website as soon as possible thereafter. Electronic copies shall be provided for the University archives. Opportunity shall be given at each meeting of the Faculty to correct the minutes of the previous meeting.

Article III

Meetings of the Faculty

Section 1. The Dean shall hold monthly Arts & Sciences faculty meetings from September through May excepting January. Notice of these meetings shall be given at least seventy-two hours in advance.

Section 2. Special meetings of the Faculty may be called

1. by the President, the Provost, or the Dean;
2. upon the request of an elected or standing committee of the Faculty or upon the written petition of at least twenty-five members of the Faculty.

Section 3. Forty members of the Faculty shall constitute a quorum.

Section 4. No resolution affecting the educational policy of the university shall be voted on in a meeting unless it shall have been submitted in writing to the Dean and the Faculty Affairs Committee and the text thereof transmitted by the Faculty Affairs Committee to all members of the Faculty at least one week prior to the date of the meeting. This provision may be waived by unanimous consent of those present.

Section 5. Arts & Sciences faculty meetings are open to attendance by all members of the university community. However, the Faculty may move into executive session by a majority vote of faculty members present.

Section 6. The rules contained in the current edition of *Robert's Rules of Order* shall govern the meetings of the Faculty in all cases to which they are applicable and in which they are not inconsistent with these Bylaws and any special rules of order the Faculty may adopt.

Section 7. The Faculty will conduct votes electronically for the purpose of electing committee members. After the written version of the proposed slate for committees has gone out in accordance with Article V, Section 2.1 below, at the subsequent meeting of the Faculty, the Committee on Nominations & Elections will present the slate for committee elections and take nominations from the floor. Within one day of that meeting, electronic balloting for committee slots will be open for a period of one week.

Article IV

Responsibilities of the Faculty

Section 1. As one of the constituent bodies of the university, the Faculty of Arts & Sciences shares in the general responsibility to develop and maintain an educational program of high

quality. The Faculty has exclusive responsibility for specific parts of this program and shares with other faculties and administrative officers responsibility and concern for all aspects of the operation of the university which bear upon the educational program as a whole or upon any of its parts.

Section 2. The Faculty of Arts & Sciences shall determine the academic requirements for the earned degrees of Bachelor of Arts, Bachelor of Science, Master of Arts, Master of Science, Doctor of Philosophy, and such other earned academic degrees as may be assigned to its jurisdiction by the Board of Visitors.

1. With respect to these degrees, the Faculty shall:
 - a. certify the names of those students who have fulfilled the academic requirements for those degrees;
 - b. determine the academic prerequisites for admission of students to courses and to candidacy for degrees;
 - c. determine the policy governing the evaluation of credits transferred from other institutions;
 - d. determine the conditions defining "undergraduate," "graduate," and "residence" credit;
 - e. determine academic standards for continuation in residence, for academic classification, and for status as a student in the university;
 - f. determine the system of grading to be employed;
 - g. determine policy regarding final examinations; and
 - h. determine the regulations governing attendance of students in classes.
2. The Faculty may delegate the administration of its policies to its duly constituted officers and committees.

Section 3. The Faculty may make recommendations to the Provost and to the President regarding any matter affecting the educational program of the university.

Section 4. Through adequate representation on university committees and councils, Arts & Sciences faculty members shall participate in the establishment and administration of policies on matters affecting the educational program such as (but not limited to) admissions, the university calendar, academic record-keeping, the development and use of the libraries, research and publication, conditions of student life, extra-curricular events, nominations for honorary degrees, the selection of major administrative officials, and the determination of institutional priorities and the allocation of resources.

Article V

Elected Committees of the Faculty

Section 1. All elected committees shall have balanced representation from each of the three areas provided in Article I, Section 3. All committees shall report regularly to the Faculty.

Section 2. There shall be a Committee on Nominations & Elections consisting of six members elected for terms of three years, two terms expiring annually. The Committee on Nominations & Elections shall elect its chair annually after the election of new members.

1. The Committee on Nominations & Elections shall actively seek out and nominate appropriate candidates for the office of Secretary and for all elective committee chairs and memberships of the Faculty, except as otherwise specified in these Bylaws. In seeking out candidates, the Committee shall take positive steps to secure the fullest and most representative participation of all members of the Faculty in governance, limited only by the availability, interests, and capabilities of individuals. At least one week in advance of elections, the Committee on Nominations & Elections shall provide to the Faculty written nominations for vacant elective positions. It shall keep a record of all offices of the Faculty and shall inform the Faculty and its appropriate officers when vacancies in these offices occur by reason of expiration of terms.
2. Candidates for vacancies on the Committee on Nominations & Elections shall be nominated by the Faculty Affairs Committee.
3. Any member of the Faculty may suggest to the Committee on Nominations & Elections a candidate for nomination to any office, and nothing in the provisions of these Bylaws shall be construed as abridging the right of any member of the Faculty to make nominations from the floor, provided the nominee is of the appropriate area and accepts the nomination in person or in writing before the Faculty votes.
4. Elections shall be held for the Committee on Nominations & Elections in September and tenure shall commence upon election. Terms of all other elected committees shall commence at the beginning of the academic year following election except when the election is being held to fill a replacement for a faculty member who is on leave or has vacated the position early. In these instances tenure shall commence upon election. Elections shall be completed within one week of the meetings at which nominations are made.

Section 3. There shall be a Faculty Affairs Committee (FAC) consisting of the Dean *ex officio* and six tenured members of the Faculty elected for terms of three years, two terms expiring annually. The FAC shall elect its chair from among its members.

1. The FAC shall inform itself on current developments of any sort which may affect the educational function of the university or the welfare of the Faculty, review and assess these, and bring them to the attention of the President, the Provost, the Faculty, and committees of the Faculty, as may be appropriate, together with its recommendations for further study or action.
2. The FAC shall coordinate the work of all other committees of Arts & Sciences and, in consultation with their chairs, shall schedule their reports to the Faculty so as to ensure their timely and adequate consideration. This provision shall not be construed

to prevent any member of the Faculty from requesting a committee report at any faculty meeting.

3. The FAC shall advise the Dean on faculty appointments to committees, strategic planning, advancement, personnel, and policy matters (particularly those involving interpretation of the Faculty Handbook).
4. The FAC shall ensure that Vice-Deans are reviewed in consultation with faculty prior to reappointment as a part of their professional development.
5. The FAC shall regularly review the structure, composition, and jurisdiction of Faculty committees.
6. When the university is not in session the FAC shall continue to serve its designated functions and may at its discretion act on behalf of the Faculty, provided a majority of the committee is available.

Section 4. There shall be an Educational Policy Committee (EPC). Its voting members shall consist of nine members from the Faculty of Arts & Sciences, one representative each from the schools of Education and Business, three students, and an Assistant Dean for Undergraduate Education *ex officio*; non-voting advisory members shall include the Registrar, the Director of Academic Advising, and a representative of the Dean of University Libraries. Arts & Sciences faculty members shall be elected for terms of three years, three terms expiring annually. The students shall be selected by an agency designated by the student body and must be certified by the Dean. The EPC shall elect its chair from among its members annually after the election of new members; that chair will be a member of the Faculty of Arts & Sciences. A quorum composed of six voting members from the Faculty of Arts & Sciences shall be necessary when deciding upon recommendations regarding educational policy. There shall be at least one member from each area.

1. The EPC shall conduct a continuing study of the undergraduate educational program, regularly reviewing the educational policies and procedures of the Faculty. It shall review all recommendations and requests for changes in the undergraduate curriculum. It shall bring proposals involving changes in educational policy before the Faculty, together with its recommendations for action, but shall have authority to approve or disapprove any changes in the curriculum which do not alter existing policy.
2. In performing its duties the EPC shall be empowered to call upon any member or group of the Faculty for advice and assistance.

Section 5. There shall be a Committee on Degrees consisting of an Assistant Dean for Undergraduate Education as chair, and four faculty members elected for terms of four years, one term expiring annually. An Assistant Dean for Undergraduate Education shall vote on policies and petitions only in the case of a tie among the elected committee members.

Representatives of the University Registrar's Office, the Office of Academic Advising, and the Dean of Students Office may participate in committee proceedings in an advisory (non-voting) capacity.

1. The Committee on Degrees shall:
 - a. evaluate academic credits transferred from other institutions for credit toward an undergraduate degree
 - b. in consultation with the Office of the University Registrar, determine which students have completed the requirements for earned undergraduate degrees and certify their names to the Board of Visitors.
2. In the exercise of its duties, the Committee on Degrees shall be empowered to waive the literal application of degree requirements whenever, in its judgment, special circumstances exist which justify such actions.

Section 6. There shall be a Committee on Academic Status consisting of six elected faculty members and three administrators: the Dean of Students, an Assistant Dean for Undergraduate Education, and the University Registrar or their designees. The elected members shall be elected for terms of three years, two terms expiring annually. After the election of new members, the Committee on Academic Status shall elect its chair from among the elected members. Representatives of the Registrar's Office, the Office of Academic Advising, and the Office of the Dean of Students may participate in committee proceedings in an advisory (non-voting) capacity. During the summer, the outgoing and incoming members of the Committee will all have voting rights. The Committee on Academic Status has three functions:

1. hearing individual student requests for exception to academic rules and regulations not directly related to fulfillment of degree requirements, grade changes, and transfer credits;
2. reviewing, at the end of each semester, the academic progress of students in academic difficulty and making continuance determinations;
3. occasionally recommending changes in academic policy, based upon considerations prompted by individual requests.

Section 7. There shall be an Advisory Committee on Retention, Promotion, & Tenure (RPT) consisting of six full professors, two from each Area, elected for terms of three years, two terms expiring annually. The Committee shall elect its chair from among its members annually after the election of new members. A committee member shall recuse him/herself from any decision affecting a current or former member of his/her own department or program. A committee member shall reveal if he or she does not have an arm's-length relationship, or if there is a potential conflict of interest; the committee shall then decide whether recusal is warranted. In all such cases, a former member of the Committee from the same Area will serve as a substitute. The RPT committee shall review all recommendations made by departments in Arts

& Sciences concerning the retention, promotion, or tenure of members of these departments. The comments resulting from such review shall be forwarded to the Dean.

Section 8. There shall be a Committee on Faculty Awards, Prizes, & Professorships (CFAPP) consisting of six tenured members of the Faculty elected for terms of three years, two expiring annually. In addition, one representative from the Office of the Dean will be selected by the Dean to serve on the committee in an advisory (non-voting) capacity.

1. The CFAPP, in cooperation with the Dean, will review and suggest revisions to solicitations for awards, prizes, and professorships, and will suggest methods of advertising solicitations to reach as many faculty as possible. The CFAPP will monitor and review the procedures for solicitation, nomination, and selection of awards, prizes, and professorships and will recommend changes with the goal of improving efficiency, transparency, participation, and fairness.
2. By September 1 each year, the Office of the Dean should provide a list to CFAPP of all Arts & Sciences faculty who have current awards, prizes, and professorships and are expected to serve on review committees in the upcoming academic year. At the same time, the Dean's office should provide a list of all likely awards, prizes, and professorship solicitations for the upcoming academic year. The CFAPP will then make recommendations to the Dean for membership on review committees. Except for awards, prizes, and professorships with existing committee structures, at least one CFAPP faculty member will be part of each review committee for awards, prizes, and professorships in Arts & Sciences.
3. The Dean will make available to CFAPP an ongoing annual record of all nominees and awardees for all awards, prizes, and professorships. Using this record, the CFAPP will attempt to identify inequities in the nominations for, and selection and distribution of, awards, prizes, and professorships within Arts & Sciences, and make recommendations to the Dean to remedy these.
4. The CFAPP will report once per year to the Faculty Affairs Committee and the Faculty of Arts & Sciences, including numbers of nominees; numbers of awards, professorships, and prizes; and names of faculty members to whom awards were given. The CFAPP will serve as a contact for A&S faculty with questions about the selection of awards, prizes, and professorships.
5. CFAPP members are eligible for all awards, prizes, and professorships during their tenure on the committee. CFAPP members who hold awards, professorships, or prizes are exempt from serving on review committees, as their service on CFAPP is considered to fulfill that requirement.

Section 9. There shall be an International Studies Advisory Committee (ISAC) consisting of six members, two from each Area, elected for three years, two expiring annually. Additional non-voting members shall include the Director of Global Education or his/her appointed

representative, and an Assistant Dean for Undergraduate Education. In addition, the Vice President of Student Affairs Office coordinates the appointment of two students to serve on ISAC each year. The ISAC is advisory to the Dean and the Faculty Affairs Committee. It shall provide support and guidance to A&S faculty initiatives in international studies by encouraging faculty efforts to internationalize the curriculum, promoting prudent risk-management practices, and exercising oversight of A&S study-abroad programs administered by the Reves Center.

Section 10. There shall be a Committee on Diversity, Equity and Inclusion (CDEI). The committee shall consist of: three elected tenure-eligible faculty members, one from each area, and one lecturer, senior lecturer or instructor, from any area, each elected for three year terms; one Arts & Sciences graduate student, nominated by the Vice-Dean of Graduate Studies and Research, one Arts & Sciences undergraduate student, nominated by the Vice President for Student Affairs, each student for a one year term, and one Arts & Sciences staff member, appointed by the Dean, in consultation with the Associate Dean for Diversity & Inclusion and the chair of the committee, for a three year term. The committee will elect a chair annually from among the four faculty members; the chair will become the Arts & Sciences Faculty Fellow for Diversity. The Associate Dean for Diversity & Inclusion will serve on the committee as a voting *ex officio* member.

1. The CDEI serves to promote and support efforts by the Faculty of Arts & Sciences to create a diverse, equitable, and inclusive community in all facets of work and life at William & Mary. A “diverse, equitable, and inclusive” community here is interpreted broadly to encompass increased representation of historically marginalized and underrepresented groups, increased cultural diversity, an expanding variety of perspectives in curricula and programs, and abiding respect for and consideration of all reasoned ideas and viewpoints. Arts & Sciences recognizes that diversity and inclusion is instrumental to the success of decision-making by allowing an infusion of new ideas and perspectives into deliberative processes, and also that diverse voices are demanding of respect in and for themselves.
2. The CDEI shall meet at least monthly during the academic year. Quorum shall be a majority of the members.
3. The CDEI shall report annually to the Faculty Affairs Committee and to the Faculty of Arts and Sciences. The report should include data on progress on diversity in the hiring of faculty, improvements suggested for departmental diversity plans, and should summarize concerns brought to the committee’s attention by faculty.

Article VI

Other Committees of the Faculty

Section 1. Subject to the approval of the President, the Faculty may establish such standing committees as it deems necessary to exercise its responsibilities. The size and composition of

such committees, which must have representation as is proper and adequate to their functions, of teaching members of the Faculty, administrative officers, and students shall be determined by the Dean with the advice of the Faculty Affairs Committee unless otherwise specified below.

Section 2. There shall be a standing Committee on Graduate Studies (COGS) consisting of faculty members who have been designated as the Director of Graduate Studies for each department or program. It shall be chaired by the Vice-Dean of Graduate Studies and Research. The Committee on Graduate Studies shall make recommendations to the Faculty regarding policy, and carry out established policy, with respect to admissions, curricula, degree requirements, and academic standards in programs leading to the degrees of Master of Arts, Master of Science, Doctor of Philosophy, and such other earned post-baccalaureate degrees as may fall within the jurisdiction of the Faculty; and, concurrently with other faculties of the university, for all programs in which members of the Faculty of Arts & Sciences participate substantially.

Section 3. There shall be a standing Committee on Interdisciplinary Studies (CIS), which will consist of six faculty members (appointed for terms of three years in consultation with the Vice-Deans). It will be chaired by one of the Vice-Deans. CIS serves as the curriculum committee for all self-designed majors, and for all courses with an INTR prefix.

Section 4. There shall be a standing Council of Chairs & Program Directors (CCPD) that meets regularly to discuss matters affecting the general welfare of academic departments and programs in Arts & Sciences. The co-chairs are elected by its members in the fall to serve for a calendar year.

Section 5. The Dean, with the advice of the Faculty Affairs Committee, shall recommend to Faculty Assembly those members of the Faculty of Arts & Sciences to serve on standing committees of the university as a whole.

Section 6. The Dean, with the advice of the Faculty Affairs Committee, may establish such *ad hoc* committees of the Faculty as he/she deems necessary and appoint their members.

Article VII

The Faculty Assembly

Section 1. Representatives to the Faculty Assembly from Arts & Sciences shall comprise no fewer than three members from the Faculty Affairs Committee, one from each area, who shall be elected as provided elsewhere in these Bylaws. Additional representatives will be elected by the Faculty so that the total number of representatives in each Area (see Article I, Section 3) shall equal the number allocated by the Constitution of the Faculty Assembly. Members of the Faculty will be nominated as follows:

1. The Committee on Nominations & Elections shall nominate at least two candidates for each available position in the Faculty Assembly allocated to Arts & Sciences other than those held by elected members of the Faculty Affairs Committee.
2. Candidates for these positions may also be nominated from the floor of the Faculty, provided the nominee is of the appropriate area and accepts the nomination in person or in writing before the faculty votes.

Section 2. The representatives of the Faculty Assembly shall designate one of their number to report at each regular Arts & Sciences meeting on the discussions and actions of the Faculty Assembly.

Section 3. The chair of the Faculty Affairs Committee shall be on the Executive Committee of the Faculty Assembly whenever possible.

Article VIII

Amendments and Effective Date

Section 1. These Bylaws may be amended by a two-thirds vote at any Arts & Sciences meeting, provided that a copy of the proposed amendment is sent to every member of the Faculty at least one week in advance.

Section 2. These Bylaws and any amendments shall become effective upon approval by the President and the Board of Visitors.

A&S NTE Personnel Policies

Approved by College Personnel Policy Committee, April 8, 2013.

Minor revisions approved by FAS, February 7, 2017.

I. Recommendations for Arts & Sciences Personnel Policies for Instructional Non-tenure Eligible (NTE) Positions

The A&S Faculty reaffirms its belief that the College must be committed to meeting the needs of our ongoing instructional programs through the establishment of tenure-eligible faculty positions. These tenure-eligible positions come with expectations of excellence in instruction and scholarship, as well as involvement in the governance of the College.

At the same time, we recognize that there are some limited instructional needs that can be met effectively with excellent teachers who may have somewhat different credentials, or who are not expected to engage in scholarly research as part of their employment. These positions should not be seen simply as a way to reduce costs, but must be carefully considered to determine if they offer a better way to meet our academic objectives. When such a situation exists, it is important that the faculty filling any resulting positions be treated with fairness and be encouraged to become as fully engaged in the role of a faculty member as possible.

We also recognize that there will be a regular need for a limited number of temporary full-time faculty members to replace tenure-eligible faculty on leaves, etc. These faculty members should also be accorded fair and supportive treatment by the College.

1. Faculty Position Categories

Definitions: All Arts & Sciences instructional faculty who are not eligible for tenure, and who instruct any for-credit courses or activity at the College must have an appointment within one of the following categories.

- A. **Full-Time Continuing NTE:** positions have no term limit and hold a presumption of continuation.
- B. **Full-Time Specified-Term NTE:** positions that terminate on the date specified in the contract and hold no presumption of continuation beyond that date.
- C. **Part-time NTE (Adjunct):** faculty who are paid by the course or for specific contracted service; these positions do not normally receive benefits. Part-time NTE positions may be designated as either continuing or specified-term.
- D. **Post-doctoral fellows:** specified-term appointments as defined in and subject to the conditions of the Faculty Handbook. The term of appointment is subject to the terms of funding and may be no longer than 5 years unless specified in the terms of the external funding document, the appointment may be either full- or part-time.

2. Titles

Instructional NTE positions must carry one of the following titles that indicate the contractual nature of the position. NTE faculty who are in these positions are academic professionals who are engaged primarily in fulfilling the teaching mission of the College and who possess at minimum a master's degree or terminal master's degree. The recommended standard NTE teaching load for Full-Time faculty is 6 courses per year.

A. Full-Time Continuing NTE positions have no term limit and hold a presumption of continuation. Faculty in this category would be designated as Senior Lecturer.

- **Senior Lecturers** must show a sustained record of excellence and versatility in the classroom as well as leadership in the design, development, and supervision of curriculum in the discipline in addition to the qualifications expected for lecturers.

Senior Lecturer category must have the following:

- 1) The individual has normally successfully completed a five-year period as a Lecturer.
- 2) The department or program has communicated a clear rationale as to how a long-term NTE (Senior Lecturer) best meets the curricular demands of the department or program in ways that a TE line would not. Budgetary rationales alone are not sufficient for increasing the number of faculty in this category.
- 3) Recommendations for promotion to Senior Lecturer will be forwarded to the Dean of Arts & Sciences for approval.

B. Full-Time Specified-Term NTE

a. **Full-Time Specified-Term NTE (Lecturer):** positions that terminate on the date specified in the contract. Faculty in this category would be designated as Lecturer. Lecturers are eligible to be considered for promotion to Senior Lecturer, provided the conditions listed above are fulfilled.

- i. **Lecturers** must possess a record of significant contribution to teaching not only through classroom performance, but also through the broader support of the College's teaching mission. Lecturers are eligible for promotion to Senior Lecturer after five years of service and/or renewal of contract.

b. **Full-Time Specified-Term NTE (Visiting):** positions that terminate on the date specified in the contract and hold no presumption of continuation. This category includes:

- i. Replacements for faculty on leave (administrative, research, or other) and
- ii. Visiting distinguished professors.
- iii. According to individual qualifications and experience, faculty in this category would be designated by the following titles:

1. **Visiting Instructor**
2. **Visiting Assistant Professor**
3. **Visiting Associate Professor**
4. **Visiting Professor**
5. **Visiting Distinguished Professor**

C. **Part-time NTE faculty (Adjunct):** faculty who are paid by the course or for specific contracted services; they normally do not receive benefits. Part-time NTE (Adjunct) positions may be designated as either continuing or specified-term. Faculty in this category would be designated as **Adjunct Lecturer**.

D. **Post-doctoral fellows:** hold specified-term appointments as defined in and subject to the conditions of the Faculty Handbook; appointments may be either full- or part-time. Faculty in this category would be designated as **Post-doctoral Fellow**.

E. **Other:** When engaged in the practice of teaching for Arts & Sciences, non-instructional faculty and professionals will be given an appropriate title from the list above. This instructional title will be in addition to, not in replacement of, the employee's existing title (administrative, research, or other).

3. Procedures for Evaluation of Non-tenure Eligible Faculty

All NTE Faculty must be evaluated by their departments or programs each year under approved personnel policies, unless they are ending their employment with the College. This evaluation will be on a three-category scale: Exceeds Expectations; Meets Expectations; and Fails to Meet Expectations. Evaluations should be restricted to contractually specified responsibilities of the faculty member, which are primarily instructional, but in some cases the NTE may also have service-related or other responsibilities. NTE Faculty will not be evaluated based on a research expectation. Departments and Programs should clarify for their NTE faculty the following: the expectations of NTE faculty, the documentation required for the evaluation, and the criteria for the evaluation, including the role of student evaluations, etc. A copy of departmental or programmatic policies should be provided to NTE faculty upon hire.

A. Should Senior Lecturers receive evaluation of "Fails to Meet Expectations," they will meet with Department Chairs, Program Directors or Personnel committees to discuss the evaluation and will be given one additional year of evaluation. Upon a second evaluation of "Fails to Meet Expectations" in the succeeding year, contracts may be terminated.

B. Should a Specified-term faculty member in a multi-year contract (Lecturers, Adjunct Lecturers, and Visiting Faculty) receive a "Fails to Meet" evaluation in two or more of the years since the beginning of the contract period, the contract may be terminated.

C. In cases of alleged faculty "incompetence, neglect of duty, or misconduct" the processes outlined in the Faculty Handbook shall apply.

4. Governance

The role of non-tenure-eligible faculty in governance is defined by each department, program, or Faculty. Policies are available from the department, program, or Dean's office.

Opportunities should exist within Arts & Sciences, within every department and program, and at every level, for Senior Lecturers and Lecturers to participate in governance and policy development, with the exception of oversight and voting on personnel-related issues.

A. Senior Lecturers and Lecturers may attend monthly meetings of the Arts & Sciences faculty and may participate in discussion and vote at such meetings.

B. All faculty may attend monthly meetings of the university-wide Faculty Assembly but may not participate in discussion unless invited to do so and may not vote. Faculty Assembly participation is governed by the Constitution and Bylaws of the Faculty Assembly. Only Faculty Assembly members may vote at Assembly meetings. (from W&M Handbook for Part-Time Faculty)

C. Senior Lecturers and Lecturers may actively participate in governance and policy development at every level except for standing and ad hoc College, Arts & Science, or departmental/program committees related to Tenure Eligible personnel issues such as Committee on Retention, Promotion, and Tenure and search committees for TE faculty. Senior Lecturers and continuing Lecturers are may be eligible for election to key committees including but not limited to Committee on Nominations and Elections, Committee on Degrees, Academic Status Committee, Educational Policy Committee, Committee on Honors and Interdisciplinary Studies, and International Studies Advisory Committee.

5. Recruitment

A. Recruitment of non-tenure eligible faculty shall be in accordance with College procedures, which are available through the Office of Equal Opportunity (EO).

B. In consultation with the Dean of Arts & Science, Departments and Programs will determine whether a given NTE appointment is specified-term or continuing.

C. Recruitment of non-tenure eligible faculty should be conducted through open searches either nationally or locally unless the search is waived by the Dean of Faculty, Office of Equal Opportunity, and the Provost.

A&S Post-tenure Review Policies and Procedures

Approved by Faculty Affairs Committee, January 23, 1997.

Revisions approved by the Faculty of Arts & Sciences, February 1, 2005, approved by PPC, February 14, 2005.

I. Standards - The *Faculty Handbook* sets out the criteria for the evaluation of faculty as:

possession of the professional education, experience, and degrees appropriate or necessary for their duties; conscientious and effective teaching with proper command of the material of their fields, and helpfulness to their students; significant contributions to their fields through research and scholarly or creative activity, and through professional service; and responsible participation in College governance. (III. B. 2.)

For the purposes of post-tenure review, we assume that questions concerning the first criterion, “possession of the professional education” etc. will have been met at the time of the award of tenure. Post-tenure reviews will focus on the three categories: teaching, scholarship, and service. Units may choose to do scheduled reviews. The policies below under II. 1-3 shall apply for unscheduled reviews; all other policies shall apply for both scheduled and unscheduled reviews.

II. Procedures - In order to implement the “Policy on Post-Tenure Review” the Faculty of Arts and Sciences adopts the following:

1. The initial request for a Post-Tenure Review may be initiated by the Dean of Arts & Sciences, Department Chair, or, in the case of a faculty member with a joint appointment in an interdisciplinary program, by the Program Director. These requests must be initiated within 60 days of the time annual merit evaluations are submitted to the Dean’s office.
2. The request for a Review must be based on a faculty member’s having merit evaluations that have been persistently and significantly lower than those of the large majority of other members of his or her department over a three year period and lower than what can be reasonably expected of a faculty member who is actively engaged in teaching, research, and service. Having the lowest merit evaluations in a department, especially in a small department, would not, by itself, be sufficient cause for a Review.
3. The Dean of Arts & Sciences and the Chair, or the Dean of Arts & Sciences, Chair, and Director in the case of a joint appointment in an interdisciplinary program, will discuss the case and determine if there are temporary, extenuating circumstances that account for the faculty member’s low merit evaluations. The final decision on whether or not there should be a Post Tenure Review rests with the Dean of Arts & Sciences.
4. The Post-Tenure Review will be carried out by the appropriate faculty review committee of the Department and the Chair will report the results of the Review to the Dean of Arts & Sciences. In the case of a faculty member with a joint appointment in an interdisciplinary program, the Review would be jointly carried out by the appropriate faculty review committee of the Department and Program and the Chair and the Director will report the results to the Dean of Arts & Sciences.

5. Post-tenure reviews will cover six years. Post-tenure reviews consist of a narrative describing the accomplishments of the faculty member in teaching, scholarship, and service. The report should point out any special circumstances that contributed to the performance.

III. Findings and Results-When a post-tenure review finds a faculty member's "overall performance record is unsatisfactory," the faculty member must prepare a "performance plan to address the areas/s of deficiency." A preliminary and final assessment will take place to assess the progress on the performance plan. The Arts and Sciences standards for unsatisfactory overall performance, the contents of a performance plan, and follow-up reviews are as follows:

1. A finding of Unsatisfactory Overall Performance represents a judgment based on all three categories: teaching, research, and service.
2. A finding of Unsatisfactory Overall Performance may result from either (i) unsatisfactory teaching or (ii) a deficiency in scholarship or service that is not outweighed by strong performance in both of the other categories.
3. Performance Plans may contain plans for long-term professional development and must contain specific goals that can be evaluated within the time frame specified for a follow-up review as in the "Policy on Post-Tenure Review" and further specified in the procedures given below.
4. A preliminary assessment will take place during the second semester after an individual performance plan is in place (not counting the semester in which the plan is approved) and a final assessment will take place during the fourth semester after an approved individual improvement plan is in place (not counting the semester in which the plan is approved).
5. If either the preliminary or final assessment conducted by the department, or department and program, and the dean suggests disciplinary action might be taken against the faculty member, the Retention, Promotion, and Tenure Committee of the Faculty of Arts and Sciences will review the file and make a recommendation to the Dean of Arts & Sciences before the file is forwarded to the Provost.
6. If, as the result of either the preliminary or final assessment, the relevant department or program committee, the chair or director, and the dean determine that overall performance continues to be unsatisfactory, the Dean of Arts & Sciences will recommend to the Provost that disciplinary action be taken. Where the appropriate committee, the department chair or program director, if any, and/or the Dean of Arts & Sciences disagree, the reports shall be forwarded to the Provost for decision.
7. Incompetence or neglect of duty in teaching is adequate cause for termination as delineated in Section III.B.6.a. of the *Faculty Handbook*.

A&S Joint Appointment Policy

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VI. ROLE OF THE DEAN

I. BACKGROUND

Arts & Sciences (henceforth A&S) has had an explicit policy on joint appointments of faculty and joint arrangements of resources among schools, departments, and programs since 2000, revised in 2001. In the two decades since, the number and types of Joint Appointment Memoranda of Understanding (JAMOUS) and Memoranda of Understanding (MOUs) respectively have increased substantially in both number and complexity.

This document supplants the 2001 policy and covers JAMOUS and MOUs insofar as the latter are salient to the implementation of the former. Given the myriad JAMOUS and MOUs in place, A&S must ensure that policies and procedures be tailored to the many inter-unit arrangements while respecting all relevant A&S guidelines regarding the evaluation of merit, tenure, promotion, and retention.

II. JAMOU

2.1 Definitions of Home and Host Units, Allocation, and Residing

Academic units are designated as either home units or host units when faculty and teaching resources are shared. The definitions and arrangements are as follows.

Home units are departments or schools in which a tenure-eligible faculty member's tenure resides. Faculty members with joint appointments will have full rights and privileges consistent with their tenure status and rank in the home unit unless otherwise specified in the JAMOU.

Host units are departments, programs, or schools in which a faculty member holds an appointment in addition to the home unit named in the JAMOU. Host units, tenuring or non-tenuring, rely on JAMOUs for sharing faculty resources between programs and departments that are tied to an individual faculty member, hereinafter the joint appointee.

Allocation means committing resources to a department or program. Part or all of a faculty member's teaching effort may be committed to a particular department or program as part of a JAMOU.

Residing means having a tenure home in a department. A faculty member resides in the department where they are eligible for tenure or where they have been granted tenure.

The various arrangements for sharing tenure lines, teaching power, and service become germane when it comes to evaluating joint appointees. Although much of what follows below applies to inter-school arrangements, we will focus exclusively on inter-unit arrangements within A&S. While this document is binding for only inter-unit arrangements within A&S, we hope it proves instructive for inter-school arrangements too.

2.2 Existing JAMOU Arrangements

1. Equally Shared JAMOU: The tenure line is allocated *equally* to the home unit and the host unit. Both units conduct the search jointly for the joint appointee. All faculty-specific evaluations with regard to merit, retention, tenure, and promotion reside jointly with, and are equally shared by, both units.

2. Program-based JAMOU: The tenure line is allocated *to the host unit*, and the host unit conducts the search for the joint appointee. Potential home units are involved at some point in the search process with a view to their participation in the joint appointment. For all faculty-specific evaluations with regard to merit, retention, tenure, and promotion, the host unit provides input, and the home unit renders a decision. As programs cannot grant tenure, this arrangement involves asymmetries of power. Departments bear certain costs (the labor involved in tenure and promotion review, often providing office space, and travel funds) and benefits (extra courses in the Department, some service duties, enrichment of interdisciplinary and intellectual depth, and often the diversity of their unit) from the joint appointee. Programs do not have the power to grant or deny tenure or promotion, but they benefit from the teaching and service of the joint appointee. This can generate confusion and conflict between the units.

3. Department-based JAMOU: The tenure line *already resides in a home unit* and a faculty member pledges, with home-unit consent, a portion of their workload to another department or program for an agreed-upon period of time.

III. MOU

MOUs are complex agreements between programs and departments or between departments.

These agreements may variously stipulate the creation of faculty lines, or the promise of courses by a department to a program's curriculum, or a combination of both. Existing MOU agreements generally take one of the following three forms:

1. A new tenure line is *allocated to the host unit* but resides with the home unit, and the division of faculty resources is course-specific. Home units agree to offer a specified number and type of courses in exchange for the tenure line. All faculty-specific evaluations thereby reside in the home department.

2. A new tenure line is *allocated to the home unit*, but with specific course obligations to the host unit.

3. A tenure line is not involved, but two departments or a department and a program agree to ensure adequate courses for both units' curricular needs (e.g., majors).

IV. GUIDING PRINCIPLES

The following guiding principles inform A&S joint appointment policy.

The first four principles address the need to recognize the multiplicity of joint appointments and craft nuanced arrangements for implementation:

1. Home and host units must agree on the distribution and evaluation of research, teaching, and service obligations of the joint appointee. Formalized procedures for implementation, appropriately detailed and contextualized, and clearly formulated, must be included in the JAMOU and any addendum. These aforementioned procedures for the implementation of the conditions of the JAMOU must be specified in the JAMOU.

2. Where a JAMOU involves a joint line between a Department and Program (***Shared JAMOU***), the JAMOU must be agreed upon by all parties and appended as an addendum to the Letter of Intent (LOI) by the start date of the joint appointee.

3. Where a JAMOU involves a line allocated to a Program and that resides in a Department for the purposes of retention, tenure, and promotion (***Program-based JAMOU***), the JAMOU must be agreed upon by all parties and appended as an addendum to the LOI by the start date of the joint appointee.

4. Where a JAMOU involves the allocation of single or multiple courses or service to a Program (***Department-based JAMOU***) by an established faculty member in a Department, the JAMOU must be signed by all parties at the time of agreement.

The next two principles ensure transparent and fair implementation of the JAMOU:

5. The home unit, by current SCHEV policy, takes the lead in the overall judgment for retention, tenure, and promotion since it has leadership of the tenure decision even where the tenure line itself is not allocated to it.

6. The JAMOU shall be reviewed regularly (e.g., every three years). If there are serious disagreements between a host unit and a home unit, or between the joint appointee and either unit, these must be arbitrated by the Dean. (see Section VI for details).

The next two principles deal with the need for an equitable allocation of teaching power and related resources:

7. Travel and research funds should come from both units, but the total funding received by a joint appointee should not exceed the larger of the units' funding levels for singly-appointed faculty members with the same characteristics (e.g., rank). Decisions about office space and/or research space must be agreed upon by both units.

8. The service and teaching power of jointly appointed faculty are in many cases essential for Programs' sustainability and day-to-day operations. To fulfill their mission, many programs rely heavily on these joint appointees for their service and teaching power. Programs must therefore be made aware in advance of joint appointees' leave schedules. Teaching releases offered as compensation for service as chairs or program directors must be negotiated with the input of all stakeholders.

The final two principles underscore the need to harmonize faculty-related policies within FAS and across the University:

9. There shall be no inconsistencies between the joint appointment policies specified herein and any other relevant policies or procedures emanating from departments, programs, the Dean's Office, and the Faculty Handbook. Interdisciplinary programs must have approved policies and procedures with appropriately specified criteria for granting the status of affiliate faculty who enjoy voting rights on personnel matters pertaining to jointly appointed faculty.

10. All communication from the Dean pertaining to merit, retention, tenure and promotion of a joint appointee shall be distributed to all relevant Chairs and Directors.

V. PROCEDURES FOR IMPLEMENTING JAMOUs

5.1 Elements of Joint Appointments

5.1.1 Equally Shared Joint Appointments

In the case of a Shared joint appointment, agreement will be sought at the time of authorization as to which units must approve the selection of a joint appointee. Under no circumstances can a negative vote by the home unit against offering a Shared joint appointee a position in that unit be overridden. The same is true of an offer of a joint appointment in the host unit. Shared JAMOUs will be reviewed by all parties regularly, at intervals specified in the JAMOU.

5.1.2 Program-Based Joint Appointments

For program-based joint appointments, the home unit may be unknown at the time of authorization. This arrangement may include a number of potential departments. Such positions will be advertised with a list of possible disciplines corresponding to possible home (tenuring) units. Since the home unit is not specified at the time of authorization, it is imperative for all potential stakeholders to agree upon the broad terms of the joint appointment before candidates are interviewed. The expectations accompanying the joint appointment, as they pertain to both participating units, will be clearly conveyed to all candidates. Whenever possible, the search committee should include voting members of the host unit and all possible home units. Under

no circumstances can a negative vote in the host unit or a home unit on offering a Program-based joint position be overridden. Program-based JAMOUs will be reviewed by all parties regularly, at intervals specified in the JAMOU.

5.1.3 Department-based Joint Appointments

For Department-based Joint Appointments, the home unit may be approached by another Department Chair or a Program Director with a view to a Department faculty member becoming a Joint Appointee in that host unit. The precise expectations of the joint appointment, as they pertain to both participating units, will be clearly laid out in the JAMOU. Department-based JAMOUs will be reviewed by all parties regularly, at intervals specified in the JAMOU.

5.2 The Letter of Intent and the JAMOU

For a newly hired joint appointee, the Letter of Intent will be issued by the Dean's Office after consultation with the Chairs and Directors of all pertinent home and host units. The draft JAMOU, which will accompany the Letter of Intent, must be reviewed carefully by the faculty member, relevant department chairs, program directors, and deans for each joint appointment. This initial JAMOU shall, at the minimum, stipulate 1) major expectations for appointees in the areas of teaching, research, and service, 2) any agreements on the allocation of resources (including office space, operating support, start-up funds, indirect costs, etc.), 3) the schedule for regular review of the JAMOU, 4) expectations for the replacement of courses during leaves (SSRL and mid-probationary), 5) the terms and mechanisms whereby a JAMOU may be renegotiated, and 6) that total service expectations will not exceed the expectations for singly appointed faculty. A finalized JAMOU will be signed on or before the newly hired faculty member's start date.

5.3 Evaluation of Joint Appointees

The following provide clear and specific guidelines for collaborative evaluation of joint appointees by home units and host units for merit, retention, tenure, and promotion. As a principle, singly appointed faculty and jointly appointed faculty should be evaluated on comparable standards for merit, retention, tenure, and promotion as much as possible.

The chair of the home department in A&S and the dean, chair, or director of all host units will consult regularly about the status and well-being of their joint appointees and will carefully review the effectiveness of communications and procedures relative to workloads, assignments of teaching and service responsibility, and other actions that affect joint appointees. It is particularly important that those in supervisory relationships to joint appointees keep in mind the impact of decisions they make on other units. Chairs and directors should not, as a matter of routine, make unilateral decisions that have substantive impacts on the workload, schedule, or expectations of jointly appointed faculty without consultation with their counterparts in the units affected. Examples might include approval of leaves, external work for pay, or administrative reassignments.

5.3.1 Clarification of Home Unit Responsibility

The Dean's Office will notify the home unit and the host unit simultaneously of any impending personnel actions. The responsibility of the home unit in A&S refers to its primary responsibility for overseeing the process of evaluation of the joint appointee for merit, retention, tenure, and promotion. For retention, tenure, and promotion, the home unit is responsible for submitting the dossier containing all the required documents to the Dean's Office in a timely manner. The home unit will work collaboratively with the host unit and will include the host unit in establishing timelines for the completion of each stage of the review process. If the host unit feels that the home unit has not taken its input adequately into account, the host unit may appeal to the Dean.

Both units shall observe the agreed-upon terms and implementational procedures in the JAMOU and its addendum. It is essential that joint appointees be evaluated in the context of and in a manner consistent with the programmatic, educational, and scholarly expectations defined in both the Letter of Intent and the JAMOU. Where interdisciplinary activity is explicitly involved, any interdisciplinary standards to be applied must be specified in the JAMOU or its implementational procedures

5.3.2 Holistic evaluation

All evaluations of jointly appointed faculty for merit, retention, tenure, and promotion shall be made in a spirit of good faith such that the performance of the joint appointee is evaluated holistically in the broad context of their various roles. The emphasis by the Faculty Assembly on collaborative evaluation strongly implies a broad view as well as on-going communication between home and host units. Evaluators should see the work of a jointly appointed faculty member as contributing to the strength and diversity of home and host units and of the University, as well as enhancing the educational depth and breadth of our students.

5.4 Provisions for Revising the JAMOU

JAMOUs will be reviewed by all parties every three years or at intervals specified in the JAMOU.

In the case of Shared JAMOUs, if substantive issues arise that necessitate the revision or renegotiation of the JAMOU, this must be done in ways that do not disadvantage either of the sharing units. If any jointly appointed faculty decides, for compelling reasons, to separate from the host unit, this would require a renegotiation of the JAMOU which must involve careful consideration of the needs of both units, and carries with it the possibility of reassignment of the joint appointee, termination of the employment contract, and adequate compensation for the losing host unit.

In the case of Program-Based JAMOUs, if substantive issues arise that necessitate the revision or renegotiation of the JAMOU, this must be done in ways that do not disadvantage the program in which the original line originated. The home department has no claim to the host

unit line if the JAMOU ceases to apply.

In the case of Department-based JAMOU's, there is no implied permanent commitment to the Program, unless explicitly stipulated in the JAMOU. A faculty member's decision to return to their home (tenuring) department carries no pledge by the Department of teaching restitution for courses lost by the Program.

VI. ROLE OF THE DEAN

Clearly, joint appointments require an active posture by the Dean since the joint appointee's status involves multiple units that do not report in a simple hierarchical manner. In the event of disagreements with any or all parties to a JAMOU, or in the event of refusal by the joint appointee to honor the terms of the JAMOU, the Dean will act as a mediator and will make decisions in consultation with all concerned parties to the joint appointment.

The creation of a JAMOU is the responsibility of the Dean of the Faculty. The JAMOU will be created based on the completed JAMOU Checklist submitted to the Dean's Office.

Approved by vote of the Faculty of Arts & Sciences, May 2, 2000.

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